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About this document

These guidelines represent an information and orientation synthesis created by our multicompetence (administration, IT, finance, law, project management, etc.) experts active for many years in EU and international research projects/grants support. The mission of our group is to inform, advise and support the researchers for all questions directly related to their European projects of the EU Framework Programme Horizon 2020 (H2020). We do not set-up or manage projects for PRINCIPAL INVESTIGATORS, the final responsibilities remaining with the PRINCIPAL INVESTIGATORS and their project team.

The aim of these guidelines is information for prevention. Errors in submitted data may lead to subsequent problems for the PRINCIPAL INVESTIGATOR and its contractual institution (UNIGE) at the grant agreement signature and project management stage.

The content of these guidelines refer to the most common collaborative research project/action types. Even though, the proposal structure/content and the proposal submission conditions may differ according to different parameters: subprogramme specificities (IMI, etc.); projects types (Research and innovation actions, Innovation actions, Coordination and support actions); submission modus (One-stage or two-stage submissions); specific call conditions. For ERC grants and Marie Sklodowska Curie Actions (networks and individual fellowships), please refer to the programme-specific infosheets available on request. For collaborative projects coordination (UNIGE = leading house), some specific information is currently in preparation.

Further information, advice and training related to H2020 project submission is also provided by the EC services, the Euresearch network (in particular by National Contact Points) and the UNIGE Research Services

- H2020 Online manual (EC)
- H2020 Proposal preparation (Euresearch homepage)
- H2020 information UNIGE (Research Services – Euresearch)

Disclaimer: These guidelines are not intended to be a legally binding document or regulation. In case of questions, please contact Research Services or the other competent UNIGE services.
1. Process of H2020 project submission

1.1 General process of proposal submission

Proposals for H2020 projects/actions are generated and set-up electronically using the electronic submission system of European Commission’s web Portal (Funding & Tender Portal, ex Participant Portal) which is an online wizard that guides step-by-step through the preparation of the proposal providing any useful information (on-line manual, FAQ, etc.). The process is activated by a representative / contact person of the coordinating organisation (the coordinator), pressing the « Start Submission » button on the relevant call page.

The coordinator provides access to the project partners, respectively the PRINCIPAL INVESTIGATORS to contribute and check their own administrative and scientific data.

→ Online manual « How to submit a proposal »
→ Horizon funding opportunities portal (EC)
→ Euresearch call list

The process differs depending on the submission mode: only the general one-stage mode and full proposal structure/content is considered in this document.

1.2 Main steps at UNIGE

Before committing to enter an H2020 proposal, the necessary authorisations should be checked internally (see chapter 2 below). This being clarified the PRINCIPAL INVESTIGATOR can register UNIGE in the proposal (see chapter 3).

The correct set-up of the budget and ressources plan is essential for a smooth project management and a successful reporting and auditing (see chapter 4). Furthermore, there are some key contractual issues to address, depending on the project type and planned scientific activity (see chapter 5).

The final compliance self-check allows for identifying any questions which may have escaped attention before (see chapter 6 and Annex).

Further information: euresearch@unige.ch
2. Responsibilities and authorisations for Principal investigators

2.1 Responsibilities

Please be aware that any contractual, ethical/data or financial problems which are not identified and corrected before project submission may, if the project is selected, lead to non-signature of the contract, non-reimbursement of costs or additional audits during and after the project. The PRINCIPAL INVESTIGATOR for UNIGE is responsible for all administrative, contractual, ethical, data protection/management, financial and scientific/technical data and information concerning his contribution to the project. In order to prevent future problems leading to potential time, money and image loss for the PRINCIPAL INVESTIGATOR and the beneficiary institution it is essential for the PRINCIPAL INVESTIGATOR to take notice of his responsibilities and to clear any key issues using the compulsory compliance check form provided below (see Annex).

Please note that Research Services (Euresearch) essentially provide H2020-specific information and advice for additional questions (not already explained the present guidelines), in close collaboration with the other relevant services (Legal services, Unitec, DIS, DISTIC, CUREG, etc.). For specific budget questions, the PRINCIPAL INVESTIGATOR should directly contact DIFIN-UNIGE.

2.2 Authorisations

At UNIGE, full professors and associated/assistant professors and MER are allowed to submit research projects on their own as PRINCIPAL INVESTIGATOR having the overall responsibility of the project execution and management.

Only in exceptional and duly justified cases, non-professors/MER may act as PRINCIPAL INVESTIGATORS. They must obtain the formal approval from the hierarchical authorised person(s), implying a derogation letter signed by the responsible professor, head of department and/or the Faculty Dean. The letter must state, apart from the project key data (programme, project acronym-title, etc.), the following: 1) the PRINCIPAL INVESTIGATOR’s continuous involvement in the project over the duration of the project, 2) the PRINCIPAL INVESTIGATOR’s right to sign the Grant agreement and the scientific/financial reports on behalf of UNIGE, 3) the PRINCIPAL INVESTIGATOR’s right to own and operate the project related financial account independently, 4) the name of the professor guaranteeing the execution of this arrangement.

The formal handling of these derogations is currently under evaluation.

Please note that such derogation procedures may take several weeks, and up to 1-2 months.

Special cases:
• For researchers retiring before the end of the project (+ 6 months), an authorisation for the continuation of research activities beyond retirement must be requested to the Rectorate through the Legal Services;
• For any project implying significant needs for additional working/lab space and infrastructures and/or high financial transfers (f.ex. H2020 collaborative projects coordinations), the director of the hosting department/unit must be informed and, if relevant, the necessary agreements must be arranged.

→ Directive Réf. 0217 - Acceptation des dons, legs et subsides – currently in revision
→ Directive Réf. 0283 - Conclusion des accords de collaboration en matière de recherche
→ Directive Réf 0300 - Activité post-retraite

Further information: euresearch@unige.ch
3. Project set-up and registration

3.1 Proposal set-up

The full proposal consists of 2 main parts:

A) Administrative forms with structured information of the basic administrative data, declarations of partners, organisations and contact persons, etc., including for the collaborative projects more specifically the following screens:
   - 1 General information – filled in by the coordinator;
   - 2 Participants and contacts – administrative data of participating organisation updated automatically through PIC, department carrying out the proposed work and person in charge of the proposal to be filled in by the PRINCIPAL INVESTIGATOR;
   - 3 Budget – filled in by the PRINCIPAL INVESTIGATOR (see below);
   - 4 Ethics – check list filled in by the coordinator based on the partners information;
   - 5 Call specific questions (Open data pilot, Clinical trials, etc.) – filled in by the PRINCIPAL INVESTIGATOR;

B) Technical annex, which is the detailed description of the planned research and innovation project outlining work packages, costs, etc., including the following headings:
   - 1 Excellence (objectives, relation to work programme, concept and methodology, ambition);
   - 2 Impact (expected impact, measures to optimise impact (dissemination/exploitation of results, communication activities);
   - 3 Implementation (work plan – work packages – deliverables, management structure – milestones, consortium as a whole, resources to be committed);
   - 4 Members of the consortium (participants, third parties, financial support to third parties);
   - 5 Ethics and security
   - Further mandatory or optional annexes (e.g. supporting documents for ethics issues) can be required by the call and the given topic, as shown in the submission system.

→ Proposal template 2018-2020 : Administrative forms (Part A) and Project proposal (Part B)

3.2 Registration in H2020 EC web portal

Projects are registered (and later submitted) in the EC web portal, using the institution's registered Participant Identification Code (PIC) of « Université de Genève » is 999974650.

All legal/administrative institutional data is generated automatically when entering the PIC in the Portal.

Nota bene:

In order to keep the submission process as smooth as possible, no formal obligation exists for UNIGE researchers to register internally their H2020 proposal submissions.

However, the necessary authorisations for submission and the specific budget/contractual/ethical checks for specific issues must be cleared by signing (strongly advised) the compliance auto-check (see Annex).

Further information: euresearch@unige.ch
4. Budget and financial issues

4.1 Reimbursement modalities

Real/effective costs are most commonly applied. The reimbursement rate is 100% for research projects/actions (≠ innovation actions). The cost eligibility is based on the beneficiary’s (UNIGE) own regulations and cost/reimbursement scale, within the specific H2020 funding rules. The information below refers to this type of costs.

Flat rate amounts fixed by the European Commission are used for some specific project types such as Marie Skłodowska Curie actions. They are not considered below.

Lump sum funding is applied for some specific calls. If applicable in your project, please contact us for further information.

4.2 Cost categories

H2020 budget categories include the following cost categories:

A. Personnel costs
B. Other direct costs
C. Direct costs of subcontracting
D. Direct costs of providing financial support to third parties
E. Cost of inkind contributions nos used on the beneficiary’s premises
F. Indirect costs (= overheads)
G. Special unit costs covering direct and indirect costs (only for some specific calls in part. INFRA)

Information, examples and rates for main cost categories are given hereafter for UNIGE, on indicative basis to be checked with the relevant administration of the PRINCIPAL INVESTIGATOR’s research department/unit.
→ UNIGE H2020 cost classification infosheet

4.3 Personnel costs

Personnel costs usually represent large parts of the budget and therefore need special attention. Personnel costs must include all social charges and annual salary progressions, in conformity with the official UNIGE salary scales and procedures always to be checked with the relevant department/faculty/central HR services:
→ UNIGE H2020 cost classification infosheet

Timesheets: be aware that all staff reimbursed on the projet have to fill in timesheets, with the exception of full-time Marie-Curie fellows. Duly filled-in and signed timesheets are mandatory for any personnel cost claims to the EC:
→ H2020 Timesheets UNIGE

4.4 Direct cost of subcontracting

Subcontracting can be used to implement a limited part of the project which must be duly described in the proposal. Subcontracting costs include the actual price and taxes (including non-deductible VAT) paid by the beneficiary. No indirect costs on subcontracting are eligible.

The best value for money principles must be applied, according to institutional rules and national/cantonal legislation.
→ Directive Réf. 0192 – Achat de biens et de services
4.5 Direct costs of providing financial support to third parties

This cost category should be used only if the possibility is explicitly mentioned in the work programme/call for proposals to which you respond.

Example: As part of your proposal, you plan a prize or a competitive call for proposals for the development of a specific electronic device. The prize or call is open to legal entities outside the project. You select one or more successful applicants and award the prize or reimburse them to cover their development costs for the device.

This mechanism is also referred to as “cascade funding” or “cascading grants”. Please contact us if relevant for your proposal.

4.6 Cost of in-kind contributions not used on the beneficiary’s premises

These costs cover in-kind contributions that are made available by third parties against payment or free of charge and that are not used on the beneficiary's premises.

- costs for personnel that is made available (seconded) against payment or free of charge and working outside the beneficiary's premises;
- costs for equipment, infrastructure, or other assets that are made available against payment or free of charge and used outside the beneficiary’s premises;
- costs of other goods and services made available against payment or free of charge and used outside the beneficiary's premises.

Costs of linked third parties, if any, are included in the beneficiary's budget.

4.7 Other direct costs

Other direct costs include Travel, Equipment and Other goods and services costs. If the total of the Other direct costs exceed 15% of the total personnel costs, the need for carrying out the work must be duly justified filling in the table 3.4b (Other direct cost items) in part B.

Travel costs

Travel costs and related accommodation/subsistence costs and allowances.

According to institutional rates and practices
→ Directive 0083 Payer ou rembourser des frais de déplacement

Equipment

Reimbursement of costs of acquisition or use of equipments/infrastructures must be duly justified. The following equipments can be considered if conforming the UNIGE rules: appareil scientifique, machine/outillage, équipement bureautique, matériel informatique (sauf PC), ordinateurs (PC), matériel audiovisuel, mobilier, logiciel, licence informatique.

Please note that standard office/lab equipment cannot be charged to the project, but only specific additional equipment necessary to carry out the project.

Time control: Only depreciation costs for the duration of use are eligible. Time of use must be documented (lab books, « timesheets », etc.).
→ Directive 0194 Dépenses à prendre en charge sur les crédits d’investissement

Other goods and services

Consumables: raw material, scientific publications needed for the project, etc.;
Dissemination: open access during the project, and conference fees for presenting project-related research, etc.;
IPR: protection of results, royalties for access rights which are needed to implement the project, etc.;
Translation, if necessary for the project implementation;

Certificate on financial statement (CFS) must be provided for each beneficiary (and for each linked third party) if it requests a total contribution of EUR 325 000 or more, as reimbursement of actual costs and unit costs calculated on the basis of its usual cost accounting practices. Please note that this fee is not considered as a subcontracting cost (as it was the case in FP7).

It has to be budgeted with the following rates provided by DIFIN-UNIGE:

<table>
<thead>
<tr>
<th>Montant des dépenses à tester</th>
<th>Coût de base</th>
<th>Coût, débours inclus</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jusqu’à CHF 700,000</td>
<td>CHF 3,300</td>
<td>CHF 3,432.--</td>
</tr>
<tr>
<td>Entre CHF 700.001 et CHF 900,000</td>
<td>CHF 4,000</td>
<td>CHF 4,160.--</td>
</tr>
<tr>
<td>Entre CHF 900.001 et CHF 1,100,000</td>
<td>CHF 5,000</td>
<td>CHF 5,200.--</td>
</tr>
<tr>
<td>Entre CHF 1,100,001 et CHF 1,300,000</td>
<td>CHF 5,500</td>
<td>CHF 5,720.--</td>
</tr>
<tr>
<td>Entre CHF 1,300,001 et CHF 1,500,000</td>
<td>CHF 6,000</td>
<td>CHF 6,240.--</td>
</tr>
<tr>
<td>Entre CHF 1,500,000 et CHF 1,700,000</td>
<td>CHF 6,500</td>
<td>CHF 6,760.--</td>
</tr>
<tr>
<td>Entre CHF 1,700,001 et CHF 2,000,000</td>
<td>CHF 7,000</td>
<td>CHF 7,280.--</td>
</tr>
<tr>
<td>Entre CHF 2,000,001 et CHF 2,500,000</td>
<td>CHF 7,500</td>
<td>CHF 7,800.--</td>
</tr>
<tr>
<td>Entre CHF 2,500,001 et CHF 3,000,000</td>
<td>CHF 8,000</td>
<td>CHF 8,320.--</td>
</tr>
<tr>
<td>Entre CHF 3,000,001 et CHF 3,500,000</td>
<td>CHF 8,500</td>
<td>CHF 8,840.--</td>
</tr>
<tr>
<td>Entre CHF 3,500,001 et CHF 4,000,000</td>
<td>CHF 9,000</td>
<td>CHF 9,360.--</td>
</tr>
<tr>
<td>Entre CHF 4,000,001 et CHF 4,500,000</td>
<td>CHF 9,500</td>
<td>CHF 9,880.--</td>
</tr>
<tr>
<td>Au-delà de CHF 4,500,000</td>
<td>sur demande</td>
<td>--</td>
</tr>
</tbody>
</table>

Internal invoicing for services/goods provided by UNIGE-units others than the one participating in the project: please check with DIFIN-UNIGE.

4.8 Indirect costs (overheads)

25% flat rate calculated automatically on the total of all direct costs excluding subcontracting. No other (arbitrary) overhead rates are admitted.

4.9 Exchange rates UNIGE

Please be aware that all budgets submitted to the EU (H2020) are in EUR, based on a budget in CHF. All budgets for UNIGE are reverted using a prudential exchange rate defined by DIFIN-UNIGE.

Current UNIGE exchange rate (last update: 1.1.2018): 1 Euro = 1.02 CHF

4.10 Budget calculation

Detailed budgets should be calculated in CHF and Euros using the UNIGE exchange rate above, as a sound basis for any financial monitoring and reporting during the project. Budget calculators for collaborative projects and ERC grants are available on request.

Further information:
EC funding rules: euresearch@unige.ch, UNIGE accounting/financial rules: finance-ue@unige.ch
5. Specific administrative, IP and contractual issues

5.1 Intellectual Property, Confidentiality agreement

Intellectual property rights must be addressed properly in the proposal. It is strongly advised that all relevant IP-relevant issues (including all background know-how to be excluded) are thoroughly checked before proposal submission.
In some cases IP and confidentiality issues are addressed in a specific agreement among partners before the submission of the proposal.
In any case, IP issues are formalised in the « Consortium agreement » if the project is retained for funding.
→ IPR helpdesk
→ H2020-CA-ProcedureUNIGE-Avril2015.pdf

5.2 Third parties, subcontracting

UNIGE researchers wishing to submit an H2020 project including contributions provided by another institution are requested to contact us in order to define the relevant third party set-up.
In particular, for projects with contributions provided by the University Hospital of Geneva (HUG), researchers are requested to contact us and to refer to the infosheets below.
→ UNIGE-HUG third party infosheet
→ Other third parties infosheet (in review)

5.3 Ethics and personal data protection

The ethical issues are becoming increasingly important in the management of research projects in all scientific disciplines. Main ethical concerns include research involving human embryos/foetuses, humans, human cells/tissues, personal data, animals, third countries, environment and health/safety, dual use, exclusive focus on civil applications, misuse and other ethical issues.
The PRINCIPAL INVESTIGATOR must announce the ethical issues concerning his research in the “Ethics self-assessment” form on the EC Portal and download all the relevant documents.
For further UNIGE-relevant information, please refer to our dedicated web page explaining which commission/authority to contact and which authorisation to get:
→ UNIGE ethics in research projects home page

5.4 Data open access pilot and Data management plan

As of January 2017, all Horizon 2020 projects are by default part of the Open Research Data Pilot (ORDP). The ORDP aims to make the research data generated by selected H2020 projects accessible with as few restrictions as possible, while at the same time protecting sensitive data from inappropriate access. The PRINCIPAL INVESTIGATOR must confirm this default option in the corresponding form A5 (Call specific questions), or in case of opting out, clearly identify the reason in Part 5 of the Administrative form.
If the project is part of the pilot, a Data Management Plan (DMP) must be created and a data repository selected if the project is retained for funding.
For more information, please check the Research Services’ Infosheet:
→ UNIGE data management plan in H2020 infosheet
→ UNIGE Research Data Management (UNIGE library)
→ Politique institutionnelle sur la gestion des données de recherche
5.5 Clinical trials

If clinical studies/trials/investigations/cohorts are included in the work plan of the project, the corresponding annex « Essential information on clinical studies ... » template must be filled in and uploaded in the section for Part B and Annexes.

→ H2020 Clinical trials template

Further information: euresearch@unige.ch

6. Compliance check and proposal submission

6.1 UNIGE-internal deadlines

For submissions implying institutional commitments (letters of intent, confidentiality agreements, etc.) or particular financial/contractual management issues (equipments, third parties / subcontracting, clinical test, ethical issues, etc.), please inform us as soon as possible for a timely administrative follow-up.

For ERC “Letters of commitment of the Host institution”, please inform us at least one month before the submission deadline if ever possible.

6.2 Compliance self-check

The administrative/financial/legal compliance self-check is compulsory for any submission. All check points must be cleared by the PRINCIPAL INVESTIGATOR before submission.

In order to avoid administrative overload at the submission stage, the compliance check is only formalised and signed during the Grant preparation stage.

Please be aware that any non-cleared points at submission may lead to the non-signature of the Grant agreement, the responsibility remaining with the PRINCIPAL INVESTIGATOR.

→ Compliance self-check form UNIGE (see below)

6.3 Proposal submission

All projects applications are submitted electronically by the coordinator through the EC’s EC PORTAL. Swiss participants must fully comply with all H2020 rules for participation/dissemination and the H2020 General Grant Agreement – as all their European partners.

→ Funding & tenders portal (EC)
→ EC Grants Manual - Proposal submission (EC)

Further information: euresearch@unige.ch

Annex – Compliance self-check form → see next page
## H2020 Collaborative Projects Compliance Self-Check for PIs UNIGE

**Strongly advised for project submissions / Mandatory for grant agreement signature**

### 1.1
I am aware of the general process and relevant rules for H2020 research projects submissions and I have taken notice of the UNIGE-guidelines

### 2.1
I have taken notice of the responsibilities of PRINCIPAL INVESTIGATORs in H2020 projects

### 2.2
- If I am professor or MER, I am authorised to submit the project, respectively, if it is retained for funding, to sign the contract and manage the project independently.
- If I am not professor/MER I have received the necessary authorisation/derogation.
- If, independently of my status/function, my project implies significant needs of new lab/working space, I have informed my head of unit, and, if relevant, received the necessary authorisation.

### 3.1
I have completed the administrative forms and the technical annex with the relevant UNIGE data and information.

### 3.2
I have used the unique PIC code for UNIGE (999974650)

### 4.1
- I am aware of the relevant reimbursement modalities and cost categories
- I have included all project-related costs in my detailed CHF-EURO budget and requested the full amount to the EC (Requested contribution), in compliance with the applicable EC and UNIGE H2020 budgeting/financial rules.
- I have checked with SR/DIFIN-UNIGE for any specific questions: subcontracting, third parties, equipment, internal invoicing, etc..

### 4.9
I have used the prudential UNIGE exchange rate defined by DIFIN-UNIGE

### 5.1
I have checked for any relevant IP issues, and I am aware that these issues shall be determined in the Consortium agreement before signing the grant agreement

### 5.2
I have duly addressed, if relevant, the third parties or subcontracting parts in the technical annex

### 5.3
I have fully addressed the ethics and personal data issues according to the EC requirement and the institutional/cantonal authorisations, and I have included all the relevant documentation in the proposal (uploads)

### 5.4
I am aware of the Open data policies / Open research data pilot

### 5.5
I have filled in the clinical trials/studies annex if relevant

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### Ready for submission / grant agreement preparation

All YES

The above compliance self-check is strongly advised for any proposal submission, in particular if the project participation involves special authorisations or commitments for the PRINCIPAL INVESTIGATOR.

The signature of this form is needed for the grant agreement preparation and signature, and a duly signed scan-copy of the form must be sent to Research Services (euresearch@unige.ch) in order:
- to launch the grant agreement preparation through Research Services, and
- to get the countersignature of the Grant agreement by the Vice-rector in charge of Research.

### Hereby I confirm that I have cleared all the above-mentioned compliance key issues.

<table>
<thead>
<tr>
<th>If PRINCIPAL INVESTIGATOR other that full professor, associated/assistant professor or MER: Please attach the authorisation/derogation</th>
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</thead>
<tbody>
<tr>
<td><strong>PRINCIPAL INVESTIGATOR authorised to sign the Grant agreement independently (professors/MER)</strong></td>
</tr>
<tr>
<td>Entitled person</td>
</tr>
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<td><strong>Name, function:</strong></td>
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<td><strong>Date:</strong></td>
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<td><strong>Signature:</strong></td>
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