

REPORTING and PAYMENT

(in practice)

HORIZ N 2020

Research and Innovation Brussels 15 November 2019



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)
- ✓ <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

Article 19 of the GA

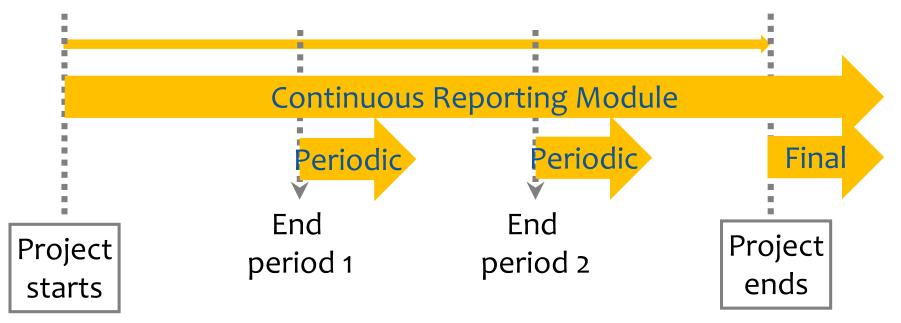
Article 20 of the GA

Electronic submission via the Participant Portal.



Reporting modules overview

- ✓ 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 at the end of reporting periods)

Technical reportFinancial report

Technical Report

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

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

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



Periodic reporting module

(activated at the end of reporting periods)

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.

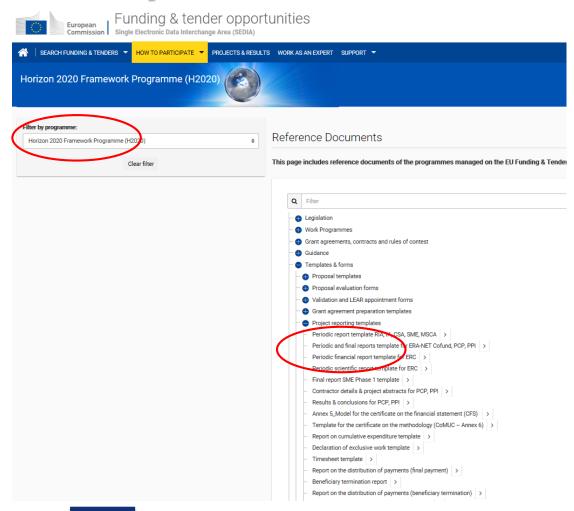


Periodic report - templates

✓ Template for periodic report for RIA, IA, CSA, SME instrument and MSCA, published in the

Funding & tenders portal

- ✓ Part A
- ✓ Part B
- ✓ Use of resources report





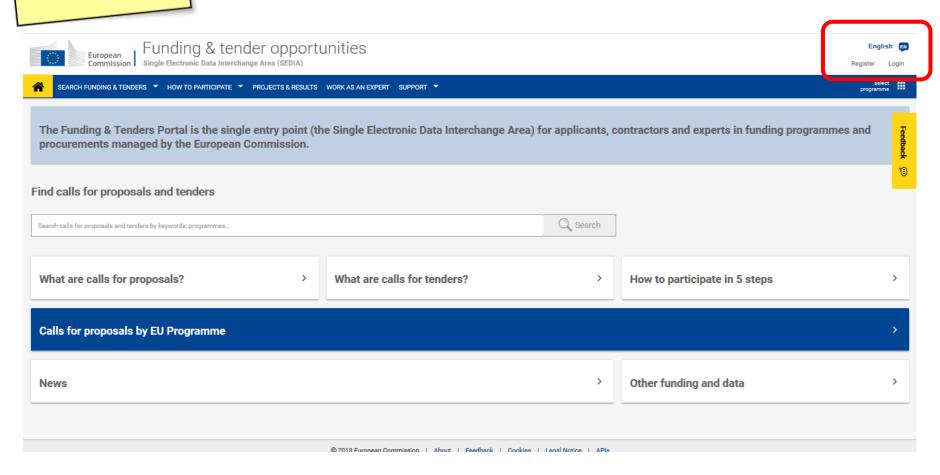
Continuous reporting module

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

External users: how to

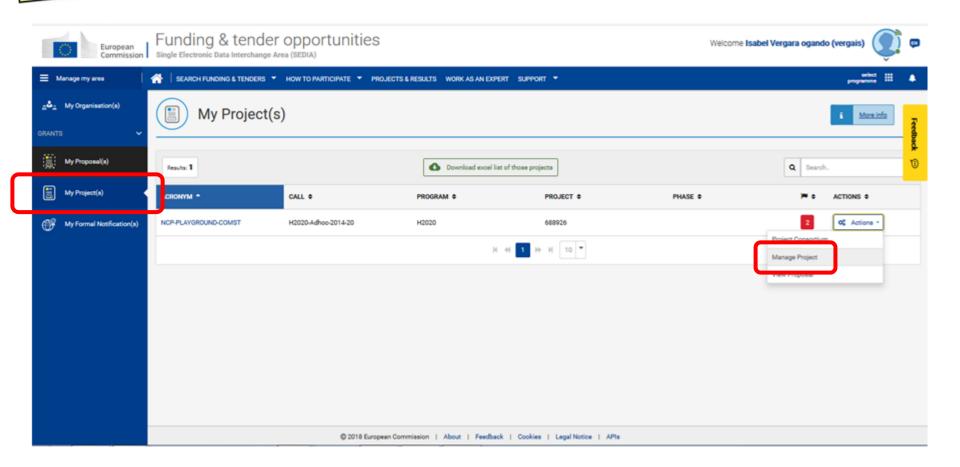




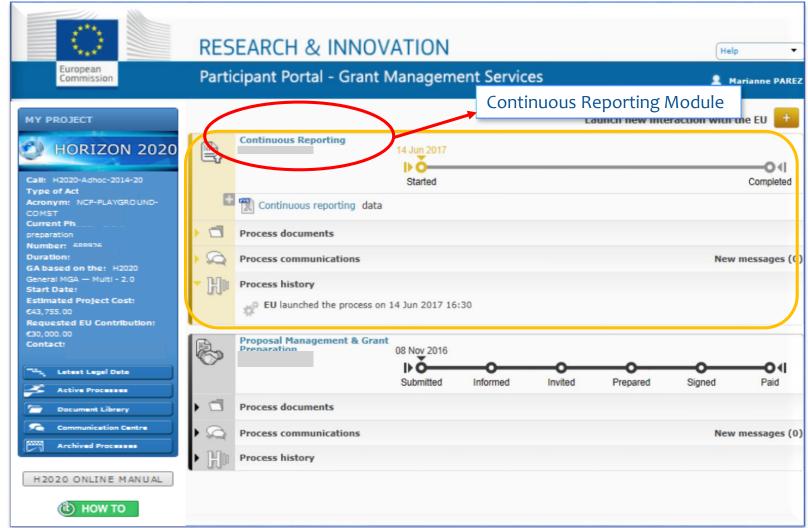


Go to 'My Projects' section. Then click on Manage Projects in Actions menu



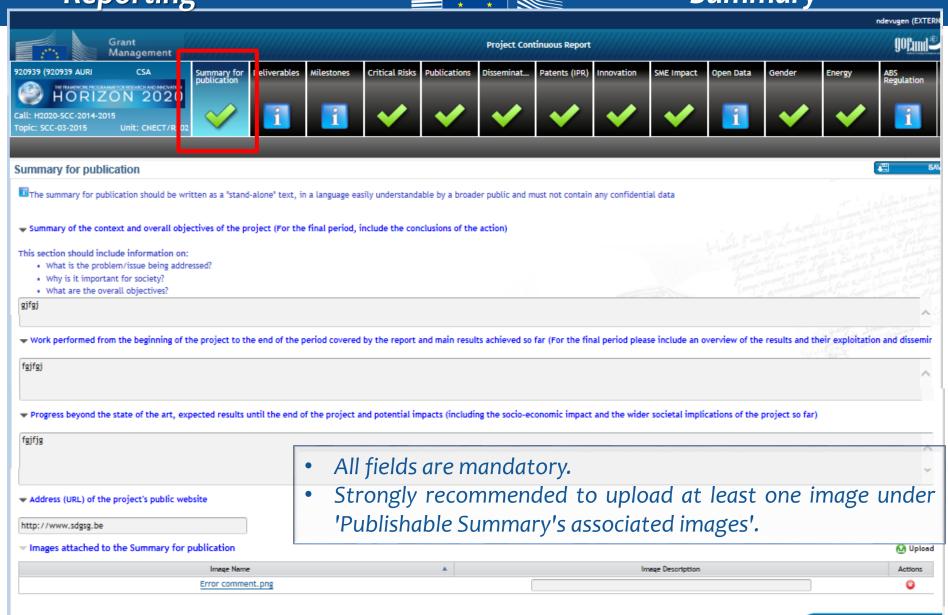






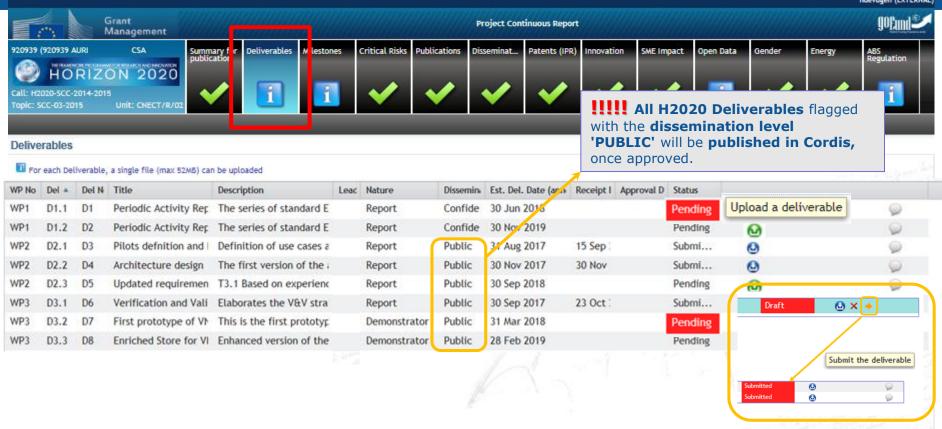


Publishable Summary





Deliverables

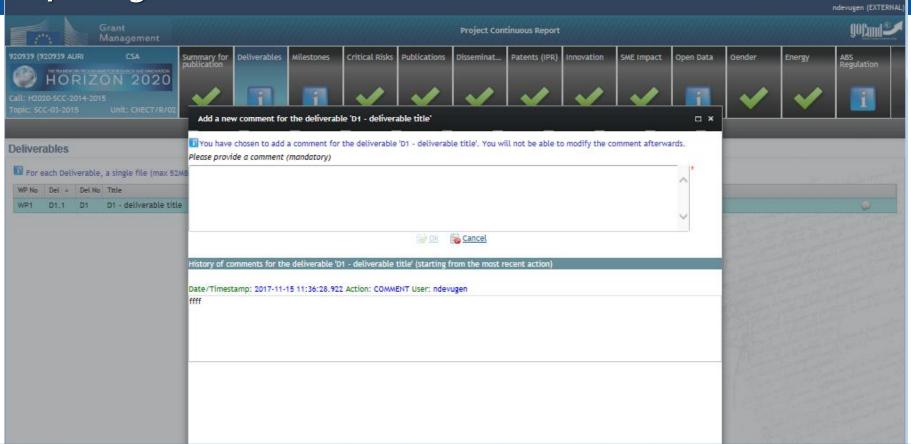


- The status of the deliverable is 'Pending' when a deliverable hasn't been uploaded yet.
- If the deliverable's estimated delivery date falls in a given reporting period and the deliverable is not submitted here on time, before the periodic report is 'Locked for review', participants will be asked to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

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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

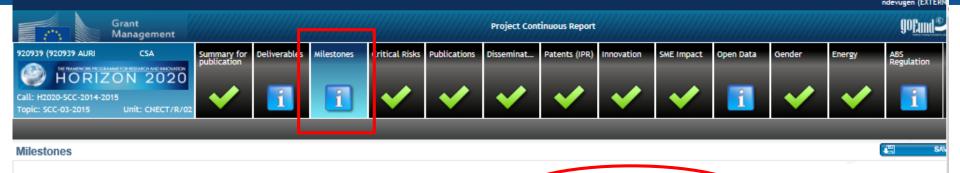
Lead Beneficiary

Numbe A



Milestones

Comments



Achteved

Delivery Date (actual)

The milestones entered during the Grant Preparation are displayed here.

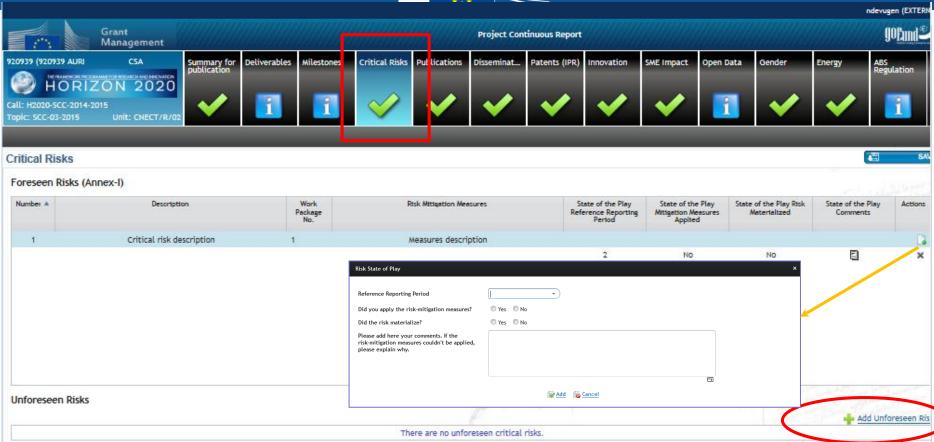
Delivery Date (Annex I)

01 Mar 2014

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



Critical risks

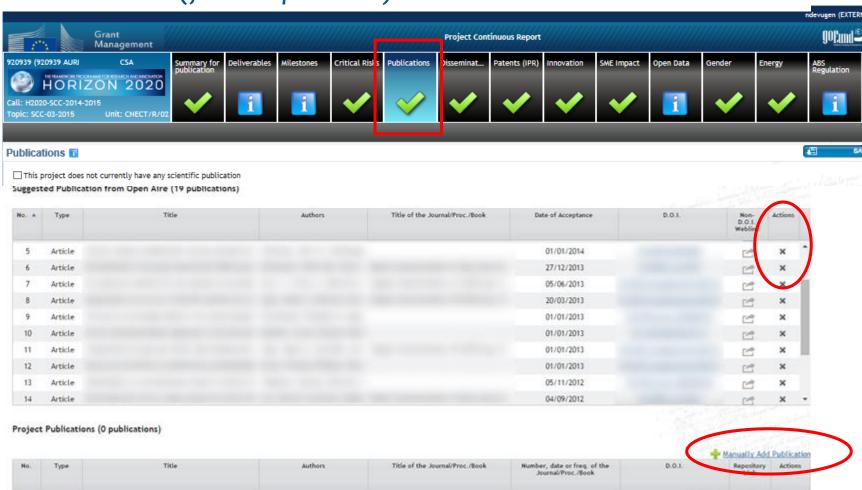


- Foreseen risks have already been indicated at the Grant Agreement Preparation phase and are automatically displayed.
- Unforeseen risks can be added.
- The State of play for any risk (both unforeseen and foreseen) can be updated





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

Publications



Open access to peerreviewed publication



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

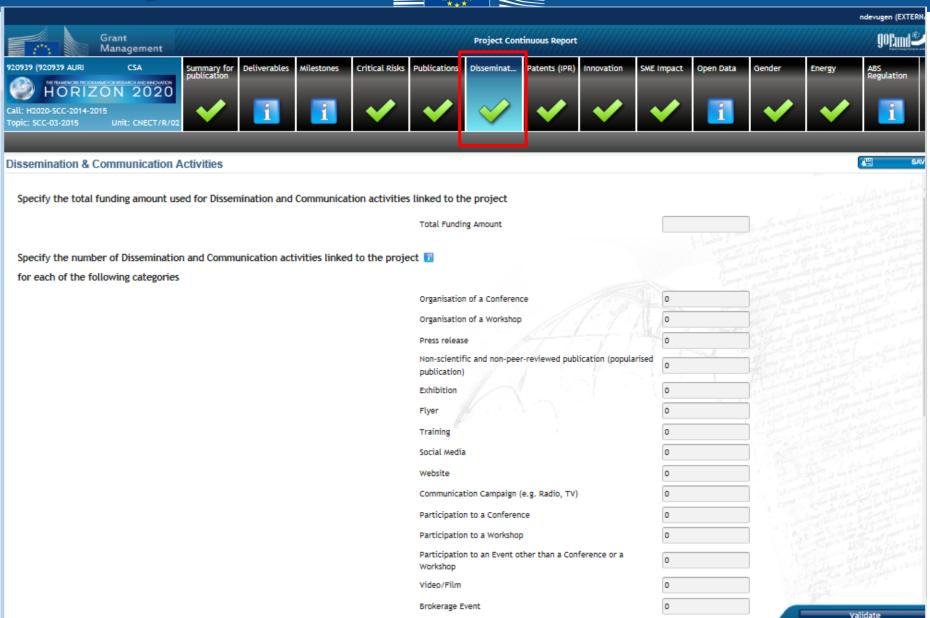
If a beneficiary breaches any of its obligations under this Article, the **grant may be reduced** (see Article 43).

If applied, minimum reduction rate for this type of breach is **10%** of the maximum grant amount.

Such a breach may also lead to any of the other measures described in Chapter 6.

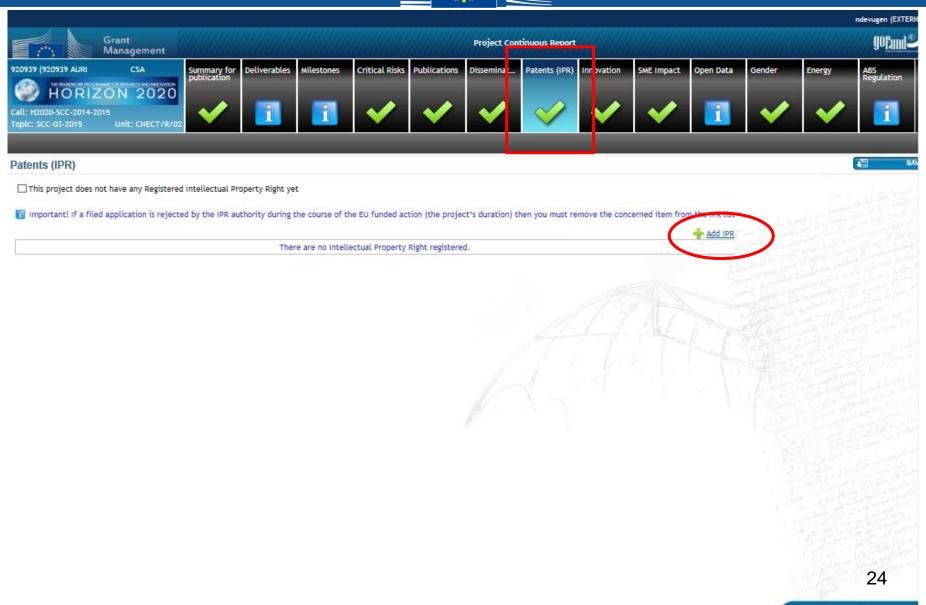


Dissemination



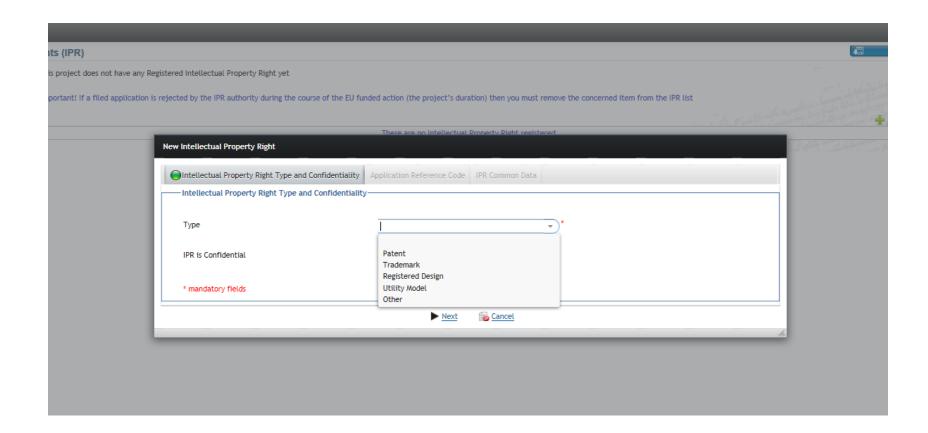


Patents (IPR)

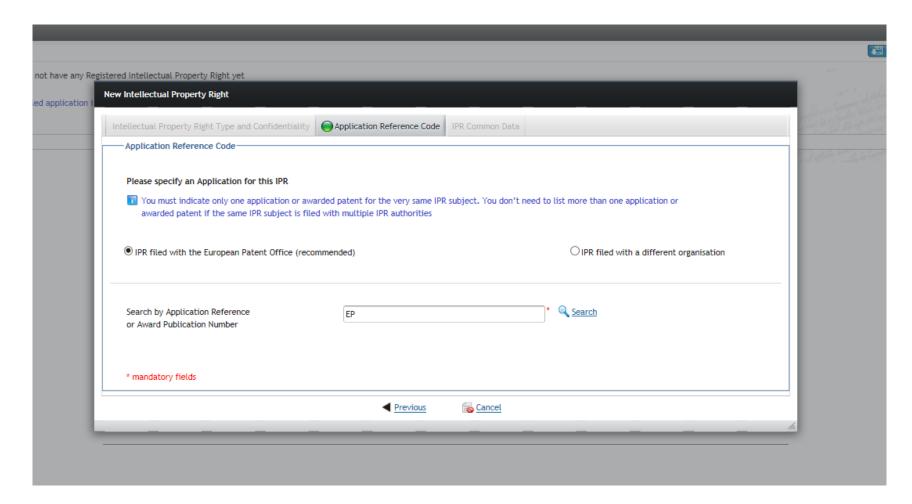


Patents (IPR)



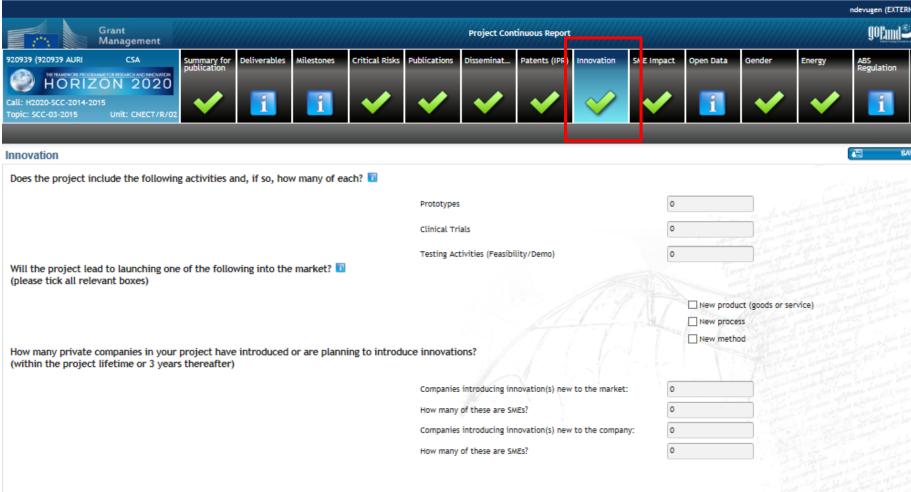








Innovation





SME Impact



Impact on SMEs

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

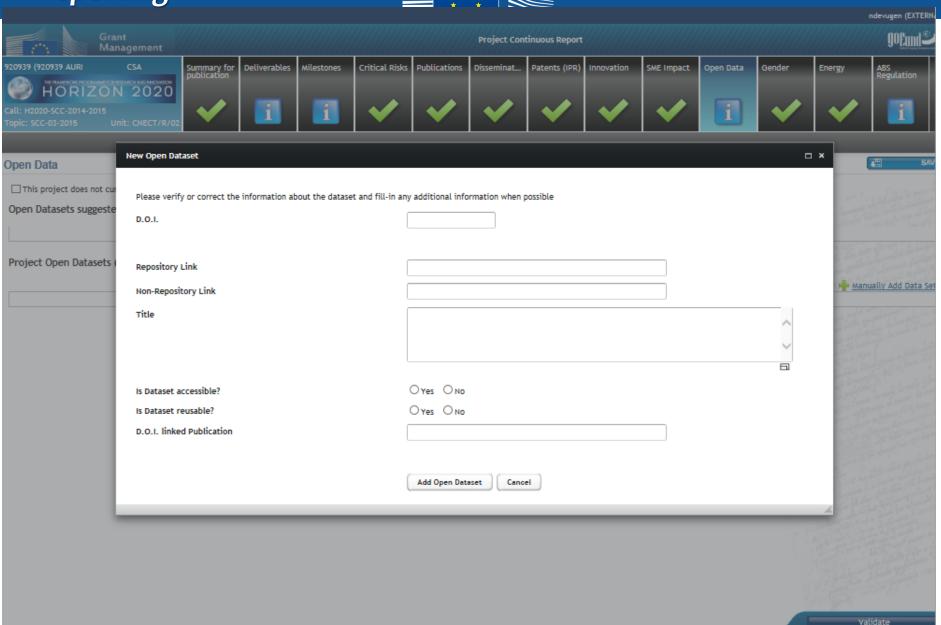
Please add updated information on turnover of the company and number of employees (only for SME participants)

	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

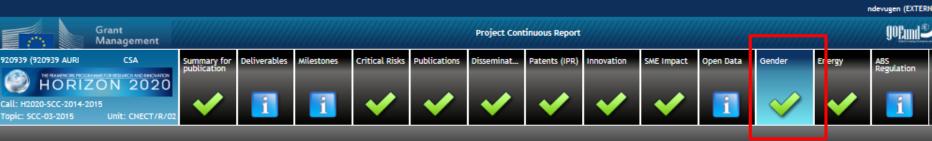


Open Data





Gender



Gender

Gender of researchers and other workforce involved in the project 🗓

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.

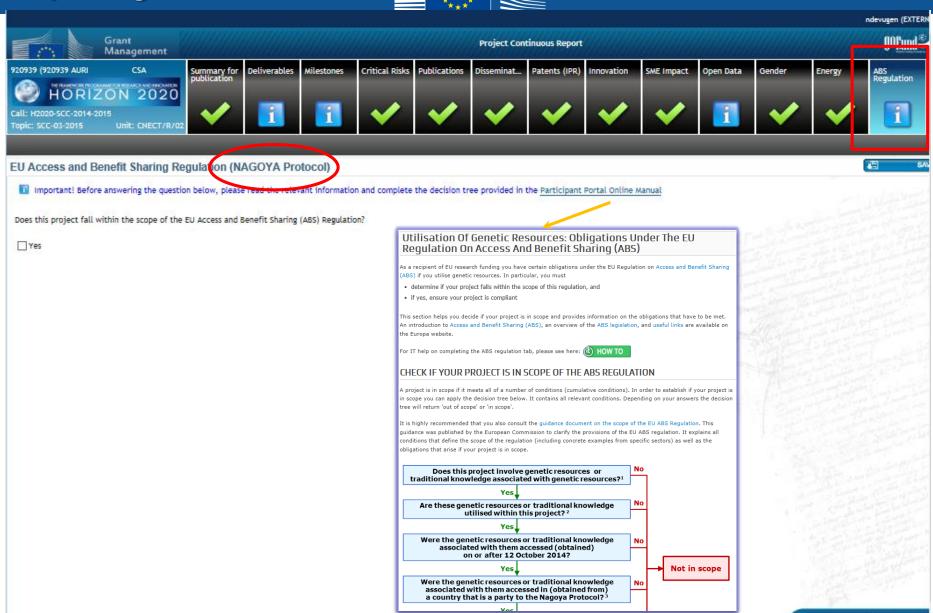
Gender dimension in the project 11

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 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 Reporting

Help

🙎 abc DEF



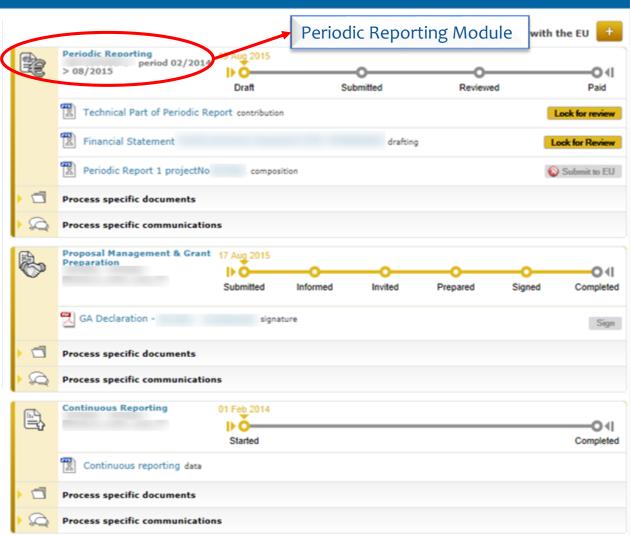
RESEARCH & INNOVATION

Participant Portal - Grant Management Services



H2020 ONLINE MANUAL

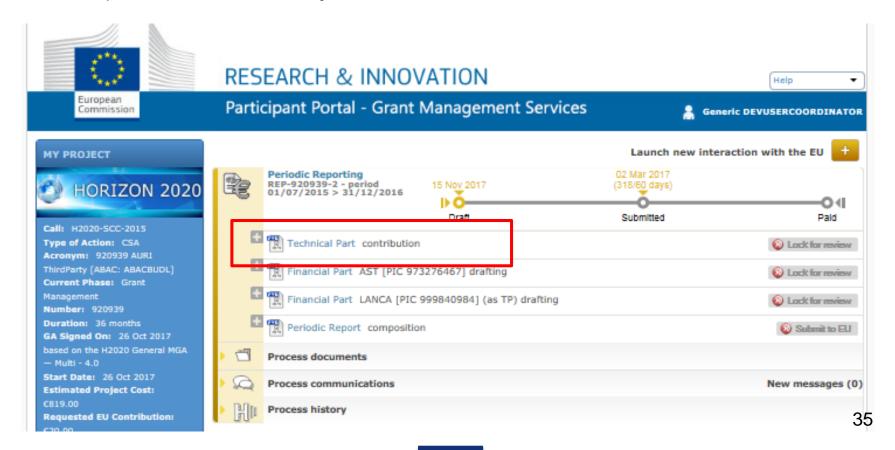






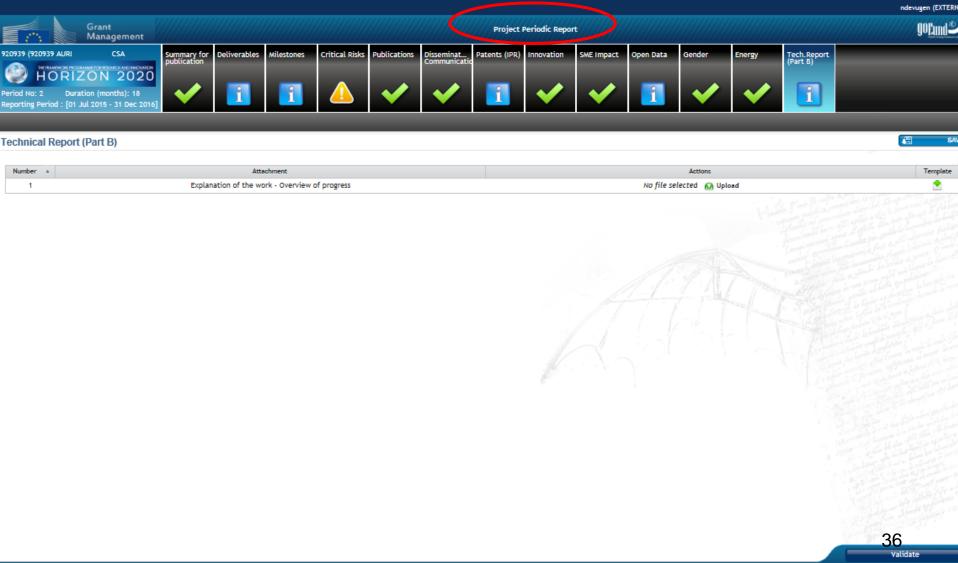
All beneficiaries will be able to work on the tables

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



Periodic Reporting – Technical report







Periodic vs continuous reporting module

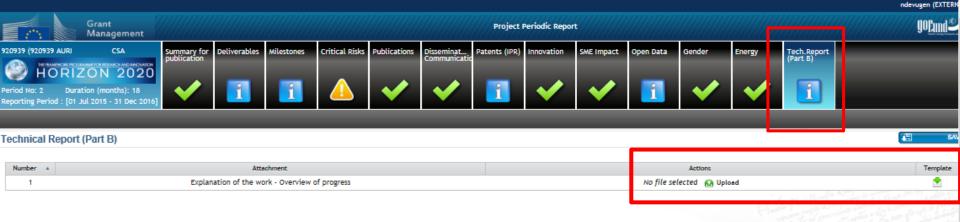
✓ While the periodic reporting module is active beneficiaries can also update the information in the continuous reporting via the periodic reporting.

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



Periodic Reporting – Technical report



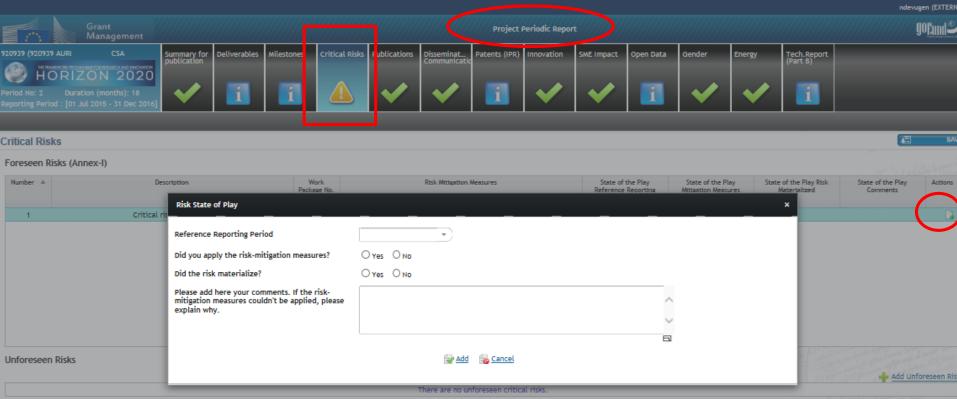


- The template for Part B of the Periodic Report will be available in this page.
- Template also available in the Participant Portal: <u>Template Periodic Report</u>

Periodic Reporting – Technical report



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'.

Periodic Reporting – Technical report



Task to be performed by the Coordinator

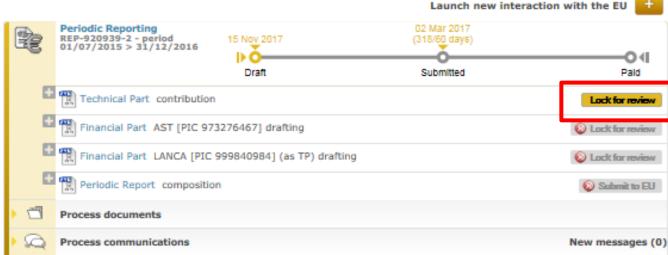


RESEARCH & INNOVATION

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.

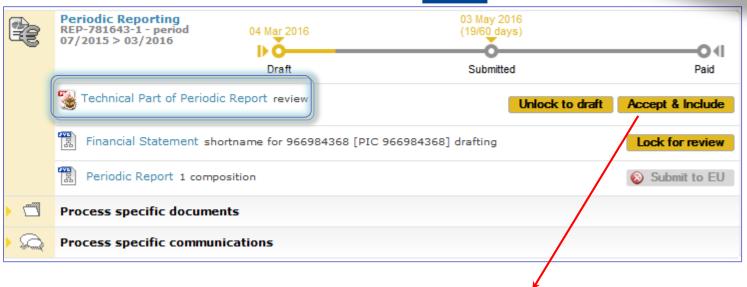


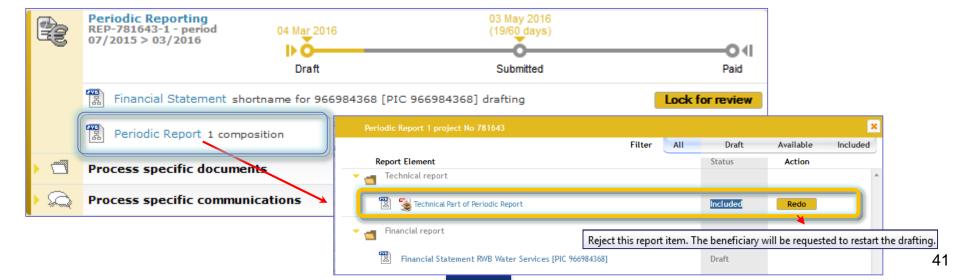
Make sure the information in the continuous reporting module is complete and up-to-date before the periodic report is 'locked for review'.

Technical report Accept & Include



Task to be performed by the Coordinator

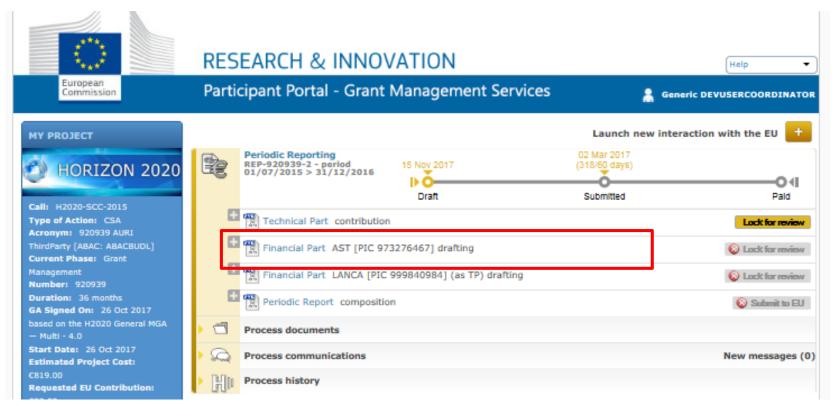






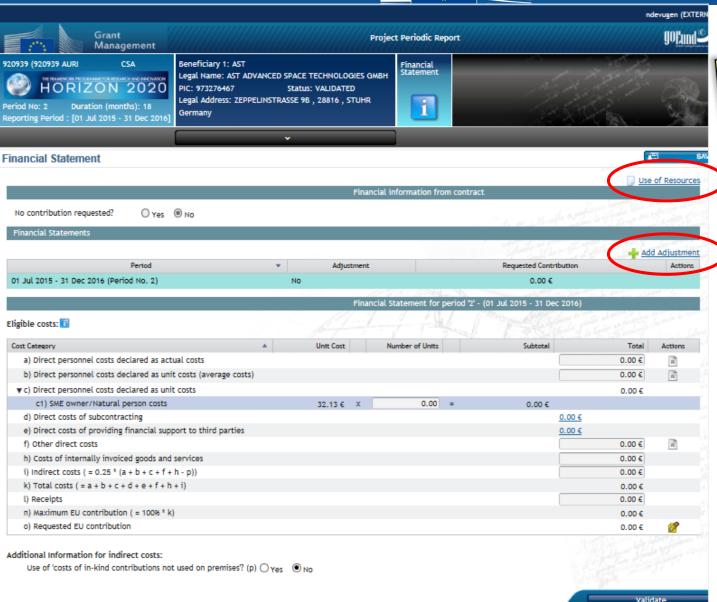
Task to be performed by each beneficiary

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

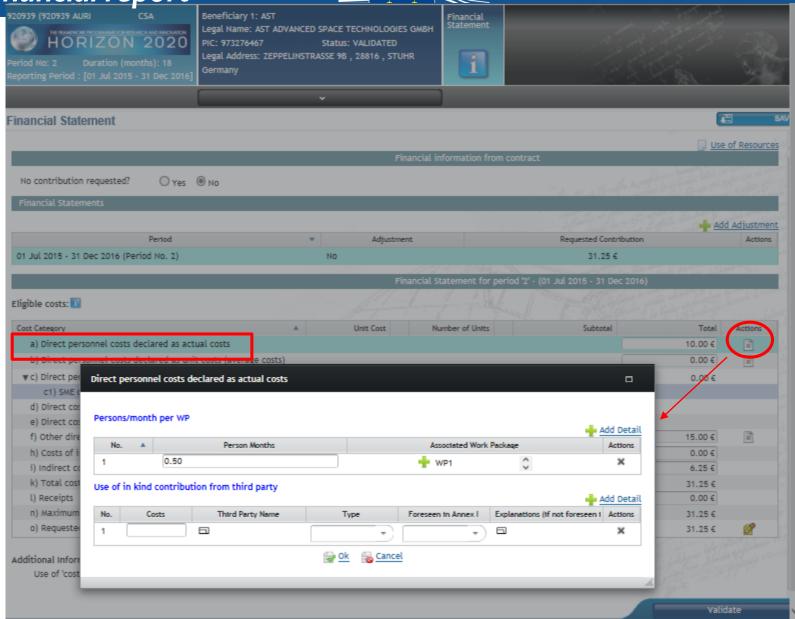


Some costs have an editable field 0.00 € others have a link 0.00 € to click.

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

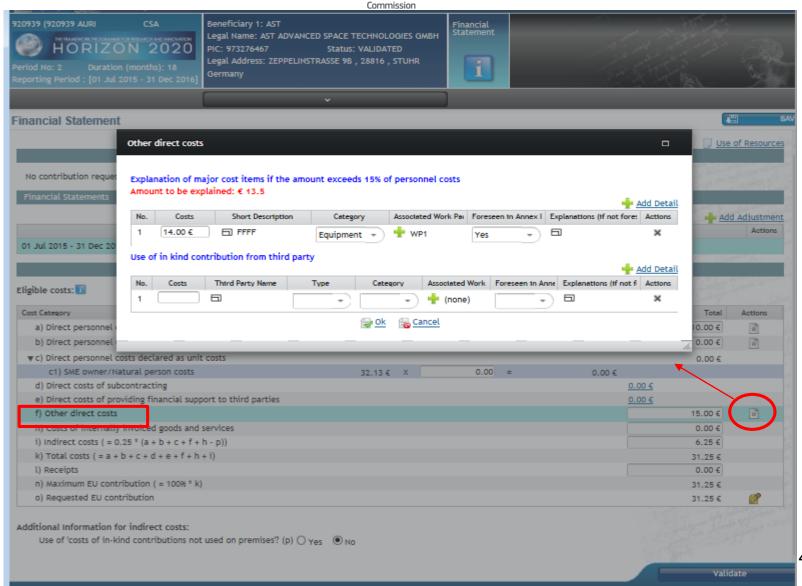


Financial Statement (actual costs)



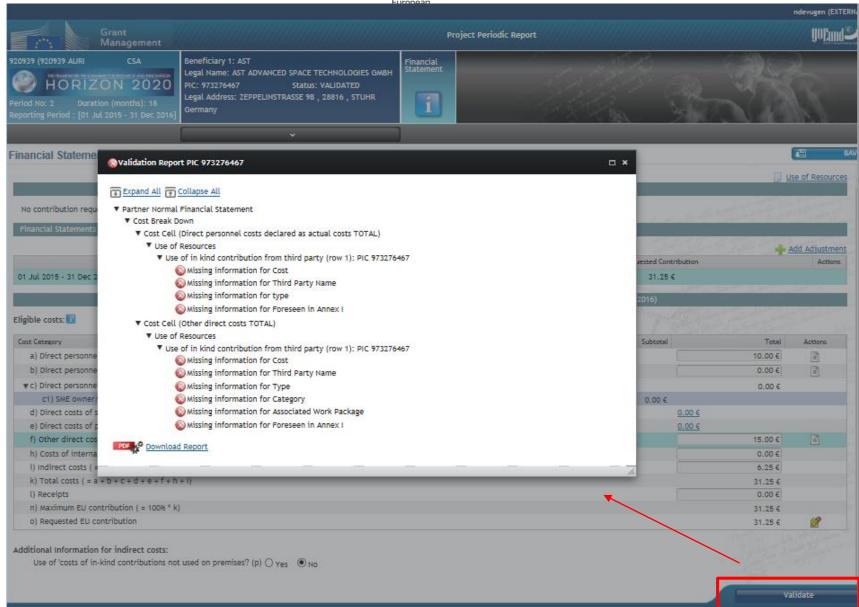


Financial Statement (other direct costs)

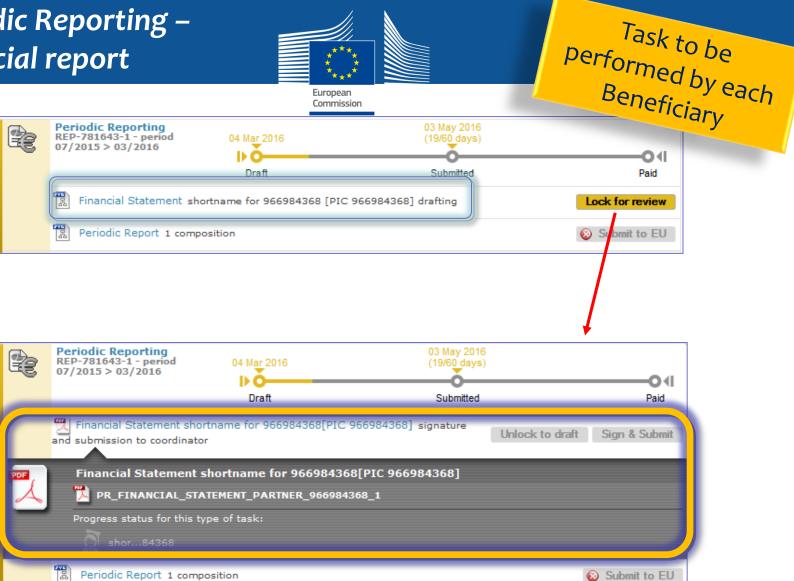




Financial Statement (validation report)



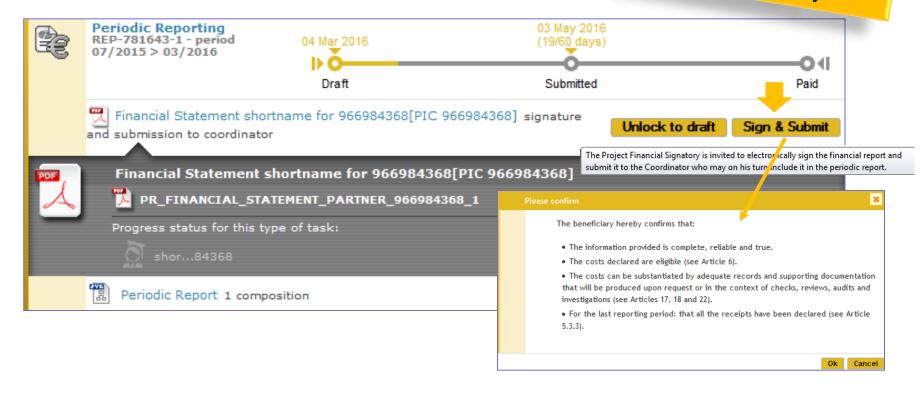




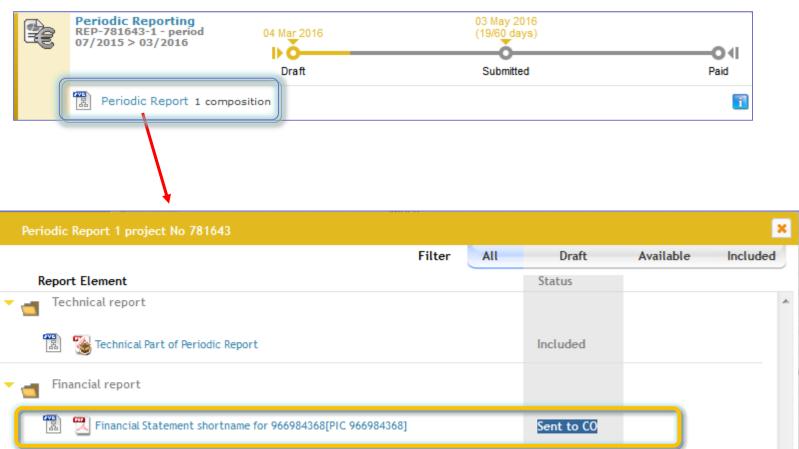
This action will freeze the data (prevent changes) and generate a PDF document



Task to be performed by PFSIGN of each Beneficiary

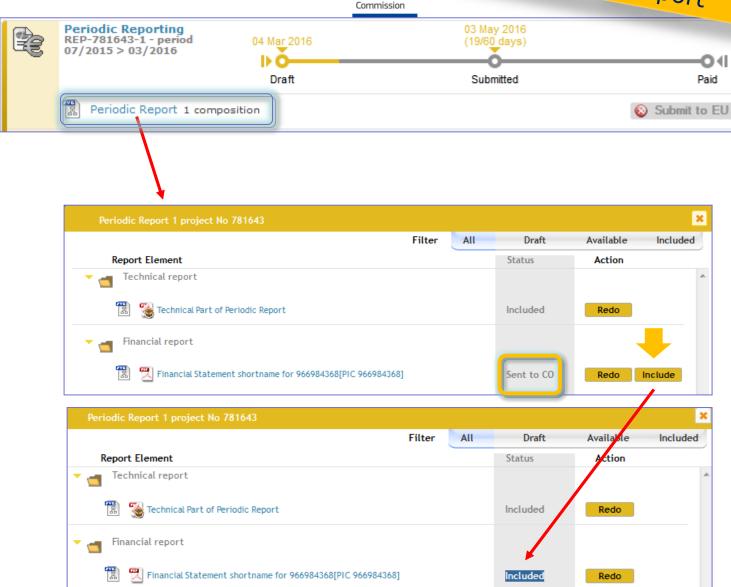








Coordinator approves by including in the Periodic Report



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

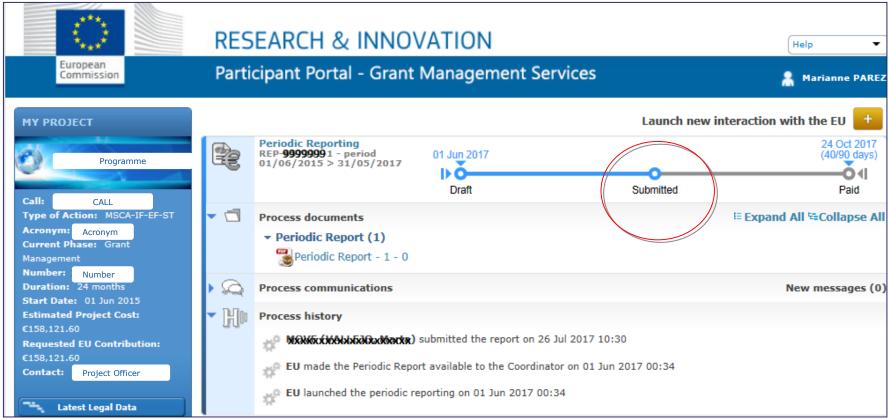
 Lock for review

 Sign & Submit
- **Technical Report:** insert data + upload narrative part

• Financial statements: Check • Technical Report: Check Lock for review Accept & Include

Periodic Reporting Status 'submitted'





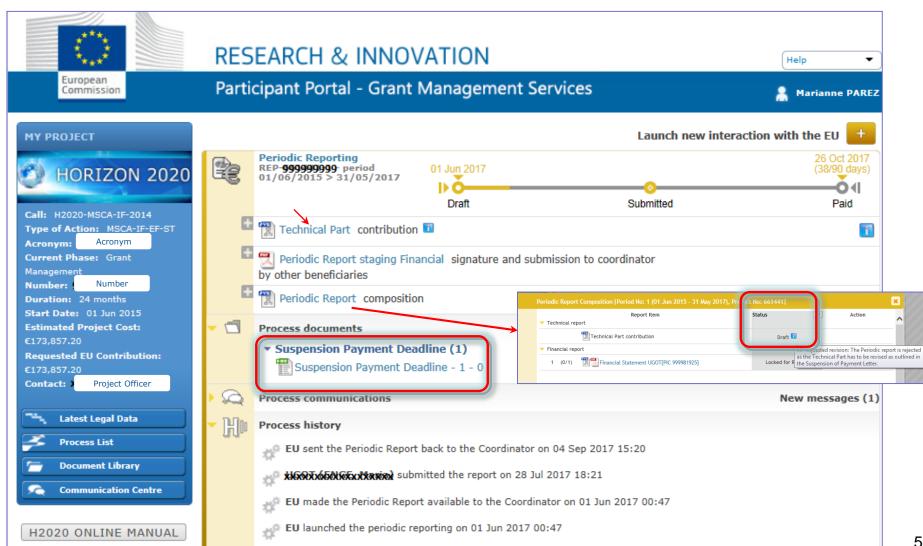
EU Officers can:

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

If Reports rejected by EU



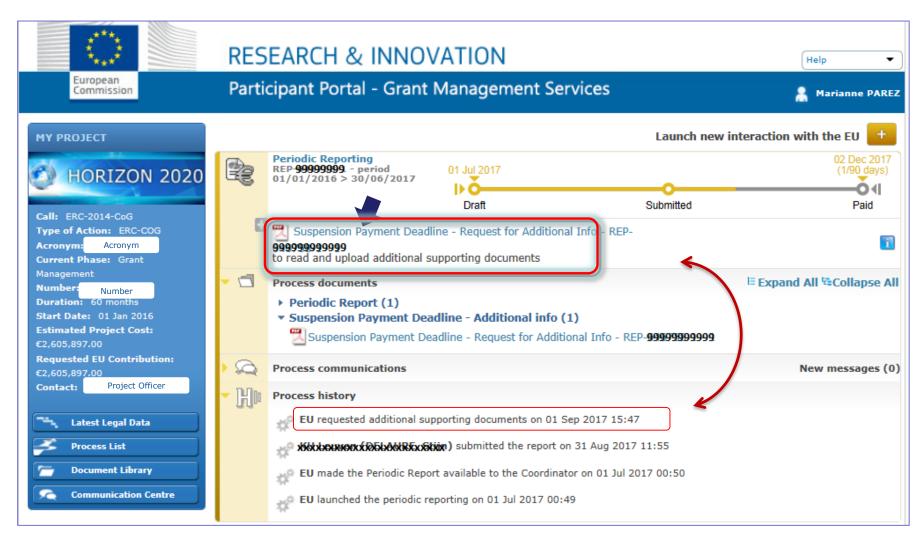
e.g. Technical Part rejected → "Draft"



If additional information is requested by EU



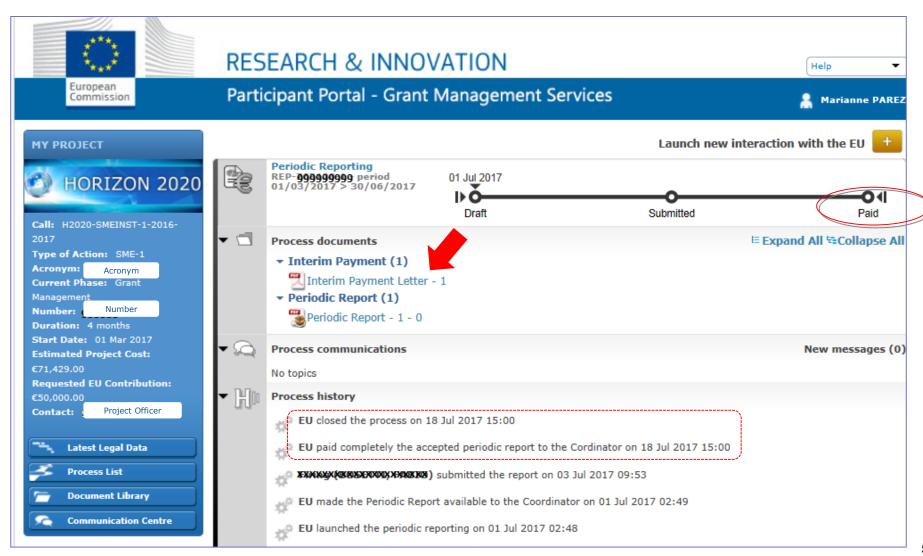
Coordinator receives a notification, reads the document asking for more details



If Reports accepted by EU Payment Letter

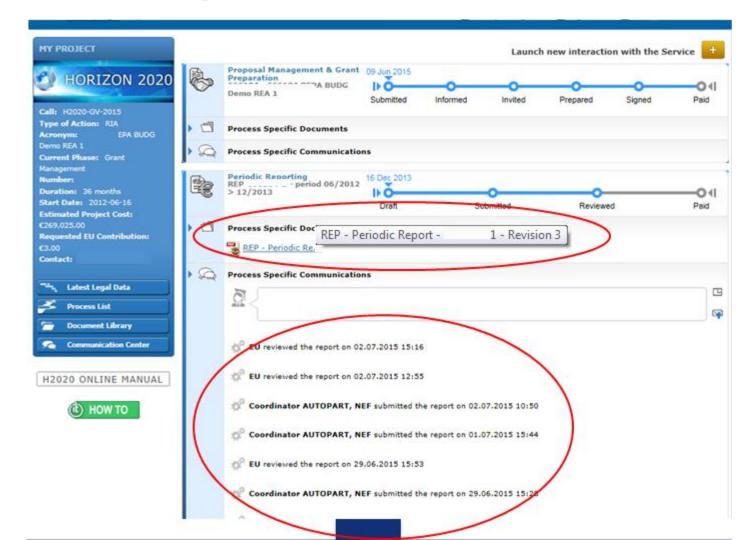


⇒ Process closed





Coordinator/Consortium



On-line Manual







Link to 'How To'

Periodic Reporting

- > 1. Grant Management Services tool
- 2. Business processes
 - > 1. Proposal Management and Grant Prepa

Table of Contents: Grant Management Services System

- > 2. Amendments
- 3. Reporting and payments
 - > Continuous Reporting
 - > Periodic Reporting
 - > Beneficiary Termination Reporting
- > Scientific reporting process (RESC)
- > 4. Grant Agreement Termination
- > 5. Project monitoring process reviews
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- · 4. Ethics review
- 5. FAQs
- . 6. Identity and Access Management
- > 7. What's New

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 - · Reporting process general
 - · Reporting process Cofund-Eranel
- · Supported sections per Type of Action
- · Cases not supported
 - For MSCA-IF

Introduction

The precondition for reporting is the signature of t

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. Olick 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:



