UKRO CONFERENCE
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GLASGOW

Grant Agreement Implementation and Reporting for MSCA H2020 grants

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Research Executive Agency
Unit REA-A1
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   • Role of the Coordinator and the beneficiaries

B. H2020 Reporting
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     ▪ Periodic Reporting

C. Amendments
A – H2020 Grant Agreement
Structure of the Grant Agreement

- Core Grant Agreement – cca 75 pages
- Data sheet – summary of core information – duration, beneficiaries, budget, start date, etc.

- Annexes:
  - Annex I – Description of the action
    - Part A – structured data – Beneficiaries list, Deliverables, Milestones, Work packages, Ethics list
    - Part B – narrative part from the proposal
  - Annex II – Estimated budget of the action
  - Annex III – Accession form
  - Annex IV – Model for the financial statement
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Core Grant Agreement

- List of beneficiaries
- Duration
- Reporting periods
- Maximum EU financial contribution
- Pre-financing and Guarantee Fund
- Bank Account
- All provisions necessary for GA implementation (review, termination, communication, ownership, etc.)
- Signature (electronic)

Copy to be given by the beneficiaries to the recruited/seconded fellows
Annex I: Description of the action

Research programme, recruitment/secondment planning, training, milestones and deliverables (no deviation allowed; before deciding on any modification please contact your PO)

All reports (Progress, Periodic, Final) will be assessed with respect to the Annex I

Copy to be given by the beneficiaries to the recruited/seconded fellows
Annex II: Estimated budget of the action

- 1 line per beneficiary
- Researcher's months multiplied by the rates defined in the Work Programme
- Basis for reporting of costs

Copy to be given by the beneficiaries to recruited/seconded fellows
## Model Annex 2 for H2020 MSC-ITN — Multi

### Estimated Budget for the Action

<table>
<thead>
<tr>
<th>Form of costs 5</th>
<th>Number of units (person-months)</th>
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<table>
<thead>
<tr>
<th>Estimated eligible 6 costs (per budget category)</th>
<th>EU contribution</th>
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<tr>
<td>A. Costs for recruited researchers</td>
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<tr>
<td>A.1 Living allowance</td>
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<td>A.2 Mobility allowance</td>
<td></td>
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<tr>
<td>A.3 Family allowance</td>
<td></td>
</tr>
<tr>
<td>B. Institutional costs</td>
<td></td>
</tr>
<tr>
<td>B.1. Research, training and networking costs</td>
<td></td>
</tr>
<tr>
<td>B.2. Management and indirect 4 costs</td>
<td></td>
</tr>
<tr>
<td>Total costs</td>
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</tr>
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</table>

<table>
<thead>
<tr>
<th>Reimbursement rate %</th>
<th>Maximum EU contribution</th>
<th>Maximum grant amount 3</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</table>

<table>
<thead>
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<th>Total a 6</th>
<th>Costs per unit</th>
<th>Total b 6</th>
<th>Costs per unit</th>
<th>Total c 6</th>
<th>Costs per unit</th>
<th>Total d 6</th>
<th>Costs per unit</th>
<th>Total e 6</th>
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<td>Total consortium</td>
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</table>

1. See Article 6 for the eligibility conditions
2. This is the theoretical amount of EU contribution that the system calculates automatically (by multiplying all the budgeted costs by the reimbursement rate). This theoretical amount is capped by the ‘maximum grant amount’ (that the Commission/Agency decided to grant for the action) (see Article 5.1).
3. The ‘maximum grant amount’ is the maximum grant amount decided by the Commission/Agency. It normally corresponds to the requested grant, but may be lower.
4. The indirect costs covered by the operating grant (received under any EU or Euratom funding programme; see Article 6.3(b)) are ineligible under the GA. Therefore, a beneficiary that receives an operating grant during the action’s duration cannot declare indirect costs for the year(s)/reporting period(s) covered by the operating grant (i.e. the unit cost for management and indirect costs will be halved for person-months that are incurred during the period covered by the operating grant).
5. See Article 5 for the form of costs
6. Total = costs per unit x number of units (person-months)
7. The amount for the family allowance (250 EUR) represents the average unit cost (with family 500 EUR; without family 0 EUR). For the financial statements (Annex 4), the beneficiaries must adjust this amount according to the actual family status of the recruited researchers.
Annex III: Accession form

- 1 per beneficiary (except of the coordinator)
- To be signed electronically by LSIGN within 30 days after GA signature
- Automatic reminders by the system
Annex IV: Financial statement

- 1 per beneficiary (including the coordinator)
- To be signed electronically by FSIGN when reporting period is due
- Automatic reminders by the system
**Financial statement**

MODEL ANNEX 4 FOR MSC ITN

**FINANCIAL STATEMENT FOR BENEFICIARY**

<table>
<thead>
<tr>
<th>Name of the beneficiary</th>
<th>Number of units (researcher months)</th>
<th>Eligible* costs (per budget category)</th>
<th>EU contribution</th>
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<tr>
<td></td>
<td></td>
<td>A. Costs of recruited researchers</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>A.1. Living allowance</td>
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</tr>
<tr>
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<td></td>
<td>A.2. Mobility allowance</td>
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<td>A.3. Family allowance</td>
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<td>B. Institutional costs</td>
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<td>B.1. Research, training and networking costs</td>
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<td>B.2. Management and indirect costs</td>
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<tr>
<td></td>
<td></td>
<td>Total costs</td>
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</tr>
<tr>
<td></td>
<td></td>
<td>Reimbursement rate %</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Maximum EU contribution **</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Maximum grant amount</td>
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<tr>
<th>Form of costs***</th>
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<th>Costs per unit</th>
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<th>Costs per unit</th>
<th>Total (b)</th>
<th>Costs per unit</th>
<th>Total (c)</th>
<th>Costs per unit</th>
<th>Total (d)</th>
<th>Costs per unit</th>
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</table>

**Checkbox:** I confirm that the total amount of the allowances used (including compulsory deductions) for the researcher is equal to or higher than the living allowance, the mobility allowance and the family allowance as set out in Annex 2 of the Agreement or any underpayments in Reporting Period 1 will be corrected by the end of the action.

The beneficiary hereby also confirms that:
- The information provided is complete, reliable and true.
- The costs declared are eligible (see Article 6).

The costs can be substantiated by adequate records and supporting documentation that will be produced upon request or in the context of checks, reviews, audits and investigations (see Articles 17, 18 and 23).

The beneficiary must declare all eligible costs, even if - for actual costs, unit costs and flat-rate costs - they exceed the amounts indicated in the estimated budget (see Annex 2). Amounts not declared in the individual financial statement will not be taken into account by the Agency.

* See Article 6 for conditions for costs to be eligible.

** This is the theoretical amount of EU contribution if the reimbursement rate is applied to all budgeted costs. The theoretical amount of EU contribution for the action is capped by the maximum grant amount.

*** See Article 5 for forms of costs.

**** Total = Costs per unit × Number of units (researcher months)

***** Name of the researcher and related units for living (A.1) and family (A.3) allowances will be prefilled on the basis of the information provided by the beneficiary in the 'researcher declaration'.
Role of the Coordinator

Article 41.2b of the GA

- Monitor implementation of the action
- Act as intermediary for all communication between consortium and the REA
- Request and review any document or information required by the REA
- Submit the deliverables and reports to the REA
- Ensure payment to other beneficiaries without delays
- Inform the REA of the amounts paid to each beneficiary, if required
- Etc.

Coordinator cannot delegate those tasks to other beneficiaries or subcontract to a third party
Role of the Beneficiaries

Article 41.2a of the GA

• Inform the coordinator of any events likely to affect the implementation of the action
• Submit to the coordinator timely
  • Individual financial statement
  • Data needed to draw up the technical reports
  • Ethics committee documents and information
  • Any other needed documents
• Etc.

Beneficiaries are jointly liable for the technical implementation of the action. If a beneficiary fails to implement part of the action, other beneficiaries become responsible for it without any additional EU contribution.

Beneficiaries have individual responsibility for their own financial statement.
B - Reporting
Monitoring Project Implementation

The Agency must monitor the activities of the projects in order to assess and verify:

- that the beneficiaries implement the project as described in the Annex 1 of the Grant Agreement (GA) (Description of the action – DoA).
- the eligibility of the costs claimed.

In order for the Agency to verify that the project is implemented properly, the beneficiaries must submit any information requested, and in particular the deliverables and reports detailed in the GA.

Project Officers monitor projects. External experts may assist.
Participant Portal (PP) is the entry point to submit:

- Project Reports
- Researchers declarations for all researchers
- Other documents (e.g. Notification of Starting date, Amendment)
- "My Area" – "My projects" tab
Principles of submission in H2020

- **Forms and templates provided in the electronic exchange system (PP)**
- **Two-step submission process:**
  1. Beneficiary ➔ Coordinator
  2. Coordinator ➔ REA
- **No paper signed document, only electronic submission**
- **Process more automated**
Monitoring Project Implementation - Timing

1. Continuous reporting: Monitoring project implementation is a continuous task that can take place at any moment during the active period of the project.

2. Periodic reporting: There are key contractual tasks that make project monitoring most relevant at certain periods in project's life, in particular after each reporting period at the time of payments.
Monitoring Project Implementation - Timing

1. Continuous reporting (during whole project life cycle, whenever needed)
   - Researchers' declarations (art. 19 of the GA)
   - Deliverables
   - Publications
   - Questionnaires
   - Progress Report
   - Mid-term meeting
   - etc.

2. Periodic reporting
   - Reports from art. 20 of the GA
   - Predefined templates in the system
1 – Continuous Reporting
How to – IT tools

✓ Continuous reporting module
✓ Periodic reporting module
Continuous reporting module

Deliverables plus Periodic Reporting information that can be optionally entered at any time during the life of the project
Log on to the Participant Portal. "My Area"
Go to “My Projects” section. Then click on MP icon so to reach Participant Portal Grant Management Services.
Continuous Reporting Module
Researcher's Declaration:

- Art. 19 of the GA
- To be submitted by each beneficiary for all researchers

Contains:

- personal data (name, date of birth, nationality, gender, family charges, email of researcher, etc.)
- Data related to the project allowances: start date and end date of recruitment/secondment, hosting institution, etc.
Researcher's Declaration – step 1:

**Project researcher library:**

- Each beneficiary can add researcher and fill in all personal data
- It is saved in the project database
- Once RD needs to be created, researcher's data are taken automatically

**Advantages:**

- consistency of the data
- time saving
### Project's Researcher Library

<table>
<thead>
<tr>
<th>Fellow Id</th>
<th>First Name</th>
<th>Last Name</th>
<th>Gender</th>
<th>Birthday</th>
<th>Nationality</th>
<th>Submitted Declarations</th>
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### Researcher Declaration

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<th>Fellow Id</th>
<th>First Name</th>
<th>Last Name</th>
<th>Sending Organisation</th>
<th>Seconded Organisation</th>
<th>Start Date</th>
<th>End Date</th>
<th>Working Time Commitment</th>
<th>Status</th>
<th>Actions</th>
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<td>FULL_TIME</td>
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**Researcher's Declaration – step 2:**

Create RD:

According to GA – to be submitted within

- 20 days after recruitment (ITN)

- 20 days after the secondment (RISE): in case of split stays within 20 days after the start of the first stay

- 20 days after the start of the research training activities (COFUND)

- For researchers that already exist in the project library (all personal data are automatically prefilled)
### Researcher Declaration

<table>
<thead>
<tr>
<th>No</th>
<th>Fellow Id</th>
<th>First Name</th>
<th>Last Name</th>
<th>Sending Organisation</th>
<th>Secondment Organisation</th>
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<td>23-03-2015</td>
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</table>
RISE - How to report a split stay?

- Create and submit only **one Researcher's Declaration per secondment**.
- **In case of split stay, the practice should always be to add a new period in the researcher's declaration already created for the secondment.**
Deliverables:

- To be uploaded directly on the PP by the Coordinator
- Scientific deliverables and other deliverables as defined in the GA Annex 1

Progress report = deliverable:

WHEN

- Within 30 days after year 1 for ITN and RISE - Within 30 days after year 3 for RISE
- NO financial reports required

WHAT

- Template defined on the Participant Portal
- Attachments possible

HOW

- Via PP ➔ MP
Deliverable - Mid-Term Meeting:

- A deliverable for ITN and RISE
- Objectives
  - Meet with the project team
  - Update on the project progress
  - Discuss any questions, concerns, difficulties
  - Find solutions
- Not just a scientific evaluation, but a unique opportunity to exchange views
- Useful?
  - Consortium and fellows on spot help in case of problems
  - REA future planning of MSCA
Deliverable's status (draft, pending, submitted, approved, rejected):
• The status of the deliverable is 'Pending' when a deliverable hasn't been uploaded yet.
• When the status is displayed with a red background (Pending) this means that the estimated delivery date has passed.
• If the deliverable’s estimated delivery date falls in a given reporting period and the deliverable is not submitted here on time, before the periodic report is "Locked for review", participants will be asked to justify the delay (in the Periodic Reporting module).
• Before submission a comment can be added and user is asked for confirmation whether s/he wants to submit.
• Each time a deliverable has been submitted, the EU Officers will be notified.
• Each time the EU Officers reject the deliverable, the Coordinator Contacts and the Participant Contacts are notified through the Participant Portal Notification System.
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- **Required fields:** All fields are mandatory.
- **Recommended:** Strongly recommended to upload at least one image under "Publishable Summary's associated images".
Questionnaires:

- **WHAT**
  - Evaluation questionnaire - at the end of the recruitment/secondment
  - Follow-up questionnaire - two years after recruitment/secondment

- **WHO**
  - Each recruited/seconded researcher

- **HOW**
  - Via PP ➔ MP
2 – Periodic Reporting
Periodic reporting obligations

- **Periodic Report** (within 60 days following the end of each reporting period)
  - Periodic technical report
  - Periodic financial report
- **Final Report** (in addition to the periodic report for the last reporting period)
  - Final technical report – summary for publication
  - Final financial report (final summary financial statement created automatically by the electronic exchange system, consolidating the individual financial statements for all reporting periods)

Electronic submission via the Participant Portal

Article 20 of the GA
Periodic report - template

✓ Template for periodic report for RIA, IA, CSA, SME inst and MSCA, published in the Participant Portal

✓ Part A
✓ Part B
Periodic report - technical report

✓ Part A
  ✓ Publishable summary
  ✓ Deliverables, milestones, risks, etc.
  ✓ Answers to the questionnaire (H2020 KPI*)

✓ Part B – narrative part
  ✓ Explanation of the work carried out by the beneficiaries and overview of progress
  ✓ Update of the plan for exploitation and dissemination of results
  ✓ Explanations on deviations from DoA

* Key Performance Indicators
Periodic report - financial report

- Individual financial statements (Annex 4 to the GA)
- A periodic summary financial statement including the request for payment

Report generated automatically by the IT tool based on the information entered through the Periodic Reporting module.
Periodic reporting module

Information to be entered after the end of each Reporting Period

External users: how to
Periodic reporting module
(Activated after the end of each reporting period)

- Beneficiaries complete on-line the financial statements.
- Coordinator uploads the Part B of the periodic technical report (narrative part).

Automatic activation except if an amendment with financial implications is on-going or a previous periodic report is still open.

At the time the coordinator submits the periodic report, the IT tool will capture the information from the continuous reporting module in order to generate automatically the Part A of the Periodic report.

Make sure the information in the continuous reporting module is complete and up-to-date before the periodic report is 'locked for review'.
Periodic Reporting Module
Final report (Art 20 of GA)

- **WHEN**
  Within *60 days* following the end of the last reporting period

- **WHAT**
  - Report covers whole project period
  - **Final technical report**
  - **Final financial report** (final summary financial statement created automatically by the electronic exchange system, consolidating the individual financial statements for all reporting periods)
  - To be submitted together with Periodic report for last RP

- **HOW**
  Via PP ➔ MP
Periodic reporting module – summary of steps

1. **Notification**: All beneficiaries receive a notification.

2. **Beneficiaries complete PR and e-sign FS**: All beneficiaries complete their own Financial Statement and their contribution to the Technical Part of the Periodic Report. Beneficiaries e-sign and submit their Financial Statements to the Coordinator.

3. **The Coordinator approves & submits the elements of the Periodic Report**. Coordinator submits all reports in one package – **Single Submission**.

4. **The EU Services review** the submitted Periodic Report and accept or reject it.

5. **Interim or Final Payment**

   NB: In case of need the Coordinator may decide to submit package without some Form Cs (beneficiaries didn't submit Form C on time and blocking payment for whole consortium), those beneficiaries will not have any opportunity to submit their Form C within the same reporting period, only in the next reporting period!
Notifications

➢ WHAT

➢ LEAR directly via PP

➢ To notify about changes in the organization legal data - address, name, universal transfer of rights, etc.

➢ HOW

Via PP ➔ My Area ➔ My Organization
Amendments

WHAT

- Changes in the Grant agreement (e.g. change in consortium, modification of Annex I, etc.)
- **H2020 online manual (Amendments)**
- **With prior agreement of Project Officer**

HOW

Via PP ➔ MP

This presentation shall neither be binding nor construed as constituting commitment by the European Commission
After the grant agreement is signed by Coordinator and by REA
Choose one of the options below

**Launch new Consortium Requested Amendment**

You may launch a new amendment request to the Service. For termination of the grant, please choose the last option. Different requests can be launched in parallel although it is strongly recommended to limit the number of draft requests. Once an amendment is processed and accepted by both parties, draft requests can be updated or invalidated by the system in order to reflect the latest legal basis. The new amendment will be launched based on the grant agreement data.

**Send a Formal Notification to the Service**

At any time, you may wish to upload a PDF document and send it to the Service via the electronic system. The uploaded file will be sealed and sent to the officer in charge. The formal notification will be accessible from the document library.

**Send an informal message or question to the Service**

At any time, you may wish to informally exchange messages or ask questions to the Service via the electronic system. If your query is related to an ongoing process, you’re encouraged to use the messages section of that process.

**Terminate the Grant Agreement**

Use this option only in case you wish to terminate the Grant Agreement and release the requested budget. The option to terminate the grant cannot be rejected by the Service. You’ll be prompted to submit the last reporting period.
## Work Packages

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**Project 700301 (Project 700301)**

**Call:** FP7 SPACE 2013-1

**Resp. Unit:** REA/5/07

**Duration:** 60
It is highly recommended to involve the PO during the amendment request preparation.
The Amendment Request can only be:

- Rejected (the whole) (with comments)
- Accepted (the whole) - 45 days
- Withdrawn by the initiating party

No other option; no 'negotiation'
Coordinator

- Progress report
- Periodic report
- Final report
- Amendments

Each beneficiary incl. Coordinator

- Financial Statement – FORM C
- Researchers' Declarations
- Notifications

Each researcher

- Questionnaires
Thank you for your attention!

http://ec.europa.eu/mariecurieactions

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REA-MSCA-H2020-RISE@ec.europa.eu
REA-MSCA-H2020-COFUND@ec.europa.eu