H2020-ITN-207
Coordinator's Info Day

REPORTING UNDER H2020

Michaela Bitsakis
Research Executive Agency
Unit REA.A1

Disclaimer: information not legally binding
Monitoring Project Implementation

- Covers technical, legal & administrative aspects.

- **Technical implementation**: project needs to be implemented as described in Annex 1 (Description of the action – DoA) of the Grant Agreement (GA).

- **Legal & administrative implementation**: the project's activities need to comply with the obligations under the GA.

- 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 specified in the GA.
Role of the Coordinator

- Article 41.2b of the GA

- Monitor that the action is implemented properly
- 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 that all payments to other beneficiaries are made without unjustified delay
- Inform the REA of the amounts paid to each beneficiary

Coordinator cannot delegate these tasks to any other beneficiary or subcontract them to a third party
Role of the Beneficiaries

- Article 41.2a of the GA
  - Keep the PP Beneficiary Register up to date
  - Inform the coordinator of events likely to affect the implementation of the project
  - Submit to the coordinator in good time
    - Individual financial statements
    - Data needed to draw up the technical reports
    - Ethics committee opinions/notifications/authorizations for activities raising ethics issues
    - Any other document required by the REA

**Beneficiaries are jointly liable for the technical implementation of the action.**
**Beneficiaries have individual responsibility for their own financial statement.**
Project timeline

Continuos Reporting
Publishable Summary, deliverables, milestones, critical risks, publications, patents, gender and Researcher Declarations.
Monitoring Project Implementation

- **CONTINUOUS REPORTING**: as soon as the GA is signed, the 'continuous reporting' module is available. Allows consortium to continuously update publishable summary, deliverables, milestones, researcher's declarations, etc. and allows the REA to monitor project.

- **MID-TERM CHECK**: after one year, a meeting is organized on-site to assess the project (Art. 19.1 of the GA).

- **PERIODIC REPORTING**: at the end of each reporting period, the coordinator has 60 days to submit a periodic and IFS (Art. 20 of the GA). At the end of the last reporting period a final report also needs to be submitted.

- **INTERIM/FINAL CHECK**: at the end of each reporting period, a check is organized to assess the progress of each reporting period (can be carried out remotely or on site with or without an expert).
Participant Portal (PP) is your entry point to submit:

- Progress, periodic and final reports
- Deliverables
- Researchers declarations
- Amendments
- Formal notifications
- Etc.

"My Area" – "My projects" tab
My projects

This page enables you to access all your EU projects managed via the Participant Portal that have been selected and approved for funding.

Depending on your roles, you can view or manage the following project-related tasks:

- Prepare and sign your grant agreement
- Submit amendments to your grant agreement
- Manage your scientific and financial reports
- View or manage roles and access rights in your projects consortia

If you are LEAR and want to see the full list of your organisation projects, please go to My Organisations and click on the action button VP. LEAR can only view the list of projects in which their organisation is involved. If you want to see project details, your organisation main contact for this project or the project Coordinator has to give you access rights. For more details see the H2020 online manual.

ModCompShock  H2020-MSCA-ITN-2014  642768  Active
Continuous reporting
Continuous reporting
(activated at the time project starts)

- Summary for publication
- Deliverables
- Milestones
- Publications
- Dissemination & Communications activities
- Patents (IPR)
- SME Impact (questionnaire on horizontal issues) – if applicable
- Open Data – if applicable
- Gender (questionnaire on horizontal issues)
- Researchers declarations
- Training activities
- Ethics (ABS regulation)
Summary for publication

The summary for publication should be written as a "stand-alone" text, in a language easily understandable by a broader public and must not contain any confidential data.

Summary of the context and overall objectives of the project (For the final period, include the conclusions of the action)

[ No text provided ]

Work performed from the beginning of the project to the end of the period covered by the report and main results achieved so far (For the final period please include an overview of the results and their exploitation and dissemination)

[ No text provided ]

Progress beyond the state of the art and expected potential impact (including the socio-economic impact and the wider societal implication of the project so far)

[ No text provided ]

Address (URL) of the project's public website

- All fields are mandatory.
- Strongly recommended to upload at least one image under "Publishable Summary's associated images".
Obligation to submit deliverables identified in Annex 1 (Art. 19.1 of the GA)

- The status of the deliverable is 'Pending' when a deliverable hasn't been uploaded yet and the delivery date has passed.
- Before submission a comment can be added.
- All beneficiaries can upload deliverables, but only the coordinator can submit them.
- Each time a deliverable has been submitted, the EU Officer will be notified.
- Each time the EU Officer rejects the deliverable, the Coordinator Contacts and the Participant Contacts are notified through the Participant Portal Notification System.
- Deliverables with a 'PUBLIC' dissemination level will be published as soon as they are approved by the EU officer; to change the dissemination level to 'CONFIDENTIAL', an amendment to the grant agreement is required.
• The milestones entered during the Grant Preparation are displayed here.
• It has to be indicated whether the milestone has been achieved or not and select the delivery date.
Only the publications linked to the project should be included.

The EU funding should be acknowledged.

It is expected to see ESRs as co-authors of the publications.

Joint publications are encouraged.

Each beneficiary must ensure open access (free of charge, online access for any user) to all peer-reviewed scientific publications relating to its results (Art. 29,2 of the GA).
Continuous reporting
Publications

Digital Object identifier: this is a unique string of characters allocated to a website, file, or other piece of digital information

The link leading to the Open Access repository

We need this information to answer one of the H2020 KPI. 'Both the joint publications coming from public and private project participants as well as from private/public project participants with public/private organisations outside the consortium (as long as they are related to the funded project) should be reported.'

The beneficiaries must answer YES to this question in the following cases:
- Joint publication coming from public and private project participants (for instances two participants, one from public sector and another from private sector are authors of the publication)
- Publication in which one or more participants from the public sector are authors, and the publication contains also author(s) from private sector who are not beneficiaries of the project
- Publication in which one or more participants from the private sector are authors, and the publication contains also author(s) from public sector who are not beneficiaries of the project

In summary the answer should be YES always that the publication has a mix of authors from public and private sectors.
Continuous reporting
Dissemination

In total funding amount, an estimation of the EU budget dedicated to the communication and dissemination activities should be indicated for statistical reasons.
This tab lists the Registered Intellectual Property Rights, which have been generated by the project.
Gender dimension in research analyses the various elements concerning biological characteristics and social/cultural factors of both women and men into the development of research policies and projects. See explanatory video.
Each beneficiary must submit a 'researcher declaration' within 20 days after the recruitment of each researcher (Art. 19.1 of the GA).
Continuous reporting
Researchers

- **First step – Project Researcher's library**: Researchers personal details can be encoded in the library serving as a database from which researcher's declarations (RDs) can be automatically created and prefilled with the data from the library.

- **Second step - Creation of (RDs) by each beneficiary**.

The GA specifies the assigned researchers in the action. The assignment is identified by a duration and the profile of the researcher, but without identifying exactly the person that will be assigned to the job. The RD is the document that links a specific researcher to one of the assignments.

- **The RDs contain**:
  - **Researcher information** (name, birth date, nationality, gender, family charges, email of researcher, last countries of activity, contract type, enrolment in PhD).
  - **Recruitment information**: recruitment organisation, country and sector.
  - **Recruitment period**: start date and end date of contract, working time commitment (full time, part-time, etc.).
• If something was wrongly encoded, a researcher's declaration can be re-opened by the EU officer and corrected by the beneficiary.

• **Secondments** are additional periods of research training with another beneficiary or partner organisation. All beneficiaries need to report all secondments which took place.

• There is an automatic calculation of the costs in the **Financial Statement** based on the duration (in person months) in the Researcher Declarations. The costs are not editable.

Thus RDs are the basis for IFS (Individual financial Statement) and need to be updated in case of change (particularly before submission of periodic reports).
List all countries of residence in the last 3 years, starting from the more recent.
Continuous reporting
Researchers

New Researcher Declaration

Destination Organisation

- Legal Name
- Country
- Sector

Import Recruitment from GAP
Continuous reporting
Researchers

Sick leave: periods for which the researcher was absent for more than 30 days cannot be charged to the action. They should be reported as a suspension.

Full time (100%)
Suspension (0%)
Part time (1-99%)
Maternity leave (0%)
Parental leave (0%)
This tab needs to list the network-wide training activities which were foreseen in the DoA and which took place.
Continuous reporting
ABS regulation

EU Access and Benefit Sharing Regulation (NAGOYA Protocol)

Important! Before answering the question below, please read the relevant information and complete the decision tree provided in the Participant Portal Online Manual.

Does this project fall within the scope of the EU Access and Benefit Sharing (ABS) Regulation?

☐ Yes

Necessity to inform about 'possible obligations under the ABS Regulation' for projects utilising genetic resources.

If a project utilises genetic resources and if it falls within the scope of the ABS regulation, this needs to be declared in SyGMA by the beneficiary. If this is the case, a declaration of due diligence needs to be submitted. This needs to be done before the end of the project.
Continuous reporting
SME & Open Data

Impact on SMEs

Questionnaire to measure the impact of H2020 Programme on growth and job creation in participating SMEs
Please add updated information on turnover of the company and number of employees (only for SME participants)

<table>
<thead>
<tr>
<th>Date</th>
<th>Type of data entry</th>
<th>Turnover</th>
<th>N of Employees</th>
</tr>
</thead>
<tbody>
<tr>
<td>31/12/2013</td>
<td>Beginning of Project</td>
<td>112,421.00 €</td>
<td>3</td>
</tr>
<tr>
<td>28/09/2017</td>
<td>Accountability Period</td>
<td>110,009.00 €</td>
<td>4</td>
</tr>
</tbody>
</table>

Open Data

This project does not currently have any Open Dataset
Mid-term check

Done with no expert.
The coordinator must organize a mid-term meeting at M13-15.

A progress report needs to be submitted beforehand.

The objective of the meeting will be to:
✓ Assess the recruitment progress and procedure.
✓ Clarify the eligibility rules for fellows.
✓ Raise awareness on the rights and obligations of fellows and beneficiaries.
✓ Assess any deviation of the original training programme.
✓ Define contingency plans if necessary.
Periodic reporting and interim/final checks

External expert may assist.
Periodic / Final Reporting – Payment requests (Art. 20 of the GA)

- The coordinator must submit a periodic report within 60 days following the end of each reporting period.

- The periodic report contains:

  (1) A Periodic technical report (part A & B):

  - Part A: generated by the IT system, based on information retrieved from continuous reporting.
  - Part B: narrative part with explanations of the work carried out (to be uploaded as pdf).
(2) A Periodic financial report containing:

- An *individual financial statement* from each beneficiary.

- A *periodic summary financial statement*, created automatically by the electronic exchange system, consolidating the individual financial statements for the reporting period concerned and including – except for the last reporting period – the request for interim payment.

➢ At the end of the project, in addition to the periodic report, the coordinator must submit a final report within 60 days following the end of the final period.
The final report contains:

1. A final technical report with a summary for publication containing:
   (i) an overview of the results and their exploitation and dissemination;
   (ii) the conclusions on the action, and
   (iii) the socio-economic impact of the action;

2. A final financial report containing a final summary financial statement, created automatically by IT-system, consolidating the individual financial statements for all reporting periods and including the request for payment of the balance.

Electronic submission via the Participant Portal; electronic signature
**Interim / final checks (Art. 22 of GA)**

- In order to assess the project's progress, including the assessment of the reports and deliverables of each reporting period, the REA will organize an interim / final check.

- The checks will be done remotely unless otherwise agreed with the PO.

- They could be carried out with the help of an external expert.
EU assessment of reports and payment (Art. 21.5 of the GA)

- When making payments, the REA will formally notify to the coordinator the amount due, specifying whether it concerns an interim payment or the payment of the balance.

- For the payment of the balance, the notification will also specify the final grant amount.

- In the case of reduction of the grant or recovery of undue amounts, the notification will be preceded by the contradictory procedure set out in Art. 43 and 44.
Concretely – how is the reporting done?

✓ At the end of each RP, all beneficiaries receive a notification and log on to the PP.

✓ All beneficiaries:
  • Contribute to the Technical Part of the Periodic Report
  • complete their own Financial Statement
  • E-sign and submit (PFSIGN) their Financial Statements to the Coordinator

✓ The Coordinator approves and submits the elements (Technical Part and Financial Statements) of the Periodic Report.

✓ The REA reviews the submitted reports and accepts or rejects them.

✓ The REA issues the interim payment / payment of the balance.
Periodic Reporting module
Participant Portal
All beneficiaries are asked to contribute to the Technical Part of the Periodic Report.
- The template for Part B of the Periodic Report will be available in this page.
- Template also available in the Participant Portal: Template Periodic Report

While the periodic reporting module is active beneficiaries can also update information in the continuous reporting. There is synchronization between the two modules until the coordinator 'locks for review' the periodic reporting.
Once all information for the Technical Part has been filled in, the coordinator* clicks on "Lock for Review".
This action freezes the data and generates a PDF document.

*Only users with the role Primary Coordinator Contact and Coordinator Contact can perform this action.
The Technical Part of the Periodic Report can be reviewed by the beneficiaries by clicking on the PDF icon.

Once reviewed, the Technical Part of the Periodic Report can either be unlocked for further editing or accepted for submission to the EU Services by the coordinator* (click the button Accept & Include).

*Only users with the role Primary and Coordinator Contact can perform this action.
Beneficiaries are asked to complete their own Financial Statement.

Task to be performed by each beneficiary.
**Individual financial statements**

Automatically filled in from Researcher’s declarations

Number of units filled in from Researcher’s declarations

Automatically filled in based on unit costs

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### Table: Financial Statement

<table>
<thead>
<tr>
<th>Name of the fellows</th>
<th>Number of units (person-months)</th>
<th>Costs per unit</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Costs for recruited researchers

- A.1 Living allowance
- A.2 Mobility allowance
- A.3 Family allowance

#### Institutional costs

- B.1 Research, training and networking costs
- B.2 Management and indirect costs

### Total costs

- Reimbursement rate
- EU contribution
- Requested EU contribution

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**Checkbox 1:**

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 3 of the Agreement or that any underpayments in Reporting Period 1 will be corrected by the end of the action.

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**Checkbox 2:**

Did you receive any EU/Erasmus operating grant during this reporting period? **YES** **NO**

If yes, please indicate how many of the total person-months (see 'total beneficiary' above) were incurred during the period covered by the operating grant?

Number of person-months
### Financial Statement for period 1: 01 Jan 2015 - 31 Dec 2016 (Period No. 1)

<table>
<thead>
<tr>
<th>Period</th>
<th>Adjustment</th>
<th>Requested Contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>01 Jan 2015 - 31 Dec 2016 (Period No. 1)</td>
<td>No</td>
<td>€239,500.55</td>
</tr>
</tbody>
</table>

#### Eligible costs:

**A) Costs of recruited researchers**

<table>
<thead>
<tr>
<th>Cost Category</th>
<th>Unit Cost</th>
<th>Number of Units</th>
<th>Subtotal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Living allowance</td>
<td>1,240.73 €</td>
<td>x 17.00</td>
<td>55,143.41 €</td>
</tr>
<tr>
<td>Mobility allowance</td>
<td>600.00 €</td>
<td>x 17.00</td>
<td>10,200.00 €</td>
</tr>
<tr>
<td>Family allowance</td>
<td>0.00 €</td>
<td>x 18.00</td>
<td>0.00 €</td>
</tr>
</tbody>
</table>

**B) Institutional costs**

<table>
<thead>
<tr>
<th>Cost Category</th>
<th>Unit Cost</th>
<th>Number of Units</th>
<th>Subtotal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research, training and networking costs</td>
<td>1,800.00 €</td>
<td>x 35.00</td>
<td>60,000.00 €</td>
</tr>
<tr>
<td>Management and indirect costs</td>
<td>1,200.00 €</td>
<td>x 35.00</td>
<td>42,000.00 €</td>
</tr>
</tbody>
</table>

**C) Total costs ( = A + B)**

| Total | €239,500.55 |

**D) Maximum EU contribution ( = 100% * C)**

| Total | €239,500.55 |

**E) Requested EU contribution**

| Total | €239,500.55 |

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**Did you receive any EU/Euratom operating grants during this reporting period?**

- Yes
- No

Please indicate how many of the total person-months were incurred DURING the period covered by the operating grant.
• Once all information has been filled in and saved, click on Lock for Review.
• The generation of the PDF might take a few minutes.
• The Financial Statement can be reviewed by clicking on the PDF icon.
• Only users with the roles Participant Contacts, Project Financial Signatories and Task Managers can perform this action.
• To electronically sign & submit the Financial Statement click the button Sign & Submit.
• Only users with the role **Project Financial Signatory (PFSIGN)** can perform this action.
• The Coordinator approves the elements of the Periodic Report by explicitly including them in the Periodic Report & submits all reports to the EU Services (click on the task Periodic Report composition).

<table>
<thead>
<tr>
<th>Report Element</th>
<th>Status</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Technical report</td>
<td>Included</td>
<td></td>
</tr>
<tr>
<td>Technical Part of Periodic Report</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Financial report</td>
<td>Draft</td>
<td></td>
</tr>
<tr>
<td>Financial Statement</td>
<td>Draft</td>
<td></td>
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<tr>
<td>Financial Statement</td>
<td>Draft</td>
<td></td>
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<tr>
<td>Financial Statement</td>
<td>Sent to CO</td>
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<tr>
<td>Financial Statement</td>
<td>Draft</td>
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<td>Financial Statement</td>
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<tr>
<td>Financial Statement</td>
<td>Draft</td>
<td></td>
</tr>
</tbody>
</table>
Once the elements of the Periodic Report are approved, the Periodic Report can be submitted to the EU Services in one single submission.

Only users with the role Primary Coordinator Contact and Coordinator Contact can perform this action.
Formal notifications & Messaging
A formal notification is the sending of a registered document by an EU officer or a beneficiary (Participant Contacts (PACOs) or Coordinator Contacts (CoCos)).

Formal notifications should be used for correspondence requiring acknowledgement of receipt in the scope of:

- art 17.1 of the Model Grant Agreement (obligation to provide information)
- art 17.2 of the Model Grant Agreement (obligation to inform)
- art 50.1 of the Model Grant Agreement (termination of the Grant Agreement)
- art 50.2 of the Model Grant Agreement (termination of participation of one or more beneficiaries)
Formal notification
For non formal communication with the EU, the messaging facility should be used.
Thank you for your attention!