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OCA MESSAGES

 **This document contains different templates for ownership/control assessment messages.**

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OWNERSHIP/CONTROL ASSESSMENT — INVITATION (PNS-OCA-01)

RE: PIC No [insert PIC number] — Ownership control assessment — Request for documents (PNS-SME-01)

Dear Participant,

We are contacting you for an ownership control assessment of your organisation, as required under the rules for your EU funding application/grant/tender.

The assessment will be done in accordance with the [Rules for legal entity validation, LEAR appointment and financial capacity assessment](#) available on the Funding & Tenders Portal/How to participate/Reference Documents, under the responsibility of the EU service handling the funding/grant/tender.

Please upload the following documents in the Portal, within **5 days** after receiving this message:

1. Information on **changes** in your organisation's ownership and/or control since the last time you submitted this information (normally Ownership Control Declaration or previous ownership control assessment procedure).
2. **Graph** visualising the complete ownership structure/chain of control of your organisation, including all ownership layers until the ultimate owners.
3. Documentary evidence demonstrating **all direct and indirect shareholders** of your organisation, **up to the ultimate owners**, and their percentage of interest and voting rights (*e.g. commercial registry extracts; articles of association/incorporation documents/memorandum of association/company's shareholders book, etc. with the exact allotment of shares/voting rights, i.e. name of shareholders/members and their percentage of interest and voting rights*).
4. Statutes, articles of association, shareholders' agreement, memorandum of understanding among shareholders, investment agreements between the shareholders and/or other relevant documents providing evidence on:
 - the rights attached to the shares detained
 - the decision-making bodies, their composition as well as their members nationality or place of establishment (*where applicable*)
 - the relevant rules regarding election, appointment, nomination or tenure of members of the decision-making bodies
 - the decision-making procedures and quorums required.
5. Report/minutes of the last three shareholders meetings, together with the attendance list identifying the present/represented shareholders and their respective votes.

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6. ID documents proving the nationality of natural persons identified as the ultimate owners and who detain at least 5% of the capital or voting rights in the organisation.
7. Information and pertinent documents about any other means, processes or links ultimately conferring ‘control’, if applicable.

Important:

- The supporting documents must demonstrate **the complete ownership structure**, including all layers of ownership up to the ultimate owners, and should reflect the situation at the time you submitted the Ownership Control Declaration and any subsequent changes up to the present moment.
- The same documents and information should be provided for each intermediate legal entity holding directly or indirectly 5% or more of the capital or voting rights, up to the ultimate owners.
- When uploading ID documents, please use the document type ‘Ownership and control ID documents’, since this will allow us to ensure compliance with confidentiality and privacy rules.
- Further supporting evidence may be requested if the analysis of the above-listed documents does not allow to conclude on your organisation’s ownership/control situation.
- **Please use exclusively the task link that you have received in this notification** (*see below*). Do not use other document upload facilities in the Participant Register, since those uploads will not be registered for the ownership control assessment.
- You can provide documents in any official EU language (*if possible with a free translation in English, in order to facilitate the process*). Documents in other languages may be accepted if accompanied by a free translation in English. In case of doubt, the Central Validation Service has the right to request a certified/legal English translation.
- If in the course of this procedure you realise that your organisation does not comply with the ownership/control requirements, please inform immediately the Central Validation Service and the service in charge of the grant/tender. In this case, there is no longer any need to provide the above-mentioned documents/information.
- Any changes in the ownership/control structure that may occur later on during the lifecycle of your project/contract must be immediately notified to the service in charge of your grant/tender.

 Please, note that ownership control assessment is a mandatory requirement for the award of EU funding/grants/tenders (and for keeping the grants/contracts after they have been awarded).

Kind regards,

Central Validation Service
European Research Executive Agency

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Disclaimer:

 Please, note that this message does NOT constitute a commitment for the award of any funding, grant or tender.

You can access the Portal with your **EU Login** account to read the latest notifications and upload the requested documents. Please use [this task link](#) to upload the documents.

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FIRST REMINDER (OCA) (PNS-OCA-02)

RE: PIC No [insert PIC number] — Ownership control assessment — First reminder (PNS-SME-03)

Dear Participant,

We contacted you recently regarding documents required for the ownership control assessment of your organisation.

Please upload these documents in the Participant Register within **5 days** after receiving this message.

If you have technical difficulties uploading the documents, please check the [IT How To](#).

If the problem persists, you may send them to us by regular mail:

Central Validation Service
European Research Executive Agency
B-1049 Brussels
Belgium

Kind regards,

Central Validation Service
European Research Executive Agency

Disclaimer:

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You can access the Portal with your **EU Login** account to read the latest notifications and upload the requested documents. Please use [this task link](#) to upload the documents.

LAST REMINDER (OCA) (PNS-OCA-03)

RE: PIC No [insert PIC number] - Ownership control assessment - Last reminder (PNS-SME-03)

Dear Participant,

Despite several messages, we are still missing the documents which are needed for the ownership control assessment of your organisation.

If we do not receive them within **5 days** after you receive this message, it will not be possible to do the ownership/control assessment for your organisation.

We will not send any further reminders.

 Please note that without the ownership control assessment your organisation is not eligible for funding.

Kind regards,

Central Validation Service
European Research Executive Agency

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HISTORY OF CHANGES		
VERSION	PUBLICATION DATE	CHANGE
1.0	01.02.2022	Initial version.
2.0	01.09.2022	Minor editing and alignments. Addition of table of content. Links to language versions.