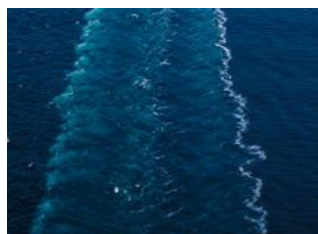


Kick-off meeting Project AEOLIX GA number 690797



13 September 2016

Gabriel Mialocq

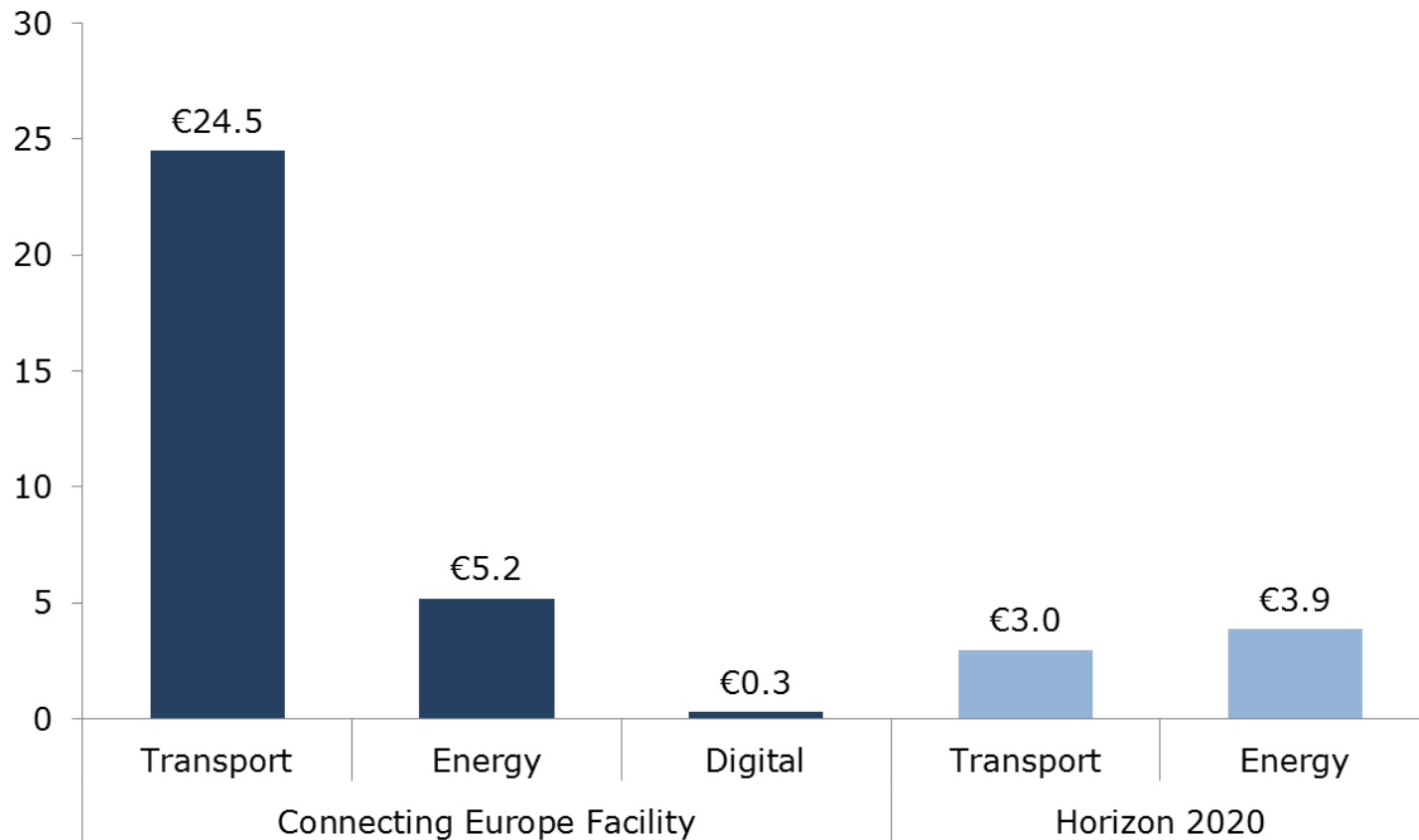
INEA H2

- 1. INEA presentation**
- 2. Context of Horizon 2020 & Transport Work Programmes**
- 3. INEA's expectations regarding the project**
- 4. Contractual and administrative issues**

1. Innovation and Networks Executive Agency

- From 1 January 2014 – **TEN-T EA** (Trans-European Transport Network - Executive Agency) **became INEA**
- INEA started with TEN-T EA's 100 staff, and now has an **organisational structure which will reach 318** staff by 2020 (Approximately 160 today)
- 4 parent DGs – **MOVE, ENER, RTD, CNECT**

H2020 / CEF budget to be managed by INEA (Total: €37 billion)



The Multiannual Financial Framework 2014-2020:

Key challenge: stabilise the financial and economic system while taking measures to create economic opportunities

1. Smart & inclusive growth (€ 451 billion)



2. Sustainable growth, natural resources (€ 373 billion)

3. Security and citizenship (€ 16 billion)

4. Global Europe (€ 58 billion)

5. Administration (€ 61.6 billion)



TOTAL
€960 billion



European
Commission

2. Horizon 2020



Excellent science

- Tomorrow's **technologies**, jobs and wellbeing
- Europe needs research **talent**
- Researchers need access to the best **Infrastructures**

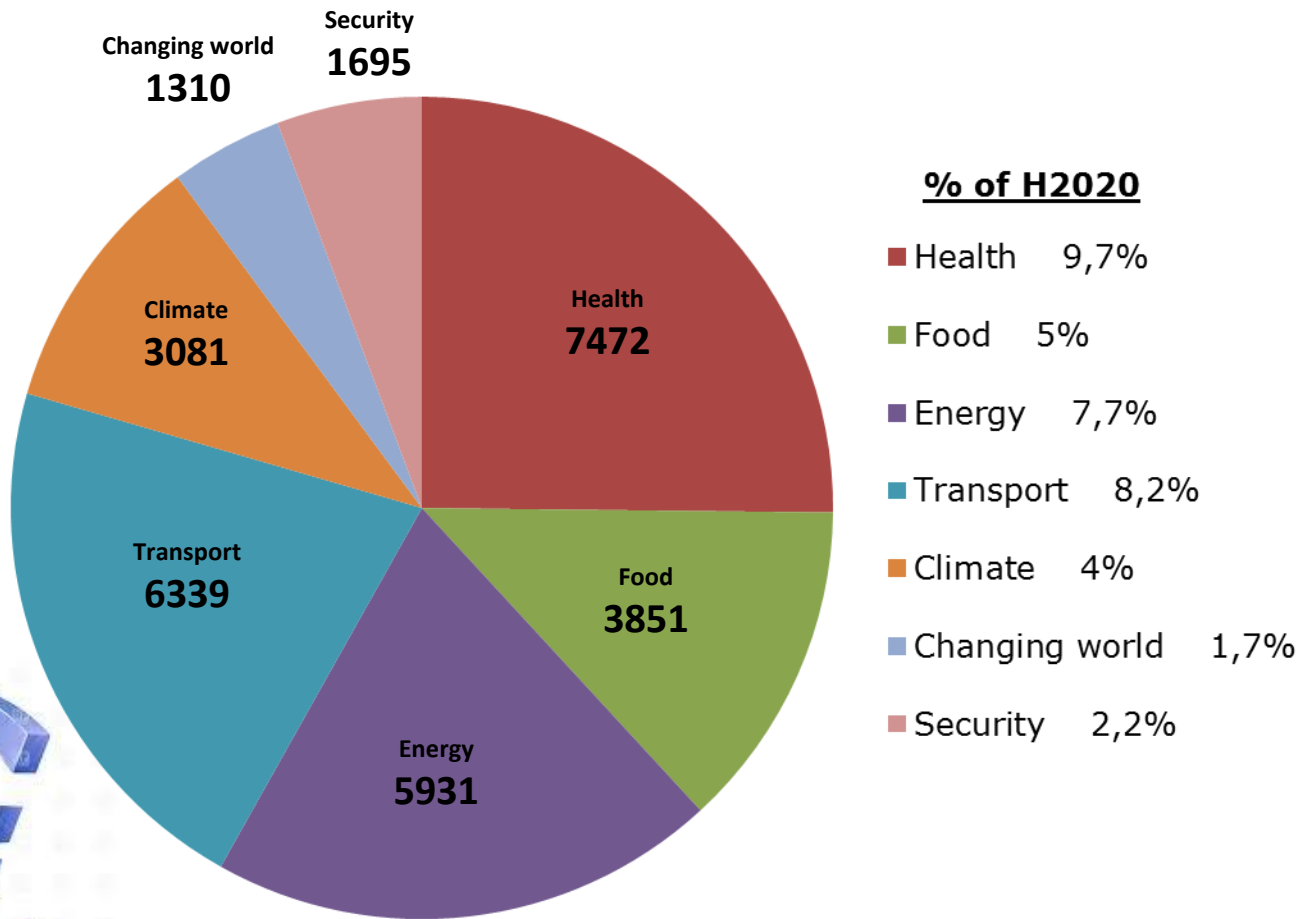
Industrial leadership

- Strategic investments in **key technologies**
- Europe needs to attract **more private investment** in research and innovation
- Europe needs more innovative **SMEs** to create growth and jobs

Societal challenges

- Concerns of citizens and society cannot be achieved without **innovation**
- **Breakthrough solutions** come from multi-disciplinary **collaborations**, including social sciences & humanities
- Promising solutions need to be **tested, demonstrated and scaled up**

Societal challenges



Context of Horizon 2020 & Transport Work Programmes

H2020 - Smart, Green and Integrated Transport

This Challenge aims to boost the competitiveness of the European transport industries and achieve a European transport system that is:

- **resource-efficient**
- **climate-and-environmentally-friendly**
- **safe and seamless**



Transport calls

Mobility for Growth

- **Areas addressing mode-specific Challenges:**
 - Aviation, Rail, Road, Waterborne
- **Areas addressing transport integration specific challenges:**
 - Safety, Urban, Logistics, Intelligent Transport Systems, Infrastructure
- **Areas addressing Cross-Cutting Issues:**
 - Socio-economic and behavioural research and forward looking activities for policy-making

Automated Road Transport

- The main contribution is to support the short term introduction of passenger car automated driving level 3 including safe stops, and of truck platooning in real driving conditions from 2020 onwards.

Green Vehicles

- It includes research, technological developments, innovation and demonstration in support of improvements in energy efficiency of road transport vehicles and the use of new types of non-conventional energies in road transport such as electricity, CNG and LNG, renewable and tailored fuels.

Small Business and Fast Track Innovation for Transport

- For actions to develop new services, products, processes, technologies, systems and combinations thereof that contribute to achieving the European transport and mobility goals defined in the 2011 Transport White Paper.

3. Expectation of INEA regarding the project

1. Objectives of the project:

- Increase collaboration in the transport logistic chain
- Develop IT tools and platform to ease this collaboration
- Have tools that are self-standing, running and used by the end of the project
- Test these improvement in as many labs as possible with real companies and real data and transport flows.

2. Expected Impacts

- Reduction of delivery vehicles by 10% and limit congestion, pollution and CO2
- Improve truck load by 50% and provide back load possibilities
- Deploy the tools beyond the partners in the consortium

Management of Grants on INEA's side

- 1. Deliverables submitted through the Participant portal**
- 2. Periodic Reporting every 18 months**
- 3. Particular attention given to dissemination and exploitation plans**
- 4. Meetings: Kick-off meeting; Periodic Reviews; Final meeting; Problem solving specific meetings**
- 5. Management focusing on:**
 - Objectives versus Achievements
 - Management and Collaboration Status
 - Financial Aspects
 - Exploitation and Dissemination of Results

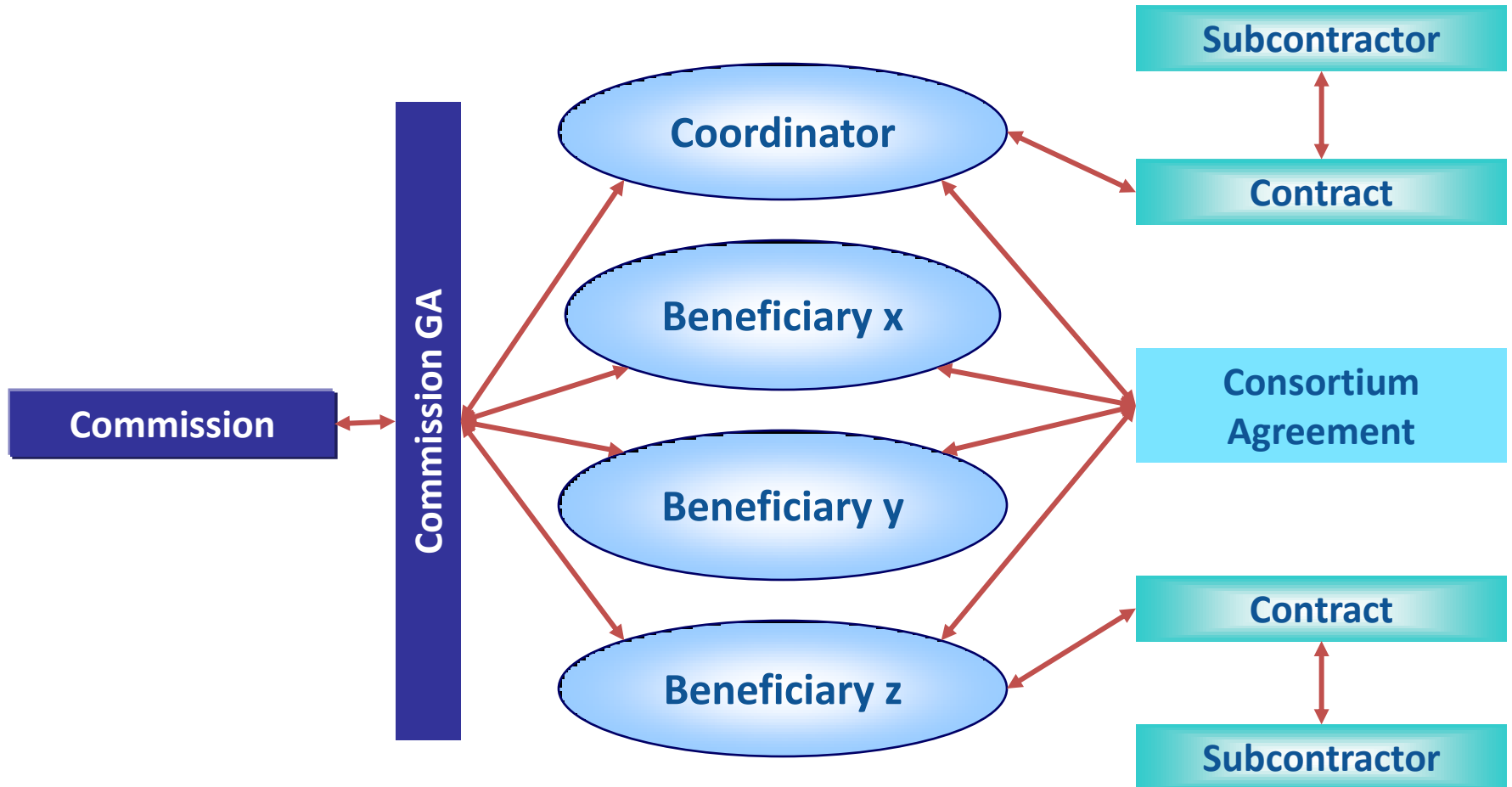
4. Contractual and administrative issues

- A. Grant Agreement Structure
- B. Third parties
- C. Consortium agreement
- D. Amendments
- E. Guarantee Fund
- F. Project management
- G. Ethics and Security

Project factsheet

- Call: H2020-MG-2015
- Topic: MG-6.1-2015
- Starting date: 01/09/2016
- Duration: 36 M
- Maximum EU contribution: 16,220,106.25 €
- Reporting periods: 2
- Coordinator: ERTICO
- Number of participants: 34

Range of Contractual Agreements



Role of the Coordinator

- Central Contact Point for the Commission regarding reporting and payments
- Represents all beneficiaries towards the Commission
- Administers the Community financial contribution regarding its allocation between beneficiaries, keep records and financial accounts and informs the EC of the distribution of funds
- Reviews the reports to verify consistency with the projects tasks before submitting them to the COM
- Monitors the compliance by the beneficiaries with their obligations under the GA

Role of beneficiaries

- Carry out the work to be performed, as identified in the Annex 1
- Provide all data requested by the EC (financial statements, progress of work)
- Inform the EC (through the Coordinator) of any event that might affect the implementation of the project
- Etc.

Role of INEA's Project Manager

- Central Contact Point for project
- Monitor fulfilment of contractual obligations
 - Via deliverables, periodic reports, on-site reviews, etc.
 - Check financial statements

A. Grant Agreement structure



H2020 Grant Agreement

Annex 1: Description of the action part A & B

Annex 2: Estimated budget

Annex 3: Accession forms of beneficiaries

Annex 3a: Declaration joint liability of third parties

Annex 4: Model financial statements

Annex 5: Model certificate on financial statements

Annex 6: Model certificate on the methodology

B. Third parties




European Commission

Beneficiary

Contracts necessary for the implementation

Contributions in kind

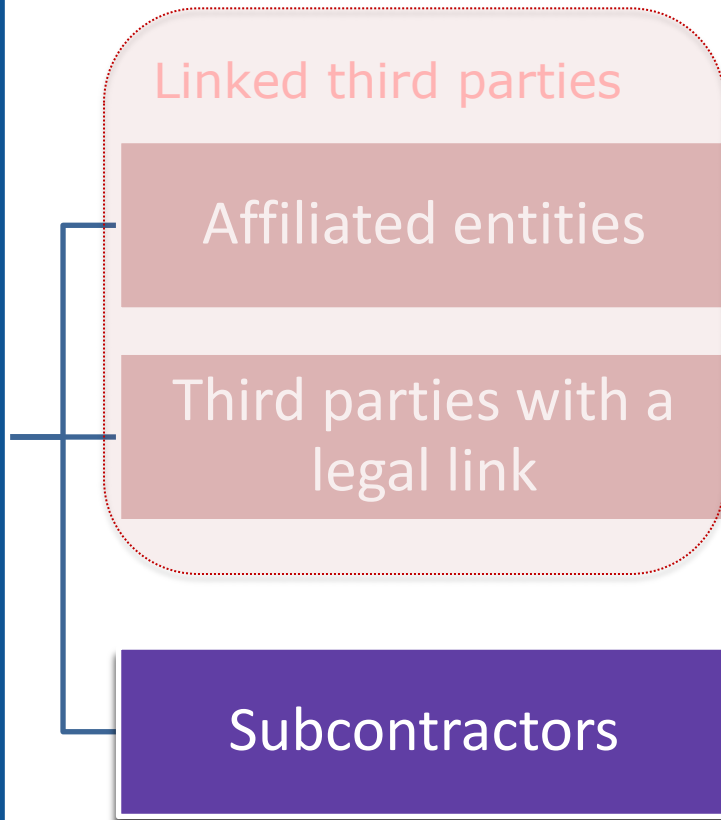
- For the purchase of goods, works or services
- Ensure best value for money and avoid any conflict of interests
- **Article 10 GA**

- Free of charge or against payment are eligible costs if they meet the eligibility conditions
- Must be set out in Annex 1
-  **NEW:** if not identified in Annex 1, Commission may still approve them (beneficiary bears the risk of rejection)
- **Articles 11 & 12 GA**

B. Third parties



Beneficiary

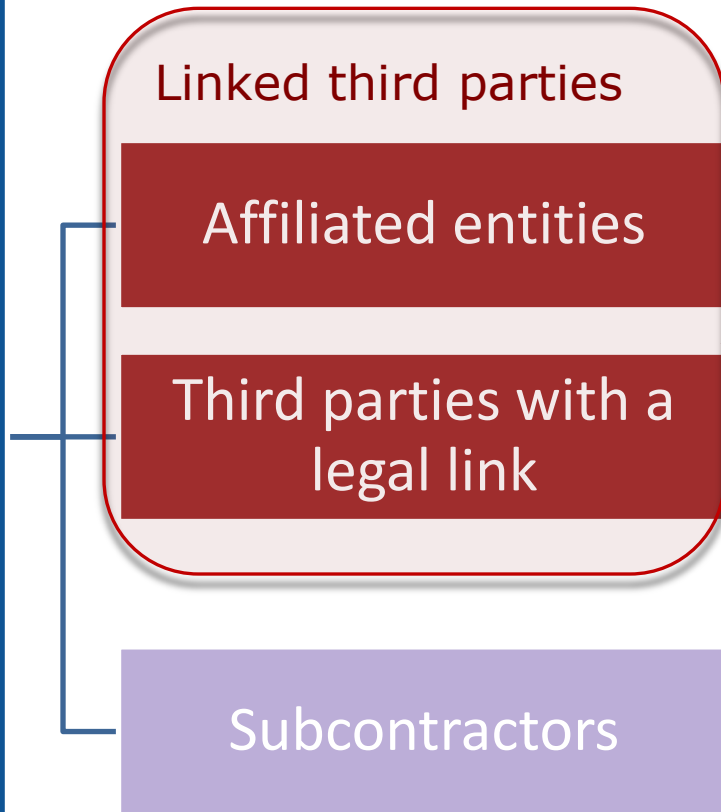


- Ensure best value for money and avoid any conflict of interests
- Estimated costs and tasks must be identified in the budget and Annex 1
- **!** **NEW:** if not identified in Annex 1, Commission may still approve them (beneficiary bears the risk of rejection)
- **Article 13 GA**

B. Third parties



Beneficiary



- Similar to FP7 Special Clause 10
- Must be identified in the GA
- Separate tasks / budget
- Same cost eligibility criteria like beneficiaries
- **⚠ NEW: COM or Agency may request them to accept joint and several liability for their EU contribution**
- **Article 14 GA**

C. Consortium Agreement



- Compulsory unless otherwise stated by the call text
- The European Commission IS NOT PART of it
- Must exist once the Grant Agreement enters into force

Key issues addressed in the Consortium Agreement:

- Management
- distribution of funds
- internal organisation of work, internal reporting
- evolution of the consortium
- IPR (to be decided before signature of contract)
- Risk management / collective responsibility
- Decision-making process

D. Amendments to GA



See Article 55

- Request in writing
- Only the Coordinator may submit an amendment request
- Amendments must not have the purpose of making changes to the agreement which might call into question the decision awarding the grant.
- Enlargement of the consortium to new contractors and new activities may be foreseen
- No change of the GA needed for the following cases:
 - changes in beneficiaries' data (address changes, authorised representatives)
 - transfer of budget between different activities and between themselves as long as the work is carried out as foreseen in Annex 1
- A guide to amendment should be soon available through the participant portal.
- Talk to the PM first!

E. Guarantee Fund



- Participant's Guarantee Fund is established amounting to 5% of total EC contribution
- The Guarantee Fund belongs to all beneficiaries of grant agreements under H2020
- Financial interests generated by the Guarantee Fund will serve to cover against financial risks
- The amount contributed to the Fund will be reimbursed at the end of the final payment after the end of the project

Payment modalities

	Time-to-Pay	From
One Pre-financing	30 days	10 days before starting date or entry into force
→ Retention 5 % of maximum grant amount for the Guarantee Fund		
Interim Payments	90 days	From reception of periodic report
→ Based on financial statements, with limit = 90 % of the maximum grant amount (10% retention)		
i NEW: No audit certificates needed for interim payments!		
Payment of the Balance	90 days	From reception of final report
i NEW: Audit certificates for final payment per beneficiary or third party <i>only</i> needed if total requested EU contribution \geq 325 000 € for reimbursement of actual & unit costs		

Form of costs

Actual costs

- Costs actually incurred, identifiable and verifiable, recorded in the accounts, etc. see **Article 6 GA**



- **NEW: non-deductible VAT is now eligible**

Unit costs

- A fixed amount per unit determined by the Commission
Example: for SME owners not receiving a salary
- For average personnel cost (based on the usual accounting practices with possible certificate on the methodology)

Flat rate

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



Reimbursement of eligible costs

- Subject to approval of technical reports
- Stated costs must be reasonable compared to work
- Actual (or follow the rules e.g. unit costs)
- Incurred during duration of project
- In accordance with beneficiary's usual accounting and management principles
- Recorded in the accounts of beneficiary
- Used for the sole purpose of achieving the objectives of the project



Reimbursement of eligible costs

- Staff working on the project must keep time records (hours they spend on the project; regularly (daily, weekly); countersigned by a supervisor)
- You must declare costs based on the actual amounts spent (MGA Article 5, Article 6(1)) : Personnel Costs based on actual staff costs; Other direct costs based on actual costs for the project (MGA Article 6,2 D); Depreciation costs for assets; Real costs of consumables
- You cannot, under any circumstances, sub-contract to a project partner (MGA Article 13)



Reporting: **see articles 17-21**

- **Periodic reports** to be submitted by coordinator within 60 days after end of reporting period
 - Overview of progress of the work, including a publishable summary report; Overview of project objectives for the reporting period; Work progress and achievements during the period; Deliverable and milestones tables; Project management
 - Use of the resources and
 - Financial Statement (Form C) from each beneficiary
 - all C forms have to be encoded by the beneficiaries via the Participants' Portal:
- **Final report** to be submitted by coordinator 60 days after end of project
 - Publishable summary report, conclusions and socioeconomic impact,
 - Covering wider societal implications and a plan on exploitation
- The reports have to be submitted through the **participant portal**
- For the final period two reports need to be submitted: The final report as described above and also a periodic progress report.



Reporting

- Commission has 90 days to evaluate and execute the corresponding payment
 - No tacit approval of reports
- After reception Commission may:
 - Approve
 - Suspend the time-limit requesting revision/completion
 - Reject them giving justification, possible termination
 - Suspend the payment (in whole or in part)



Information and communication: **See article 29**

- Community support shall be highlighted
 - European logo to be displayed
 - Disclaimer to be added on any communication (publicity reflects the author's view and the Community is not liable of any use ...)
- Right for the EC to publish information on the project
 - The consortium shall ensure that all necessary authorisations for such publications have been obtained
- Confidentiality:
 - During the project and for a period of 5 years after completion



- **Suspension of the project: see articles 47-49**
 - At the initiative of the coordinator (force majeure)
 - At the initiative of the Commission
- **Termination of the Grant Agreement or of the participation of one beneficiary: see article 50**
 - At the initiative of the consortium
 - At the Commission's initiative in case of:
 - Non accession of a beneficiary
 - Non-performance or poor performance
 - Deliberate negligence or irregularity
 - Contravention of ethical principles
 - Force majeure
 - Etc



Controls & Sanctions: **see articles 42-50**

Controls:

- Financial audits and controls
- Technical audits and reviews
- These audits can be carried out by the Commission or by outside reviewers or auditors

Sanctions:

- Liquidated damages (if overstatement of expenditures)
- Financial penalties (if false declarations)

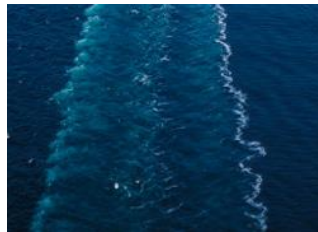
→ Between 2% and 10% of the EC contribution



- Ethics review is conducted in order not to fund proposals that contravene ethical principles. Proposals that are security sensitive must undergo a security screening
- Self-assessment at the stage of proposals submission
- Ethics review during the selection procedure
 - Clearance
 - Conditional clearance
 - definition of ethics requirements
 - Ethics deliverables
 - Recommendation for ethics checks
- Ethics checks, review and audits

Common ethics issues – participation of humans in research, protection of personal data, participation of third countries, dual use

THANK YOU FOR YOUR ATTENTION



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Visit our website:

http://ec.europa.eu/research/transport/index_en.htm

<http://inea.ec.europa.eu/>

<http://ec.europa.eu/research/participants/portal>