
# H2020 Programme

## Periodic and Final Reports Template
## (ERA-NET Cofund, PCP, PPI)

Version 2.1
19 December 2017



Research and Innovation

## Structure of the Periodic and Final Reports

The periodic report must be submitted by the coordinator within 60 days following the end of each reporting period.

**ERA-NET Cofund**

The first periodic report includes:

a) a periodic technical report
b) the ranking list(s) of the projects
c) the observers' report on the evaluation
d) the join selection list of the projects to be funded
e) from each beneficiary participating in the joint call, a formal and duly signed commitment on availability of funds (Annex 7 to the Grant Agreement (GA))
f) a statement on the use of the first pre-financing payment (Annex 8 to the GA), including the request for a second pre-financing payment.

In case of three pre-financing payments, the second periodic report includes:

a) a periodic technical report
b) a statement on the use of the second pre-financing payment (Annex 8 to the GA), including the request for a third pre-financing payment.

The final report includes:

a) a final technical report
b) a final financial report

**PCP/PPI**

The first periodic report includes:

a) a periodic technical report
b) call for tender documents
c) report of the outcome of the preparatory phase
d) from each beneficiary participating in the joint procurement, a formal and duly signed commitment on availability of resources (Annex 7 to the Grant Agreement (GA))
e) a statement on the use of the first pre-financing payment (Annex 8 to the GA), including the request for a second pre-financing payment.

In case of three pre-financing payments, the second periodic report includes:

a) a periodic technical report
b) a statement on the use of the second pre-financing payment (Annex 8 to the GA), including the request for a third pre-financing payment.

The final report includes:

a) a final technical report
b) a final financial report

The **periodic technical report** consists of two parts:

- **Part A** of the periodic technical report contains the cover page, a publishable summary and the answers to the questionnaire covering issues related to the project implementation and the economic and social impact, notably in the context of the Horizon 2020 key performance indicators and the Horizon 2020 monitoring requirements. Part A is **generated by the IT system. It is based on the information entered by the**

**participants through the periodic report and continuous reporting modules of the electronic exchange system in the Participant Portal.** The participants can update the information in the continuous reporting module at any time during the life of the project.

- **Part B** of the periodic technical report is the narrative part that includes explanations of the work carried out by the beneficiaries and an overview of the progress towards the objectives of the project. Part B needs to be uploaded as a PDF document following the template of Part B Periodic Technical report.

The **final technical report** consists of a publishable summary and it is **generated by the IT system based on the information entered by the participants through the continuous reporting module of the electronic exchange system in the Participant Portal**.

The **final financial report** consists of:

- Individual financial statements (Annex 4 to the GA) for each beneficiary;
- Explanation of the use of resources and the information on subcontracting and in-kind contributions provided by third parties from each beneficiary;
- A summary financial statement including the request for payment of the balance.
- A certificate on the financial statements (CFS) for each beneficiary (and linked third parties) if it requests a total contribution of EUR 325 000 or more, as reimbursement of actual costs and unit costs.

All the parts of the final financial report, with the exception of the CFS, are **generated by the IT system based on the information entered by the participants through the periodic reporting module of the electronic exchange system in the Participant Portal**. The CFS must be uploaded in this module as a PDF document.

**Preparation and submission of periodic and final reports**

- **Continuous reporting functionality** in the participant portal: it is activated at the time the project starts and it is continuously open for the beneficiaries to submit deliverables, to report on progress in achieving milestones, to follow up of critical risks, ethics issues, publications, communications activities, and the answers to the questionnaire on horizontal issues.

For ERA-NET Cofund the parts b, c and d of the periodic report:

b) the ranking list(s) of the projects
c) the observers' report on the evaluation
d) the join selection list of the projects to be funded

are submitted as deliverables through the continuous reporting module.

- **Periodic reporting functionality** in the participant portal: following the end of each reporting period the functionality of periodic reporting in the Participant Portal will be activated. While the periodic reporting session is open in the electronic exchange system:

- coordinator will be able to upload the **Part B of the periodic technical report** as a pdf document.
- each beneficiary participating in the joint call or procurement will be able to complete on-line a commitment on availability of funds (Annex 7 to the Grant Agreement (GA));
- coordinator will be able to complete on-line a statement on the use of the first (second) pre-financing payment (Annex 8 to the GA);
- For PCP/PPI coordinator will be able to upload the t as a pdf documents, parts b and c of the periodic report:
  b) call for tender documents
  c) report of the outcome of the preparatory phase
- For the final period: each participant will be able to complete on-line their own financial statement (and the financial report of their third parties, if any) including the explanations on the use of resources;

When the coordinator submits the periodic report, the IT tool will capture the information from the continuous reporting module in order to generate **the Part A of the periodic technical report**. The IT tool will consolidate the individual financial statements and it will generate automatically the report with explanations of the use of resources and the summary financial statements, which corresponds to the request for payment.

⚠ The periodic technical report will be 'locked for review' by the coordinator before its submission. Make sure the information in the continuous reporting module is up-to-date before the periodic report is 'locked for review'. Updates entered after this step will be included in the periodic report of the following period.

- **Instructions and footnotes in blue will not appear in the text generated by the IT system.**
- **For options *[*in square brackets*]*: the option that applies must be chosen in the IT system. Options not chosen will automatically either not appear or appear as 'not applicable'.**
- **For fields in [grey in square brackets] (even if they are part of an option as specified in the previous item): enter the appropriate data in the IT system.**
- **Data in coloured fields will be prefilled by the IT tool.**



# PERIODIC REPORT

| | |
|---|---|
| **Grant Agreement number:** | [insert Grant Agreement number] |
| **Project[1] Acronym:** | [insert acronym] |
| **Project title:** | [insert project title] |
| **Start date of the project:** | [insert dd/mm/yyyy] |
| **Duration of the project:** | [insert duration in months] |
| **Period covered by the report**: | from [insert dd/mm/yyyy] to [insert dd/mm/yyyy] |
| **Periodic report:** | *[*1st*] [*2nd*] [*3rd*]* |
| **Date of submission of the periodic report:** | [insert dd/mm/yyyy] |
| **Version:** | [insert number] |
| **Project website[2] address:** | [insert website address] |
| **The report is elaborated on the basis of the:** | - Original Grant agreement<br>- Amended Grant Agreement through amendment n° [insert number] |

**(*)Table is completed automatically**

[1] The term 'project' used in this template equates to an 'action' in certain other Horizon 2020 documentation

[2] The home page of the website should contain the European flag which are available in electronic format at the Europa website (European flag: http://europa.eu/abc/symbols/emblem/index_en.htm) and the Horizon 2020 programme name.

## 1. Summary for publication

This section is structured in three sub-sections that must be completed on-line with suitable quality to enable direct publication by the Commission/Agency. It should be easy to read i.e. written in a language easily understandable by a broader public, thereby promoting the dissemination and supporting the exploitation of EU funded results. It should preferably not exceed 7480 characters (equivalent to two pages of a text document). This part must not contain any confidential data.

The summary for publication must be drafted as a "stand-alone" text. No references should be made to other parts of the report. References can be made only to publicly available information.

Beside the summary filled within the tool, diagrams or photographs illustrating and promoting the work of the project can be provided (only as images)[3].



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

This section must be completed on-line (see above).

### 1.2 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)

This section must be completed on-line (see above).

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

This section must be completed on-line (see above).

[3] Any rights of third parties must be cleared in advance in accordance with the GA.

## 2. Deliverables

| Del. no. | Deliverable name | WP no. | Lead beneficiary | Type | Dissemin. level | Delivery date from Annex 1 | Actual delivery date | If deliverable not submitted on time: Forecast delivery date if appropriate | Status | Comments |
|---|---|---|---|---|---|---|---|---|---|---|
| [insert deliverable number] | [insert deliverable name] | [insert WP number] | [insert beneficiary short name] | [R] [DEM] [DEC] [OTHER] | [PU] [CO] [CI] | [insert month number] | [insert dd/mm/yyy] | [insert dd/mm/yyyy] | [Not submitted] [Request for revision] [Not assessed yet] [Not valid] [Accepted] | [insert comments] |

(*) Data in coloured fields will be prefilled by the IT tool.

## 3. Milestones

| Milest. no. | Milestone title | Related WP(s) no. | Lead beneficiary | Delivery date from Annex 1 | Means of verification | Achieved | If not achieved Forecast achievement date | Comments |
|---|---|---|---|---|---|---|---|---|
| [insert MS number] | [insert milestone name] | [insert WP number] | [insert beneficiary short name] | [insert dd/mm/yyyy] | [insert means of verification as in Annex 1 ] | [YES] [NO] | [insert dd/mm/yyyy] | [insert comment if needed ] |

(*) Data in coloured fields will be prefilled by the IT tool.

## 4. Ethical Issues (if applicable)

| Ethic deliverables | Due date of the compliance of the ethic deliverables | Report of the independent ethics advisor/ advisory board if applicable | Comments |
|---|---|---|---|
| [insert requirement as in Annex 1 ] | [insert dd/mm/yyyy] | [Not submitted] [Submitted] | [insert comment |

(*) Data in coloured fields will be prefilled by the IT tool.

## 5. Critical implementation risks and mitigation actions

At the end of each period beneficiaries should give the state of play of every risk identified in Annex 1 and if necessary give new mitigation measures.

### Foreseen Risks

The following table lists the Risks identified in Annex 1. The table is read-only and it is provided as a reference for the State of Play table below.

| Risk Number | Description of Risk | Work Packages Concerned | Proposed risk-mitigation measures |
|---|---|---|---|
| [insert risk number as in Annex 1] | [insert risk description as in Annex 1] | [insert WP number] | [insert mitigation measure as in Annex 1] |

**(*) Data in coloured fields will be prefilled by the IT tool.**

### Unforeseen Risks

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| Risk Number | Description of Risk | Work Packages Concerned | Proposed risk-mitigation measures |
|---|---|---|---|
| [insert unforeseen risk number] | [insert risk description] | [insert WP number] | [insert mitigation measure] |

### States of the Play for Risk Mitigation

| Risk Number | Period | Did you apply risk mitigation measures? | Did your risk materialise? | Comments |
|---|---|---|---|---|
| [risk number] | [period number] | [YES]<br>[NO] | [YES]<br>[NO] | [insert comment if needed; mandatory if the risk mitigation measures have not been applied] |

## 6. Dissemination and exploitation of results

### 6.1 Scientific publications

Publications accessible via OpenAIRE will be displayed automatically. Beneficiaries will only need to check if the publications are linked to the project.

In case of publications not registered via OpenAIRE, the beneficiary encodes the Digital Object Identifier (DOI) and all the rest of information is complete automatically.

| Type of scientific publication | Title of the scientific publication | DOI | ISSN or eSSN | Authors | Title of the journal or equivalent | Number, date | Publisher | Place of publication | Year of publication | Relevant pages | Public & private publication[4] | Peer-review | Is/Will open access provided to this publication |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| [Article in journal]<br>[Publication in conference proceeding/workshop]<br>[Books/Monographs]<br>[Chapters in books]<br>[Thesis/dissertation] | [insert title of the publication] | [insert DOI reference] | [insert ISSN or eSSN number] | [insert authors' name(s)] | [insert title of the journal] | [insert number of the journal]<br>[insert month of the publication]<br>[insert year of the publication] | [insert name of the publisher] | [insert place of publication] | [insert year of the publication] | [insert first page of the publication] - [insert last page of the publication] | [YES]<br>[NO] | [YES]<br>[NO] | [Yes - Green OA [insert the length of embargo if any]]<br>[Yes - Gold OA [insert the amount of processing charges in EUR if any]]<br>[NO] |

**(*) Data to be completed only if DOI not available.**

[4] Both the joint publications coming from academic and corporate project participants as well as joint publications of project participants with academic/corporate organisations outside the consortium (as long as they are related to the funded project) should be reported.

### 6.2 Dissemination and communication activities

List only activities directly linked to the project.

| Type of dissemination and communication activities | Number |
|---|---|
| [Organisation of a Conference]<br>[Organisation of a workshop]<br>[Press release]<br>[Non-scientific and non-peer reviewed publications (popularised publications)]<br>[Exhibition]<br>[Flyers]<br>[Training]<br>[Social media]<br>[Web-site]<br>[Communication campaign (e.g radio, TV)]<br>[Participation to a conference]<br>[Participation to a workshop]<br>[Participation to an event other than a conference or workshop]<br>[Video/film]<br>[Brokerage event]<br>[Pitch event]<br>[Trade fair]<br>[Participation in activities organised jointly with other H2020 project(s)]<br>[Other] | [insert number of activities] |
| **Total funding amount** | [insert amount in EUR] |

**(*) One row per type of activity selected from the drop-down menu in the IT tool.**

| **Type of audience reached**<br>**In the context of all dissemination & communication activities**<br>('multiple choices' is possible) | **Estimated Number of persons reached** |
|---|---|
| [Scientific Community (higher education, Research)]<br>[Industry]<br>[Civil Society]<br>[General Public]<br>[Policy makers]<br>[Medias]<br>[Investors]<br>[Customers]<br>[Other] | [insert number] |

**(*) One row per type of activity selected from the drop-down menu in the IT tool.**

## 6.3 Intellectual property rights resulting from the project

| Type of IP Rights | Application reference | Date of the application | Official title of the application | Applicant(s) | Has the IPR protection been awarded? | If available, official publication number of award of protection |
|---|---|---|---|---|---|---|
| [Patent]<br>[Trademark]<br>[Registered design]<br>[Utility model]<br>[Other] | [Option for international applications of patents [insert IP international organisation code] [insert serial number]]<br><br>[Option for national applications of patents [insert country code (two letters)] [insert serial number]]<br><br>[Option for other registered IPR [insert application reference country code (two letters) or organisation code)] [insert alfa numeric identifier]] | [insert dd/mm/yyyy] | [insert title of the application] | [insert beneficiary(ies) name] | [YES]<br>[NO]<br>[No applicable] | [Option for patents [insert code (two letters referring to a country or organisation)] [insert serial number]]<br><br>Option for rest [insert official publication number ]] |

**(*) By encoding the application reference part of the data will be automatically completed.**

### 6.4 Innovation

Explanation on the terminology used can be found in the Online Manual.

*[Option for LEIT, and societal challenges* Does the project include the following activities and if so how many of each?

| Activities developed within the project | Number |
|---|---|
| Prototypes | [insert number] |
| Testing activities (feasibility/demo) | [insert number] |
| Clinical trials | [insert number] |

Will the project lead to launching one of the following into the market (several possible):

| | |
|---|---|
| New product (good or service) | [YES] [NO] |
| New process | [YES] [NO] |
| New method | [YES] [NO] |

*]*

*[Option for LEIT and societal challenges* How many private companies in your project have introduced or are planning to introduce innovations (within the project lifetime or 3 years thereafter):

| | Total Number of companies | Number of SMEs |
|---|---|---|
| Companies introducing innovation(s) new to the market | [insert number] | [insert number of SMEs] |
| Companies introducing innovation(s) only new to the company | [insert number] | [insert number of SMEs] |

*]*

## 7. Impact on SMEs

*[Option for all projects with an SME*

| SME Name | Turnover of the company at the beginning of the project/most recent accountability period from the beginning of the project | Number of employees at the beginning of the project/ most recent accountability period from the beginning of the project | Turnover of the company at the most recent accountability period | Number of employees at the most recent accountability period |
|---|---|---|---|---|
| [insert name of SME] | [insert amount from database (pre-filled if information is available, otherwise the user will need to enter the information manually] | [insert amount from database (pre-filled if information is available, otherwise the user will need to enter the information manually] | [insert amount] | [insert number] |

**(*) Data in coloured fields will be prefilled by the IT tool.**

*]*

*[Option mandatory for all projects not opting out of the extended 'Open research data pilot' (now covering all of Horizon 2020)*

### 8. Open Research Data

More information on Data Management Plans (DMPs) in the Online Manual.

| Digital Object Identifier, DOI (if available) | Title/Identifier (if no DOI available) | Is this dataset Openly accessible[5]? | Is this dataset re-usable[6] | If the dataset is linked to a publication, specify the DOI of the publication |
|---|---|---|---|---|
| [insert DOI reference] | [insert title or identifier] | [YES] [NO] | [YES] [NO] | [insert DOI reference of the publication] |

*]*



[5] Accessible means Open Access defined as free of charge access for anyone via Internet. Answer "yes" if the open access to the data is already established or if it will be established after an embargo period.
[6] Re-usability has 2 aspects: 1) technical: the technical standards used are compatible 2) legal: the necessary rights are in place for other users to use the dataset.

## 9. Gender

Gender of researchers and other workforce[7] involved in the project

| Beneficiaries | Number Women researchers[8] (all levels, incl. postdocs and PhD students) | Number Men researchers[8] (all levels, incl. postdocs and PhD students) | Number Women in the workforce other than researchers | Number Men in the workforce other than researchers |
|---|---|---|---|---|
| [insert name of beneficiary] | [insert number] | [insert number] | [insert number] | [insert number] |

**(*) Data in coloured fields will be prefilled by the IT tool.**

Gender dimension in the project

Does the project include a gender dimension in research content[9]? [YES] [NO]



[7] Figures must be provided in Head Count.
[8] Researchers are professionals engaged in the conception or creation of new knowledge. They conduct research and improve or develop concepts, theories, models, techniques instrumentation, software or operational methods. (Frascati Manual (2015): §5.35).
[9] Gender dimension in research content means taking into account as relevant the biological characteristics and the social and cultural features of women and men in the content of the research itself. It does not refer to the gender balance in research team participating to the research project.

# *[Option only available for projects under "Science with and for Society" (SWAFS)*

## 10. Science with and for Society

More information on definition of "institutional change" and responsible research and innovation (RRI) approach in the Online Manual.

| Institutional changes | Intended target of the project (multiple answers possible) | Beneficiaries |
|---|---|---|
| [Develop Gender Equality Plans / measures]<br>[Develop material for integration of science and society in curricula (e.g. covering STEM, public engagement, ethics, gender)]<br>[Help uphold human rights and high general ethical standards, by adoption, development and/or implementation of codes of conduct, ethical review, etc.]<br>[Develop activities to anticipate the potential social, environmental, and economic impacts of research (e.g. risk assessment, TA, foresight, Impact assessment, gender analysis)]<br>[Develop a Social Corporate Responsibility dimension to foster responsible innovation]<br>[Help develop R&I standards that enhance social responsibility, inclusiveness, sustainability of R&I processes and products]<br>[Enlarge the scope of R&I activities by fostering informal science education (museums, science centres), promoting citizen science, engaging civil society actors and citizens]<br>[Engage with multiple stakeholders for R&I decision making at local, national, regional EU or global level]<br>[Foster open science and open access to scientific results and data (e.g. on-line open notebooks, open educational resources, open data, etc.)]<br>[Other [insert specification]] | [The project itself / the project's host]<br>[Universities overall]<br>[Research performing organisation]<br>[Public authorities]<br>[International organisations]<br>[Researchers]<br>[Businesses and Industry R&D]<br>[Citizens and NGOs]<br>[Other] | [insert name of beneficiary] |

**(*) One row per type of institutional change selected from the drop-down menu in the IT tool.**

*]*

# *[Option for Projects under societal challenge 3"Secure, clean and efficient energy"*

## 11. Energy

| **Indicators** | *Calls under Societal challenge 3 "Secure, clean and efficient energy"* | **Results** |
|---|---|---|
| *[Option for projects under the calls "Energy efficiency" and "Smart cities and communities" only* 1- Primary energy savings triggered by the project funded.*]* | *For projects under the call "Energy efficiency" and the call "Smart cities and communities" only.* | [insert amount (quantification (GWh/year per million €)] |
| *[Option for projects under the calls "Energy efficiency" and "Competitive low-carbon energy* 2- Total additional investments in sustainable energy triggered by the project within its duration. *]* | *Investments triggered by projects under the call "Energy efficiency" and investments triggered by projects under the call "Competitive low-carbon energy".* | [insert amount in Mio €] |
| *[Option for projects under the call "Smart cities and communities" only* 3- City investments - Total additional investment for prototypes or roll-out of innovative SCC concepts, business models, technologies and infrastructures (specifically in Follower Cities) triggered by the project.*]* | *For projects under the call "Smart cities and communities" only.* | [insert amount in Mio €] |

*]*

*[Option for Projects on Infrastructures*

## 12. Infrastructures

### List of users

### Researchers who have trans-national access to research infrastructures through Union support

| Researcher | | | Employing organisation/Home institution | | | User-project acronym | Activity Domain (Discipline) | Installations used by the researcher (*) | | |
|---|---|---|---|---|---|---|---|---|---|---|
| **Name** | **Gender** | **Nationality** | **Name** | **Legal Status** | **Country** | | | **Infrastructure Short Name** | **Installation ID** | **Installation Short Name** |
| [insert first name] [insert last name] | *[*M*]*<br>*[*F*]* | [insert nationality] | [insert name of organisation] | *[*UNI *University and other higher education organisations ]*<br>*[*RES *Public research organisation (including international research organisation as well as private research organisation controlled by a public authority)]*<br>*[*SME*]*<br>*[*PRV *Other Industrial and/or profit Private organisation]*<br>*[*OTH*]* | [insert country] | [insert acronym] | *[*Physics*]*<br>*[*Chemistry*]*<br>*[*Life Sciences & Biotech*]*<br>*[*Earth Sciences & Environment*]*<br>*[*Engineering & Technology*]*<br>*[*Mathematics*]*<br>*[*Information & Communication Technologies*]*<br>*[*Material Sciences*]*<br>*[*Energy*]*<br>*[*Social Sciences*]*<br>*[*Humanities*]* | [insert Short Name of the infrastructure (as in Annex I) to which the first installation used by the researcher belongs] | [insert ID of the first installation used by the researcher (as in Annex I)] | [insert Short Name of the first installation used by the researcher (as in Annex I)] |
| | | | | | | | | **(*) add as many rows as installations** | | |

**Research infrastructures made accessible to all researchers in Europe and beyond through EU support and summary of trans-national access provision per installation per reporting period (RP)**

| Participant number | Organisation short name | Short name of infrastructure | Installation | | Unit of access | Min. quantity of access to be provided in Annex I (A) | Access provided in RP1 | Access provided in RP2 | Access provided in RP3 | Access provided in RP4 | Total access provided (B) | Difference (B-A) |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | Number | Short name | | | | | | | | |
| [insert participant name] | [insert organisation short name] | [insert infrastructure short name as in Annex 1] | [insert installation number as in Annex 1] | [insert installation short name as in Annex 1] | [insert unit of access as in Annex 1] | [insert number as in Annex 1] | [insert number] | [insert number] | [insert number] | [insert number] | [insert TOTAL number ] | [insert number] |

(*) Data in coloured fields will be prefilled by the IT tool.

**Researchers who have access to research e-infrastructures through Union support**

| e-infrastructure name | e-infrastructure service | Activity Domain (Discipline) | Maximum possible number of users | Nr of actual users by max possible number in P1 (%) | Nr of actual users by max possible number in P2 (%) | Nr of actual users by max possible number in P3 (%) | Nr of actual users by max possible number in P4 (%) |
|---|---|---|---|---|---|---|---|
| [insert e-infrastructure name ] | [insert e-infrastructure service ] | [Physics]<br>[Chemistry]<br>[Life Sciences & Biotech]<br>[Earth Sciences & Environment]<br>[Engineering & Technology]<br>[Mathematics]<br>[Information & Communication Technologies]<br>[Material Sciences]<br>[Energy]<br>[Social Sciences]<br>[Humanities] | [insert number ] | [insert percentage] | insert percentage] | insert percentage] | insert percentage] |

]

**Project[10] Number:** [insert project reference number]

**Project Acronym:** [insert acronym]

**Project title:** [insert project title]



# Periodic Technical Report

# Part B

**Period covered by the report**: from [insert dd/mm/yyyy] to [insert dd/mm/yyyy]

**Periodic report:** *[*1st*] [*2nd*] [*3rd*]*

[10] The term 'project' used in this template equates to an 'action' in certain other Horizon 2020 documentation

## 1. Explanation of the work carried out by the beneficiaries and Overview of the progress

- Explain the work carried out during the reporting period in line with the Annex 1 to the Grant Agreement.

- Include an overview of the project results towards the objective of the action in line with the structure of the Annex 1 to the Grant Agreement including summary of deliverables and milestones, and a summary of exploitable results and an explanation about how they can/will be exploited[11].

- *[Option only for PCP/PPI actions*: Include in particular also the results that were achieved by the subcontractors that were awarded PCP/PPI contracts in the project (in particular new technical improvements achieved by suppliers and quality/efficiency improvements in public services that the subcontractors' innovations deliver to the procurers). This is not applicable for the first periodic report.*]*

- *[Option only for ERA-NET Cofund actions*: For the cofunded call, include the list of proposals selected for funding and the total amount of public funding per project (including the amount of the EC contribution). *]*

  (No page limit per workpackage but report shall be concise and readable. Any duplication should be avoided).

### 1.1 Objectives

List the specific objectives for the project as described in Annex 1 to the Grant Agreement and described the work carried out during the reporting period towards the achievement of each listed objective. Provide clear and measurable details.

### 1.2 Explanation of the work carried per WP

1.2.1 <u>Work Package 1</u>

Explain the work carried out in WP1 during the reporting period giving details of the work carried out by each beneficiary/linked third party involved.

1.2.2 <u>Work package 2</u>

Etc.

*[Option only for PCP/PPI actions*: In the dissemination/communication work package, explain in particular the work carried out for the following activities:

- Activities to raise awareness about the Open Market Consultation for the PCP/PPI to potential tenderers across the EU Member States and Associated Countries.
- Activities to raise awareness about the PCP/PPI call for tender to potential tenderers across the EU Member States and Associated Countries.

[11] Beneficiaries that have received Union funding, and that plan to exploit the results generated with such funding primarily in third countries not associated with Horizon 2020, should indicate how the Union funding will benefit Europe's overall competitiveness (reciprocity principle), as set out in the grant agreement.

- Activities to disseminate the results and benefits of PCP/PPI to other public procurers, policy makers and companies across the EU Member States and Associated Countries.
- Activities to disseminate the project results through standardisation and certification. Include both dissemination and communication activities implemented by project beneficiaries and by subcontractors that were awarded PCP/PPI in the project.*]*

### 1.3 Impact

Include in this section whether the information on section 2.1 of the DoA (how your project will contribute to the expected impacts) is still relevant or needs to be updated. Include further details in the latter case.

*[Option only for PCP/PPI actions*: To evaluate the innovation impact of the project, include the PCP/PPI innovation impact evaluation form completed by each subcontractor that was awarded a PCP/PPI contract. This is not applicable for the first periodic report.

**Innovation Impact evaluation form**



**OBJECTIVE**

This form aims to collect information from innovators that participate(d) in Horizon 2020 funded PCP or PPI procurement contracts about how far they have advanced in commercialising their innovations and what remaining obstacles they still face. Filling in the questions below enables the EC to provide you – innovators - with further targeted information about additional European funding, support and assistance that can help you reach wider markets and grow your business.

EU support to innovators includes for example:
- Grants that finance activities to bring the innovation to the market that were not financed by the PCP/PPI procurement (e.g. SME phase 2 instrument and fast track to innovation grants)
- Equity financing through the European Investment Fund
- Risk financing loans or guarantees through the European Investment Bank
- Introductions to investors - pitching (e.g. to business angels, VCs, corporate VCs, banks)
- Introductions to potential customers (e.g. at meet the buyer events)
- Opportunities to network with other companies to create go-to-market partnerships
- Legal advice (e.g. on IPR issues via the EU IPR helpdesk)
- Opportunities to discuss barriers to market (e.g. standardisation, certification, competition, regulatory issues) with EC officials
- Incubation and start-up accelerator support (e.g. via Start-up and Scale-up Europe)
- Coaching (e.g. biz plan development), mentoring, investor readiness training opportunities (e.g. via Invest Horizon)
- Support to expand your business to other markets across the EU/international (e.g. the Enterprise Europe Network and Chambers of commerce)
- Opportunities to showcase your innovation in the EC booth at major trade fairs around Europe / the world or other large international events in your specific sector of activity
- Opportunities to promote your innovation via EC audio-visual / web promotion channels
- Opportunities to qualify for European prizes / awards (e.g. the Innovation Radar prize)

**HOW TO PARTICIPATE**

This form should not be completed as initial but only at interim and final reviews of the PCP/PPI project.

In order to be able to provide targeted information about available support/assistance to individual innovators, the objective is that this form is completed individually by each economic operator that was awarded a PCP or PPI contract under a Horizon 2020 funded project. If a PCP or PPI contract was not awarded to a single economic operator but to a consortium of economic operators, then each economic operator in the consortium should complete individually a separate form.

The lead contractor of each PCP or PPI contract will collect the completed forms from all economic operators in his contract and submit them to the lead procurer of the PCP or PPI. The project coordinator of the PCP or PPI will integrate the forms in the narrative part (part B) of the periodic report.

The project reviewers will use the forms for completing the innovation radar questionnaire, if applicable. The innovation radar identifies each year high potential innovators in Horizon 2020 projects, and can provide them with additional support and assistance to bring their innovations to the market. Each year the top innovations are promoted widely across Europe and rewarded with the innovation radar prize.

**CONFIDENTIALITY**

All information that you provide will be treated confidentially. In case the EC publishes information about the impact of PCP/PPI procurements on companies, the EC will only make public anonymised, aggregate conclusions about general trends observed from large populations of economic operators that submitted these forms.



## INNOVATION IMPACT EVALUATION FORM
## FOR ECONOMIC OPERATORS
## IN HORIZON 2020 FUNDED PCP AND PPI PROCUREMENTS

**Contact details**

**Acronym EU funded project:** [insert project acronym]

**Name of your organisation:** [insert organisation name]

**URL of your organisation:** [insert URL]

**Name contact person: :** [insert name]

**E-mail contact person:** [insert e-mail address]

**Telephone number contact person:** [insert phone number]

**Position of contact person in the organisation:** [insert position]

## 1. Stimulating technological innovation

### 1.1 Type of innovation

*Tick the most relevant box to characterise the type of innovation (tick only one box).*

- ☐ Totally new product, process or service
- ☐ Improvement to existing product, process or service
- ☐ Combination of products, processes or services
- ☐ New use for existing products, processes or services

### 1.2 Current status of the innovation

*Tick the most relevant box to indicate the current status of the innovation (tick only one box).*

- ☐ Under development
- ☐ Already developed but not yet being commercialised
- ☐ In the commercialisation stage (being commercialised)
- ☐ Already deployed but not yet being used by the ultimate end-users
- ☐ In use by end-users
- ☐ Discontinued

### 1.3 Level of awareness raising and recognition

*Specify the number of publications, conference presentations, awards / prizes or other meritorious achievements that have already taken place and those for which the innovation has been selected / nominated but that have not taken place yet.*

| | Already happened | Selected/nominated but not happened yet |
|---|---|---|
| Publications in press or journals | [insert number] | [insert number] |
| Conference presentations | [insert number] | [insert number] |
| Awards / prizes | [insert number] | [insert number] |
| Other meritorious achievements | [insert number] | [insert number] |

### 1.4 Level of IPR protection

*Specify the number of IPRs pursued for the innovation for different types of IPRs and the status of the IPR protection.*

| **Registered IPRs** | Amount of pending ones | Amount of awarded ones |
|---|---|---|
| Patent | [insert number] | [insert number] |
| Registered Design | [insert number] | [insert number] |

| | | |
|---|---|---|
| Utility Model | [insert number] | [insert number] |
| Trademark | [insert number] | [insert number] |

*Note: Pending IPRs are those for which an application has been filed with the appropriate designated body, but the IPR protection is not awarded yet by that body.*

| **Non-registered IPRs** | Planned but not implemented yet | Implemented on the innovation |
|---|---|---|
| Copyright | [insert number] | [insert number] |
| Non-Registered Design | [insert number] | [insert number] |
| Other | [insert number] | [insert number] |



## 2. Increasing commercialization of the Innovation

### 2.1 Commercialisation potential

*Tick most appropriate box per question about the commercialisation potential of the innovation.*

Market maturity: The market for the innovation is:

- ☐ Not yet existing: customers are not buying such solutions yet (or are not yet ready to buy such solutions)
- ☐ Emerging: There is a growing demand and few offerings are available
- ☐ Mature: The market is already supplied with many products of the type proposed

Market dynamics: The market for the innovation is:

- ☐ In decline
- ☐ Holding steady
- ☐ Growing

Level of innovation: The level of innovation that the solution offers to customers is:

- ☐ No innovation – other factors contribute to commercialisation viability
- ☐ Some distinct, probably minor, improvements over existing products
- ☐ Innovative but could be difficult to convert customers
- ☐ Obviously innovative and easily appreciated advantages to customers
- ☐ Very innovative, satisfies a well-known market need

Market competition: How strong is the competition is in the target market:

- ☐ Patchy, no major players
- ☐ Established competition but none with a proposition like the one under investigation
- ☐ Several major players with competencies, infrastructure and offering

Time to market: By when do you expect that the innovation could be commercialised:

- ☐ Is already commercialised
- ☐ Less than 1 year

☐ Between 1 and 3 years
☐ Between 3 and 5 years
☐ More than 5 years
☐ There is no commercialisation potential

**2.2 Sales**

*For this section, sales include direct sales (sales made directly by your own organisation), indirect sales (e.g. sales generated through reseller agreements) and sales from licensing. This includes sales and licensing agreements for the innovation itself, parts or derived solutions from the innovation, and IPRs attached to the innovation.*

*Tick the box that indicates the range of cumulative sales resulting from the innovation (in euros). Include sales to both private and public markets.*

| | 0 | 0 - 50K | 50K-100K | 100K-500K | 500K-1M | 1M-5M | 5M-50M | > 50M |
|---|---|---|---|---|---|---|---|---|
| Realised sales | | | | | | | | |
| Expected sales | | | | | | | | |

*Note: Realised sales concerns sales that have already generated incoming cash flow for your business. Expected sales concerns contracts that have been signed but that have not generated incoming cash flow yet for your business (sales that are in the pipeline).*

*Tick the box to indicate the type of sales resulting from the innovation.*

| | Yes | No |
|---|---|---|
| Successfully sold the innovation (or parts of it or solutions derived from it) | | |
| Successfully executed a license agreement for the innovation | | |

**2.3 Approvals or proofs of compliance for commercial deployment and/or use**

*Tick the boxes that specify the current status of achieving compliance with standards or obtaining approvals from designated bodies that are required to commercially deploy and / or use the innovation on the market (or on a certain part of the market).*

| | Not needed | Needed but cannot start yet (e.g. no standardisation WG exists yet for my innovation) | Needed, possible to start but I did not take action yet | Needed and ongoing | Needed and completed | Needed but rejected |
|---|---|---|---|---|---|---|
| Standardisation | | | | | | |
| Labelling | | | | | | |
| Certification | | | | | | |
| CE marking | | | | | | |

| | | | | | | |
|---|---|---|---|---|---|---|
| Official permit/ approval | | | | | | |
| Other proofs of compliance | | | | | | |

*Note: Examples of official approval from authorities include obtaining approval from a national ethics committee for testing with persons/animals etc., obtaining permission to sell the solution on a certain market based for example on results of clinical trials etc.*

### 2.4 Marketing and sales activities

*Tick the appropriate boxes that indicate the current status of different types of marketing and sales activities undertaken for the innovation.*

| | Completed or ongoing | Planned | Not planned yet but needed | Not applicable |
|---|---|---|---|---|
| Preparation of marketing plan | | | | |
| Hiring of marketing staff | | | | |
| Establishing sales / distribution channels | | | | |
| Publicity and advertising | | | | |
| Test marketing | | | | |

### 2.5 Trade or commercial names

*Specify trade name(s), commercial name(s), generic name(s) and / or model number(s) used for the innovation (or for parts of derived solutions from the innovation that are commercialised).*

| Not existing yet | Trade name(s) | Commercial name(s) | Generic name(s) | Model number(s) |
|---|---|---|---|---|
| *(tick box if applicable)* | *(specify, if applicable)* | *(specify, if applicable)* | *(specify, if applicable)* | *(specify, if applicable)* |

### 2.6 Additional funding and capital from other sources

*Tick the appropriate box(es) to indicate which type of source(s) of additional funding or capital you are currently applying for or you have already raised to bring the innovation to the market.*

| *Sources of additional funding and capital* | *Currently negotiating or applying for* | *Already secured / raised* |
|---|---|---|
| Your own personal funds | | |

| | | |
|---|---|---|
| Your family / friends | | |
| Your own company | | |
| Other company | | |
| Private individual investor (e.g. business angel) | | |
| European Venture Capitalist | | |
| Non-European Venture Capitalist | | |
| European funds | | |
| National or regional funds | | |
| Bank (e.g. loan / debt financing) | | |
| Foundation | | |
| College or university | | |
| Other | | |

If Other, please specify:

| |
|---|
| |



## 3. Business growth

### 3.1 Mapping the innovation on the timeline of the business

*Indicate the founding year of the business and the year in which you were awarded the contract for this innovation.*

| | Enter number |
|---|---|
| Founding year of the business | |
| Year in which you were awarded the contract for this innovation | |

### 3.2 Growth in market share and turnover

*Market size: Tick the box that indicates the approximate size of the market for the innovation*

- ☐ < €25M
- ☐ €25M - €100M
- ☐ €100M - €250M
- ☐ €250M - €500M
- ☐ >€500M
- ☐ Not known

*Note: € amounts are for global markets and per year*

*Indicate the growth in market share and turnover that your business has already been realised since you were awarded the contract to work on this innovation. Indicate also the increase in market share and turnover that your business expects to generate in the future as a result of the innovation.*

| | Market Share<br>(enter percentage) | Turnover<br>(enter number) |
|---|---|---|
| At the time of the start of the contract for this innovation | | |
| Current status | | |
| Expected in 3 years from now | | |

### 3.3 Growth in number of full-time employees

*Indicate if the contract for this innovation has allowed you to hire additional personnel. Specify how the total number of full-time employees or full-time equivalents in your business has already evolved since the year in which the contract for the innovation was awarded and how it is expected to evolve over the next 3 years (realised and expected personnel increase).*

| | Total number of full-time employees / equivalents<br>(enter number) |
|---|---|
| At the time of the start of the contract for this innovation | |
| Current status | |
| Expected in 3 years from now | |

### 3.4 Other business growth related activities experienced

*Indicate which of the following other growth related activities have resulted from the innovation.*

| | Completed or ongoing | Planned | Not planned but needed | Not applicable |
|---|---|---|---|---|
| Setting up a strategic partnership or alliance with another entity | | | | |
| Executing a licensing agreement | | | | |
| Setting up one or more spin-off companies | | | | |
| Setting up a joint venture (academic or commercial) | | | | |
| Selling the business | | | | |
| Merging the business | | | | |
| IPO (initial public offering of the stock of your business) | | | | |

| | | | | |
|---|---|---|---|---|
| Other | | | | |

If Other, please specify:

| |
|---|
| |

## 4. Bottlenecks

*Are there remaining barriers for commercialising the innovation?*
*Tick the appropriate box(es), if applicable, and/or specify other barriers that you experience.*

- ☐ Finding investors
- ☐ Finding customers
- ☐ Expanding to other markets
- ☐ Certification or other forms of official approval from authorities needed
- ☐ Regulatory barriers
- ☐ Competition issues on the market
- ☐ Other types of barriers
- ☐ No specific barriers

If Other, please specify:

| |
|---|
| |

## 5. Assistance or support needed

*Do you need assistance or support to achieve your market potential and commercialise the innovation? Tick the appropriate box(es) to indicate types of assistance / support needed.*

- ☐ Promotion of the innovation (e.g. gaining exposure on big trade fairs)
- ☐ Investor readiness training
- ☐ Investor introductions
- ☐ Connecting with potential customers
- ☐ Coaching on how to bid for public procurement sales opportunities in other markets
- ☐ Biz plan development
- ☐ Setting up marketing / sales / distribution channels
- ☐ Expanding to other markets (e.g. across the EU / international)
- ☐ Legal advice (IPR, competition, regulatory issues or other)
- ☐ Mentoring
- ☐ Partnership with other entities/companies (technology or other type of partnership)
- ☐ Incubation
- ☐ Startup accelerator

☐ Standardization
☐ Certification
☐ Other

If Other, please specify:

| |
|---|
| |

**6. Feedback about your participation in the innovation procurement**

*Tick the appropriate box to express the level of satisfaction with the usefulness of the financing you received through the innovation procurement.*

Would you still have pursued the innovation if the innovation procurement had not taken place?

☐ Yes
☐ No

How important was the financing that you received through the innovation procurement for pursuing your innovation?

☐ Very important
☐ Important
☐ Somewhat important
☐ Not important

Which of your activities were affected by the financing that you received through the innovation procurement?

☐ Pursuing a high-risk idea or action
☐ Hiring additional personnel
☐ Raising additional capital
☐ Credibility or visibility for finding partners
☐ First customer reference that helped find additional customers
☐ Other

If Other, please specify:

| |
|---|
| |

*]*

*[Option for Projects on Access to Research Infrastructures*

**1.4. Access provisions to Research Infrastructures**

If access to research infrastructures has been provided under the grant please include access provision activities.

### Trans-national Access Activities (TA)

Provide for the set of TA Work Packages, the integrated information described below.

#### Description of the publicity concerning the new opportunities for access

In the first periodic report describe the measures taken to publicise to research teams throughout Europe the opportunities for access open to them under the Grant Agreement. In the following periodic reports indicate only additional measures and changes.

#### Description of the selection procedure

In the first periodic report, describe the procedure used to select users: organisation of the Selection Panel, any additional selection criteria[12] employed by the Selection Panel, measures to promote equal opportunities, etc. Specify if feedback is given to rejected applicants and in which form. In the following periodic reports indicate only changes to the existing procedure.

The list of the Selection Panel members should be maintained and update when necessary in order to prove that the panel is composed following the conditions indicated in Article 16.1 of the GA[13]. The Commission reserves the right to request this list at any time.

Indicate number, date and venue (if not carried out remotely) of the meetings of the Selection panel during the reporting period.

Provide integrated information on the selection of user projects and on the scientific output of supported users. In particular indicate the number of eligible User projects submitted in the reporting period and the number of the selected ones taking into account only calls for which the selection has been completed in the reporting period. Indicate also the number of user projects, started and supported in the reporting period, which have a majority of users not working in an EU or associated country

#### Description of the Trans-national Access activity

Give an overview of the user-projects[14] and users supported in the reporting period indicating their number, their scientific fields and other relevant information you may want to highlight. You should maintain the list of the user-projects for which costs have been incurred in the reporting period. A user-project can run over more than one reporting period. In this case it should be inserted in the list of each concerned reporting period.

The list of user-projects must include, for each user-project, the acronym, objectives, as well as the amount of access granted to it on each installation used by the user-project in the reporting period. When the user-project is completed in the reporting period the list should also include a short description of the work carried out. The Commission reserves the right to request this list at any time.



[12] See article 16.1 of the Grant Agreement.

[13] The selection panel must be composed of international experts in the field, at least half of them independent from the beneficiaries, unless otherwise specified in Annex 1.

[14] A user-project is a proposal for access submitted by a user group to the consortium to be evaluated by the Selection Panel.

In addition you must fill the following tables (in Part A to be filled in the IT tool):

- List of users: Researchers who have access to research infrastructures/installations (one or more) through Union support under the grant either in person (through visit) or through remote access;
- Research infrastructures made accessible to all researchers in Europe and beyond through EU support and summary of trans-national access provision per installation per reporting period indicate for each installation providing trans-national access under the project the quantity of access actually provided in the Reporting Period (expressed in the unit of access defined in Annex 1 for that specific installation).

Scientific output of the users at the facilities

Give highlights of important research results from the user-projects supported under the grant agreement. Indicate the number and the type of publications derived by user-projects supported under the grant taking into account only publications that acknowledge the support of this EU grant.

You should maintain a list of publications that have appeared in journals (or conference proceedings) during the reporting period and are resulting from work carried out under the Trans-national Access activity. List only publications that acknowledge the support of the European Community. For each publication indicate: the acronyms of the user-projects that have led to the publication itself, the authors, the title, the year of publication, the type of publication (Article in journal, Publication in conference proceeding/workshop, Book/Monograph, Chapters in book, Thesis/dissertation, whether it has been peer-reviewed or not, the DoI (Digital Object Identifier), the publication references, and whether the publication is available under Open Access or not. The Commission reserves the right to request this list at any time.

User meetings

If any user meetings have been organised in the reporting period, indicate for each of them the date, the venue, the number of users attending the meeting and the overall number of attendees.

**Virtual Access Activities (VA)**

Provide for the set of VA Work Packages, the integrated information described below..

Provide statistics on the virtual access in the period by each installation, including quantity, geographical distribution of users and, whenever possible, information/statistics on scientific outcomes (publications, patents, etc.) acknowledging the use of the infrastructure.

As indicated in Art. 16.2, the access providers must have the virtual access services assessed periodically by a board composed of international experts in the field, at least half of whom must be independent from the beneficiaries. In the first periodic report, describe how the virtual access providers will comply with this obligation. In the following periodic reports indicate only changes to the existing procedure.

When an assessment is scheduled under the reporting period, the assessment report must be submitted as deliverable.

]

## 2. Update of the plan for exploitation and dissemination of result (if applicable)

Include in this section whether the plan for exploitation and dissemination of results as described in the DoA needs to be updated and give details.

## 3. Update of the data management plan (if applicable)

Include in this section whether the data management plan as described in the DoA needs to be updated and give details.

## 4. Follow-up of recommendations and comments from previous review(s) (if applicable)

Include in this section the list of recommendations and comments from previous reviews and give information on how they have been followed up.

## 5. Deviations from Annex 1 and Annex 2 (if applicable)

Explain the reasons for deviations from the DoA, the consequences and the proposed corrective actions.

### 5.1 Tasks

Include explanations for tasks not fully implemented, critical objectives not fully achieved and/or not being on schedule. Explain also the impact on other tasks on the available resources and the planning.

### 5.2 Use of resources

Include explanations on deviations of the use of resources between actual and planned use of resources in Annex 1, especially related to person-months per work package.

Include explanations on transfer of costs categories (if applicable).

Include explanations on adjustments to previous financial statements (if applicable).

#### 5.2.1 Unforeseen subcontracting (if applicable)

Specify in this section:

a) the work (the tasks) performed by a subcontractor which may cover only a limited part of the project;
b) explanation of the circumstances which caused the need for a subcontract, taking into account the specific characteristics of the project;

c) the confirmation that the subcontractor has been selected ensuring the best value for money or, if appropriate, the lowest price and avoiding any conflict of interests.

#### 5.2.2 Unforeseen use of in kind contribution from third party against payment or free of charges (if applicable)

Specify in this section:

d) the identity of the third party;
e) the resources made available by the third party respectively against payment or free of charges
f) explanation of the circumstances which caused the need for using these resources for carrying out the work.

*[Option for ERA-NET Cofund*

**COMMITMENT ON AVAILABILITY OF FUNDS**

**Grant Agreement: [grant agreement number and acronym]**

*(To be filled out by each beneficiary and linked third party participating in the co-funded call)*

The undersigned:

- declares that [name of beneficiary or linked third party] can commit and make available national/regional contributions totalling EUR [insert amount] to fund its assigned share of the transnational projects of the joint selection list, based on the indicated amounts of planned funding.

SIGNATURE

For the beneficiary:

[electronic signature]
Done on [electronic time stamp]

For the linked third party:

[Name and signature] [Date and stamp]

*]*

*[Option for PCP/PPI*

**COMMITMENT ON AVAILABILITY OF RESOURCES**

**Grant Agreement: [grant agreement number and acronym]**

*(To be filled out by each beneficiary of the buyers group and each linked third party that is providing* *financial* *commitments that are needed to carry out the PCP or PPI call for tender)*

The undersigned declares that [name of beneficiary or linked third party] can commit and **make available financial resources** totalling EUR […] to finance its share of the *[R&D services] [innovative solutions]* to be procured, based on the estimated value of planned *[PCP][PPI]* procurement.

The undersigned declares that [name of beneficiary or linked third party] authorizes [names of the beneficiary that is the lead procurer] to **act in his name and on his behalf** as lead procurer for the planned *[PCP][PPI]* procurement.

SIGNATURE

For the beneficiary:

[electronic signature]
Done on [electronic time stamp]

For the linked third party:

[Name and signature] [Date and stamp]

*(To be filled out by linked third parties that provide* *in-kind* *contributions necessary to carry out the call for tender)*

The undersigned [name of the authorised representative] declares that [name of linked third party] can commit and make **available resources** by means of contributions in kind totalling EUR […] to the [name of beneficiary/ies] for carrying out the *[PCP] [PPI]* procurement, based on the indicated amounts of planned contributions.

For the linked third party:

[Name and signature] [Date and stamp] *]*

## STATEMENT ON THE USE OF THE *[FIRST][SECOND]* PRE-FINANCING PAYMENT

*(To be filled out by the coordinator)*

The undersigned:

- declares that […] % of the *[first][second]* pre-financing payment of EUR [insert amount] paid for Grant Agreement [insert grant agreement reference: number, title of the action and acronym] have been used,

- declares that this is based on substantiated data (bank slip/treasury account) provided by each beneficiary,

- certifies that the information contained in the periodic report is full, reliable and true, and is substantiated by adequate supporting documentation that will be produced upon or in the context of checks, reviews, audits and investigations,

- requests a *[second][third]* pre-financing payment of EUR [insert amount] for [insert grant agreement reference: number, title of the action and acronym].

SIGNATURE

For the coordinator:

[electronic signature]
Done on [electronic time stamp]

# Financial Report

Individual financial statements (Annex 4 to the GA). More information in the Online Manual. The IT tool will show the applicable financial statement to your type of action.

**ERA-NET Cofund:**

ⓘ print format A4

**MODEL ANNEX 4 FOR H2020 MGA ERA-NET COFUND — MULTI**

**FINANCIAL STATEMENT FOR *[BENEFICIARY [name]/LINKED THIRD PARTY [name]]* FOR REPORTING PERIOD [reporting period]**

| | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Eligible[1] costs (per budget category) | | | | | | | | | | | Receipts | EU contribution | | | Additional information |
| | A. Costs related to trans-national projects | | | | | | | B. Direct coordination costs of additional activities | | C. Indirect costs[2] | Total costs | Receipts | Reimbursement rate % | Maximum EU contribution[3] | Requested EU contribution | Information for indirect costs : |
| | A.1 Direct costs of providing financial support to third parties | A.2 Direct costs for the implementation of trans-national projects by the beneficiaries | | | | | | | | | | Receipts of the action, to be reported in the last reporting period, according to Article 5.3.3 | | | | Costs of in-kind contributions not used on premises |
| | | A.2.1 Direct personnel costs | | A.2.2 Direct costs of subcontracting | A.2.3 Other direct costs | | | | | | | | | | | |
| | | A.2.1.1. Employees (or<br>A.2.1.2. Natural persons under<br>A.2.1.3. Seconded persons | | | A.2.3.1 Travel<br>A.2.3.2 Equipment<br>A.2.3.3 Other goods and services | *[A.2.3.4.Costs of large research* | A.2.3.5 Costs of internally invoiced goods and services | | | | | | | | | |
| Form of costs[4] | Actual | Actual | Unit | Actual | Actual | | Unit | Unit | | Flat-rate[5] | | | | | | |
| | | | | | | | | 29000 EUR/year | | 25% | | | | | | |
| | a | b | Total c | d | e | *[f]* | Total g | No units | Total h | i = 0,25x(b+c+e+*[f]* + g+h -o) | j = a+b+c+d+e+*[f]*+ g +h+i | k | l | m | n | o |
| [short name beneficiary/linked third party] | | | | | | | | | | | | | | | | |

**The beneficiary/linked third party hereby 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 22).
For the last reporting period: that all the receipts have been declared (see Article 5.3.3).

ⓘ Please declare all eligible costs, even if they exceed the amounts indicated in the estimated budget (see Annex 2). Only amounts that were declared in your individual financial statements can be taken into account lateron, in order to replace other costs that are found to be ineligible.

[1] See Article 6 for the eligibility conditions
[2] The indirect costs claimed must be free of any amounts covered by an operating grant (received under any EU or Euratom funding programme; see Article 6.2.C). If you have received an operating grant during this reporting period, you cannot claim indirect costs, unless you can demonstrate that the operating grant does not cover any costs of the action. .
[3] This is the *theoretical* amount of EU contribution that the system calculates automatically (by multiplying the reimbursement rate by the total costs declared). The amount you request (in the column 'requested EU contribution') may be less.
[4] See Article 5 for the forms of costs
[5] Flat rate : 25% of eligible direct costs, from which are excluded: direct costs of subcontracting, for the implementation of trans-national projects by the beneficiaries, costs of in-kind contributions not used on premises and direct costs of financial support to third parties implementing trans-national projects (see Article 6.2.C)

## PCP/PPI

ⓘ print format A4 landscape

**MODEL ANNEX 4 FOR H2020 MGA PCP/PPI — MULTI**

**FINANCIAL STATEMENT FOR *[BENEFICIARY [name]/LINKED THIRD PARTY [name]]* FOR REPORTING PERIOD [reporting period]**

| | Eligible[1] costs (per budget category) | | | | | | | | | | | | | | Receipts | EU contribution | | | Additional information |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | A. Direct costs of *[PCP][PPI]* subcontracting | B. Costs for related additional coordination and networking activities | | | | | | | | | | | | Total costs | Receipts | Reimbursement rate % | Maximum EU contribution[3] | Requested EU contribution | Information for indirect costs : |
| | | B.1 Direct personnel costs | | | | B.2 Direct costs of subcontracting | B.3 Other direct costs | | | B.4 Indirect costs[2] | *[B.5 Costs of … ]* | | | | Receipts of the action, to be reported in the last reporting period, according to Article 5.3.3 | | | | Costs of in-kind contributions not used on premises |
| | | B.1.1. Employees (or equivalent)<br>B.1.2 Natural persons under direct contract<br>B.2.3. Seconded persons<br>*[B.1.6. Personnel for providing access* | | B.1.4 SME owners without salary<br>B.1.5 Beneficiaries that are natural | | | B.3.1 Travel<br>B.3.2 Equipment<br>B.3.3 Other goods and services | *[B.3.4.Costs of large research infrastructure]* | B.3.5 Costs of internally invoiced goods and services | | *[B.5.1 Costs of … ]*[6] | | *[B.5.2 Costs of … ]*[6] | | | | | | |
| Form of costs[4] | Actual | Actual | Unit | Unit | | Actual | Actual | Actual | Unit | Flat-rate[5] 25% | Unit | | Unit | | | | | | |
| | a | b | Total c | No units | Total d | e | f | [g] | Total h | i=0,25x(a+b+c+f+[g] +h+/ [j1][6]+[j2][6]-p) | No units | Total [j1] | Total [j2] | k= a+b+c+d+e+f+[g]+ h+i+[j1] +[j2] | l | m | n | o | p |
| [short name beneficiary/linked third party] | | | | | | | | | | | | | | | | | | | |

**The beneficiary/linked third party hereby 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 22).
For the last reporting period: that all the receipts have been declared (see Article 5.3.3).

ⓘ Please declare all eligible costs, even if they exceed the amounts indicated in the estimated budget (see Annex 2). Only amounts that were declared in your individual financial statements can be taken into account lateron, in order to replace other costs that are found to be ineligible.

[1] See Article 6 for the eligibility conditions

[2] The indirect costs claimed must be free of any amounts covered by an operating grant (received under any EU or Euratom funding programme; see Article 6.2.B.4). If you have received an operating grant during this reporting period, you cannot claim indirect costs, unless you can demonstrate that the operating grant does not cover any costs of the action.

[3] This is the *theoretical* amount of EU contribution that the system calculates automatically (by multiplying the reimbursement rate by the total costs declared). The amount you request (in the column 'requested EU contribution') may be less.

[4] See Article 5 for the forms of costs

[5] Flat rate : 25% of eligible direct costs, from which are excluded: direct costs of subcontracting, costs of in-kind contributions not used on premises, and unit costs declared under budget category F if they include indirect costs (see Article 6.2.B.4)

[6] Only specific unit costs that do not include indirect costs

## Report on Explanations on the use of resources

A report on explanations on the use of resources per beneficiary. The report is generated automatically with the information inserted by the beneficiary at the time the financial statements are completed in the IT tool.

| | |
|---|---|
| **Project Number** | [project number] |
| **Acronym** | [acronym] |
| **Period Number** | [1st] [2nd] [3rd] |
| **Period covered** | From [dd/mm/yyyy] to [dd/mm/yyyy] |

| | |
|---|---|
| **Beneficiary Number** | [beneficiary number] |
| **Beneficiary Short Name** | [beneficiary short name] |



| **Direct personnel costs** |
|---|

**1. Direct personnel costs declared as actual costs** (When direct personnel costs are reported in the financial statement, a pop-up window will appear in the IT tool requesting to give information of the amount on person months per WP).

| **Person months** | **Associated WP** |
|---|---|
| [insert number pm] | WP1 |
| [insert number pm] | WP2 |
| [insert number pm] | WP3 |
| [insert number pm] | (etc.) |
| | |

**2. Direct personnel costs declared as unit costs** (When direct personnel costs are reported as unit costs, including unit costs for SME owners without a salary and beneficiaries that are natural persons without a salary, in the financial statement, a pop-up window will appear in the IT tool requesting to give information on the amount of person months per WP).

| **Person months** | **Associated WP** |
|---|---|
| [insert number pm] | WP1 |
| [insert number pm] | WP2 |
| [insert number pm] | WP3 |
| [insert number pm] | (etc.) |
| | |

**3. Use of in kind contribution from third party** (When direct personnel costs are reported – as actual or unit costs - in the financial statement, the pop-up window used to give information on the amount of person months per WP will also request details about the use of in kind contribution from third party: the costs, the name and type of the third party and whether the costs were foreseen in Annex 1 or not. Further explanations are mandatory if costs were not foreseen in Annex 1).

.

| Third Party name | Type | Foreseen in Annex 1 | Explanations (if not foreseen in Annex 1) | Costs |
|---|---|---|---|---|
| [insert name] | [Free of charge] [Against payment] | [YES] [NO] | [insert comment] | [insert amount in EUR] |
| One row per third party | | | | |
| **TOTAL** | | | | [insert amount in EUR] |

## Direct costs of subcontracting

(When subcontracting costs are reported in the financial statement, a pop-up window will appear in the IT tool requesting to give information on the costs, description of the subcontract and if the subcontract was foreseen in Annex 1 or not. Further explanations are mandatory if subcontract not foreseen in Annex 1).

| Description | Foreseen in Annex 1 | Explanations (if not foreseen in Annex 1) | Costs |
|---|---|---|---|
| [insert comment] | [YES] [NO] | [insert comment] | [insert amount in EUR] |
| One row per subcontract | | | |
| **TOTAL** | | | [insert amount in EUR] |

## Direct costs of providing financial support to third parties (not applicable for PCP/PPI actions)

(When direct costs of financial support to third parties (cascade funding) are reported in the financial statement, a pop-up window will appear in the IT tool requesting to give information on the costs and their description).

| Description | Costs |
|---|---|
| [insert comment] | [insert amount in EUR] |
| One row per item. | |
| **TOTAL** | [insert amount in EUR] |

| Other direct costs: 1. explanation of major actual cost items if the amount exceeds 15% of personnel costs; 2. Unit costs for internal invoicing |
|---|

**1. Other direct costs declared as actual costs**: If actual costs declared under "other direct costs" are equal or less than 15% of claimed personnel costs for the beneficiary in each reporting period, no need to give any detail.

If actual costs declared under "other direct costs" are higher than 15% of claimed personnel costs for the beneficiary in each reporting period, major direct costs items[15] need to be recorded in the pop-up window within the IT tool. The record of items must be up to the level that the remaining costs are below 15% of personnel costs, starting from the cost items of highest value in terms of cost amount. If costs were foreseen in the Annex 1 no further explanation is needed. If costs were not foreseen in Annex 1, further explanations are needed.

| Short description | Category | Associated WP | Foreseen in Annex 1 | Explanation (if not included in Annex 1) | Costs |
|---|---|---|---|---|---|
| [insert comment] | [Travel] [Equipment] [Other goods & services] | [insert WP number] | [YES] [NO] | [insert comment] | [insert amount in EUR] |
| One row per item | | | | | |
| **TOTAL** | | | | | [insert amount in EUR] |

**2. Other direct costs declared as unit costs** (When unit costs for internally invoiced goods and services are reported in the financial statement, a pop-up window will appear in the IT tool requesting to give information on the costs and their description)..

| Short description | Associated WP | Foreseen in Annex 1 | Explanation (if not included in Annex 1) | Costs |
|---|---|---|---|---|
| [insert comment] | [insert WP number] | [YES] [NO] | [insert comment] | [insert amount in EUR] |
| One row per item | | | | |
| **TOTAL** | | | | [insert amount in EUR] |

**Other direct costs reported as use of in kind contribution from third party**

| Third Party name | Type | Category | Associated WP | Foreseen in Annex 1 | Explanations (if not foreseen in Annex 1) | Costs |
|---|---|---|---|---|---|---|
| [insert name] | [Free of charge] [Against payment] | [Travel] [Equipment] [Other goods & services] [Internal invoicing] | [insert WP number] | [YES] [NO] | [insert comment] | [insert amount in EUR] |



[15] An item is considered as a cost declared in the accountability book of each beneficiary according to their internal accountancy practices.

| | | | | | | |
|---|---|---|---|---|---|---|
| One row per item | | | | | | |
| **TOTAL** | | | | | | [insert amount in EUR] |

| HISTORY OF CHANGES | | |
|---|---|---|
| VERSION | PUBLICATION DATE | CHANGE |
| 1.0 | 11.04.2017 | Initial version |
| 2.0 | 19.09.2017 | Revision to include the new cost category in MGA v4.0 (other direct costs declared as units costs for internally invoiced goods and services)<br>Inclusion of innovation impact evaluation form in the part B of the periodic report for PCP/PPI. |
| 2.1 | 19.12.2017 | Update of part B of the template to include explanations on adjustments to financial statements declared on previous periods. |