



European
Commission

EASME

Executive Agency for Small and Medium-sized Enterprises

MICA

Mineral Intelligence Capacity Analysis

Kick-off meeting

03/02/2016

Copenhagen

Executive
Agency
for SMEs

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Content



1. *EASME – Who we are?*
2. *Reporting and Reviews*
3. *Financial issues and Payments*
4. *Regular Financial Errors*
5. *Amendments*
6. *Ethics Requirements*
7. *Communication*



EASME History



- One of the 6 Executive Agencies of the EU
- Established in December 2003 as the Intelligent Energy Executive Agency (IEEA)
- 2007-2013: Executive Agency for Competitiveness and Innovation (EACI)
 - Remit extended to the Competitiveness and Innovation Framework Programme (CIP) and Marco Polo
- Since 1st of January 2014: EACI became EASME
COSME, part of Horizon 2020, EMFF and LIFE added to the programme portfolio.



The Actors



Directorates
General of
the European
Commission

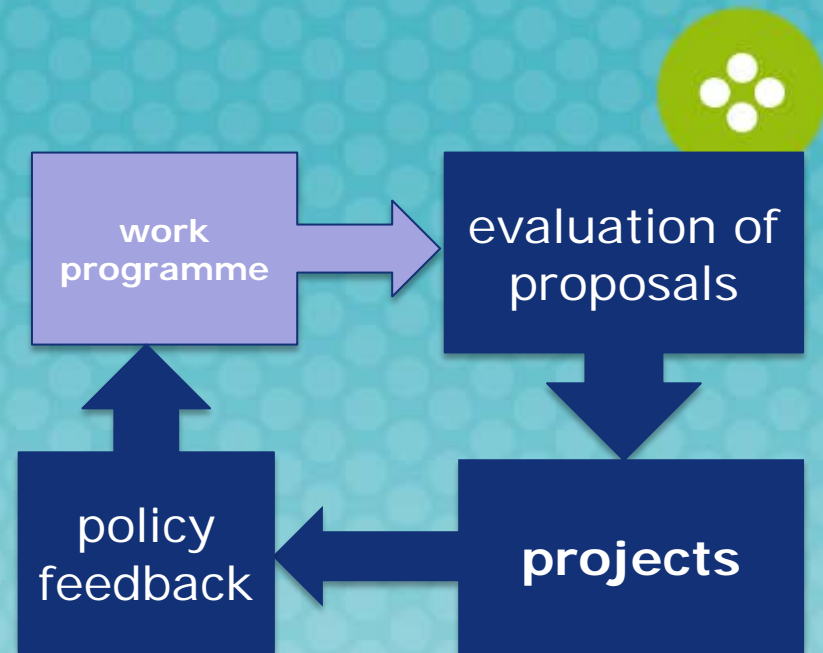
policy

Executive
Agencies of
the European
Commission

implementation

Working together

- Agency focuses on project management
- Allows DGs to concentrate on policy
- Regular exchange
 - Parent DGs define policy objectives in designing the programmes
 - Executive Agencies feed into the policy making process with project stories and results



EASME 2014-2020 Programmes



- *Part of Horizon 2020*
- *COSME*
- *LIFE*
- *European Maritime and Fisheries Fund (EMFF)*
- *Legacy of IEE*
- *Legacy of Eco-innovation*





Horizon 2020 @ EASME



- *Part of 'Secure, clean and efficient energy' challenge: Energy efficiency call*
- *Part of 'Climate action, environment, resource efficiency and raw materials' challenge:*
 - Eco-innovation
 - **Raw materials**
 - Research projects
- *Industrial leadership:*
 - **Sustainable Industry Low Carbon Scheme (SILC II)**
 - Innovation in SMEs
 - Leadership in enabling and industrial technologies (LEIT)
- ***The SME instrument***



EASME roles in Raw Materials projects



- The EASME is in charge of programme implementation:
 - Evaluation of proposals
 - Grant Agreement Preparation
 - Technical and financial management/monitoring/approval of projects
 - Follow-up audits

Reporting and Reviews



Deliverables

- To be submitted at the date scheduled in the work plan
- Via the H2020 IT Tools
- If a deliverable is late, explain the reason, the corrective action undertaken, the estimated date of delivery

Reporting and Reviews



Periodic Reports

- Months 14 & 26

Technical reviews

- @ Months 14 & 26
- Present the work carried out, the main achievements and the use of the resources
- EASME may be assisted by external reviewers

Periodic Reports



- Give a clear account of the project activities during the reporting period (against the baseline of GA)
 - What did you do?
 - What did you achieve?
 - Which problems did you encounter?
 - How did you spend your budget? Any deviations?
- Clear, informative, straight to the point, concise
- Transparent communication
- On time



Communication with EASME project officer



Good practice:

Every three months a short email with current snapshot of the project (activities in progress, planning, deviations ...)

Immediately if any issue arises

Financial Issues



Forms of cost



Actual costs

- Costs actually incurred, identifiable and verifiable, recorded in the accounts, etc.
 - **non-deductible VAT paid is also eligible**

Unit costs

- A fixed amount per unit determined by the Commission. **Example: SME owners' unit cost**
- For average personnel cost (based on the usual accounting practices)

Lump sum

- A global amount to cover one or several cost categories

Flat rate

- A percentage to be calculated on the eligible costs



PERSONNEL COSTS: overview

HOW TO CALCULATE PERSONNEL COSTS

UNIT COSTS

ACTUAL PERSONNEL COSTS

Calculation
method
defined in the
model GA

Calculated by the
beneficiary in
accordance to its
usual accounting
practices

*(Average personnel
costs)*

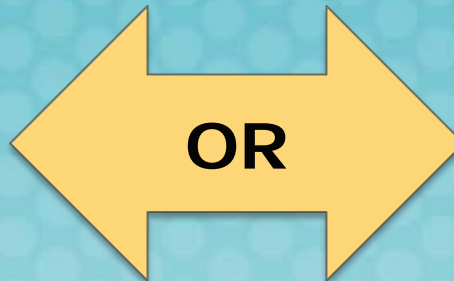
Fixed by the
Commission

for the owners of
SME beneficiaries
without a salary
and natural persons
without a salary



Time recording

Time sheets



**Declaration
on exclusive
work for the
action**

In most cases you will need to record hours spent on the project. Please do it regularly, and have your timesheets countersigned by supervisor!



Payments

- Linked to submission of
 - complete and correct reports (technical + financial);
 - signed form C's and;
 - deliverables.
- EASME shall evaluate and approve project reports and deliverables and disburse the corresponding payments within 90 days of their receipt.

Payments	Time-to-Pay	From
One Pre-financing	30 days	From: entry into force or 10 days before the starting date (whichever is the latest)
→ Retention 5 % of maximum grant for the Guarantee Fund		
Interim Payments	90 days	From reception of periodic report
<p>→ Based on financial statements (EU contribution= eligible costs approved * reimbursement rate)</p> <p>→ Limit = 90 % of the maximum grant (Retention 10%)</p>		
Payment of the Balance	90 days	From reception of final reports



Regular financial errors

You must declare costs based on the actual amounts!

- Declaration of the agreed budget for the project – the budget is a maximum amount, not THE amount or the price!
- Staff working on the project and sick or on holiday at the same time
- Hours claimed cannot be supported
- Impossible number of hours claimed
- No demonstrated link of consumables to the project
- "best value" not demonstrated

Amendments



Amendments may not result in changes that — if known before awarding the grant — would have had an impact on the decision to award it. Such as:

- ✓ *may have had an impact on the **assessment of the applicant** with regard to the **eligibility and selection criteria***
- ✓ *breach the principle of **equal treatment** of applicants*
- ✓ *involve modifications in the action and/or budget which may have affected the assessment with regard to the **award criteria** established in the call*
- ✓ *do not comply with the provisions of **the GA itself***

Amendments



Amendment is necessary when:

1. Adding a new beneficiary
2. Terminating a beneficiary
3. Change of beneficiary due to "partial takeover"
4. Removal or addition of linked third party (Article 14)
5. Change of coordinator or his bank account
6. Change of Annex 1 (description of the action)
7. Change of Annex 2 (financial aspects)

Change of Annex 1



- 1. Significant change of the action tasks** (e.g. if tasks are added/removed) or their **division** among the beneficiaries
 - ✓ Changes concerning tasks to be carried out by linked third parties and related costs
 - ✓ Changes concerning in-kind contributions provided by third parties or subcontracts (could also be approved with the reports – "approval without formal amendment")
 - ✓ Changes to the options in the GA (e.g. options are removed or added or modified)
- 2. Change of action's title, acronym, starting date, duration of the action, reporting periods**

Change of Annex 2



- *Change of reimbursement rate(s), action's estimated eligible costs;*
- *Budget transfer of amounts between beneficiaries or budget categories (or both) due to a significant change of Annex 1*
- *Budget transfer to a form of costs that is not provided for in Annex 2*
 - **Example:** from actual costs to unit costs for SMEs owners
- *Change of Annex 2a 'Additional information on the estimated budget'*

Budget re-allocation or Amendment



Budget transfers and re-allocation

Amendment needed?

From one beneficiary to another

NO

From one budget category to another

NO

Re-allocation of Annex 1 tasks

YES

Transfers between forms of costs (actual costs, unit costs, etc.)

YES if no budget was foreseen for the "form" receiving the transfer

New subcontracts

YES (strongly advised)

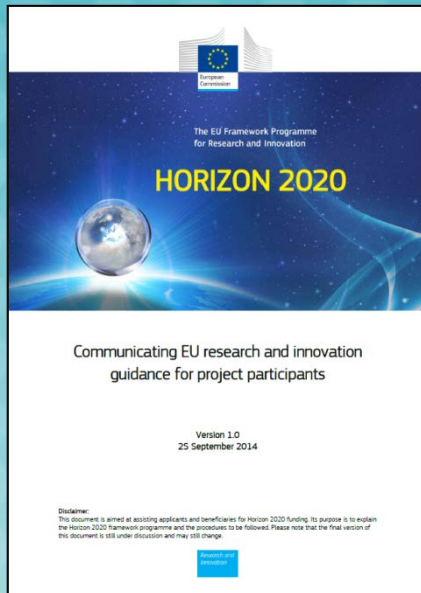
Ethics Requirements



- **1.4 of Annex I (Part A) – Ethics Requirements**
 - Protection of Personal Data
 - Humans: involvement of human participants and volunteers for social science research
- Ethics Guideline:
 - http://ec.europa.eu/research/participants/portal/doc/call/h2020/h2020-msca-itn-2015/1620147-h2020_-_guidance_ethics_self_assess_en.pdf

NEW: Ethics as Deliverables

Communication



*Art. 38 of the Grant Agreement
[...]*

*Before engaging in a **communication activity expected to have a major media impact**, the beneficiaries must inform the Agency*

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

Communication



38.1.2 Information on EU funding - use of EU emblem

a)



EU emblem

High-resolution emblems can be found here

<http://europa.eu/about-eu/basic-information/symbols/flag/>

b) **The following text:**

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].



***Thank you
for your attention!***

- ***Find out more:***
- *www.ec.europa/research/horizon2020*