

REPORTING and PAYMENT

(in practice)

HORIZ N 2020

v. April 2018

Research an Innovation



Outline

- Monitoring project implementation
- Reporting obligations
- IT Continuous reporting module
- IT Periodic reporting module
- 'How to'



Monitoring Project Implementation

- ✓ The Commission/Agency must monitor the activities of the projects in order to assess and verify:
 - ✓ that the beneficiaries implement the project as described in Annex 1 of the Grant Agreement (GA) (Description of the action DoA).
 - √ the eligibility of the costs claimed.
- ✓ In order for the Commission/Agency to verify that the project is implemented properly, the beneficiaries must submit any information requested, and in particular the **deliverables and reports** detailed in the GA.

Project Officers monitor projects. External experts may assist.



Monitoring Project Implementation - Timing

- ✓ Monitoring project implementation is a **continuous task** that can take place at any moment during the active period of the project (and beyond)
- ✓ but there are key contractual tasks that make project monitoring most relevant at certain periods in project's life, in particular after each **reporting period** at the time of **payments**.

Review meetings may be organised regularly, normally after each reporting period. External experts may assist.



Project reporting obligations

✓ <u>Deliverables</u> (as described in DoA)

Article 19 of the GA

Article 20 of the

GA

- ✓ <u>Periodic Report</u> (within 60 days following the end of each reporting period)
 - ✓ Periodic technical report
 - ✓ Periodic financial report
- ✓ <u>Final Report</u> (in addition to the periodic report for the last reporting period)
 - ✓ Final technical report summary for publication
 - ✓ Final financial report CFSs

Electronic submission via the Participant Portal.



Periodic report - technical report

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

Information entered in the IT tool through the **Continuous Reporting** module.

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

Submitted in a PDF through the **Periodic Reporting** module.



Periodic report - financial report

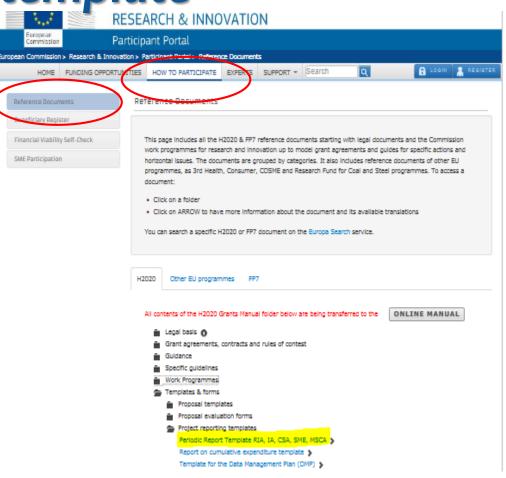
- ✓ Individual **financial statements** (Annex 4 to the GA)
- ✓ Explanations on the **use of resources** and the information on subcontracting and in-kind contributions provided by third parties
- ✓ A **periodic summary financial statement** including the request for payment

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



Periodic report - template

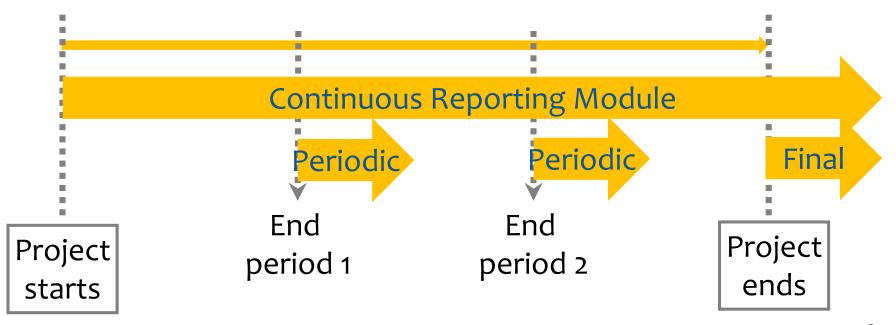
- ✓ Template for periodic report for RIA, IA, CSA, SME instrument and MSCA, published in the Participant Portal
 - ✓ Part A
 - ✓ Part B
 - ✓ Use of resources report





How to - IT tools

- ✓ Continuous reporting module
- ✓ Periodic reporting module





Continuous reporting module

(activated at the time project starts)

- ✓ Publishable summary
- ✓ Submit deliverables
- ✓ Report progress in achieving milestones
- ✓ Follow up critical risks
- ✓ Questionnaire on horizontal issues
 - ✓ Publications
 - ✓ Communications activities
 - ✓ Rest of questionnaire on horizontal issues



Periodic reporting module

(Activated after the end of each reporting period)

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

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



Continuous reporting module

Deliverables plus Periodic Reporting information that can be optionally entered at any time during the life of the project

External users: how to





Log in to the **Participant** Portal.



Rights, Equality and Citizenship Programme and Union Civil Protection Mechanism

Non-registered users

- · search for funding
- · read the H2020 Online Manual & download the legal documents
- · check if an organisation is already registered
- · contact our support services or check our FAQs

Registered users

- · submit your proposal
- · sign the grant
- · manage your project throughout its lifecycle
- · register as expert advising the Commission



Projects for Policy (P4P)

WHAT'S NEW?



FUNDING OPPORTUNITIES



HOW TO PARTICIPATE



WORK AS AN EXPERT



MY PERSONAL AREA



INFORMATION AND SUPPORT

HORIZON 2020



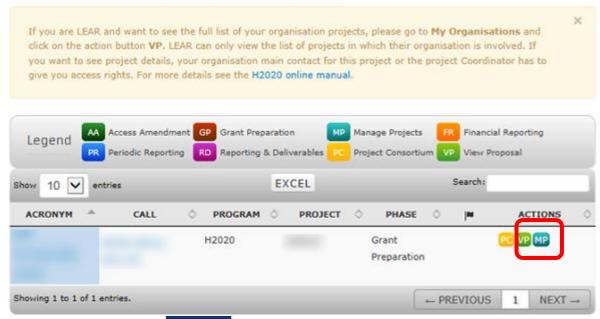


· Manage your scientific and financial reports

View or manage roles and access rights in your projects consortia

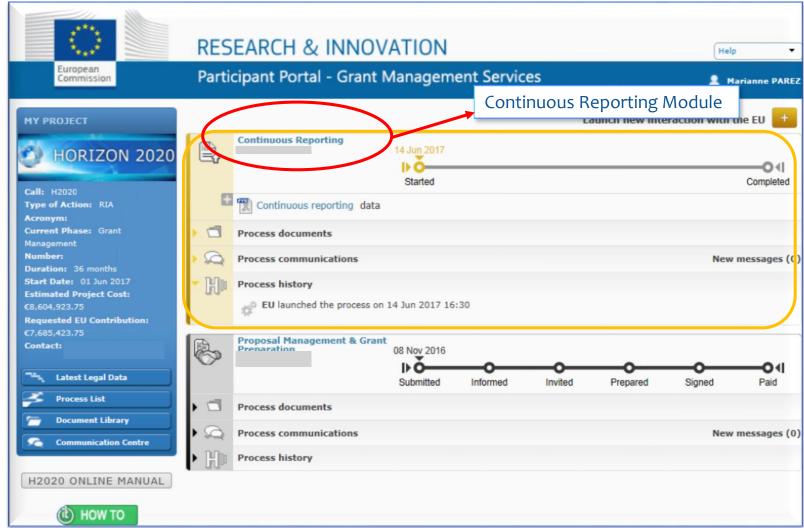
Go to 'My Projects' section. Then click on MP icon so to reach Participant Portal **Grants Management**

Services.



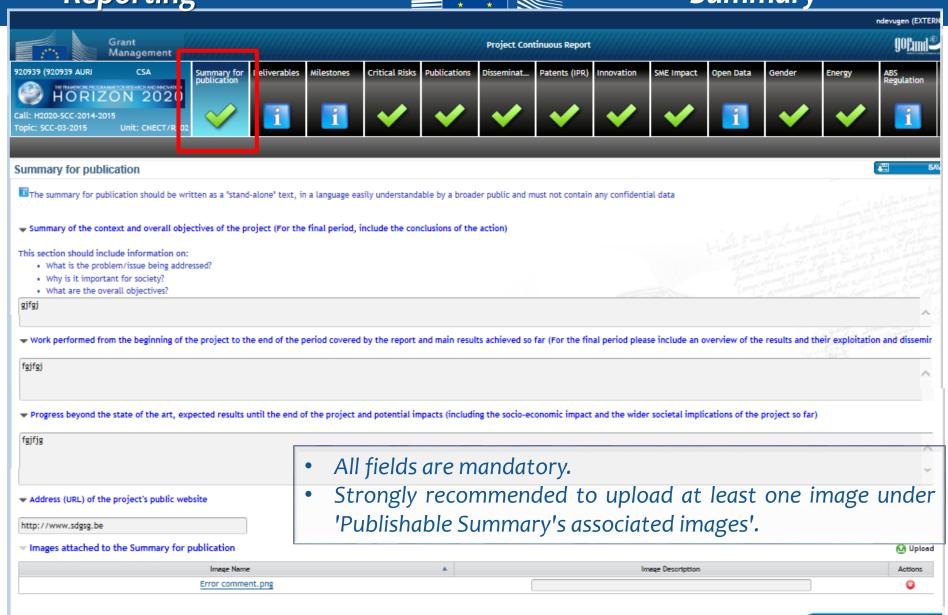
(it) HOW TO





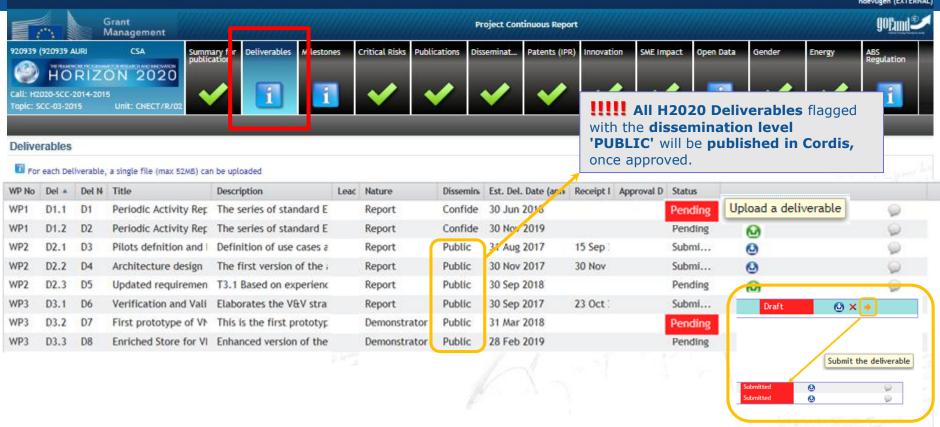


Publishable Summary





Deliverables

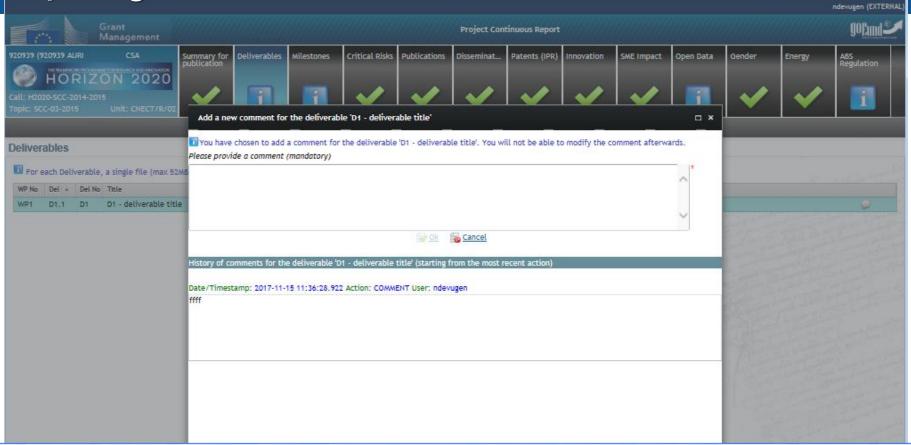


- The status of the deliverable is 'Pending' when a deliverable hasn't been uploaded yet.
- If the deliverable's estimated delivery date falls in a given reporting period and the deliverable is not submitted here on time, before the periodic report is 'Locked for review', participants will be asked to justify the delay (in the Periodic Reporting module).

alidate



Deliverables

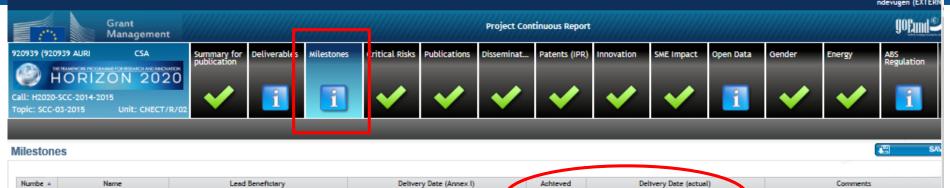


- Before submission a comment can be added and user is asked for confirmation whether they want to submit.
- All beneficiaries can upload deliverables, but only the coordinator can submit them.
- Each time a deliverable has been submitted, the EU Officers will be notified.
- Each time the EU Officers reject the deliverable, the Coordinator Contacts and the Participant Contacts are notified through the Participant Portal Notification System.

milestone name



Milestones



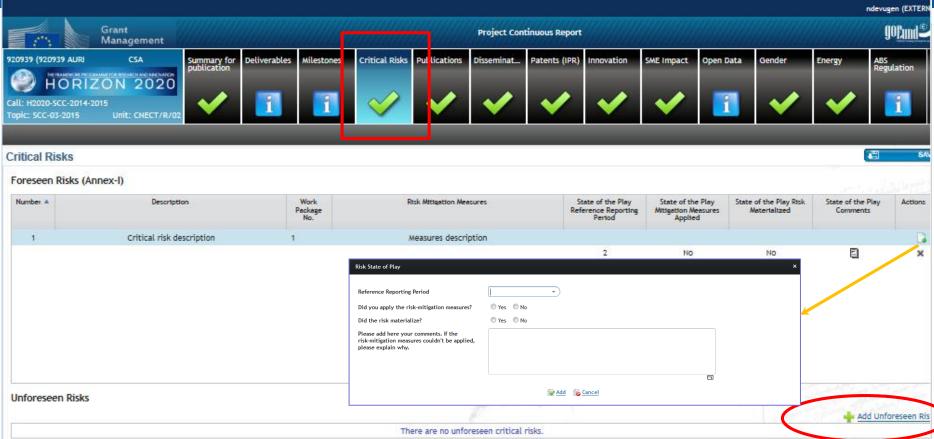
The milestones entered during the Grant Preparation are displayed here.

01 Mar 2014

• It has to be indicated whether the milestone has been achieved or not and select the delivery date.



Critical risks

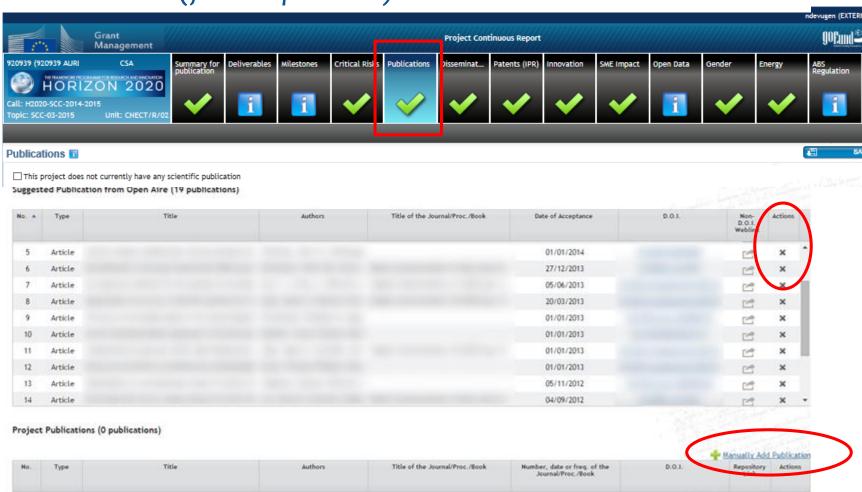


- Foreseen risks have already been indicated at the Grant Agreement Preparation phase and are automatically displayed.
- Unforeseen risks can be added.
- The State of play for any risk (both unforeseen and foreseen) can be updated





Publications (from OpenAire)





Commission

Publications

goEund. **New publication** □ × Please provide a DOI for the publication (recommended) or fill-in manually the required information. Type of publication Repository Link 📋 Link to the publication 🗓 Publications 🛐 ☐ This project does not cur Suggested publications Authors Project publications (0 Manually add publicatio Title of the Journal/Proceedings/Books series/Book (for book chapters) Number, date or frequency of the Journal/Proceedings/Book Relevant Pages ISBN Publisher Place of publication Year of publication Is this publication available in Open-Access, or will it be made available? 🔾 Yes - available in Green Open Access O Yes - available in Gold Open Access Is this a peer-reviewed publication? O Yes O No Oyes Ono * Is this a joint public/private publication? * mandatory fields

Article 29.2 of the Grant Agreement

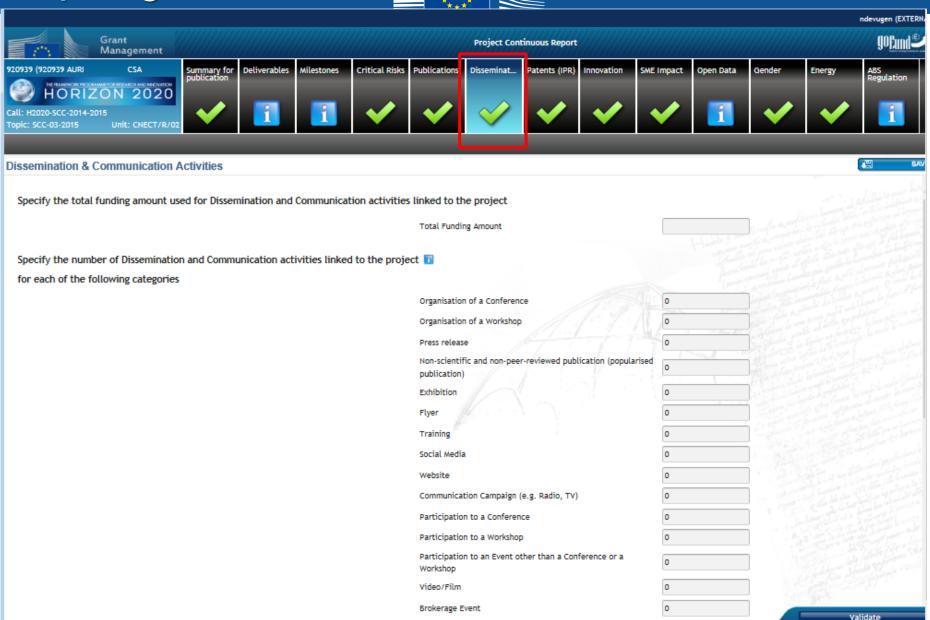
Each beneficiary <u>must</u> ensure **open access** (free of charge, online access for any user) to **all peer-reviewed scientific publications** relating to its results.

Article 29.6 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the **grant may be reduced** (see Article 43). Such a breach may also lead to any of the other measures described in Chapter 6.

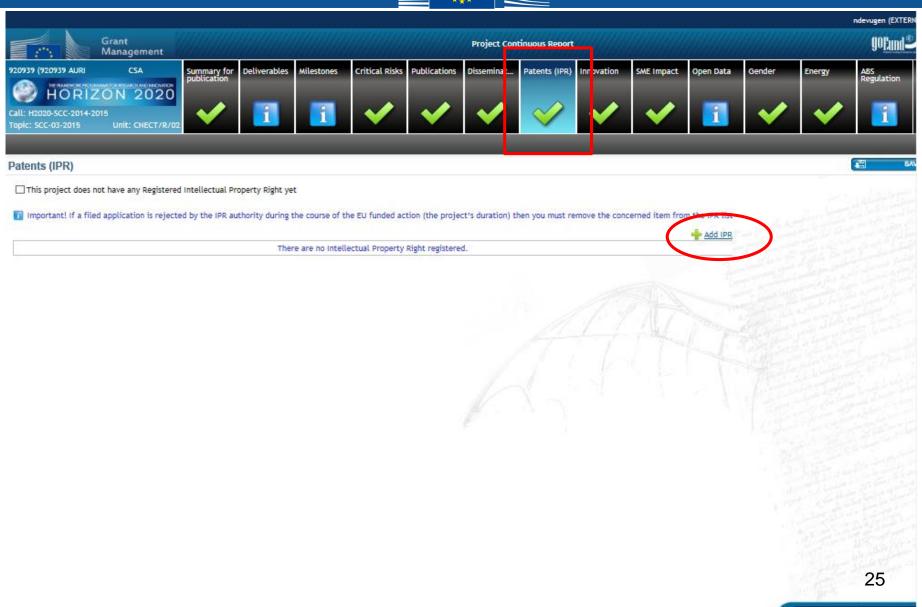


Dissemination



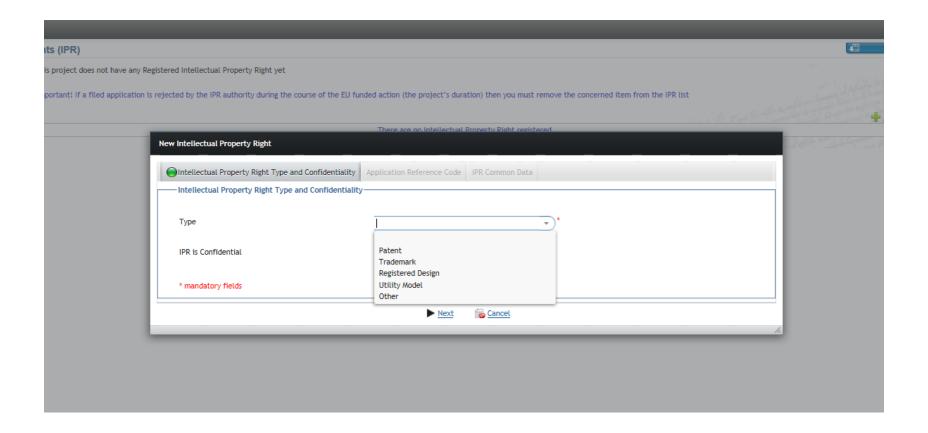


Patents (IPR)

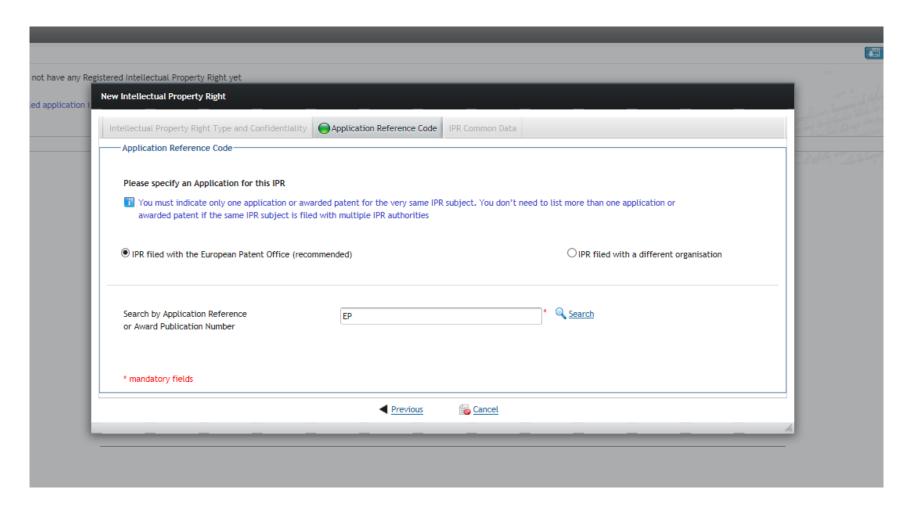


Patents (IPR)



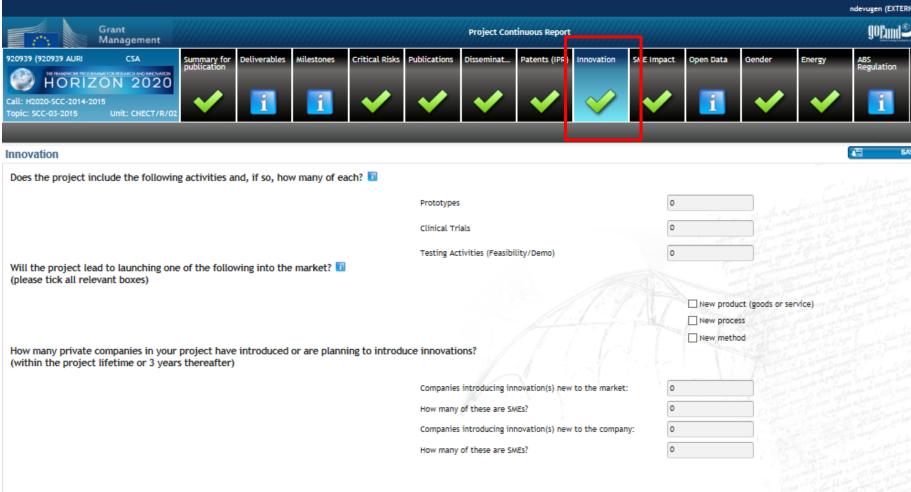








Innovation





SME Impact



Impact on SMEs

Questionnaire to measure the impact of H2020 Programme on growth and job creation in participating SMEs

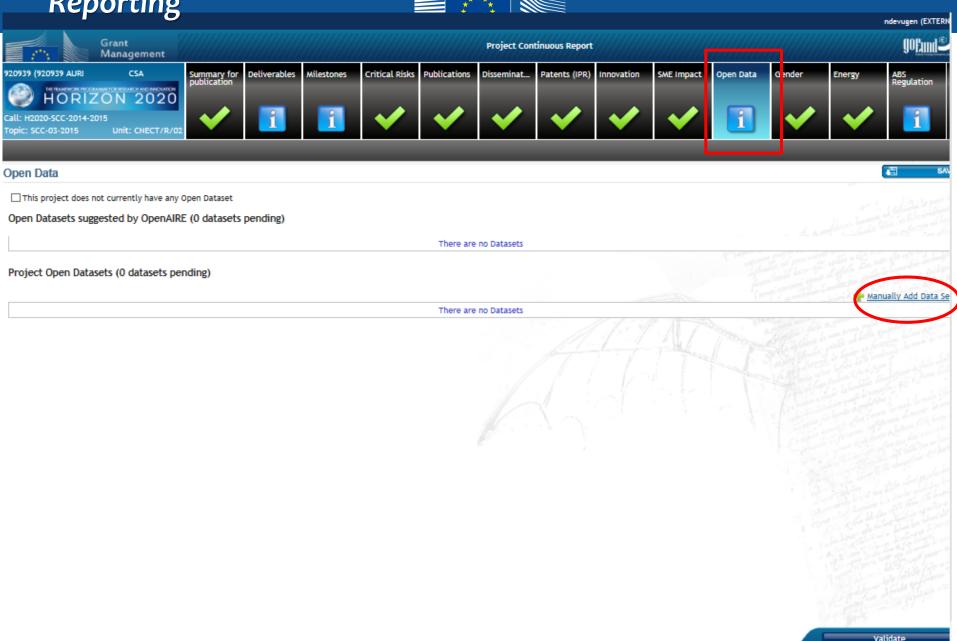
Please add updated information on turnover of the company and number of employees (only for SME participants)

	SME Name		Financial year accounts	Type of data entry	Turnover	N of Employees	Actions
▼	AST ADVANCED SPACE TECHNOLOGIES GMBH						
		:	26/04/2016	Beginning of Project	10.00 €	10	

Add updated SME data

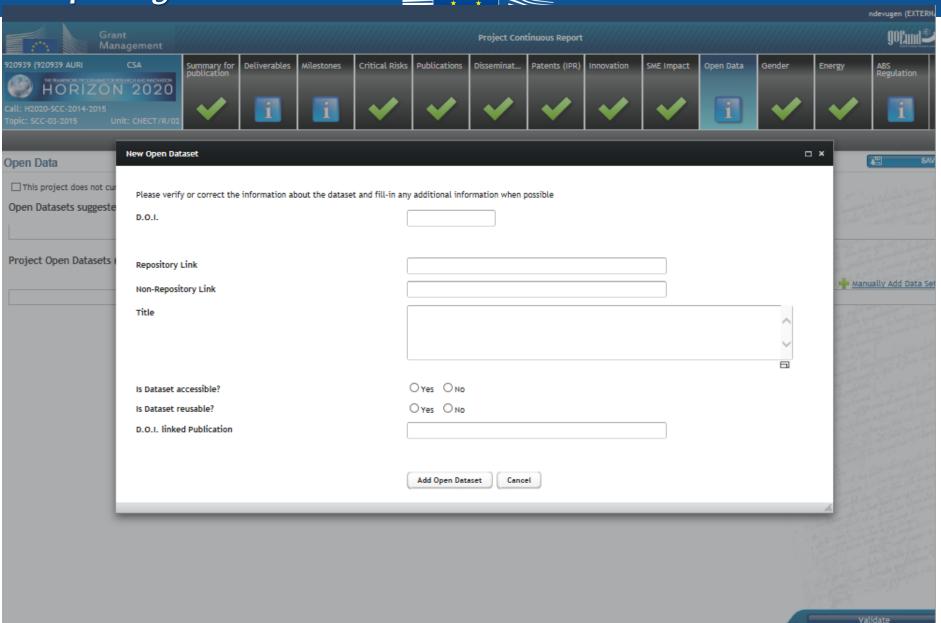


Open Data



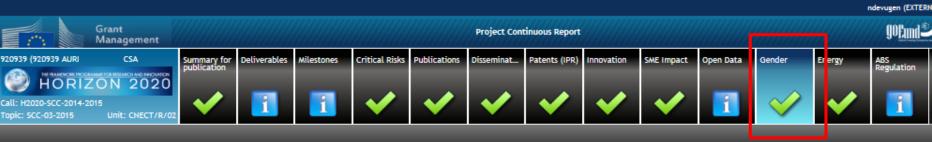


Open Data





Gender



Gender

Gender of researchers and other workforce involved in the project 1

Please note that:

- . The 'researchers' count must include researchers at all levels, incl. postdocs and PhD students
- · Figures must be provided in Head Count
- . The count for a beneficiary should include the staff working for its Third Parties (if appropriate)

Beneficiaries A	Number of female researchers	Number of male researchers	Number of females in the workforce other than researchers	Number of males in the workforce other than researchers	Total number of females in the workforce	Total number of males in the workforce
1 - AST ADVANCED SPACE TECHNOLOGIES GMBH	1	1	1	1	2	2
2 - CENTRE NATIONAL DE LA RECHERCHE SCIENTIFIQUE	1	1	1	1	2	2

Gender dimension in research is a concept regrouping the various elements concerning biological characteristics and social/cultural factors of both women and men into the development of research policies, programmes and projects.

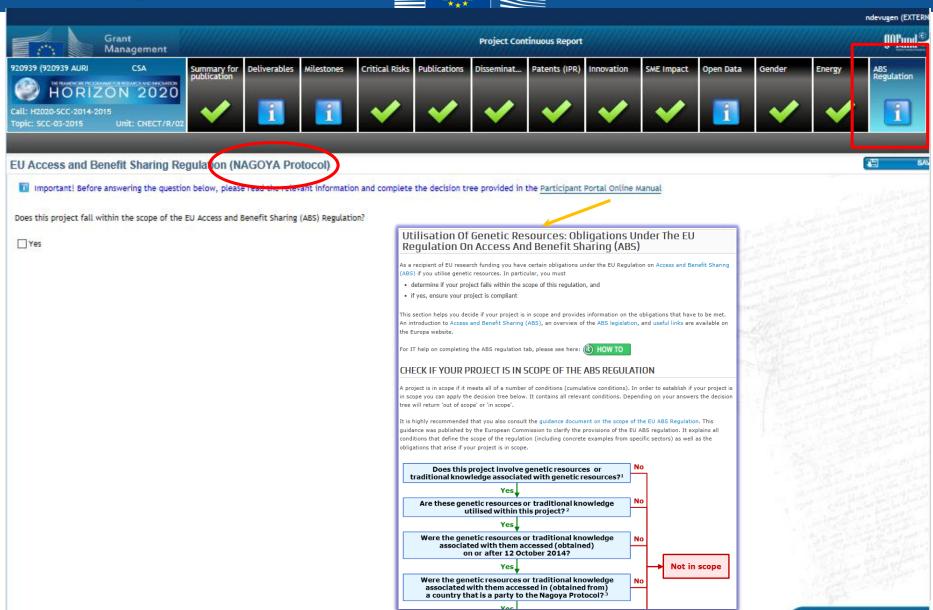
Gender dimension in the project 11

Does the project include a gender dimension in research content?

No



ABS Regulation





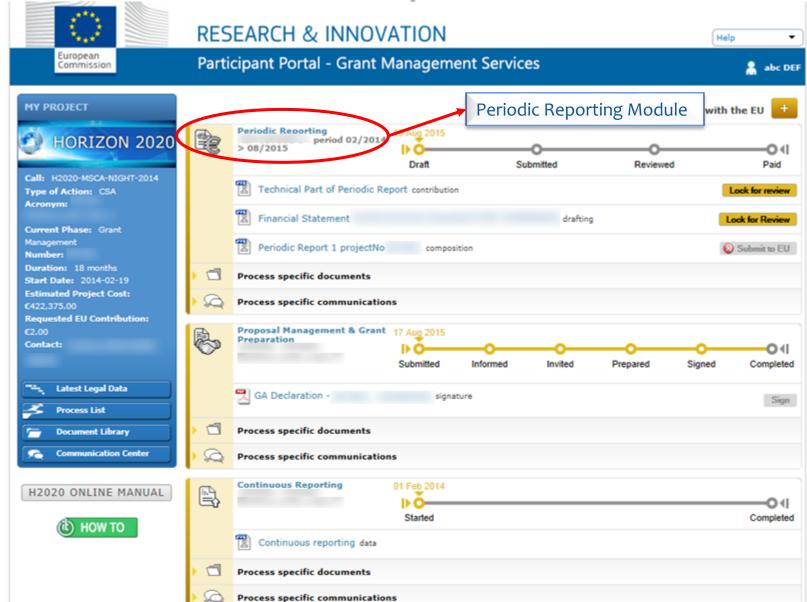
Periodic reporting module

Information to be entered after the end of each Reporting Period

External users: how to



Periodic Reporting





Periodic reporting module - steps

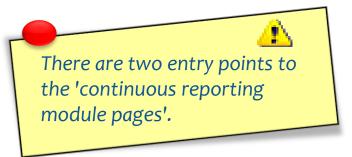
- 1. Notification: all beneficiaries receive a notification
- 2. All beneficiaries
 - ✓ contribute to the Technical Part of the Periodic Report
 - ✓ complete their own Financial Statement and
 - ✓ e-sign (PFSIGN) and submit their Financial Statements to the Coordinator.
- The <u>Coordinator</u> approves and submits the elements of the Periodic Report to the EU Services.
- The <u>EU Services</u> review the submitted Periodic Report and accept or reject it.
- 5. Interim Payment



Periodic vs continuous reporting module

✓ While the periodic reporting module is active beneficiaries can also update the information in the continuous reporting via the periodic reporting.

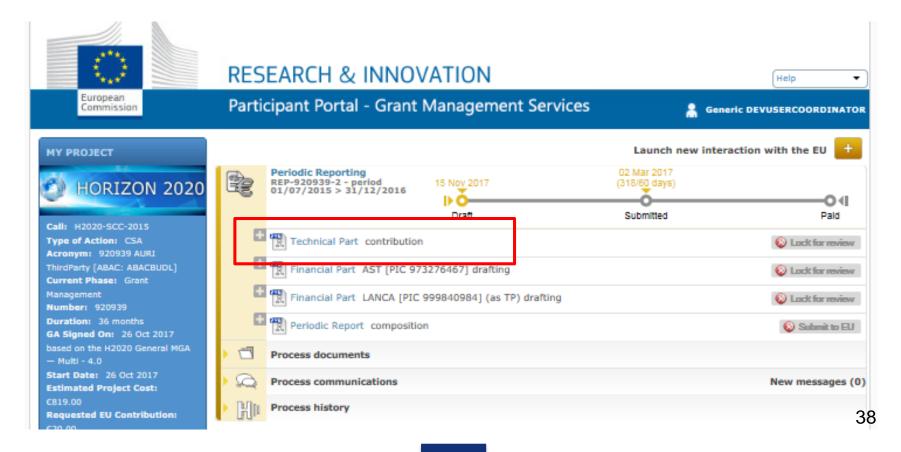
There is synchronization between the two modules until the coordinator clicks 'lock for review' in the periodic reporting.



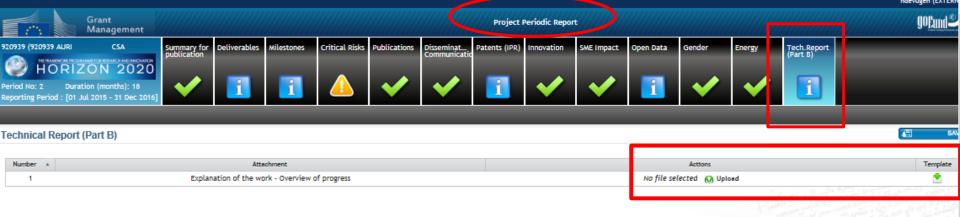


All beneficiaries will be able to work on the tables

Periodic Reporting – beneficiaries are asked to complete their own Financial Statement and their contribution to the Technical Part of the Periodic Report



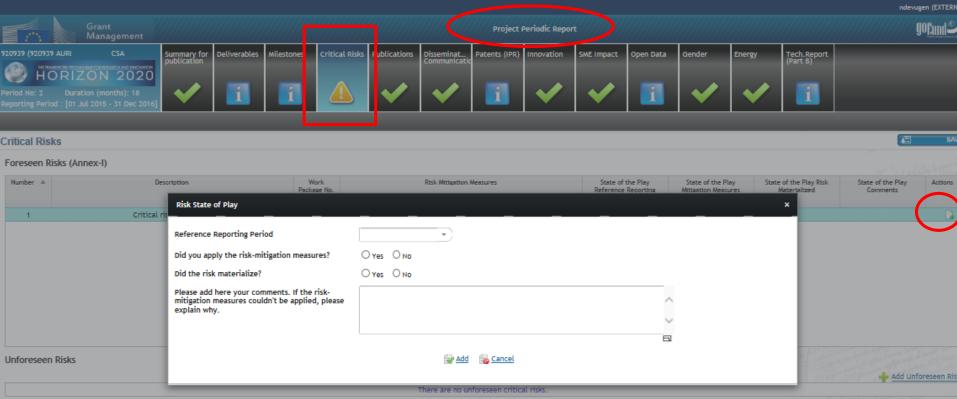




- The template for Part B of the Periodic Report will be available in this page.
- Template also available in the Participant Portal: <u>Template Periodic Report</u>



Critical risks



 An update on the risks situation for the current period must be added by clicking 'Add State of Play' and completing the necessary fields. This task is to be performed before a periodic report is 'Locked for review'.



Task to be performed by the Coordinator

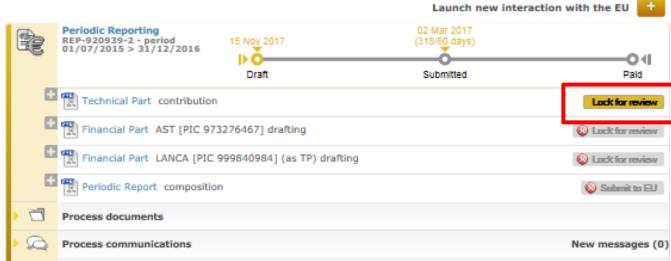


RESEARCH & INNOVATION

Participant Portal - Grant Management Services

Generic DEVUSERCOORDINATOR





- Once all information for the Technical Part has been filled in, click on Lock for Review.
- This action will freeze the data (prevent changes) and generate a pdf document.
- The generation of the PDF might take a few minutes.
- Only users with the role Primary Coordinator Contact and Coordinator Contact can perform this action.

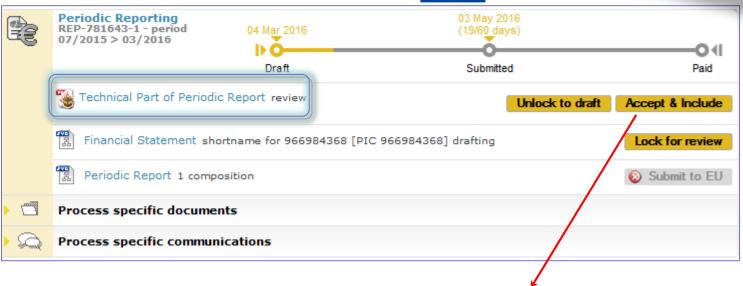


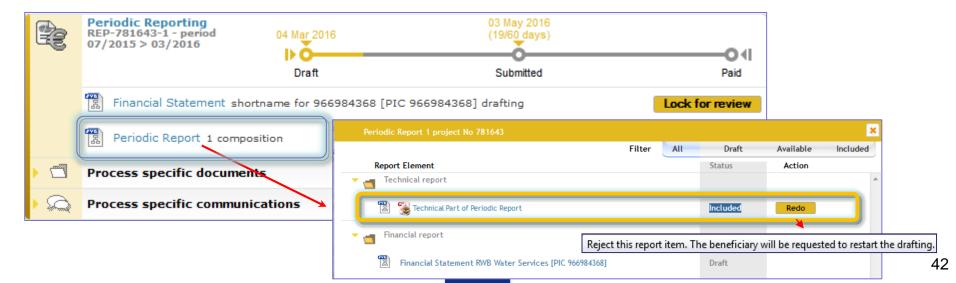
Make sure the information in the continuous reporting module is complete and up-to-date before the periodic report is 'locked for review'.

Technical report Accept & Include



Task to be performed by the Coordinator

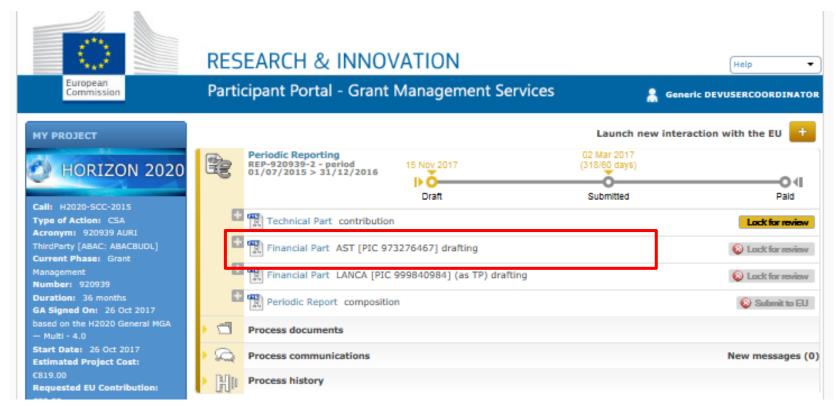






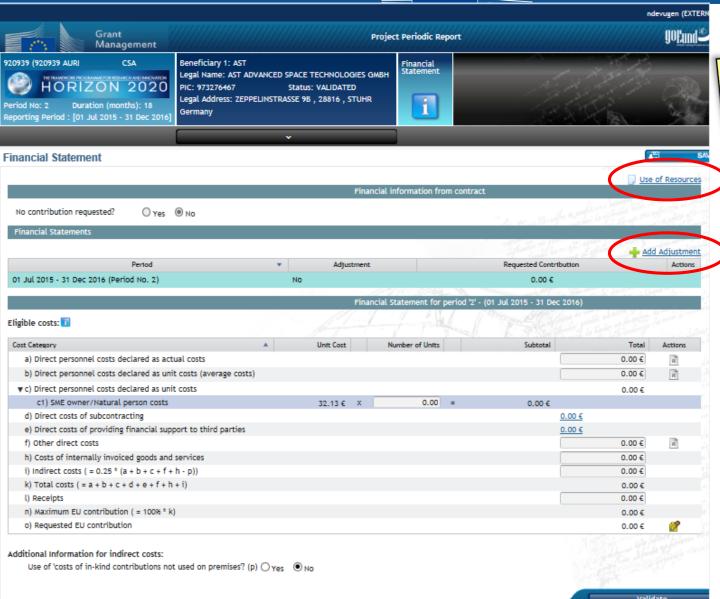
Task to be performed by each beneficiary

Periodic Reporting – beneficiaries are asked to complete their own <u>Financial Statement</u> and their contribution to the Technical Part of the Periodic Report.





Financial Statement

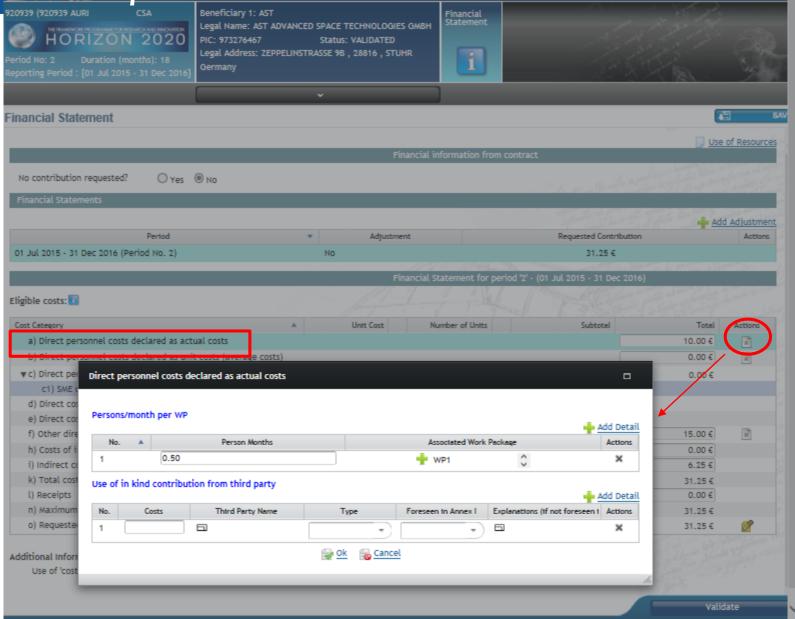


Some costs have an editable field 0.00 € others have a link 0.00 € to click.

Some have a Use of Resources to complete Link to 'How to complete your financial statement' in the PP.

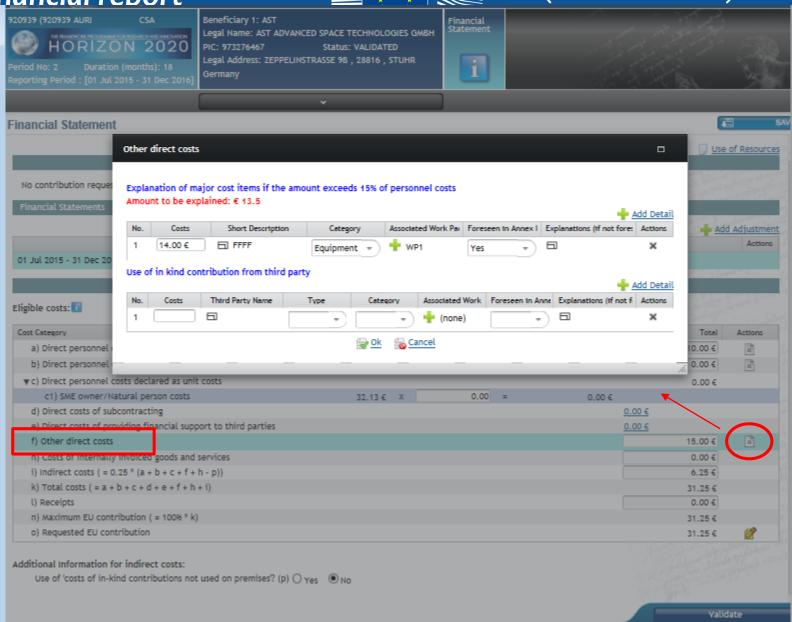


Financial Statement (actual costs)



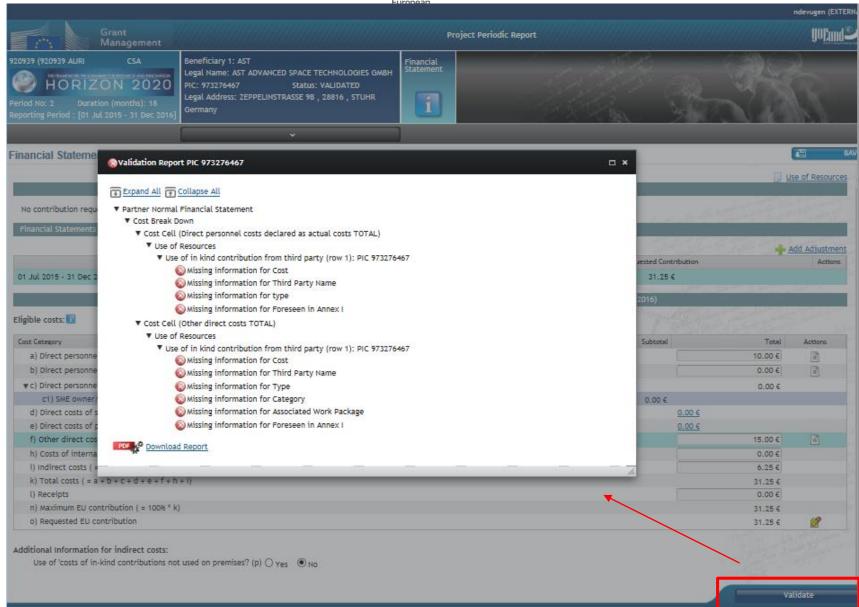


Financial Statement (other direct costs)

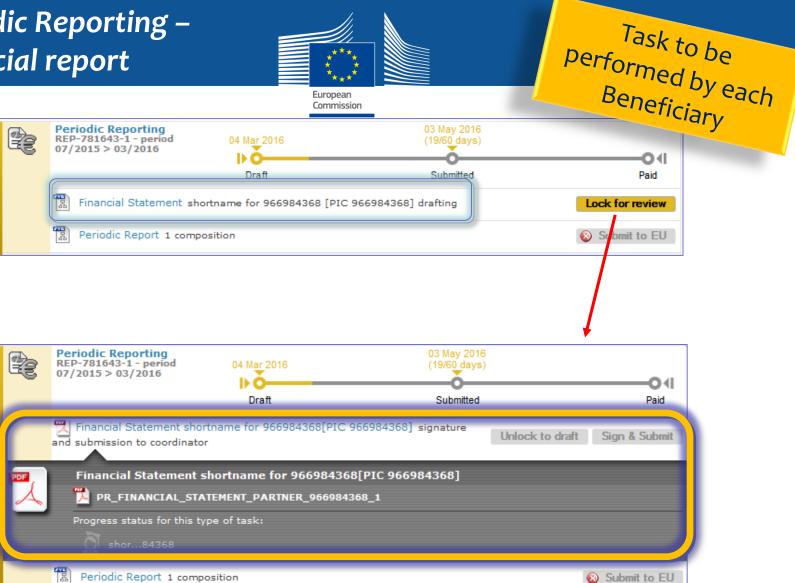




Financial Statement (validation report)



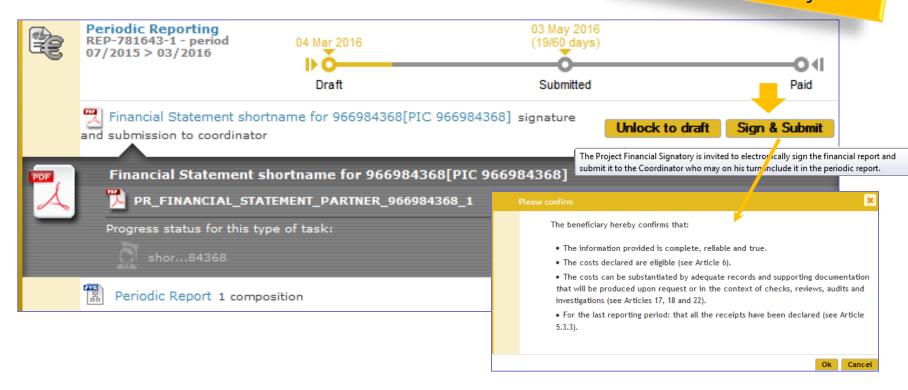




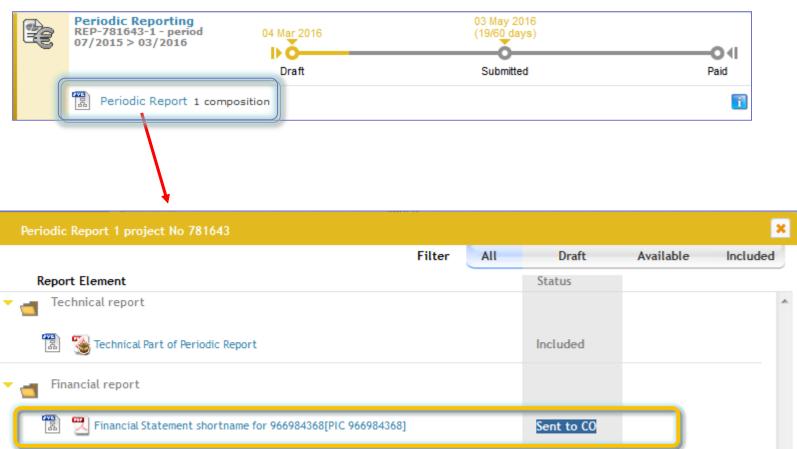
This action will freeze the data (prevent changes) and generate a PDF document



Task to be performed by PFSIGN of each Beneficiary

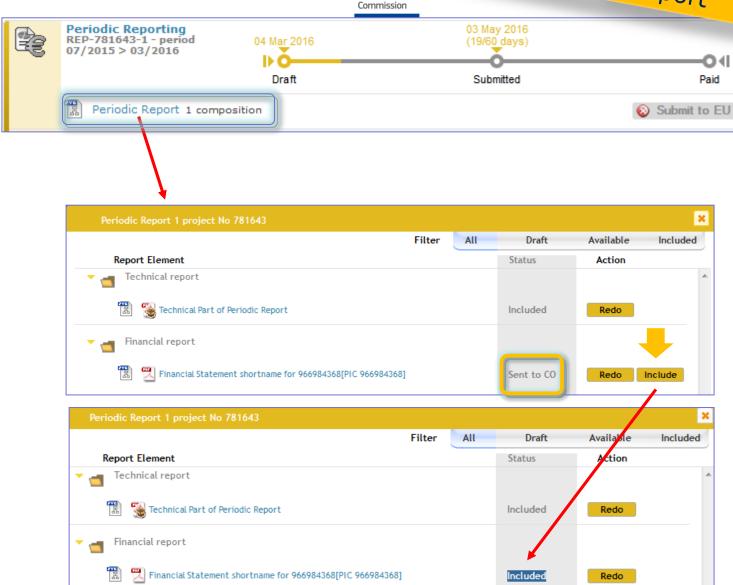








Coordinator approves by including in the Periodic Report



Periodic Reporting Submit to EU



Coordinator submits to EU



- Once the elements of the Periodic Report are approved, the Periodic Report can be submitted to the EU Services in one single submission
- Only users with the role Primary Coordinator Contact and Coordinator Contact can perform this
 action



Summary of the process

Beneficiaries (including the coordinator)

- Financial statement: insert data
- Technical Report: insert data

Coordinator

• Financial statements: Check

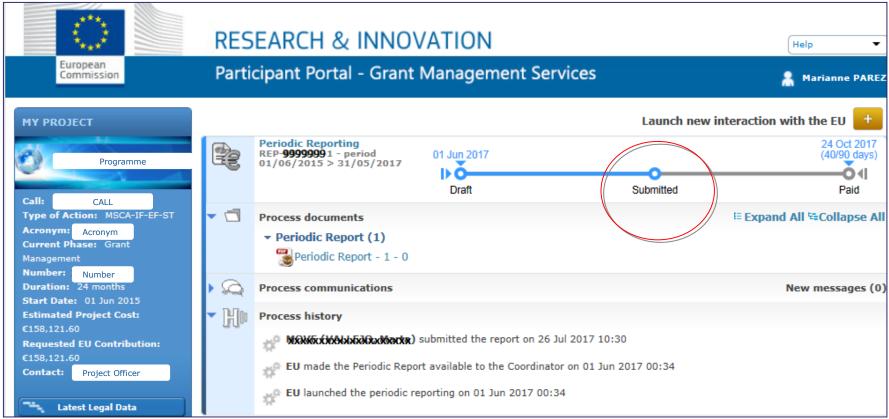


Technical Report: Check



Periodic Reporting Status 'submitted'





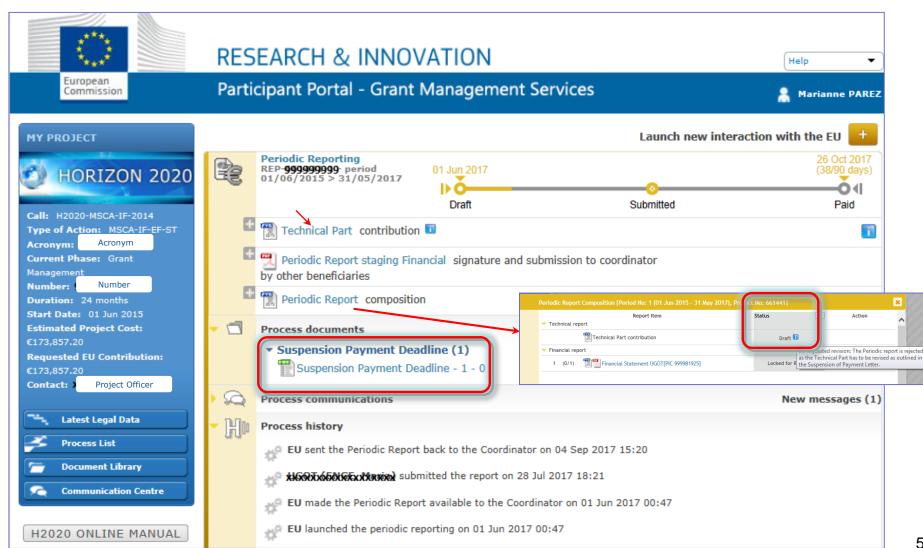
EU Officers can:

- √ accept the report
- √ ask for revisions → Suspension of payment deadline letter → modify Reports
- ✓ or ask for additional information
 → Suspension of payment deadline letter → send document with information

If Reports rejected by EU



e.g. Technical Part rejected -> "Draft"



If additional information is requested by EU



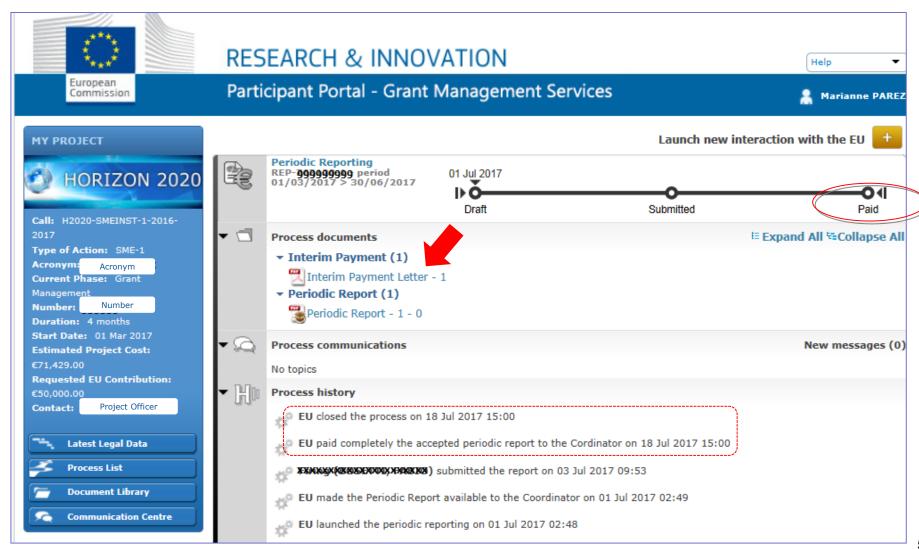
Coordinator receives a notification, reads the document asking for more details



If Reports accepted by EU Payment Letter

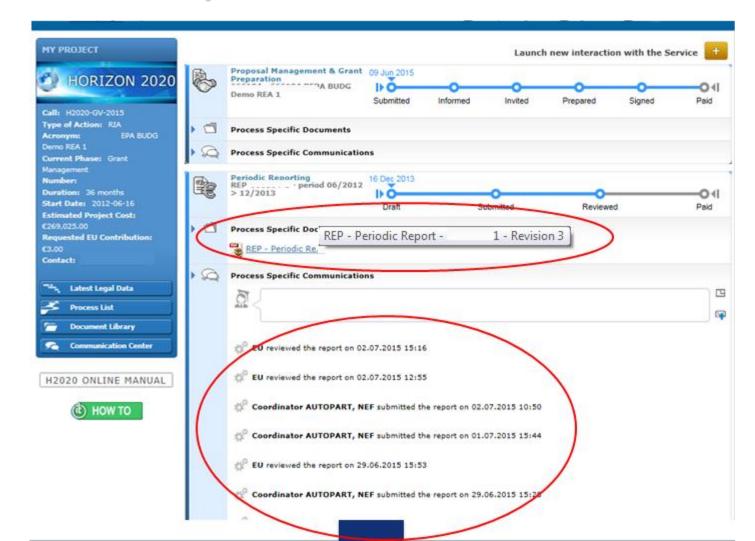


⇒ Process closed





Coordinator/Consortium



On-line Manual





RESEARCH & INNOVATION

Participant Portal H2020 Online Manual





H2020 Online Manual

- My Area User account & roles
 - EU Login
 - Roles & access rights
 - > Terms and Conditions of Use

Grants

- Applying for funding
 - Find a call
 - Horizon 2020 structure and budget
 - > What you need to know about Horizon 2020 calls
- > Find partners or apply as individual
- Register in the Beneficiary
 - > Registration of your
 - LEAR appointment
- > Validation of potential
- > Financial viability check
- Data update
- Certifications
- Submit a proposal
- Get prepared
- > Electronic proposal
- From evaluation to grant
 - Eligibility check
 - Evaluation of proposals
 - > Eligibility and evaluation
 - > Evaluation process and
 - Grant preparation
 - > Enter & submit grant data
 - Ethics review
 - Security scrutiny
 - Grant signature
- Grant management Keeping records
 - Amendments
 - Reports & payment requests
 - Continuous report
 - > Periodic reports

Continuous report Periodic reports

Reports & payment requests

> H2D2D Online Manual > Grants > Grant management > Reports & payment requests >

Final report (ib) HOW TO

Under Article 19 and Article 20 of the grant agreement (GA), the coordinator must submit to the Commission technical and financial reports, including requests for payment - specifically:

- · deliverables identified in Annex 1
- · periodic report (both technical and financial) within 60 days of the end of each reporting period (including the final one), including requests for payment
- · final report at the end of the project ('action'). It consisting in a summary for publication and it is generated automatically by the IT tools.

Reporting functionalities

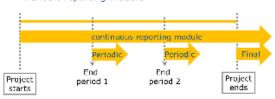
- . Continuous reporting functionality in the Participant Portal:
- it is activated at the time the project starts and it is continuously open for the beneficiaries to submit deliverables, to report on progress in achieving milestones, to follow up of critical risks, ethics issues, publications, communications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

following the end of each reporting period the functionality of periodic reporting will be activated. While the periodic reporting session is open in the grant management 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
- · upload the narrative, free text part (part B) of the periodic technical report as a pdf document

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 periodic summary financial statements, which corresponds to the request for payment.

- · Continuous reporting module
- · Periodic reporting module



Continuous Reporting

As a beneficiary, you can and should use the continuous reporting functionality as soon as the project starts to submit

Periodic Reporting

Link to 'How To'

Table of Contents: Grant Management Services System

- > 1. Grant Management Services tool
- 2. Business processes
 - > 1. Proposal Management and Grant Preparation
 - > 2. Amendments
 - 3. Reporting and payments
 - > Continuous Reporting
 - > Periodic Reporting
 - > Beneficiary Termination Reporti
 - Scientific reporting process (RE
 - > 4. Grant Agreement Termination
 - > 5. Project monitoring process rev
- 3. eSignature
- · 4. Ethics review
- 5. FAQs
- · 6. Identity and Access Management
- 7. What's New

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- Introduction
- Process description and steps
 - Reporting process general
 - · Reporting process Cofund
- Supported sections per Type of A
- · Cases not supported
 - For MSCA-IF

Introduction

The precondition for reporting is the signa.....

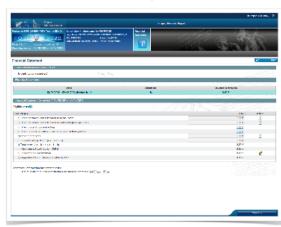
A. Completing your Financial Statement

- a. Draft the financial statement.
- 1 The Participant Contacts (or Coordinator Contacts if it concerns the coordinating organisation) perform this action

Click on the task "Financial Statement" and complete the costs.
Click here to find more information on how to complete your financial statement.



Complete the requested information and save. Click the Validation button to see whether you have filled in all information correctly, then close the current screen and return to the the Participant Portal.



There are two types of reporting in the Grant Management Services in the Participant Portal:



