



MINISTERIO
DE SANIDAD, SERVICIOS SOCIALES
E IGUALDAD



MINISTERIO
DE ECONOMÍA
Y COMPETITIVIDAD

ISC
Instituto
de Salud
Carlos III



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Legal and Financial Issues for the CHRODIS JA Implementation

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Kick-off Meeting

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Standar Operating Procedures (SOP)

Draft version distributed after KO
to be agreed during February

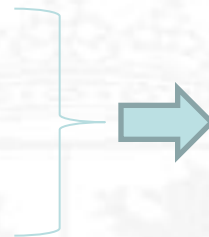
Describe principles, procedures and tools to facilitate the relation among partners and the running of the CHRODIS JA project.

It is Composed by:

- Introduction
- Organisation of the JA
- Governance principles
- Financial & Administrative Management
- Annexes:
 - Annex I: Financial Principles
 - Calendar of Installments to Associated Partners
 - IPR Principles

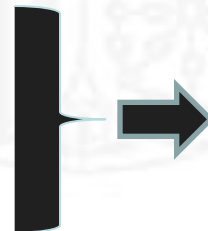
CHRODIS JA PARTNERSHIP

- ISCIII: Main Partner
- 36 Associated Partners



Sign the GA, thus they can
incur directly in costs to be
granted

- 23 Coll. Partners
- Third parties (Contractors)



Do not sign the GA, thus their
costs (if any) are run through :
Main Partner / AP
Always confirm beforehand!



Structure of the GA

- CORE TEXT Pages 1-10
- Annexes Page 11-223:
 - Annex I: Technical Annex
 - Annex II: Estimated Budget
 - Annex III: Eligibility of Travel Costs (partially applicable)
 - Annex IV: Letters of Mandate
 - Annexes V-VI: ToRs for reporting
 - Annex VII: ToRs for audit certificate
 - Annex X: Unilateral Commitment form
 - Annex XI: Declaration on Independence from the Industry



CHRODIS JA KEY FIGURES

- Joint Action Period: 01/01/14 to 31/03/17
(last three months for reporting mainly)
- Total Costs Expected: 9.213.152
- EU Maximum Funding: 4.606.576 (50%)
- Reimbursement based on:
 - Eligible Actual Costs
(Expect for Indirect Costs- Flat Rate)



CHRODIS JA Reporting

MANDATORY Progress reports:

P1: Interim Technical Progress Report (M1-M12)

P2: Interim Technical Progress report (M13-M24)

P3: Final Report (M1-M39)

Draft internal progress reports:

- M6, M18, M24



TO BE INCLUDED IN THE SOP



CHRODIS JA Reporting Tool

Under WP1, there is a fixed amount for the implementation of a management tool (i.e. project place).

Intranet system (apparently) integrated in the website for MGMT:

- Repository of GA, Annexes, SOPs, etc.
- Repository for Technical and Financial Reports
- Use at WP level



CHRODIS JA PAYMENTS

From EU to ISCIII:

Advance Payment 1: 1.381.972 (30%). Jan 14
Advance Payment 2: 921.315 (20%). Mar 15 (1)
Advance Payment 3: 921.315 (20%). Mar 16 (1)
Balance Payment: Accepted Costs- AP1-AP2-AP3

(1) Upon submission of complete reports and depending on the execution level, the amount can vary



CHRODIS JA PAYMENTS

FROM ISCIII to Associated Partners:

First Installment in the next days according to the share on the EU contribution.

Second Installment subject to adequate level of execution.

If significant deviation, correction measures can be introduced.

If there are changes on bank accounts to be communicated urgently.



TO BE INCLUDED IN THE SOP (Annex II)



Eligibility of Costs (Art. II.19.2)

- Incurred during the period of the action
- Indicated in Annex II (Budget)
- In connection with the action (Annex I: Tech Annex)
- Identified, verifiable and recorded
- Comply with tax and social national legislation
- Reasonable, justified and sound financial management (efficacy and economy)



Direct Costs Category

- Staff Costs: Public Officials and Non-Public Officials
- Travel and Subsistence
- Depreciation Costs of equipment
- Subcontracts
- Other Direct Costs



Staff Costs

Public Official: *An official of a public administration or body who is directly remunerated by the budget of the State or a local authority and his/her work concerns the implementation of tasks typically devolved to public institutions. By extension, it does concern all public officials who work in international organisations.*

Non-PO: Generally staff contracted for the action or specifically seconded (documented) to work in the action.

For **both Actual costs are needed**, thus:

- time records
- certify labor costs

Need to keep periodical
updated staff allocated



Travel and Subsistence Costs

A Beneficiary may opt for using its usual procedures. If they are not fixed, then annex III applies.

Only for **staff directly hired by the beneficiary**, otherwise (i.e. Collaborating partners under Other Direct Costs).

For missions out of the EU28+EFTA, it is needed the confirmation of the PO (through the PO)



Subcontract Costs

Implementation of specific tasks being part of the action by a third party, to which partners awarded a procurement contract.

Conditions to met:

- Limited part of the action
- Use own/national public procurement procedure. If not use EU procedure
- Task concerned set out in annex I. If it is not there, prior authorization and/or amendment
- The partner retains the responsibility
- Include in the contract specific clauses for controls



Other Costs & Indirect Costs

Other Costs:

Other exceptional additional costs not falling within any of the other categories.

Use of "Implementation contracts": use of these contracts refers to small services, goods equipment (e.g.: dissemination of information, specific evaluation, translations, reproductions, organisation of venues etc.)

Also Travel Costs for experts (collab partners)

Indirect Costs:

Fixed Flat Rate of 7% calculated over the Total Eligible Direct Costs



Incomes, Balance and Non-Profit Rule

NO PROFIT MEANS:

$$\text{Total Costs} = \text{Total Incomes}$$

Incomes:

- EU Contribution (direct application of funding rate)
- Public Officials Contribution
- Applicants Financial Contribution
- Income generated by the project
- Other external resources



Some room for Flexibility

The unique fixed elements are the maximum EU contribution and the Global EU Funding rate. Thus, movements are possible among:

- MP and associated partners
- Costs Category

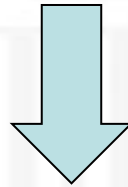
Below threshold (20%) is semi-automatic, above it, an amendment is requested.



Proposal

There are issues not 100% fixed in the GA:

- Payments Schedule
- Internal reporting
- Budget transfers among partners
- IPR (including rules for Publications)



SOP (including annexes)



Amendment Number 1

Since the 1st day of the project an amendment is to be done to replace AP1 FCIEN by FCSAI (no practical changes)

If there are changes on Aps communicate **by 15th February** to include such in the amendment.