



#HorizonEU

THE EU RESEARCH & INNOVATION PROGRAMME

2021 – 2027

Grant Agreement Preparation (GAP) –
Overview

26 JANUARY 2022

Research and
Innovation



Outline

- **Introduction to the Grant Agreement Preparation**
- **Roles and access management**
- **New elements required in Horizon Europe**
- **Technical aspects**

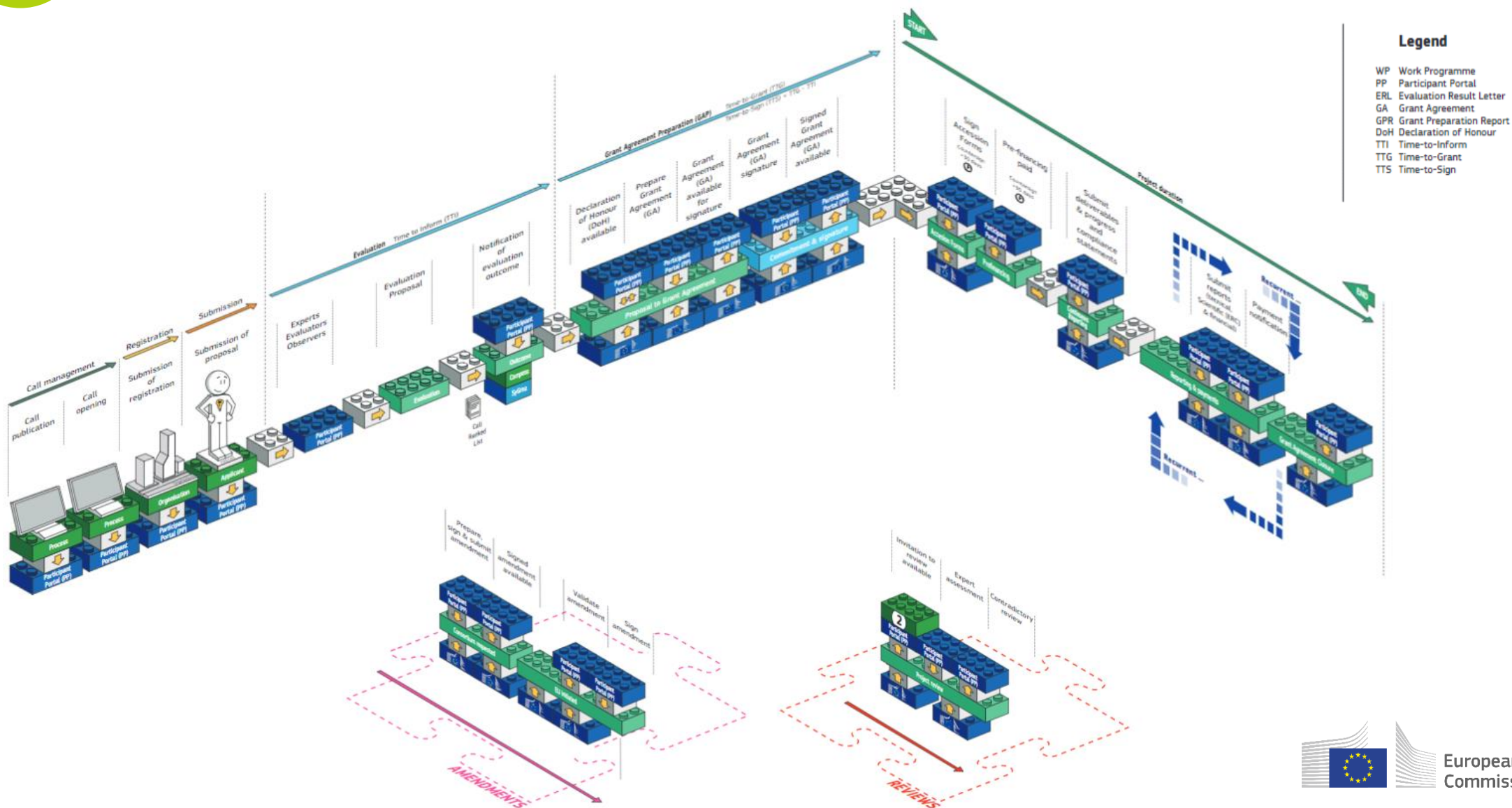
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Introduction to the Grant Agreement Preparation





Grant Management Lifecycle





Principles

Single gateway for all exchanges: Funding and Tenders Portal

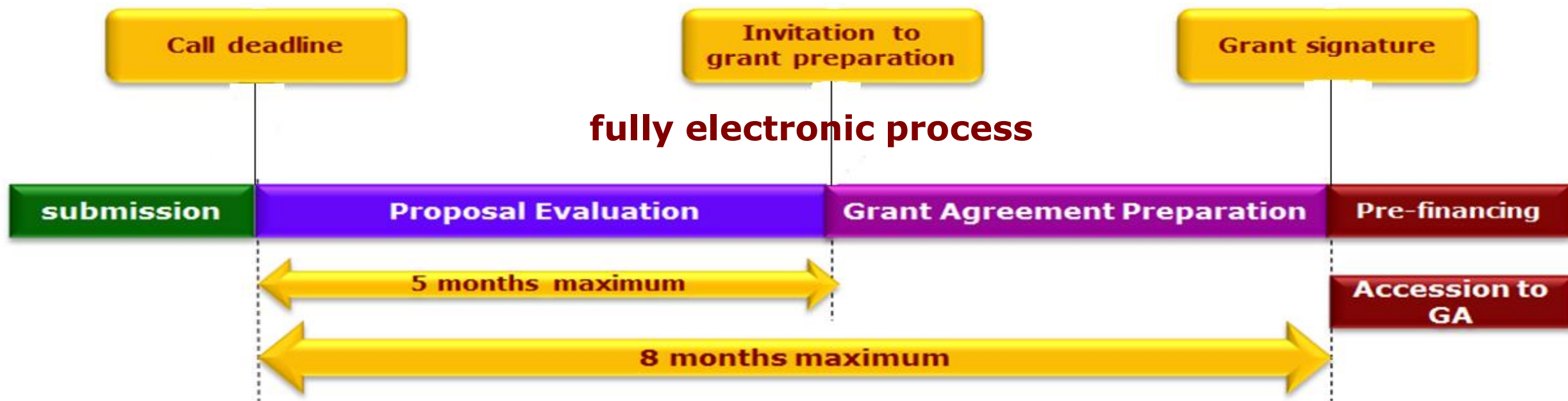
- Deep integration of IT tools and services in the portal
- Uniform experience
- Common business processes

Electronic-only paperless process flows

- Digital sealing of documents
- Digital signature on all formal documents replacing blue-ink signatures
- Single, common document repository
- Full traceability and audit trail ensured (who-what-when)
- Predefined business rules in the IT suite ensure compliance



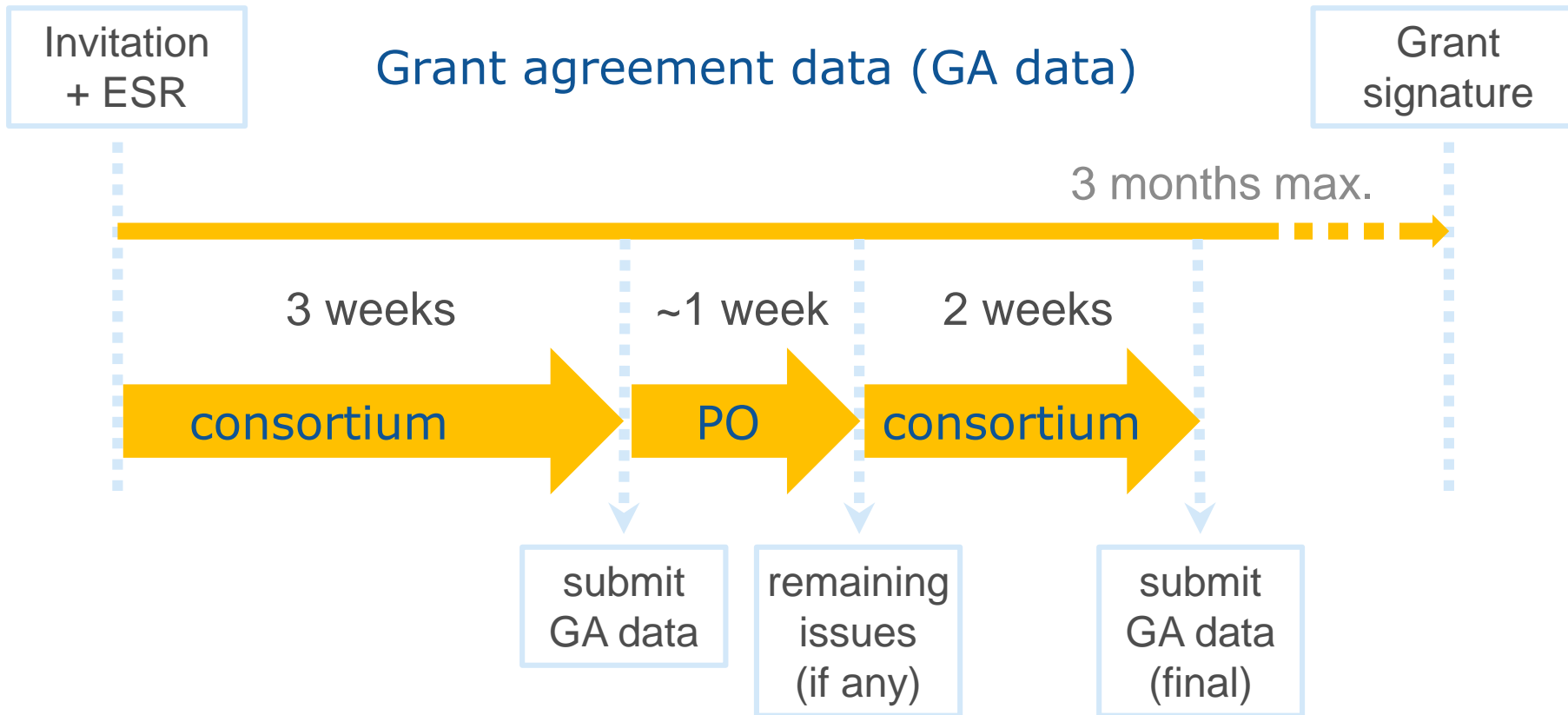
GAP: a timebound process



- The GA preparation – the conclusion of the grant agreement is subject to time limits – **strict deadlines** (this is a regulatory requirement – Fin.Reg, HE reg. –exceptions for actions managed by ERCEA)
- The invitation letter specifies deadlines applicable for the GAP
 - Align yourself with the applicable deadlines and make diligent efforts to comply with the dates set
 - Notify the EU services if you encounter delays
 - The non-respect of the deadlines may lead to the termination of grant preparation (rejection).



GAP: Timing





GAP: The main steps in the process



Validation of participants

Setting identity access management (IAM) roles
(each ben)

Signature of the 'Declaration of honour'
(e-signature, each ben)

*** further iterations possible**
(completion/correction of grant data)

Ex-ante checks,
reservation of funds,
preparation of award decision

**** If and as defined in the grant agreement**



GAP: No negotiation

Your proposal is taken ‘as is’

- Proposals are evaluated based on merit and not on their potential
- The Grant Agreement (GA) is prepared on the basis of the proposal selected for funding

BUT this does not mean ‘no change at all’

- Changes that may be necessary
- Changes to meet legal and financial requirements
- Requirements resulting from ethics review or security scrutiny
- Due to removal of participant (if agreed by EU)
- Correction of clerical errors and obvious inconsistencies

No negotiation does not mean no control

- Eligibility and viability checks
- Anti-fraud measures and risk-based controls are carried out

Non-compliance, serious breach or negligence of the applicable rules evokes the termination of grant preparation and the rejection of the proposal

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Roles and access management

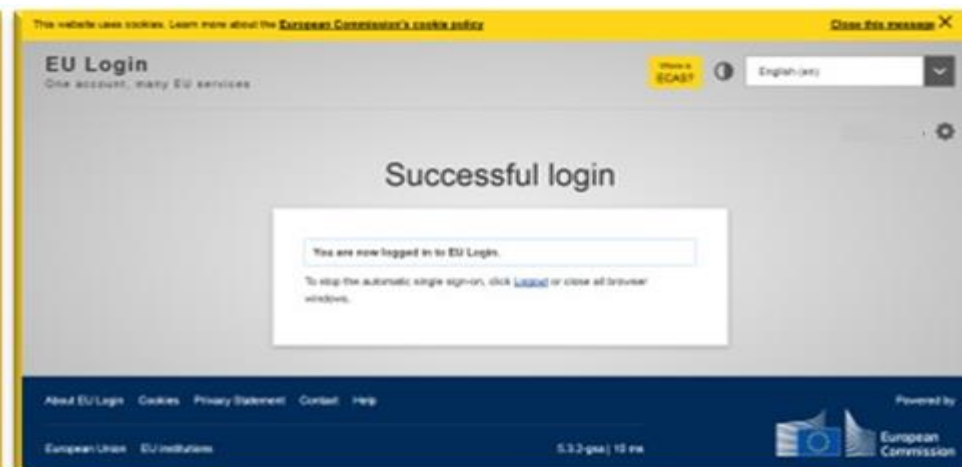




Identity and Access Management

The **minimum configuration** is:

- ✓ 1 LEAR per organisation 
- ✓ The Primary Coordinator Contact 
- ✓ 1 Participant Contact per beneficiary 
- ✓ 1 Legal Signatory per organisation 
- ✓ 1 Financial Signatory per organisation 

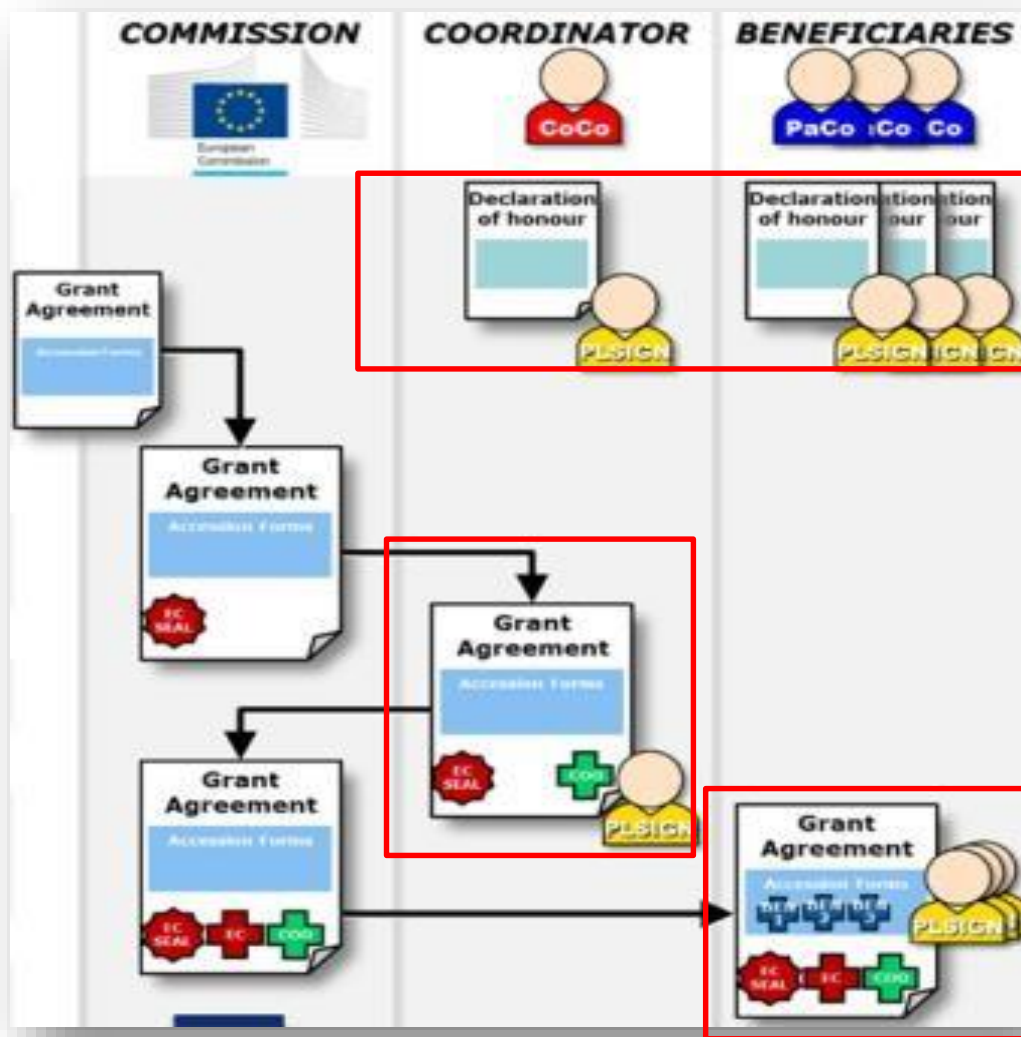


Based on a "chain of trust" enabling e-signature

- The role of the Legal Entity Authorized Representative (LEAR)
- Identity and Access Management (IAM) + EU Login
- Enacting e-signature: Legal Signatory (LSIGN) and Financial Signatory (FSIGN)



Electronic signature – role configuration



Declaration of honour

- The coordinator and each beneficiary, enacted by the LSIGN

Grant Agreement

- Coordinator signs first, represented by the LSIGN
- EU / EC Agency signs next

Accession Forms

- Each beneficiary – by the LSIGN

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New elements required in HE

Tasks to be performed by your LEAR
(required during the GAP)





Declaring a gender equality plan

My Person Profile

My Organisation(s) 1

Grants

My Proposal(s)

My Formal Notification(s)

Data management of the organizations, search functions under the 'My organisations'

• Grant Management Services will be unavailable on Thursday, 09.12.2021, between

My Organisation(s)

Results: 2

LEGAL NAME	STATUS	ACTIONS
My organization	Declared	2 Actions ⚙️
NCP Test University A		3 View Organisation Modify Organisation Edit Organisation Roles View Partner Search Profile

Organisation Data **Legal Information** 4 Authorised users / LEAR Bank Accounts Financial capacity Messages Documents SME

5 **Edit Legal Information**

Legal entity status ☐ a natural person ☒ a legal person

Legal form 9

VAT number 11 ☐ not applicable

Legal register 10

Registration number 43

Registration date 11

Legal entity type ☒ private entity ☐ public body

Legal entity qualification ☐ non-profit ☒ for profit

Is it a civil society organisation ☐ Yes ☒ No

International organisation ☐ Yes ☒ No

International Organisation of European Interest for H2020 (IOEI H2020) ☐ Yes ☒ No

International Organisation of European Interest for Digital Europe (IOEI Digital Europe) ☐ Yes ☒ No

International European Research Organisation for Horizon Europe (IERO Horizon Europe) ☐ Yes ☒ No

Research organisation ☐ Yes ☒ No

Secondary/Higher education establishment ☐ Yes ☒ No

Gender equality plan

Gender equality plan ☒ Yes ☐ No

6 **Change GEP**

Declaring a Gender Equality Plan in participant register

If you are from a **concerned organization that requires a GEP** to participate, then:

- you log in the F&T portal
- Select My Organization (step 1)
- Select actions (Step 2) -> Modify organization (step 3)
- Select the tab-> legal information (step 4)
- Select edit legal information (step 5) -> change GEP (Step 6)



Declaring a gender equality plan

Gender equality plan (GEP)

Do you have a gender equality plan? *

☒ Yes ☐ No

Please provide answers to all the questions below. This is an obligation for all types of organisations.

For the Gender Equality plan to be considered compliant you must be able to answer 'yes' to all the questions below.

Please note that for public bodies, research organisations, and higher and secondary education institutions the existence of a Gender Equality Plan is an eligibility criterion, meaning that without it an organisation of this type will not be allowed to submit a grant proposal.

This is a self-assessment and you are not required at this stage to upload the Gender Equality Plan document. The declaration will be considered an official statement and by selecting 'yes' you are formally confirming that your organisation has a gender equality plan and that this document is signed by senior management and available on the organisation's website.

Filling the questionnaire is based on self-assessment. You will not be required at this moment to upload the document, however your answers to the questions below will be considered as official statement; failure to provide the Gender Equality Plan if/when requested, may lead to exclusion from the list of successful applicants, or - in case of signed grant - may lead to grant termination and/or recoveries of amounts paid.

It must cover at least the following building blocks

Failure to provide the Gender Equality Plan if/when requested, may lead to exclusion from the list of successful applicants, or - in case of signed grant - may lead to grant termination and/or recoveries of amounts paid.

Public GEP: the GEP is a formal document published on the Institution's website and signed by the top management *

☒ Yes ☐ No :-)

Dedicated resources: commitment of resources and gender expertise to implement it *

☒ Yes ☐ No

Data collection and monitoring: sex/gender disaggregated data on personnel and students \nand annual reporting based on indicators *

☐ Yes ☒ No :-)

Training: Awareness raising/trainings on gender equality and unconscious gender biases for staff and decision-makers *

☒ Yes ☐ No

Minimum areas to be covered and addressed via concrete measures and targets:

Work-life balance and organisational culture *

☒ Yes ☐ No

Gender balance in leadership and decision-making *

☒ Yes ☐ No

Gender equality in recruitment and career progression *

☒ Yes ☐ No

Integration of the gender dimension into research and/or teaching content *

☒ Yes ☐ No

Measures against gender-based violence including sexual harassment *

☒ Yes ☐ No

Declaring a Gender Equality Plan in participant register

- In the wizard that opens, you need to select yes to the first question: **does your organization have a gender equality plan?**
- Then you need to carefully read all the required criteria and answer the **subsequent questions**
- Failure to fulfil one of the required criteria (at least the top 4 ones) is equivalent to not having a gender equality plan - > the initial question (if you have a GEP) will be automatically set to 'No'.
- Please read all the relevant information and answer carefully; Failure to provide the Gender Equality Plan if/when requested, may lead to exclusion from the list of successful applicants, or - in case of signed grant - may lead to grant termination and/or recoveries of amounts paid.





International Organization status

Setting correctly the International Organization status (important for HE – action to be performed by LEAR)

- If you have already declared that your organization does not have status of 'International Organization', then no action is necessary
- If your organization is already validated, and has the status of International Organization (status subject to validation), then you need to indicate if your organization is also 'International European Research Organization' (IERO)
- If your organization will be validated as part of your participation for first time in a project, then REA validation services will also ask you to set the IERO status (if you haven't done already)



International Organizational status

My Person Profile

My Organisation(s)

Grants

My Proposal(s)

My Formal Notification(s)

Organisation Data

Legal Information

Authorised users / LEAR

Bank Accounts

Financial capacity

Messages

Documents

SME

1

2

3

4

Legal Information

Legal entity status

☐ a natural person ☒ a legal person

Legal form *

ANONYMOS ETAIREIA

VAT number *

07888^

not applicable

Legal register

Legal register

Registration number

1340

Registration date

03/06/2020

Legal entity type

☒ private entity ☐ public body

Legal entity qualification

☐ non-profit ☒ for profit

Is it a civil society organisation

☐ Yes ☒ No

International organisation

☐ Yes ☒ No

International Organisation of European Interest for H2020 (IOEI H2020)

☐ Yes ☒ No

International Organisation of European Interest for Digital Europe (IOEI Digital Europe)

☐ Yes ☒ No

International European Research Organisation for Horizon Europe (IERO Horizon Europe)

☐ Yes ☒ No

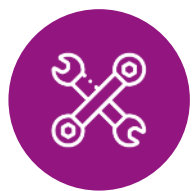
INTERNATIONAL EUROPEAN RESEARCH ORGANISATION FOR H...

An 'International European research organisation for Horizon Europe' is an international organisation, with a majority of members that are EU Member States or associated countries to Horizon Europe, whose main objective is promoting scientific and technological cooperation in Europe.

Secondary/High

Technical aspects





IT system for grant management

European Commission | Funding & tender opportunities | Single Electronic Data Interchange Area (SEDIA)

Manage my area | SEARCH FUNDING & TENDERS | HOW TO PARTICIPATE | PROJECTS & RESULTS | WORK AS AN EXPERT | SUPPORT

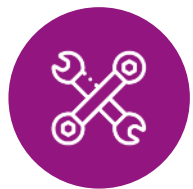
My Person Profile | My Organisation(s) | Grants | My Proposal(s) | **My Project(s)** | My Formal Notification(s) | My Expert Area

My Project(s) Need help?

Results: 1

ACRONYM	CALL	PROGRAMME	PROJECT	PHASE	ACTIONS
N [redacted] T	H202 [redacted] 20	H2020	6 [redacted] b	2	Actions <ul style="list-style-type: none">Manage ConsortiumManage ProjectView Proposal

1 10



Grant management service

The screenshot displays the 'RESEARCH & INNOVATION Grant Management Services' portal. The header includes the European Commission logo and a user profile for 'Generic DEVUSERCOORDINATOR'. The main content area is divided into several sections:

- MY PROJECT**: A sidebar on the left containing project details such as 'Call: HORIZON-HLTH-2021-CORONA-01', 'Type of Action: HORIZON-RIA', 'Acronym: XXXXXXXX', 'Current Phase: Grant preparation', 'Number: 219850', 'Duration: 24 months', 'Estimated Project Cost: €54,096.75', 'Requested EU Contribution: €50.00', and 'Contact: [redacted]'. It also features a vertical menu with links to 'Latest Legal Data', 'Active Processes', 'Document Library', 'Communication Centre', and 'Archived Processes'.
- caution!**: A red box highlights a 'Terminate' button in the 'Proposal Management & Grant Preparation' section.
- process overview**: A timeline at the top right shows the stages: Submitted (01 Jun 2021), Informed, Invited, Prepared, Signed (125/275 days), and Paid.
- hyperlink to the IT system**: A red box highlights a 'Submit to EU' button.
- declaration of honour template**: A red box highlights a 'GA Declaration - GAP-219850 - 973276467 signature' link.
- history linked to the specific process**: A red box highlights a 'Process history' link in the 'Process documents' section.
- a common repository to access processes, documents, legal data**: A red box highlights the 'Document Library' link in the sidebar.
- online manual**: A button labeled 'ONLINE MANUAL' is located at the bottom left.
- IT how-to**: A button labeled 'HOW TO' is located at the bottom left.



Grant management screens



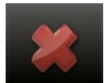
The screenshot shows the SyGMA interface for Grant Agreement Data. The top bar includes the SyGMA logo and the title 'Grant Agreement Data'. Below this is a navigation bar with tabs for Project Summary, Beneficiaries, General Information, Reporting Periods, GA Information, GA Options, Financial Information, LF Overview, Associated Partners, Researchers, Work Packages, Deliverables, Milestones, Reviews, Critical Risks, Ethics Info, and Security. The main area displays a progress bar with icons for each tab: Project Summary (info icon), Beneficiaries (green checkmark), General Information (green checkmark), Reporting Periods (green checkmark), GA Information (green checkmark), GA Options (red X), Financial Information (green checkmark), LF Overview (info icon), Associated Partners (green checkmark), Researchers (green checkmark), Work Packages (green checkmark), Deliverables (green checkmark), Milestones (green checkmark), Reviews (green checkmark), Critical Risks (green checkmark), Ethics Info (green checkmark), and Security (green checkmark). A 'DOCUMENTS' button is visible at the bottom left.

Tab	Status
Project Summary	For information only
Beneficiaries	No missing information
General Information	No missing information
Reporting Periods	No missing information
GA Information	No missing information
GA Options	Missing information: blocking
Financial Information	No missing information
LF Overview	For information only
Associated Partners	No missing information
Researchers	No missing information
Work Packages	No missing information
Deliverables	No missing information
Milestones	No missing information
Reviews	No missing information
Critical Risks	No missing information
Ethics Info	No missing information
Security	No missing information

Legend – icons used



No missing information



Missing information: blocking



For information only



Missing information: not blocking at this point



Points for attention

- 'Avoid repetitions: i.e. no duplication between work plan tables (Part A) and free text (Part B)
- The results of the ethics review and security scrutiny must be implemented in the grant agreement
 - 'Ethics requirements' (if any) are binding
 - 'Ethics requirements' may necessitate changes in the DoA before the grant can be signed.
 - 'Ethics requirements' may ask for local/national certificates to be submitted after grant signature.
 - Similarly for security scrutiny

Takeaway messages:

- Pay attention to deadlines; be proactive
- Be transparent in case you face difficulties; try to come up with a plan (if needed)
- Collaborate with the Project Officer



Thank you!

HorizonEU

<http://ec.europa.eu/horizon-europe>



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