FAQs EU HORIZON 2020 projects at the University of Vienna

1.) At Application Stage

Q. What is HORIZON 2020?
   A. Horizon 2020 (H2020) is the EU Research & Innovation programme with nearly €80 billion of funding available over 7 years (2014 to 2020; see at Research & Innovation webpage of the European Commission and at the FFG, which hosts the Austrian NCP for H2020 Programme).

Q. How do I find a Call?
   A. Please check the EU Research Participant Portal (Funding & tender opportunities) webpage; search for calls, find proposal templates, information & documentations, and submit your proposal.

Q. How do I register and then log into the Participant Portal (PP)?
   A. Access to the EU Participant Portal is based on an individual ECAS account.

Q. How do I register for the EC application system?
   A. For each call under H2020, an Electronic Submission Service for the specific call is made available only for the short period between the opening and the deadline of the particular calls.

Q. What is the PIC (Participation Identification Code) of the University of Vienna?
   A. 999866883. The University is already registered with that PIC: basic data of the University are already in the EU Participant Portal system when using the PIC (such as the legal form, non-profit organisation, public body, research organisation, higher or secondary education establishment, status of the organisation, Legal Entity Appointed Representative (LEAR) etc.).

Q. What is the University's VAT no?
   A. ATU37586901.

Q. What is the legal name and address of the University?
   A. Universität Wien, Universitätsring 1, 1010 Vienna, Austria.

Q. What is the short name?
   A. UNIVIE.

Q. What is the legal form of the University?
   A. legal entity under public law.

Q. What is the internal authorisation process for EU project applications at the University?
   A. For a project with a **funding volume ≥ 100.000 Euro** (the University's share), you will need the authorisation from the Rectorate (currently by **Vice-Rector Jean-Robert Tyran**) via the Office for Research Services & Career Development. (Please note that due to internal regulations, a project with a funding volume ≥ 400.000 Euro will need to be authorised and signed by two members of the Rectorate). Please submit (electronically) your proposal (plus budget) **2 weeks prior deadline** to the Office for Research Services & Career Development. Please inform your Faculty/Dean in due time about the proposal submission. If the funding **volume < 100.000 Euro**

(the University's share) then the Dean (or Vice-Dean) of your Faculty authorise your project application.

Q. Who is the Contact Person?

   A. In the administrative forms, the 'Person in Charge of the Proposal' is usually the Principal Investigator (PI) (or the Project Manager/Coordinator). Please note, for all ERC applications, a contact person at the Host Institution is also required. Here please name (as research coordinator) Amy Radlberger with the email address eu.fsib@univie.ac.at and phone number +43-1-427718228.

Q. Do I need to sign a confidentiality agreement during proposal preparation?

   A. Particularly with collaborative projects, future participants may wish to exchange information about their respective methods of work, scientific achievements etc. Some of this information may be confidential and should be protected. Therefore, it may be necessary or advisable to sign a confidentiality agreement before initiating substantial negotiations regarding the proposal preparation and the future work. The Legal Advisors at the University Office for Research Services & Career Development will assist you with this. Please contact contracts@univie.ac.at if you have any questions.

Q. What are the Ethics Appraisal Procedure under H2020?

   A. The Ethics Appraisal Procedure concerns all activities funded in H2020 and includes the Ethics Review Procedure, conducted before the start of the project, as well as the Ethics Checks and Audits. Guidance of how to complete your ethics self-assessment can be found here.

Q. Which costs do I need to include in my proposal?

   A. You can include all the standard direct costs that apply to any research grant: staff costs (in accordance to the Collective Bargaining Agreement for University Staff (Kollektivvertrag) as gross-gross salaries (i.e., including the employer's contribution), consumables, equipment, travel, costs for open access, subcontracting and audit. Staff costs need to be valorised with 2-3% over the project lifetime. An external audit, i.e., a Certificate on the Financial Statement (CFS), is obligatory at the end of the project if the funding of the total direct costs is > 325.000 EUR: please calculate approx. 0.55% of the direct costs under 'other direct costs/goods and services costs' for an audit. Under H2020, you can also include the costs of permanent academic staff, but you should be aware that these costs will only be paid on the basis of an appropriately completed timesheet. You also need to include indirect costs (overheads) which is a flat rate of 25% of the direct costs (excluding subcontracting costs). If you apply, or have successfully applied for equipment, keep in mind that only depreciation costs will be reimbursed by the EU (depreciation rates apply for equipment that cost $\geq$ €1.5k; equipment that cost below €1.5k are calculated as consumables; details on depreciation rates used at the University can be provided by the University Office for Accounting and Finance). Full financing must be assured and planned in advance. Please note: in the MSCA programmes flat rate costs categories are used (and may lead to a funding gap); therefore please contact the Office for Research Services & Career Development in due time. Please contact this Office also for advise on EU budgeting and for Excel tools to support you in planning and budgeting your EU project.

Q. If my project is successful, what will I actually receive?

   A. The EC will reimburse projects at 100% of all costs; i.e. the total of direct costs (100%

funding rate) plus indirect costs (25% funding rate). Please note, under the MSCA funding scheme flat rates apply.

2.) At Contract Preparation & Grant Signature Stage

Q. What is the Identity and Access Management (IAM) or role management in the Participant Portal (PP)

A. Each person has to register for an ECAS account. The unique identifier for a physical person is the (University) e-mail address used for the creation of the PP (ECAS) account. Depending on their role in a project, users can have access to grant preparation, see Role management changes in brief at this link.

Q. What Roles need to be added to EU Participant Portal (grant management)?

A. The EC only approves/modifies the 'top' role in the project consortium, i.e., the **Primary Coordinator Contact** who will then grant access rights to the project to the contact persons of other beneficiary organisations (**Participant Contact**). The **Participant Contact** can appoint further roles to the EU project **within their own organisation**. To do that go to the *My Projects* page and select *Actions;* then select *Manage Consortium* and *Edit Roles*. Each beneficiary needs to select **Project Legal Signatory (PLSIGN)** and **Project Financial Statement Signatory (PFSIGN);** these roles for the University of Vienna are already in the EU Participant Portal specified by the Legal Entity Appointed Representative (LEAR) of the University of Vienna; if not, then please contact the LEAR.

Q. Who is the Legal Representative and Project Legal Signatory (PLSIGN) and is authorised to sign Grant and Consortium Agreement?

A. Currently, **Vice-Rector Jean-Robert Tyran** (or the Dean of your Faculty if the funding volume is < 100.000 Euro; if the Dean is not yet in the system please contact the LEAR – see FAQ above). In the EU Participants Portal you need to be linked, by the Coordinator, to your specific H2020 project, then you can choose/tick the **PLSIGN**; the given email of the PLSIGN (**Vice-Rector Jean-Robert Tyran**) is **eucontract@univie.ac.at**).

Q. Who has the role of Financial Statement Authorised Signatory (FSIGN) and the role of Project Financial Statement Signatory (PFSIGN)?

A. The role of FSIGN and PFSIGN is currently held by Bettina Filz, Angelika Puchberger, Anna Rennhofer, and Dragana Markovic from the University Office for Accounting and Finance. FSIGNs are persons authorised to sign financial statements in EU grants on behalf of their organisation. In the EU Participants Portal, you need to be linked to the EU project then you can choose/tick the PFSIGNs (see above).

Q. What are the bank details of the University of Vienna for EU projects?

A. Account number: 00000 675 447, Bank sorting code (BLZ): 32000
BIC: RLNWATWW, IBAN (Currency: EURO): AT08 3200 0000 0067 5447
Bank: Raiffeisenlandesbank NÖ-Wien AG, Friedrich-W.-Raiffeisen-Platz 1, A-1020 Vienna, Austria.

Q. What is the purpose of EU Grant Agreement Preparation?

A. The purpose of this phase is to finalise the details of the work (i.e., Description of Action (DoA) to be carried out under the Grant Agreement (GA) within the associated project budget, as well as to establish the legal and financial information needed to finalise the GA. The Office for Research Services & Career Development, if required, will support and advise you in legal and financial matters of your H2020 project.

Q. Can I sign the Grant Agreement myself?
A. No, it will be signed by the legal representative(s) of the University, currently by the Vice-Rector, Jean-Robert Tyran (or if the funding is < 100.000 Euro by the Dean/Vice-Dean). Please send all documents in due time to the Office for Research Services & Career Development.

Q. What is the difference between the Grant Agreement and the Consortium Agreement?
A. The Grant Agreement is the principal agreement between the EC and the grant holder. For multi-partner projects (i.e., collaborative projects), the grant holder is always the Coordinator and the consortium partners bind themselves to the terms of the Grant Agreement by signing the Accession Form. Linked third parties do not sign either the agreement or an accession form. In collaborative projects, the consortium usually establish a Consortium Agreement (CA). The CA however is signed solely between the consortium partners and addresses the issues not covered in the Grant Agreement. In case of conflicting terms, the Grant Agreement shall always overrule the CA.

Q. Why do we need a Consortium Agreement (CA)?
A. An effectively drafted CA can, and should, fulfill multiple purposes within a project that will help to ensure that the process of producing project deliverables and the achievement of project outcomes are made as efficient as possible. It should not be viewed as simply a piece of administrative paperwork to be completed as an afterthought to the main work of the project – it should be completed in advance of that work and serve to underpin the process. In particular, the CA is meant to cover such issues between the consortium partners as the management structure, liabilities, reporting, budget, workplans, publication regulations, intellectual property (IP) ownership, access rights, dispute resolution and commercialisation regulations. The EC requires concluding a CA in most cases to avoid time-consuming disputes during or after the project.

Q. For an EU project, when should we draw up and sign our Consortium Agreement?
A. The CA is deemed to have been concluded before the signature of the Grant Agreement between the Commission and the project coordinator. Therefore, the CA should be drafted as early as possible in the project development process. As already noted, a well drafted CA can play a key role in the project process by providing a coherent framework for operational development by the project team. It also requires the project partners to think carefully, at an early stage, about what they see their role within the project as being, and, if appropriate, where they would like it to go in the future. If the creation of a CA is left until later in the project process, it may become increasingly difficult to obtain agreement from project partners as to their respective responsibilities and future ambitions for project outcomes and deliverables.

Q. Is there an official model Consortium Agreement provided by the EC?
A. The University Office for Research Services & Career Development generally recommends the DESCA model. However, the precise content of a CA will vary according to the nature and scope of the project at issue. Therefore, project partners should, wherever possible, avoid the approach of simply adopting a basic template and 'filling in the blanks', as this approach may

well fail to address important issues specific to that individual project, or type of project. It is essential that each of the project partners spend adequate time assessing the construction of the CA in order to work through and understand the implications of the terms chosen, as regards their particular participation in the project. Please contact the [Legal Advisors at the University Office for Research Services & Career Development: contracts@univie.ac.at](mailto:contracts@univie.ac.at)) at an early stage for custom-made consortium agreements or adaption of the DESCA-contract model to the respective project.

Q. Can I sign the Consortium Agreement myself?
 A. No, it will be signed by the legal representative(s) of the University (see FAQs above). The Departments, Institutes or Principal Investigators (PIs) cannot legally bind the University, and all contracts should state the University as the contracting party, not the Department/Institutes or the PI. A signature from anyone other than authorised representative(s) of the University may make a contract invalid. All contractual paperwork should be sent therefore to the Legal Advisors (see email contact details above).

Q. What are the key issues for the University of Vienna in a Consortium Agreement?
 A. Your Legal Advisor will endeavour to get the best possible terms to ensure fair voting rules on consortium matters; fair sharing of revenue between joint creators of intellectual property; minimal delays to publication of results and appropriate protection of background intellectual property that you bring to the project.

Q. I would like to withdraw from my EU project, how do I do that?
 A. Almost all Consortium Agreements will have a section dedicated to withdrawal procedures. In case the Consortium Agreement does not provide these guidelines, the EC Contract terms can be followed. As a general rule, the other Consortium partners would need to give their (unanimous) approval for your withdrawal, which shall not be unreasonably withheld.

Q. Where can I get information on Ethics and Data Protection for EU projects?
 A. EC published a guideline on ethics and data protection and can be found via this link: http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-data-protection_en.pdf. Information to the Ethics Committee of the University of Vienna can be found via this link: https://www.qs.univie.ac.at/en/services/ethics-committee/. The data protection office of the University of Vienna can be contact via this link https://dsba.univie.ac.at/.

3.) At Post Award Stage

Q. Where can I find guidance for implementing and managing an EU research grant?
 A. Please find detailed information for project management at the University at the internal website "**Services for External Funding**" (intranet - you need to log-in with your email address and password). The University Office for Accounting and Finance assists you in implementing a project (e.g. to get the internal order number), in financial reporting and/or in accounting. The financial statements (Forms C) will have to be signed electronically and transmitted exclusively via the Participant Portal. The roles of **FSIGN & PFSIGN of the University of Vienna** are held currently by Bettina Filz, Angelika Puchberger, Anna Rennhofer, and Dragana Markovic from the University Office for Accounting and Finance.

Q. Where can I get Project Management Services?

    A. The Research Services offers different levels of project management services for third-party funded projects: https://forschung.univie.ac.at/en/services/project-management/; contact Michael Wimmer (m.wimmer@univie.ac.at) or Stephanie Fogel (Stephanie.fogel@univie.ac.at) for more information.

Q. How to employ personnel?

    A. For employment related issues you may contact the Human Resources Department. We advise you to get in contact with the Human Resources Department as soon as possible in order to initiate the employment contract. Please contact them and/or check their website (or the intranet 'Drittmittelservices') to request necessary forms for the employment contract and information about the Kollektivvertrag (salary scales)/ taxes/ health insurance/ visas etc. Please note that personnel who are not employed full-time on an EU grant need to have time sheets in order to claim their costs.

Q. What are the rules regarding audit?

    A. The audit certificate is called a Certificate of Financial Statement (CFS) and is only required at the end of the project, if cumulative expenditure of the direct costs exceeds €325.000. For audits please contact in due time the University Office for Accounting and Finance; this department can provide you also with a list of external auditors for EU projects.

Q. What is the method of funding and how does this affect my budget?

    A. Your EC budget is a total that cannot be exceeded. The EC contribution consists of one single pre-financing payment at the start of each project followed by interim payments and a final payment.

Q. What are the VAT rules of H2020 grants?

    A. Non-recoverable VAT (Mehrwertsteuer, MWST) is an eligible cost under H2020.

Q. What are eligible and non-eligible costs within H2020 projects?

    A. To be eligible for refund costs must be: actual ("real, not estimated"), economic (best value for money) and necessary for the project, incurred during the duration of the project, recorded in the accounts (or third parties), excluding non-eligible costs, not give rise to profit. **Non eligible costs are:** interests owed, exchange losses, debt and debt service charges, excessive or reckless expenditure, any costs which do not meet the conditions to be eligible costs.

Q. What are the Open Access and Data Management requirements under Horizon 2020?

    A. All projects which are funded or cofunded by Horizon 2020 are required to ensure free of charge online access for any user to scientific publications relating to its results. Guidelines for Open Access under H2020 can be found here. In addition, under Horizon 2020, in some areas (e.g., FET, ERC, MSCA some Societal Challenges) beneficiaries will be required to deposit the research data generated by the project in a research data repository and enable third parties to access this data free of charge. If you have general questions regarding data management at the University please contact dmp@univie.ac.at (https://datamanagement.univie.ac.at/en/rdm/data-management-plans/, or, intranet: Data Management Plan (DMP)). There are two main routes which can be followed for enabling open access to **publications**: **Self archiving** (also referred to as green open access) means that the published article or the peer-reviewed manuscript is

archived (deposited by the author/or representative) in an online repository before or after its publication. Sometimes an embargo period is set by the publisher; or **Open access publishing** (also referred to as gold open access) means that an article is immediately provided in open access mode as published. This method often incurs an additional fee. Open access fees during the lifetime of the project are eligible under Horizon 2020 and should be included in your costs at proposal stage. It is however currently not possible to fund fees which are incurred after the project has finished and this may be an additional cost to you. These fees could be funded for example from the remaining project overheads. If you prefer self-archiving, then please be aware that you must ensure Open Access to the publication within 6 months of depositing the final peer-reviewed manuscript in a repository. For the Social Sciences & Humanities this is extended to 12 months. In the database SHERPA-RoMEO http://www.sherpa.ac.uk/romeo/index.php, all available information concerning the conditions for an open access publication is available for many journals and publishers. The University has an Open Access Office who can advise and support you on all issues regarding Open Access. The University is also part of the OpenAIRE initiative. Please contact Gerda McNeill: openaireaustria@univie.ac.at.

H2020 – major types of actions

Type	Code	Funding	Typical Duration	Aim of Action
Research & Innovation Action	RIA	100%	36-48 months	Collaborative research & development project ($\geq$ 3 entity)
Innovation Action	IA	100%*	30-36 months	Collaborative innovation project ($\geq$ 3 entity) to plan/design/produce processes, products & services - activities close to the market
Coordination & Support Action	CSA	100%	12-36 months	Accompanying measure activities, studies, networking ($\geq$ 1 entity)
Marie Sklodowska Curie Actions	MSCA	100%	depends on the type	Training and career development - for further details see the MSCA FAQs
European Research Council grants	ERC	100%	60 months	Support excellent PIs and their research teams (usually 1 entity)

* Funding rate for the University.

Kosten Personal lt Kollektivvertrag gültig ab 01.02.2020

2020	monatlich			jährlich		
	Brutto-Sätze	Brutto-Brutto: § 26	Brutto-Brutto: § 27	Brutto-Sätze	Brutto-Brutto: § 26	Brutto-Brutto: § 27
PostDoc (ab 8 Jahre)	€ 4.309,30	€ 6.490,46	€ 6.476,46	€ 60.330,20	€ 77.885,57	€ 77.717,57
PostDoc (bis 8 Jahre)*	€ 3.889,50	€ 5.860,52	€ 5.846,52	€ 54.453,00	€ 70.326,23	€ 70.158,23
Praedoc (ab 3 Jahre)*	€ 3.472,40	€ 5.234,63	€ 5.220,63	€ 48.613,60	€ 62.815,51	€ 62.647,51
Praedoc (bis 3 Jahre)*	€ 2.929,00	€ 4.419,21	€ 4.405,21	€ 41.006,00	€ 53.030,50	€ 52.862,50
Sekretariat**	€ 2.116,60	€ 3.200,13	€ 3.186,13	€ 29.632,40	€ 38.401,62	€ 38.233,62
LaborantIn**	€ 2.116,60	€ 3.200,13	€ 3.186,13	€ 29.632,40	€ 38.401,62	€ 38.233,62
Student. MitarbeiterIn***	€ 1.058,30	€ 1.612,07	€ 1.598,07	€ 14.816,20	€ 19.344,81	€ 19.176,81

* ohne Anrechnung von tätigkeitsbezogenen Vorerfahrungen bei 40h Beschäftigung
** bei Einstufung in VerwGr IIIa
*** max. Beschäftigungsausmaß von 20h/Woche

Aktuelles Grundgehalt lt. Kollektivvertrag (KV) siehe: http://personalwesen.univie.ac.at

bei FWF-Projekten gelten die FWF-Personalkostensätze siehe: http://www.fwf.ac.at/de/forschungsfoerderung/personalkostensaetze/