European Research Council
Executive Agency

Established by the European Commission

Horizon 2020
European Union Funding
for Research & Innovation

European Research Council (ERC)

Periodic Financial Report Template

Version 2.1
13 December 2017

Structure of the Periodic Financial Report

The periodic financial report must be submitted by the principal beneficiary within 60 days following the end of each reporting period. The periodic financial report includes the requests for payment.

For the final period, the beneficiary must submit to the Agency the scientific and financial reports (art. 20.2. and 20.3 of the ERC MGA) all together in a single submission.

The **periodic financial report** consists:

- **Part A is generated by the IT system. It is based on the information entered by the participants through the periodic 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.

- **Cover page**
- List of publications entered through the continuous reporting module
- Follow up of ethics deliverables
- Intellectual property rights resulting from the project
- Questions to answer H2020 Key Performance Indicators on dissemination and communication activities, impact on SMEs and gender
- **Individual financial statements** (Annex 4 to the GA) for each beneficiary
- Breakdown of direct costs, and the information on subcontracting and in-kind contributions provided by third parties from each beneficiary for the reporting period concerned
- A periodic summary financial statement including the request for interim/balance payment
- A 'certificate on the financial statements' (Annex 5 to the GA) for the final period if applicable (see Article 20.3(e), Article 5.2 and Article 6.2(a).

- **Part B** of the periodic financial report is a narrative part that includes explanations of the eligible costs, a 'budget follow-up table' and a short summary of 'the work carried out during the reporting period. Part B needs to be uploaded as a PDF document following the template of Part B Periodic financial report.

Preparation and submission of periodic 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 publications, communications activities, and the answers to the questionnaire on horizontal issues.

- **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:

- 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;
- the principal beneficiary will be able to upload the Part B of the periodic financial report as a pdf document.

When the principal beneficiary submits the periodic report, the IT tool will capture the information from the continuous reporting module to generate the corresponding part of the periodic financial 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 periodic summary financial statements, which corresponds to the request for payment.

⚠ The periodic financial 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 financial report is 'locked for review'. Updates entered in the continuous reporting module 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

Call reference:	[insert call reference]
Principal Investigator's name:	[insert name]
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]
End date of the action	**[insert dd/mm/yyyy]**
Period covered by the report:	from [insert dd/mm/yyyy] to [insert dd/mm/yyyy]
Periodic report:	*[*1st*]* *[*2nd*]* *[*3rd*]* *[*4rd*]*
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 - 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.

PART A

1. Deliverables (Ethical issues + Data management Plan)

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] [ETH] [DMP] [OTHER]	[PU] [CO] [CI]	[insert month number]	[insert dd/mm/yyyy]	[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.

2. Dissemination and exploitation of results

2.1 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[3]**	**Peer-review**	**Is/Will open access provided to this publication**	**Please list the names of the project team members (i.e. funded on the project) excluding the Principal Investigator, that are in the author list**	**How representative of the core output of the project, in relation to the project objectives, is this publication?[4]**
[Article in journal] [Publication in conference proceeding/workshop] [Books/Monographs] [Chapters in books] [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] [insert month of the publication] [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] [NO]	[YES] [NO]	[Yes - Green OA [insert the length of embargo if any]] [Yes - Gold OA [insert the amount of processing charges in EUR if any]] [NO]	[insert authors' name(s)]	[1] [2] [3] [4] [5]

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

3 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.
4 Scale of 1 (core) to 5 (periphery)

3.2 Dissemination and communication activities

List only activities directly linked to the project.

Type of dissemination and communication activities	Number
[Organisation of a Conference] [Organisation of a workshop] [Press release] [Non-scientific and non-peer reviewed publications (popularised publications)] [Exhibition] [Flyers] [Training] [Social media] [Web-site] [Communication campaign (e.g radio, TV)] [Participation to a conference] [Participation to a workshop] [Participation to an event other than a conference or workshop] [Video/film] [Brokerage event] [Pitch event] [Trade fair] [Participation in activities organised jointly with other H2020 project(s)] [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 **In the context of all dissemination & communication activities** ('multiple choices' is possible)	**Estimated Number of persons reached**
[Scientific Community (higher education, Research)] [Industry] [Civil Society] [General Public] [Policy makers] [Medias] [Investors] [Customers] [Other]	[insert number]

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

3.3 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] [Trademark] [Registered design] [Utility model] [Other]	*[Option for international applications of patents* [insert IP international organisation code] [insert serial number]] *[Option for national applications of patents* [insert country code (two letters)] [insert serial number]] *[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] [NO] [No applicable]	*[Option for patents* [insert code (two letters referring to a country or organisation)] [insert serial number]] *Option for rest* [insert official publication number]]

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

4. 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.

]

5. Gender

Gender of researchers and other workforce[5] involved in the project

Beneficiaries	Number Women researchers[6] (all levels, incl. postdocs and PhD students)	Number Men researchers[6] (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[7]? [YES]/[NO]

[5] Figures must be provided in Head Count.
[6] 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).
[7] 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.

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Project[8] Number: [insert project reference number]

Project Acronym: [insert acronym]

Project title: [insert project title]

Periodic Financial Report

Part B

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

Periodic report: *[*1st*]* *[*2nd*]* *[*3rd*]* *[*4rd*]*

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

General remark: please do not delete any heading in this template. Should the reply to any heading be "not applicable", please insert "N/A".

1. Overview of the action's implementation for this reporting period

Include a global overview of the action's implementation for the reporting period including the major achievements and elaborate on any problems incurred (no more than ½ page).

2. Information on eligible costs

2.1 Relationship PI – HI[9]

Describe how the relationship between the Principal Investigator and the Host Institution has evolved (i.e. Have the provisions of the Supplementary Agreement been respected? What is the kind of administrative support provided by the Host Institution? Has the Principal Investigator been able: to set-up and recruit the research team as planned, to timely purchase the foreseen equipment, other difficulties or delays? Elaborate on the tasks of the various team members (list names together with a short description of the work undertaken).

2.2 Time commitment of the PI[10]

According to the ERC Work Programme and the Grant Agreement, the Principal Investigator must spend a minimum amount of his/her working time on the action and in an EU Member State or Associated Country.

% of working time that the PI has committed to the action according to the Grant Agreement (Annex 2):	**[**insert XX% from Annex 2**]**

Please indicate:

The **%** of the total contractual working time the PI has dedicated to the action from the start date of the action until the end of this reporting period:	**[**insert XX%**]**
Did the PI spend at least 50% of his/her total working time in Europe (Member States or Associated Countries) from the start date of the action until the end of this reporting period?	*[*YES*]* *[*NO*]*

If the Principal Investigator has deviated from one or both requirements concerning the time commitments, please justify and explain how the latter - as per the Annex 1 and 2 (commitment to the action) and/or the Work Programme (commitment in Europe) - will be met by the end of the action.

[9] For grants funded under Synergies call, describe the relationship between the PIs and the HIs

[10] For grants funded under Synergies call, give details for all PIs involved.

2.3. Deviations from Annex 1 and Annex 2 (if applicable)

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

2.3.1 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.

2.3.2 Use of resources – budget follow-up

- Include explanations on deviations and any envisaged reallocations of the use of resources between actual and planned use of resources in Annex 1, with ref. to the 'Annex 2 to the GA – Estimated budget of the action'.

- Describe the expenses during the Action in comparison with the original budget breakdown in Annex 2 of the Grant Agreement. Include explanations on transfer of costs between cost categories (if applicable).

- If this ERC action has been awarded with additional funding for one of the eligible purposes ((i) covering eligible 'start-up' costs for a PI moving from another country to the EU or an Associated Country as a consequence of receiving an ERC grant and/or (ii) the purchase of major equipment and/or (iii) access to large facilities), describe how the related expenses have been incurred.

2.3.3. 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.

2.3.4. 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.

2.3.5. Financial statement from the previous reporting period (where applicable)

In case you are submitting an individual financial statement for the previous reporting period, please elaborate (art. 20.3 of the MGA).

Annex to part B of the periodic financial report (uploaded as a separate document. Specific template available to download in the periodic reporting functionality in the participant portal.)

Workforce statistic form (Annex to the Part B)

Personal information on staff-members in ERC-funded projects

Note: The following form is used to collect information which will support the assessment of the impact of ERC funding schemes. This will help the Scientific Council provide evidence on the outcomes of its funding activities and to further develop its funding schemes.

The provision of data is subject to the consent of staff members whose data are being provided.

All data will be processed by the ERCEA pursuant to Regulation (EC) No 45/2001 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies. Data providers are entitled to obtain access to their personal data on request and to rectify any such data that is inaccurate or incomplete.

We hope that all staff members in ERC-funded projects will be willing to support this effort.

	Basic Information									Last degree earned before entering the action					Last professional position (if any) before entering the action			Time in action		For staff members leaving the action team			If the staff member finished his/her doctorate during/on the action		For scientific staff only
	Title	First Name	Last Name	ORCID NB or bibliographic identifier	Identifier source: ORCID/ WoS/ Scopus/ …	Staff category	Gender	Year of Birth	Nationality	Degree	Year awarded	Institution	Country	Subject Area	Position	Institution	Country	Entering the Action (month/ year)	Leaving the Action (month/ year)	Position	Institution	Country	Month / Year (last oral examen / defence)	Subject Area	E-mail address
1																									
2																									
3																									
4																									
5																									
6																									
7																									
8																									
9																									

3. Individual Financial Statements (Annex 4 to the GA)

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

ⓘ print format A4 landscape

MODEL ANNEX 4 FOR H2020 ERC MGA — 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 personnel costs				B. Direct costs of subcontracting	D. Other direct costs			E. Indirect costs[2]	Total costs	Receipts	Reimbursement rate %	Maximum EU contribution[3]	Requested EU contribution	Information for indirect costs :
	A.1 Employees (or equivalent) A.2 Natural persons under direct A.3 Seconded persons		A.4 SME owners without salary A.5 Beneficiaries that			D.1 Travel D.2 Equipment D.3 Other goods and services	*[D.4 Costs of large research infrastructure]*	D.5 Costs of internally invoiced goods and services			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
Form of costs[4]	Actual	Unit	Unit		Actual	Actual	Actual	Unit	Flat-rate[5] 25%						
	a	Total b	No hours	Total c	d	e	*[f]*	Total g	h=0,25x(a+b+c+e+*[f]*+g-n)	i = a+b+c+d+e+*[f]* +g+h	j	k	l	m	n
[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

[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.E). 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 and costs of in-kind contributions not used on premises (see Article 6.2.E)

Breakdown of Direct costs - Explanations on the use of resources

A report on the breakdown of direct costs including the 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] [4rd]*
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 listed below).

Staff category	Costs	Person months
[PI] *[Senior staff]* *[Post Doc(s)]* *[Student(s) (including PhD(s), Master,…)]* *[other]*	[insert amount in EUR]	[insert number pm]
	[insert amount in EUR]	[insert number pm]
	[insert amount in EUR]	[insert number pm]
	[insert amount in EUR]	[insert number pm]

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 the information listed below).

Staff category	Costs	Person months
[PI] *[Senior staff]* *[Post Doc(s)]* *[Student(s) (including PhD(s), Master,…)]* *[other]*	[insert amount in EUR]	[insert number pm]
	[insert amount in EUR]	[insert number pm]
	[insert amount in EUR]	[insert number pm]
	[insert amount in EUR]	[insert number pm]

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 staff category 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]

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 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	Foreseen in Annex 1	Explanation (if not included in Annex 1)	Costs
[insert comment]	[Travel] [Equipment] [Other goods & services]	[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	Foreseen in Annex 1	Explanation (if not included in Annex 1)	Costs
[insert comment]	[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	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]	[YES] [NO]	[insert comment]	[insert amount in EUR]
One row per item					
TOTAL					[insert amount in EUR]

HISTORY OF CHANGES		
VERSION	PUBLICATION DATE	CHANGE
1.0	19.07.2017	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)
2.1	13.12.2017	Part B of the report adapted to ERC Synergies.