



Europa Media Trainings

Kickstarting your Horizon Europe project

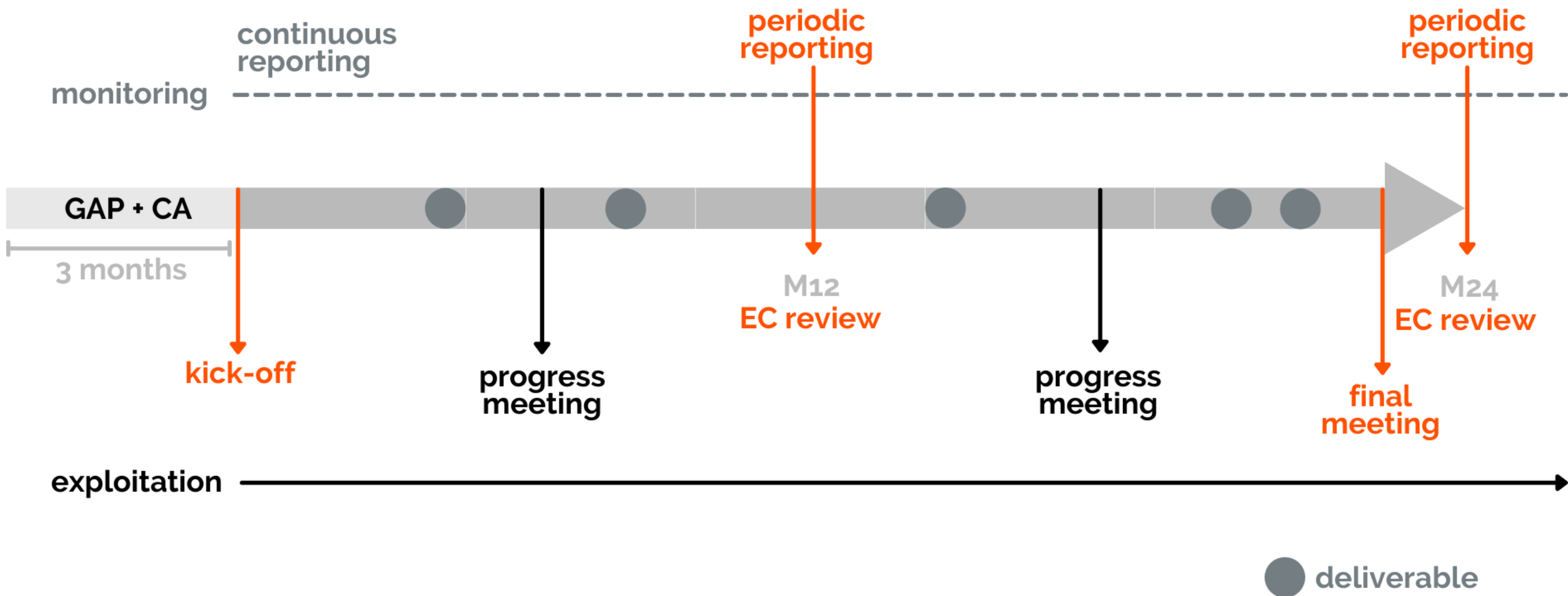
Iasmina Cioroianu

Project Manager, Europa Media Non-profit
EMG Group

Get it Right! From Grant Agreement to Continuous Reporting
3 November 2022

Project implementation overview

Where we at now?



Consortium Agreement



Consortium Agreement

What is a Consortium Agreement?

- = legal agreement between Coordinator and partners
- = your guide on rules of the game
- Signed before Grant Agreement signature – obligation from Grant Agreement
- Mandatory for every project in H2020/Horizon Europe (unless otherwise specified)
- Refers to the internal organization, rights & obligations of the Consortium members towards each other
- **NEW Horizon Europe DESCA model**
 - [DESCA with elucidations](#)
 - [DESCA without elucidations](#)



Consortium Agreement

What to include?

- **Definitions**
- **Provisions on the governance of the Consortium:** governing bodies, meeting procedures, voting rules
- **Technical provisions:** tasks of each party, project schedule
- **Managerial provisions:** coordination & management, decision-making structure and processes, quality assurance
- **Financial provisions:** distribution of financial contribution, financial plan, budget modifications
- **Provisions on IPR and related issues:** dissemination, use & accessibility of results, confidentiality provisions, arrangements on settlement of disputes, liability



DESCA

Model Consortium Agreement

- Most widespread model CA (now updated for Horizon Europe)
- The revised model for HE takes into account the new requirements and experiences from past projects
- DESCA is developed by ANRT, EARTO, KoWi, LERU, VTT, ZENIT, Fraunhofer, Helmholtz Association
- Simple and comprehensive structure, adapted to project management, with guidance notes and optional clauses for flexibility
- DESCA suits universities, research organizations, but can be used in business-oriented projects as well

💡 ~ 80% of organizations participating in H2020 have used DESCA.

The working group provides this model Consortium Agreement as draft without assuming any warranty or responsibility. The use of the text in total or in part takes place on the users own risk and does not release users from legal examination to cover their interests and protect their rights.



for
Horizon Europe

Version 1, December 2021

Short guide to DESCAs

What's new in the HE DESCAs?

- Section 1 Definitions
- Section 2 Purpose
- Section 3 Entry into force, duration and termination
- Section 4 Responsibilities of Parties
- Section 5 Liability towards each other
- Section 6 Governance structure
- Section 7 Financial provisions
- Section 8 Results
- Section 9 Access Rights
- Section 10 Non-disclosure of information
- Section 11 Miscellaneous
- Section 12 Signatures
- Attachment 1 Background included
- Attachment 2 Accession document
- Attachment 3 List of Third Parties for simplified transfer according to Section 8.3.2
- (Option) Attachment 4 Identified Affiliated Entities according to Section 9.5
- **(Option) Attachment 5 NDA for External Expert Advisory Board agreed under Section 6**
- Module GOV SP/LP
- Module IPR SC Specific Software provisions

Updated terminology in HE DESCAs

- Terminology aligned with new terminology of HE
- “Affiliated Entities” = the former “Linked Third Parties” (see MGA Article 2 Definitions)
- “Entities under the same control” defined in MGA Annex 5 (p. 101)
- “Participants” defined in MGA Article 2 Definitions
- “Other Participants” defined in MGA Article 9

Financial provisions

DESCA, Section 7

- **General principles:** distribution of financial contribution, justifying costs, funding principles, excess payments
- **Budgeting:** payments to parties, transfer of pre-financing and interim payments, payment schedule options

Example of payment schedule of the pre-financing:

After receiving the pre-financing from the Funding Authority, the Coordinator will transfer the Funding to the Parties in separate instalments as agreed below:

- 60% on receipt of the pre-financing
- 40% after the Coordinator received and assessed the technical and financial input for the first internal report from Parties



Results

DESCA, Section 8

- **Ownership of results**
- **Joint ownership:** agreements between joint owners, post-project exploitation
- **Transfer of results:** transfer of joint results, transfer to third parties
- **Dissemination of unpublished results:** how results will be identified, reported, protected, dissemination and exploited, publish vs confidential



Access Rights

DESCA, Section 9

- **Background:** Attachment 1
- **Access Rights for implementation:** access rights to project results and background needed for performance of own work
- **Access Rights for exploitation:** access rights to results, access rights to background for exploitation (after the end of the project)
- **Access Rights for Parties entering/leaving the consortium**



Access rights

Access to Background

To list:

- Background you bring into the project
- Owner(s) of the background
- Access rights for implementation
- Access rights for exploitation

💡 This list is always a **positive list**. Do not list background you will not give access to.

Background	Owner of the Background	Access Rights - Specific limitations and/or conditions for implementation (Article 25.2)	Access Rights - Specific limitations and/or conditions for exploitation (Article 25.3)
DE Patent No. 123456, title [...] filed on 7/1/2010	Beneficiary-1	Free of charge to all beneficiaries	
European Patent No. 123456, title [...] filed on 25/3/2012	Third party X, exclusive licensee: Beneficiary-2	Shall only be used by Beneficiary-2 as being the exclusive licensee. Shall not be used by other beneficiaries.	
Database [...]	Beneficiary-1	Shall only be used by Beneficiary-1. No access rights for other beneficiaries.	Shall be used by Beneficiary-2 only within Spain, by Beneficiary-3 only within France.
Clinical results for application of [...], licensed from Third party Y	Third party Y, licensee: Beneficiary-3	Disclosed under NDA ²⁴ , any disclosure or use needs confidentiality provisions approved by the Third party Y and Beneficiary-3	Excluded
Source code for [...]	Beneficiary-4	Excluded	Excluded

Getting your
project started



Before Kick-off

if you are a coordinator

- Get to know your **Project Officer (PO)**
 - Discuss expectations, potential issues
 - Invite them to the kick-off
- Inform your Consortium about the **date** ([Doodle](#))
- Follow up with a consortium **info pack** (agenda, templates, information on location, and social activities if planned...)



Before Kick-off

if you are a partner

- Internal workshop with all involved team members at beneficiary level (project managers, communication managers...)
- Topics
 - The bigger picture: scope of the project, own objectives and interest in project results
 - Key tasks and processes to implement and roles of teams
 - Digging into details: plan the work for the next 6-12 months, set timelines, responsibilities, anything you need to start implementation

💡 **Recommended for partners:** keep calm & do your homework (read proposal, GA, CA...).

💡 **Recommended for partners (2):** keep calm & do NOT be surprised if you are asked to already prepare content & contribute at the kick-off meeting.

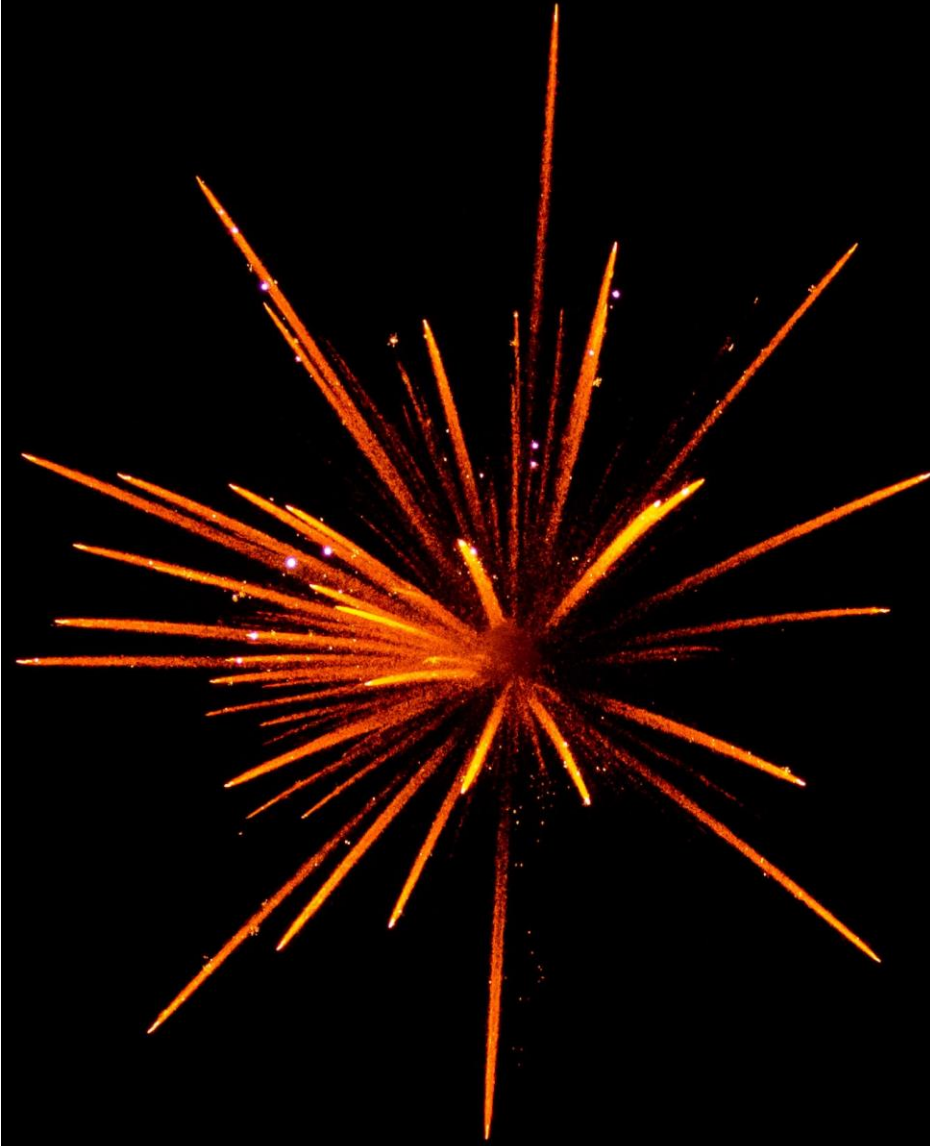


D-Day: let's kick it off!

Agenda

- Tour de table (intro of partner organizations)
- Project overview: overall objectives, foreseen activities & results, role of partners, expected outcomes...
- Activities per Work Package (WP) – by each WP leader
- Project Officer intervention
- Action plan for first 6 months (discussion & validation)
 - Activities per partner
 - Deadlines
 - Responsible partners
- Setting up the system
- Other: nominate and confirm governing bodies, e.g. the Steering Committee

💡 **Are your partners newcomers?** A short chat about basic rules on good implementation & financial management is recommended.



Setting up the system

Project management & coordination

- Introducing the system at the kick-off
- Internal communication
- Internal monitoring
- Tools & templates for effective management & communication
- Consortium Agreement already setting some guidelines on: internal reporting, governing bodies, decision making rules, ownership of results...

 **Semestrial Action Plan**

 **Meeting Minutes template**



Reporting procedures & monitoring

⚙ Internal technical report

Internal reporting

- Overview of the work done by all beneficiaries
- Usually done at half-period
 - E.g. if 18-month period => internal reporting at M9
- Highlights issues that may hinder the implementation of project activities
- Make distinction between types of reporting (internal, periodic, continuous)

💡 Internal reporting is **not mandatory by default**. You can **make it mandatory by including it in the CA**.



Reporting procedures & monitoring

⚙️ Internal financial report

- Well-planned budget = easy job during implementation 💡
- Internal financial reporting = underspending/overspending alert and finding solutions in time
- Each partner is individually responsible for their spending & reporting



Risk Management

Risk register

WHAT?

- Risk management = continuous process to identify, analyze, monitor and control risks
- Risk register = identify and handle causes of project deviations

WHY?

- Recommended to avoid “disaster” situations
- Included in your continuous reporting

B	C	D	E	F
Risk Description		Probability	Impact	Prevention and Mitigation
Technical Risks				
1	<i>Conceptual Design not well aligned with business requirements and domain knowledge</i>	15%	Moderate	<i>The work plan is structured in two iterative cycles with a synchronization every 6 months to ensure alignment with requirements;</i>
2				
3				
4				
5				
6				
Financial/Management Risks				
7	<i>Personnel leaves before project completion</i>	80%	Moderate	<i>Introduction of common responsibility and backup developers (at least two people are familiar</i>
8				
...				

IPR issues

⚙️ IPR Matrix

- **Background IP** – know-how/knowledge/data held by beneficiaries and brought to the project
 - ⇒ attached to generated project assets to help determine access rights, ownership issues and IPR
- **Foreground IP** – results/info generated under the project
 - ⇒ to create a concrete mapping of project results and enhance the IP portfolio
- **Exploitable result** – outcome of project that can be commercialized/exploited as a standalone result
 - ⇒ based on the FG, ID the exploitable assets + IPR management procedures (protection, access rights., exploitation plans...)

WHY?

- To help the coordinator to properly **report continuously** these elements



Your first deliverables

Plan for Exploitation and Dissemination of Results (PEDR)

PEDR = strategic document to establish the bases for IP strategy, dissemination and exploitation activities.

- follows the evolution of the project from the proposal until the submission of the final project report

Shades of PEDR:

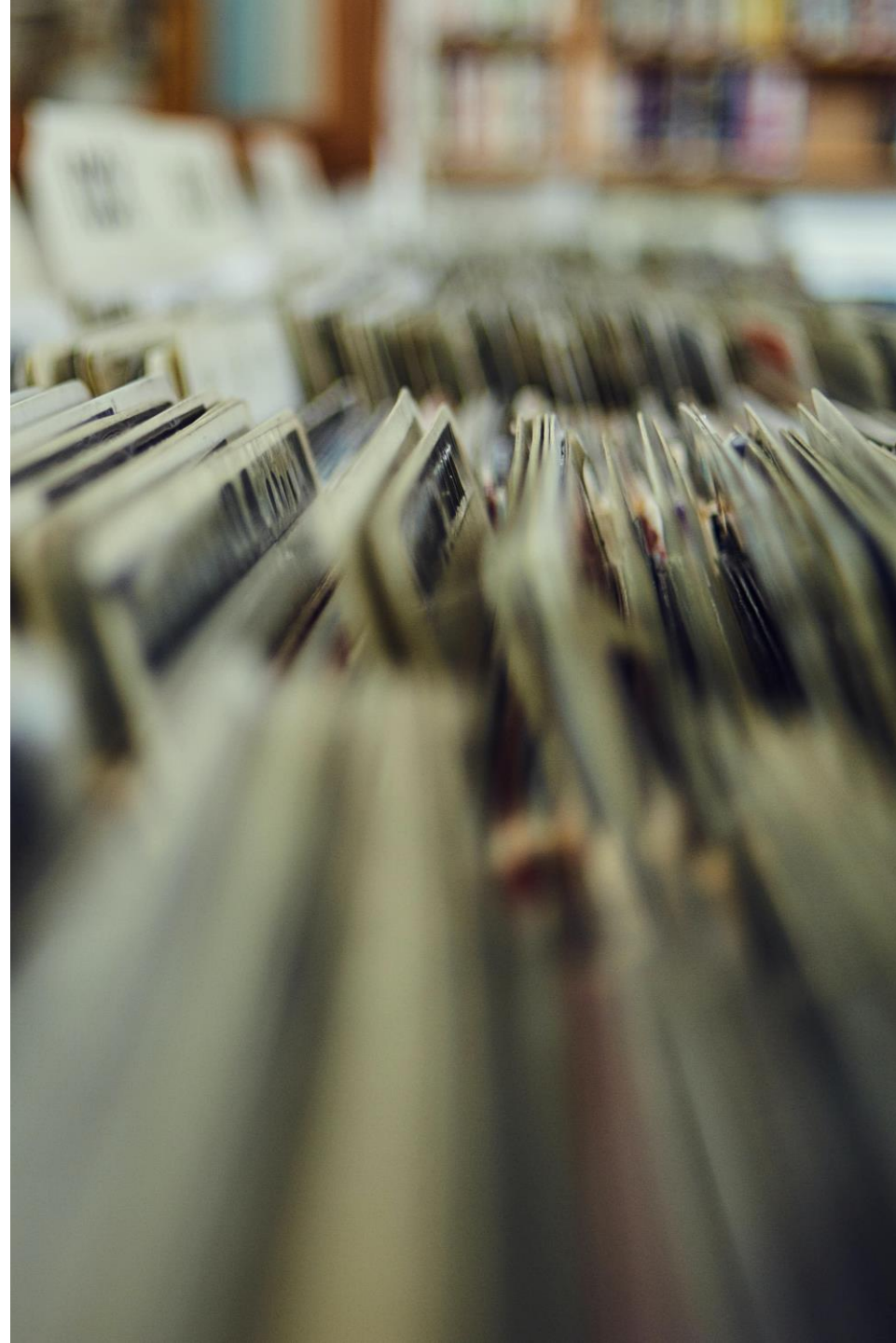
- Draft version in the proposal (Section 2.2)
- Full PEDR (deliverable at M6 of the project)
 - potential geographical coverage and economic size of the target markets
 - potential users, main competitors and competitive advantages
 - analyses on the state of the art
 - analyses on the IP that is needed and will be brought to the project
 - facts and figures on the planned exploitable results and their areas of application and IP protection
 - description of the exploitation roadmap and business model
 - description and timeline of the planned dissemination activities
 - management of research data generated and/or collected during the project
- Living document – updated throughout the course of the project

Your first deliverables

Data Management Plan (DMP)

What is a Data Management Plan?

- = your key to good data management
- Describes the data management life cycle
- The template = set of questions
- Living document (!)
- Deliverable – 1st version by M6
- Useful resources:
 - Research data management (RDM) open training materials (Zenodo)
 - FOSTER Open Science e-learning
 - Data Management Plans
 - DMPonline
 - OneHealth EJP DMP Guide
 - Webinar (video: DOI: [10.5281/zenodo.2564974](https://doi.org/10.5281/zenodo.2564974); slides: DOI: [10.5281/zenodo.2565750](https://doi.org/10.5281/zenodo.2565750))
 - EC Guide for FAIR data management in H2020



Continuous reporting

Results table

Grant Management

Project Continuous Report

Project Summary	Researchers involved in the project	Deliverables	Milestones	Critical Risks	Publications	Disseminat... activities	Standards	Patents (IPR)	Communic... Activities	Datasets	Financial support to 3rd parties	Beneficiari... Feedback...	Impact	Results
✗	✗	i	i	✓	i	✓	✓	✓	✓	✓	✓	✓	✓	✓

Results

There is no result for this project yet

Please provide details about project results. Please focus on the content of the results, for example discoveries and theories, products, services, methods etc. Publications, intellectual property rights, datasets, software, algorithms, protocols etc. will be linked to these results later in dedicated sections. It will also be possible to add these to the project as a whole.

Examples:

- Example: The project developed a new medical device, which is described in two publications and later patented. Instructions: List the medical device here (as 'PROD: Product') and link publications to this product in dedicated sections. When you have information about the patent application, link it in a dedicated section.
- Example: The project developed a new scientific theory which is described in several publications. Instructions: List the name and potential of the theory here (as 'SCI: Scientific discovery, model, theory') and link publications to this model later in dedicated sections.
- Example: The project develops a high potential industrial process and is currently at the stage of prototyping. Instructions: List the industrial process here (as 'PROC: Industrial process') and indicate the prototyping stage under 'Steps undertaken towards exploitation'. If there is a registered prototype, link the registered prototype in a dedicated section.
- Example: The project mainly focused on activities such as conferences, staff exchanges, or on investments in infrastructures. Instructions: List these as results and their potential here.

Results

No results yet [Add Result](#)

Remarks

Dissemination and exploitation effort shall be continued up to 4 years after the end of the project. If despite a beneficiary's best efforts to exploit its results directly or indirectly no exploitation takes place within a given period as identified in the grant agreement, the beneficiary shall use the Horizon Results Platform to find interested parties to exploit those results. If the beneficiary decides not to use the Horizon Results Platform within 1 year from the end of the project, then an updated dissemination and exploitation plan shall be submitted describing the activities that the beneficiary will undertake towards exploitation up to 4 years after the end of the project. If justified on the basis of a request of the beneficiary, this obligation may be waived.

Validate

Continuous reporting

Results table

The screenshot displays the 'Grant Management' interface. A modal window titled 'Add Result' is open, allowing the user to input details for a new result. The background shows a 'Results' table with a 'No results yet' message and an 'Add Result' button.

Grant Management

Project Summary

Add Result

Name:

Result type:

Key results (KER) (does result have a high potential?)

- High scientific potential
- High societal potential (other than climate or environmental)
- High societal potential
- High technologic, business or economic potential
- High policy or regulatory potential
- N/A

Save Cancel

Results

There is no result for this project yet

Please provide details about project results. Please focus on the most important results. It will also be possible to add these to the project website.

Examples:

- Example: The project developed a new medical device, which is described in two publications and later patented. Instructions: List the medical device here (as 'PROD: Product') and link publications to this product in dedicated sections. When you have information about the patent application, link it in a dedicated section.
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Results

No results yet

[Add Result](#)

Remarks

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Validate

Results Ownership List

Table 3.2 Results ownership List						
Single or Joint ownership of result Indicate the number of owners	Result owner(s)	Owner country of establishment	Will the owner(s) exploit the result?	If relevant, in which form will the result be made available to other consortium member(s) and/or third party(ies)	Does the exploitation of the results require access to background of one or several consortium members? (*) If yes a compulsory question opens below	Does the exploitation of the results require access to third party IPR? ** If yes a compulsory question opens below
[1,2,....]	<p><i>[Entity or Individual]</i></p> <p><i>Entity: Drop down option with project partners + 'Other'. 'Other' opens a field asking for name, address, country, and an identifier such as VAT number.</i></p> <p><i>Individual: Drop down option with 'researchers in project (pre-filled)' + 'Other'. 'Other' opens a field asking for name, address, country, and an identifier like ORCID, Researcher Id.</i></p>	<i>Pre-field for project partners</i>	Yes/No	Choose an item.	Yes/No	Yes/no/not known

New obligation under HE, it was identified as being an obstacle for the uptake of research results

Continuous reporting

Dissemination activities

The screenshot displays the 'Project Continuous Report' interface for 'Grant Management'. The top navigation bar includes 'Grant Management' and 'Project Continuous Report'. Below this is a progress bar with 15 categories: Project Summary (red X), Researchers involved in the project (red X), Deliverables (blue i), Milestones (blue i), Critical Risks (green check), Publications (blue i), Dissemination activities (green check), Standards (green check), Patents (PR) (red X), Communic... Activities (green check), Datasets (green check), Financial support to 3rd parties (green check), Beneficiari... Feedback (green check), Impact (green check), and Results (green check). The 'Dissemination Activities' section is active, showing a 'SAVE' button and a checkbox for 'There is no dissemination activity for this project yet'. Below this is a dropdown menu with the text: 'The public disclosure of the results by any appropriate means (other than resulting from protecting or exploiting the results), including by scientific publications in any medium.' A '+ Add dissemination activity' button is visible. The main area contains a table with the following columns: 'Dissemination activity name', 'What? Type of dissemination activity', 'Who? Target audience (Choose one or more items)', 'Why? (Max 200 characters)', 'Status', and 'Actions'. The table is currently empty. At the bottom left, there is a gear icon and the text 'Dissemination report table HE'. At the bottom right, there is a 'Validate' button.

Grant Management Project Continuous Report

ncey/aos (EXTERNAL) ?

Project Summary Researchers involved in the project Deliverables Milestones Critical Risks Publications Dissemination activities Standards Patents (PR) Communic... Activities Datasets Financial support to 3rd parties Beneficiari... Feedback Impact Results

Dissemination Activities

There is no dissemination activity for this project yet

The public disclosure of the results by any appropriate means (other than resulting from protecting or exploiting the results), including by scientific publications in any medium.

+ Add dissemination activity

Dissemination activity name	What? Type of dissemination activity	Who? Target audience (Choose one or more items)	Why? (Max 200 characters)	Status	Actions
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Dissemination report table HE

Validate

Continuous reporting

Communication activities

Grant Management

Project Continuous Report

Project Summary	Researchers involved in the project	Deliverables	Milestones	Critical Risks	Publications	Dissemination activities	Standards	Patents (IPR)	Communication Activities	Datasets	Financial support to 3rd parties	Beneficiary Feedback	Impact	Results
✗	✗	i	i	✓	i	✓	✓	✗	✓	✓	✓	✓	✓	✓

Communications Activities

There are no communication activities for this project yet

Communication on projects is a strategically planned process that starts at the outset of the action and continues throughout its entire lifetime, aimed at promoting the action and its results. It requires strategic and targeted measures for communicating about (i) the action and (ii) its results to a multitude of audiences, including the media and the public and possibly engaging in a two-way exchange.

[Add Communication Activities](#)

No communication activities added

Validate

Dissemination report table HE

Continuous reporting

Impact - Exploitation

Grant Management Project Continuous Report

Project Summary	Researchers involved in the project	Deliverables	Milestones	Critical Risks	Publications	Disseminat... activities	Standards	Patents (IPR)	Communic... Activities	Datasets	Financial support to 3rd parties	Beneficiari... Feedback	Impact	Results	

Impact SAV

Impact Indicators | Citizen Engagement | **Exploitation** | Identified Bottleneck

V. Further employment to exploit or scale-up project results *

a) Full-time equivalents expected to remain or be newly employed based on projects results and their dissemination/exploitation

New/Existing contracts: Involve existing team/people hire new team/people Not sure yet No

Short term contracts (incl. PHD): technicians: researchers: administrative support & project management: other:

Long term contracts: technicians: researchers: administrative support & project management: other:

Please Explain

VI. Further investment mobilized to exploit or scale-up project results *

No
 Yes:

Private/capital investment Public investment Own funds (may be more than one)

Val date

Continuous reporting

Impact - Exploitation

Impact SAVE

VI. Further investment mobilized to exploit or scale-up project results *

No
 Yes:

Private/capital investment
 Public investment
 Own funds
 (may be more than one)

(If there is investment)

Geography:
 Local
 Regional
 National
 EU
 Non-EU

State:
 Planned
 In Process
 Obtained

Amount:
 EUR(thousands)

Please Explain

Please give URL link(s) to announcement(s) about the planned/obtained investment:

Validate

VII. Launch of a dedicated company to exploit the results *

Company:
 Spin-off
 Spin-out
 Joint venture
 Not sure yet
 No
 (May be more than one company)

*Asked only for final reporting

Validate

A white rectangular card is suspended from a thin, black and white braided string by a black clothespin. The card is centered horizontally and has the word "QUESTIONS?" printed in a bold, orange, sans-serif font. The background is a plain, light gray wall.

QUESTIONS?

Thank
you

for your attention

Iasmina Cioroianu
iasmina.cioroianu@europamedia.org

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