

EGSIEM

WP1: Management
Administrative Overview

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Administrative Overview

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Grant Agreement/Consortium Agreement

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Who does what?

- **Consortium Plan (as stated in GA)**

Responsibilities/Budget Advice/Reporting

- **Publications**

Open Access

- **Access Rights**

Responsibilities/Disputes

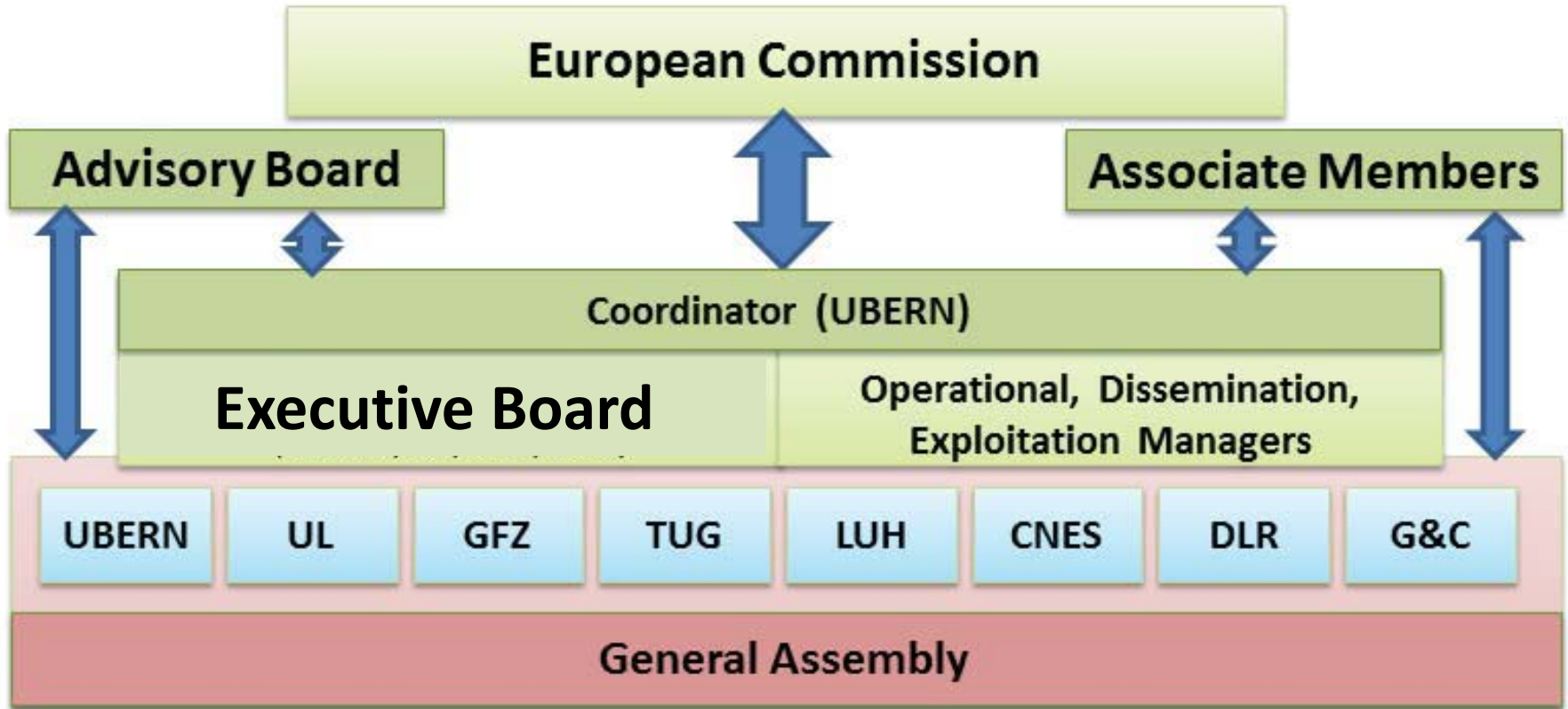
- Grant Agreement (GA)
- All Beneficiaries have signed their agreement to the GA, most areas of conflict/non-compliance are covered in the GA
- The Consortium Agreement (CA) is a requirement of the GA and sits below this agreement and is an internal consortium document separate to the GA

WP1: Management – Partner Responsibilities/Liabilities

- You have already signed an agreement to:
Cooperate, perform and fulfil, promptly and on time, all of [your] obligations under the GA.
- In terms of liabilities;
- There is no recourse to action if results and background are either misused, or found to be incorrect, save for breaches of confidentiality.

	2015												2016												2017																		
	January	February	March	April	May	June	July	August	September	October	November	December	January	February	March	April	May	June	July	August	September	October	November	December	January	February	March	April	May	June	July	August	September	October	November	December	January	February					
	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	37	38					
Milestones		X								X								X								X										X							
Consortium Mtg	X					X						X						X							X				X							X							
WP Meeting						X						X						X							X				X							X							
EU Reports													X													X												X					
Outreach											STUDENT COMPETITION																																
Deliverables		XX	XX							X				X	X			XX							X			XX			X			XXX		XXXXX							

WP1: Management - Governance



WP1: Management – Governance cont.

- *General Assembly*
 - One Member from each signatory to the Consortium Agreement has voting rights
 - Main decision making instrument of the Consortium
 - Can make changes to the Consortium Plan (and propose amendments to the funding body)
 - Decides on the membership of the Consortium
 - Decides on the membership of the Executive Board
 - Can remove partners/coordinator
 - Can approve budget amendments

- *Executive Board* (Coordination Team in Proposal, CA Section 6.3.2)
 - *As proposed* by UNIBE, is responsible for the:
 - preparation of General Assembly meetings
 - be responsible for decisions taken by General Assembly
 - Monitor the progress of the Consortium Plan
 - Propose any necessary modifications to the Consortium Plan
 - Appoint the Management Support Team to assist and facilitate the Executive Board
 - Jäggi
 - Weigelt
 - Flechtner
 - Güntner
 - Mayer Gürr
 - (Operations Manager, Dach*)
 - (Dissemination Manager, Flury*)
 - (Exploitation Manager, Weigelt*)

* Management Support Team (Ops/Diss/Expl managers) have no voting rights

- *Coordinator*

- Is the intermediary between the Consortium and the REA

- Collects, reviews and submits reports
 - Administers the financial contribution
 - Main document repository of the Consortium
 - Can be removed by the General Assembly
 - Proposes the *Management Support Team* to the Executive Board for the day-day running of the Project

WP1: Management – Governance cont.

- *Advisory Board*

- Appointed by the Executive Board

- Assist and facilitate the decisions made by the General Assembly
 - “The AB members shall be allowed to participate in General Assembly meetings upon invitation but have not any voting rights.” *CA, Section 6.6*
 - Subject to non-disclosure agreements

WP1: Management – Budget cont.

- A total of 50% (Pre-Financing) of the eligible budget is being sent to UBERN for further dispersal amongst the partners
- Of this 50%, the EU keeps back a ‘Guarantee Fund’ consisting of 5% of the Pre-Financing, so UBERN will receive 45% of the project budget for all partners (save itself) from the EU, in the first instance
- As per the Consortium Agreement, partners will receive 70% of the Pre Financing *this week*

WP1: Management – Budget cont.

- Interim Payment

- Follows 90 days after the successful submission of the first Periodic Report (for EGSIEM, this would not be until June 2016)
- *Interim payments reimburse the eligible costs incurred for the implementation of the action during the corresponding reporting periods. EGSIEM GA, **Section 21.3***
- Limited to 90% of the total grant amount (minus previous payments, such as Pre-Financing)

WP1: Management – Budget cont.

- Payment of the balance/Final Payment
 - *If the total amount of earlier payments is lower than the final grant amount, the Agency will pay the balance within 90 days from receiving the final report (GA Article **20.4**) for EGSiem, this would not be until June 2018.*
 - *At the payment of the balance, the amount retained for the Guarantee Fund will be released...*

WP1: Management – Budget cont.

Audits (Certificates on the Financial Statements)

- A CFS needs to be prepared at the end of the grant, for all partners whose Direct Costs were more than 325,000EUR
- The CFS must be submitted electronically via the Participant Portal (to UBERN as coordinator) within 60 days of the end of the project (so, end of February 2018), and be submitted with the Final Report, *otherwise a delay may occur to the final payment.*
- *Certificate on the methodology:* Optional for average personnel costs (now under unit costs)

WP1: Management – Access Rights

- **9.1.1** Anything not identified in Attachment 1 [of the Consortium Agreement] shall not be the object of Access Right obligations regarding Background.

However...

- **9.1.2** Any Party can propose to the General Assembly to modify its Background in Attachment 1.

- **9.2.6** All requests for Access Rights shall be made in writing.

The granting of Access Rights may be made conditional on the acceptance of specific conditions aimed at ensuring that these rights will be used only for the intended purpose and that appropriate confidentiality obligations are in place.

WP1: Management – Access Rights cont.

- All Access Rights for implementation shall be granted... Consortium Agreement **9.3**
- All Access Rights for exploitation shall be granted upon a written bilateral agreement (can be made up to twelve months after the end of the project) Consortium Agreement **9.4**

WP1: Management – Access Rights cont.

- **CA, Section 9.6 Additional Access Rights**

“For the avoidance of doubt any grant of Access Rights not covered by the Grant Agreement or this Consortium Agreement shall be at the absolute discretion of the owning Party and subject to such terms and conditions as may be agreed between the owning and receiving Parties.”

WP1: Management-Non disclosure

- CA, Section 10
- Any information marked as confidential remains so for a period of 4 years after the end of the project, other than without written consent from the disclosing party.

WP1: Management - Reporting

EGSIEM is split into two separate reporting periods;

- **Period 1**

from month 1 to month 12 (1.1.2015 – 31.12.2015)

- **Period 2**

from month 13 to the last month of the project - 36
(1.1.2016 – 31.12.2017)

EGSIEM Grant Agreement, Article 20.2

As UBERN receives funding directly from the SBFI we have additional financial reporting requirements, and must also send copies of EU reports to SBFI (who will treat them as confidential).

WP1: Management – Reporting cont.

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

End of February 2016 and at the end of February 2018.

The **periodic report** must include:

- (a) a '**periodic technical report**'
- (b) a '**periodic financial report**'

EGSIEM Grant Agreement, Article 20.1

WP1: Management – Reporting cont.

Periodic Technical Report, Article 20.3 (a)

- (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.

This report must include explanations justifying the differences between work expected to be carried out in accordance with Annex 1 and that actually carried out.

The report must also detail the exploitation and dissemination of the results and - if required in Annex 1 - an updated '**plan for the exploitation and dissemination of the results**'

- (iii) a **summary** for publication by the *Agency*;
- (iv) the answers to the '**questionnaire**', covering issues related to the action implementation and the economic and societal impact, notably in the context of the Horizon 2020 key performance indicators and the Horizon 2020 monitoring requirements;

WP1: Management – Reporting cont.

Periodic Financial Report, Article 20.3 (b)

- (i) an **'individual financial statement'** from each beneficiary, for the reporting period.
- The individual financial statement must detail the eligible costs (actual costs, unit costs and flat rate costs; for each budget category and must **certify** that:
 - the information provided is full, reliable and true;
 - the costs declared are eligible (see Article 6);
 - The costs can be substantiated by adequate records and supporting documentation that will be produced upon request... for the last reporting period: that all the receipts have been declared;
- (ii) an **explanation of the use of resources** and information on subcontracting (see Article 13) and any in-kind contributions provided by third parties from each beneficiary
- (iii) *not applicable*;
- (iv) a **'periodic summary financial statement'**... - except for the last reporting period – the request for interim payment.

WP1: Management

- Salary Costs-Article 6 GA
- VAT Clarification
- SyGMa System
- FSIGN
- What constitutes subcontracting
- Budget is transferable between partners (with General Assembly approval)
- Budget can be limited by the EU

WP1: Management – Salary Costs

- Much simpler in H2020
- See Article 6.2 of the Grant Agreement
- Where an institution declares staff **unit costs** as part of its normal accounting practices, this can also be charged
- This must also be declared as an hourly rate and calculated as total working hours multiplied by the unit cost

WP1: Management – Salary costs cont.

- Actual Personnel Costs are based on the basic salary per financial year, plus ‘Mandatory extras’ (social security etc) multiplied by the hours worked on the project (Annual Productive Hours)
- Productive Hours are 1,720 hours or, Individual Productive Hours (workable hours + O/T – Absences) or, Standard productive hours (according to own institute practices)

WP1: System for Grant Management

- SyGMa is already being used by EGSiEM
- Accessible via the Participant Portal
- Useful to ensure that your admin staff also have access (as a Participant Contact)
- All signatures will now be online (eg Grant Agreement was signed by the LSiGN (Legal Signatory) of your institute, your institute will also need to set an FSiGN (Financial Signatory) for submission of Financial Reports

WP1: System for Grant Management

The screenshot displays the 'Grant Management' system interface. At the top, the browser address bar shows the URL: <https://ec.europa.eu/research/participants/grants-app/gap/h2020/GAP-637010?ticket=ST-3999263-q3SjFZGTLWDFuOGGrqWxfvzbuaow8hcqfGnJ3Fx9FTkZQ4RLzzYKEMa88Q4jsN7Ee3GNO>. The page title is 'Grant Management' and the sub-header is 'Grant Agreement Data'. The main content area shows project details for 'Project 637010 (EGSIEM)' under 'HORIZON 2020'. The call number is 'H2020-EO-2014', the action is 'RIA', the response unit is 'REA/B/01', and the duration is '36'. A navigation bar contains various tabs: Beneficiaries, General Information, Reporting Periods, GA Information, GA Options, Financial Information, LF Overview, Work Packages, Deliverables, Milestones, Reviews, Critical Risks, and Ethics. Below this, a 'DOCUMENTS' button is visible. The 'Beneficiaries' section contains a table with the following data:

Number	Short Name	Legal Name	Role	Country	PIC	PIC Status
1	UBERN	UNIVERSITAET BERN	CO	CH	999976493	VALIDATED
2	UL	UNIVERSITE DU LUXEMBOURG	BEN	LU	999878620	VALIDATED
3	GFZ	Helmholtz-Zentrum Potsdam Deutsches GeoForschungsZentrum	BEN	DE	999994341	VALIDATED
4	TU GRAZ	TECHNISCHE UNIVERSITAET GRAZ	BEN	AT	999977948	VALIDATED
5	LUH	GOTTFRIED WILHELM LEIBNIZ UNIVERSITAET HANNOVER	BEN	DE	999981828	VALIDATED
6	CNES	CENTRE NATIONAL D'ETUDES SPATIALES - CNES	BEN	FR	999599163	VALIDATED
7	DLR	DEUTSCHES ZENTRUM FUER LUFT - UND RAUMFAHRT EV	BEN	DE	999981731	VALIDATED
8	Géode & Cie	Géode & Cie	BEN	FR	944521884	VALIDATED

WP1: Value Added Tax/MwSt etc

- VAT is now an eligible costs (if non-deductible and paid by the beneficiary)
- Where you are not sure, check with your local VAT specialist

WP1: Budget cont.

- The project budget is transferable between partners (with General Assembly approval) and also between individual institution headings
- However, following Budget can be limited by the EU

- The GA calls for each partner to ensure Open Access to any peer-reviewed publications relating to its results (Article 29.2)
- It must also ensure the EU Flag is displayed in all publications, and that the following text is included (Article 29.4)
 - *This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 637010*
- And include a disclaimer that the views expressed are those of the author and not of the *Agency* (Article 29.5)

WP1: Management – Publications

Unless it goes against their legitimate interests, each beneficiary must - as soon as possible - 'disseminate' its results by disclosing them to the public by appropriate means... *EGSIEM GA Article 29.1*

During the Project and for a period of 1 year after the end of the Project, the dissemination of own Results... shall be governed by the procedure of Article 29.1 of the Grant Agreement subject to the following provisions.

Prior notice of any planned publication shall be given to the other Parties at least 45 calendar days before the publication. Any objection to the planned publication shall be made ... within 30 calendar days after receipt of the notice.

Section 8.3.1.1 EGSiEM Consortium Agreement

Results or background used as part of EGSiEM should not be published other than with the written approval of the originating party, unless they have already been published. **8.3.2**

WP1: Management

- I am your first point of contact for administrative queries.
- Who is responsible at your institution for preparing the Financial forms, approval of the Participant Portal etc?
- **Management Guidelines (Deliverable 1.1)**

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EGSIEM Kick Off Meeting, University of Bern, January 13. – 14. 2015



Upcoming Deliverables

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Upcoming Deliverables

Deliverable (number)	Deliverable name	Work package number	Short name of lead participant	Type	Dissemination level	Delivery date
1.1	Management guidelines	1	UBERN	R	CO	M02
2.1	Processing standards and models	2	TUG	R	PU	M02
5.1	Concept of NRT service	5	GFZ	R	PU	M03
3.1	Reference Frame Product Report	3	UL	R	PU	M10
7.1	EGSIEM project website	7	UBERN	DEC	PU	M03

Upcoming Milestones

Milestone number	Milestone name	Related work package(s)	Estimated date	Means of verification
1	Finalisation of Processing Standards	WP 3	2	D2.1 is available
2	Implementation and preparation Review	WP 2,3,5	10	Implementation and preparation work finished, T2.2, T3.1, T3.2 finished, T5.2 and T5.4 implementations finished
3	Service Readiness	WP4,5,6	18	Scientific, NRT and Hydrological service set up, T4.1, T5.1 finished, T5.2 and T5.4 ready for service run
4	Operational NRT Service Readiness	WP5,6	27	Preparation work for operational NRT service finished
5	Final Review	WP 1-7	36	All work packages finished

Purpose of the meeting concerning milestones

Identification of the main goal for processing standards:

- Optimal comparability of results, i.e., best possible harmonization of standards/background models, to show pros/cons of the different processing approaches?
 - Helps every AC to improve its approach
 - Long procedure and difficult to achieve
- Meaningful combinability of the results?
 - Common conventions are a pre-requisite
 - Identical background models are not really an advantage

The choice of the standards obviously depends on the main goal.

- What is the timeline:
 - Finalized by end of February?
 - Final decision by start of reprocessing sufficient?

Points for discussion

- Conventions
 - what is/should be applied?
 - here we should agree on a common choice
- Background models?
 - what is applied?
 - Pro: remove/restore possible
 - Con: harmonization: no averaging of model errors in combination
- A priori information
 - what is applied?
 - Pro: stabilization of results
 - Con: combination of results difficult (impossible?)
- Parametrization
 - spectral/spatial/temporal resolution
 - other parameters