# MSCA – ITN
# reporting for beneficiaries

**MSCA online Audit Event - UKRO**
**10th December 2020**

**Julien Giordani**
Research Executive Agency

# Outline

- Monitoring Project implementation
- Project Timeline
- Continuous Reporting module
- Periodic Reporting
- Project Checks
- Ethics
- Communication with REA

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# 1. Monitoring Project Implementation

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# Monitoring Project Implementation

- The Agency must monitor the activities of the projects in order to assess and verify:

✓ That the **project is implemented as described in Annex 1** (Description of the action – DoA) of the Grant Agreement (GA) (technical implementation)

✓ That the **project's activities comply with the obligations under the GA** (legal & administrative implementation)

In order for the Agency to verify that the project is implemented properly, the beneficiaries must submit any information requested, and in particular **the deliverables and reports specified in the GA.**

In addition, the Agency will also carry out **3 checks.**

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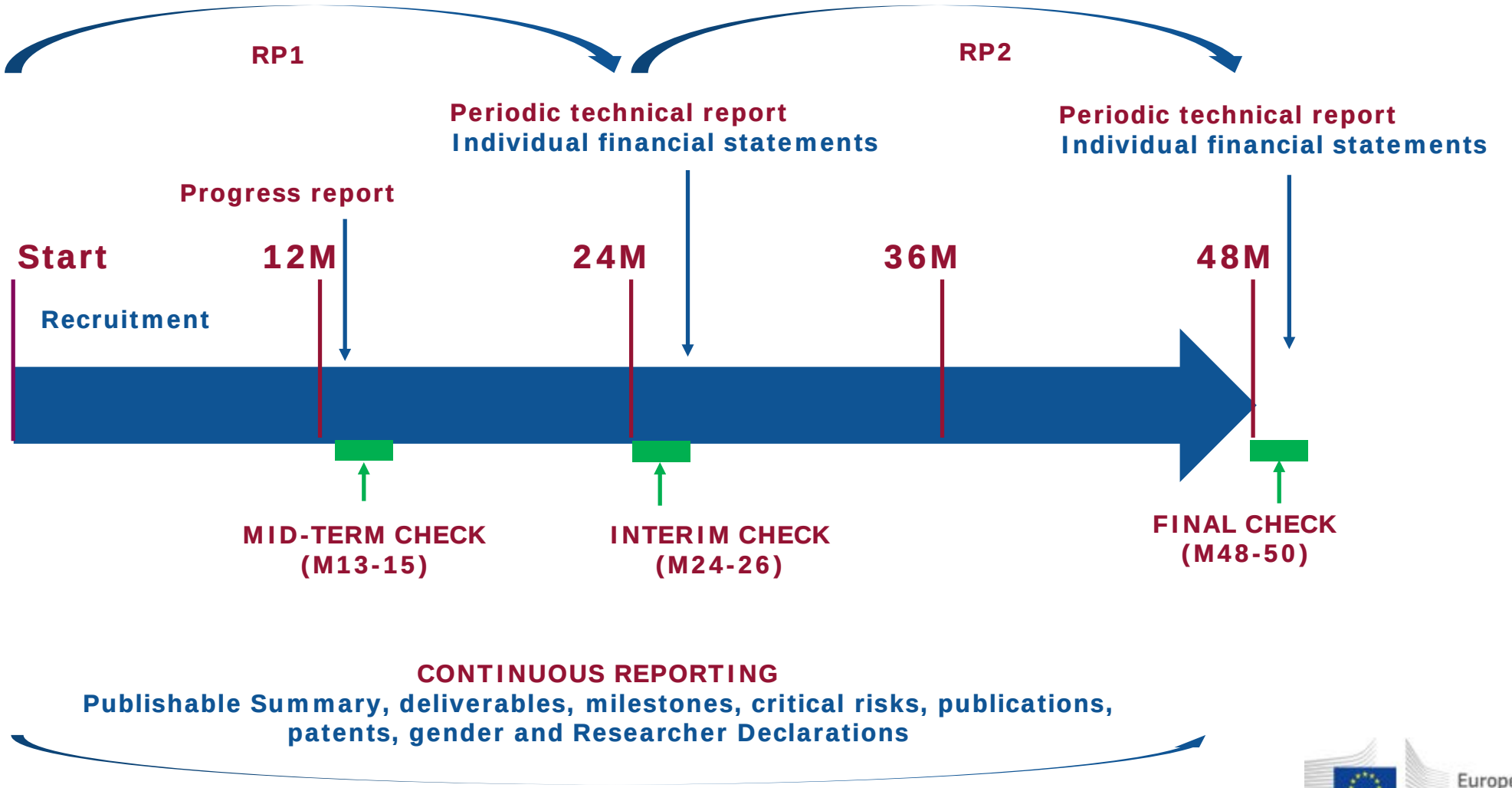
# Project timeline

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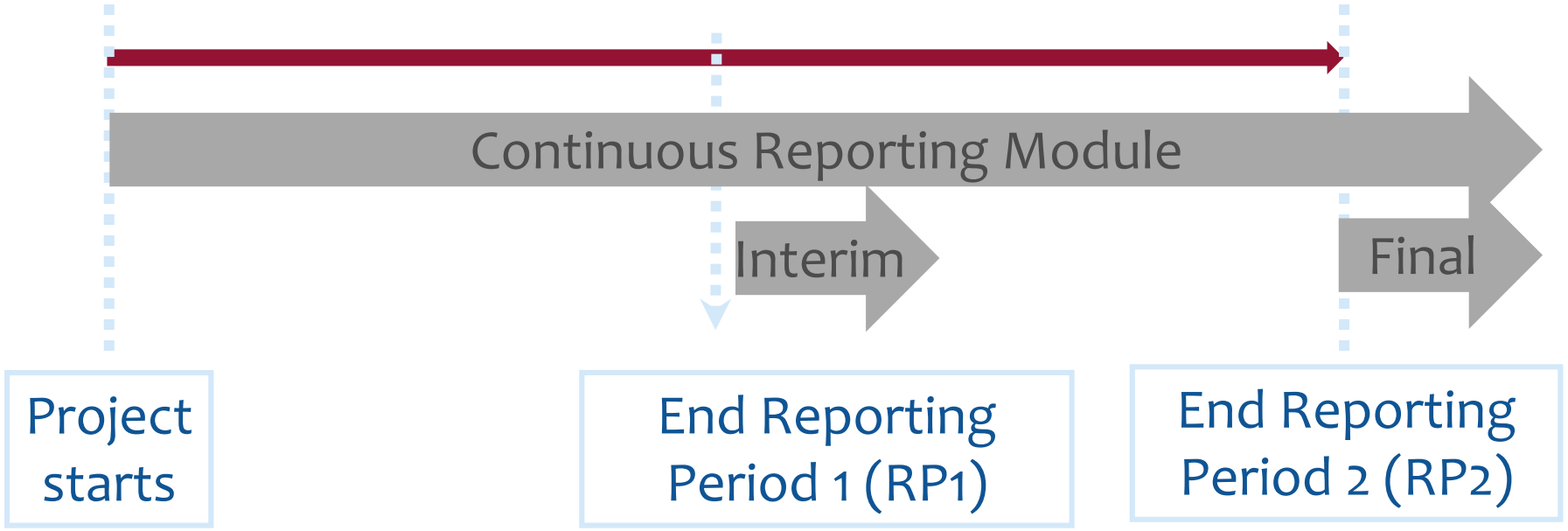
# How it works – IT tools

- ✓ Continuous reporting module
- ✓ Periodic reporting module

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# Continuous Reporting

## Continuous reporting module

**Information to be entered as soon as project starts**

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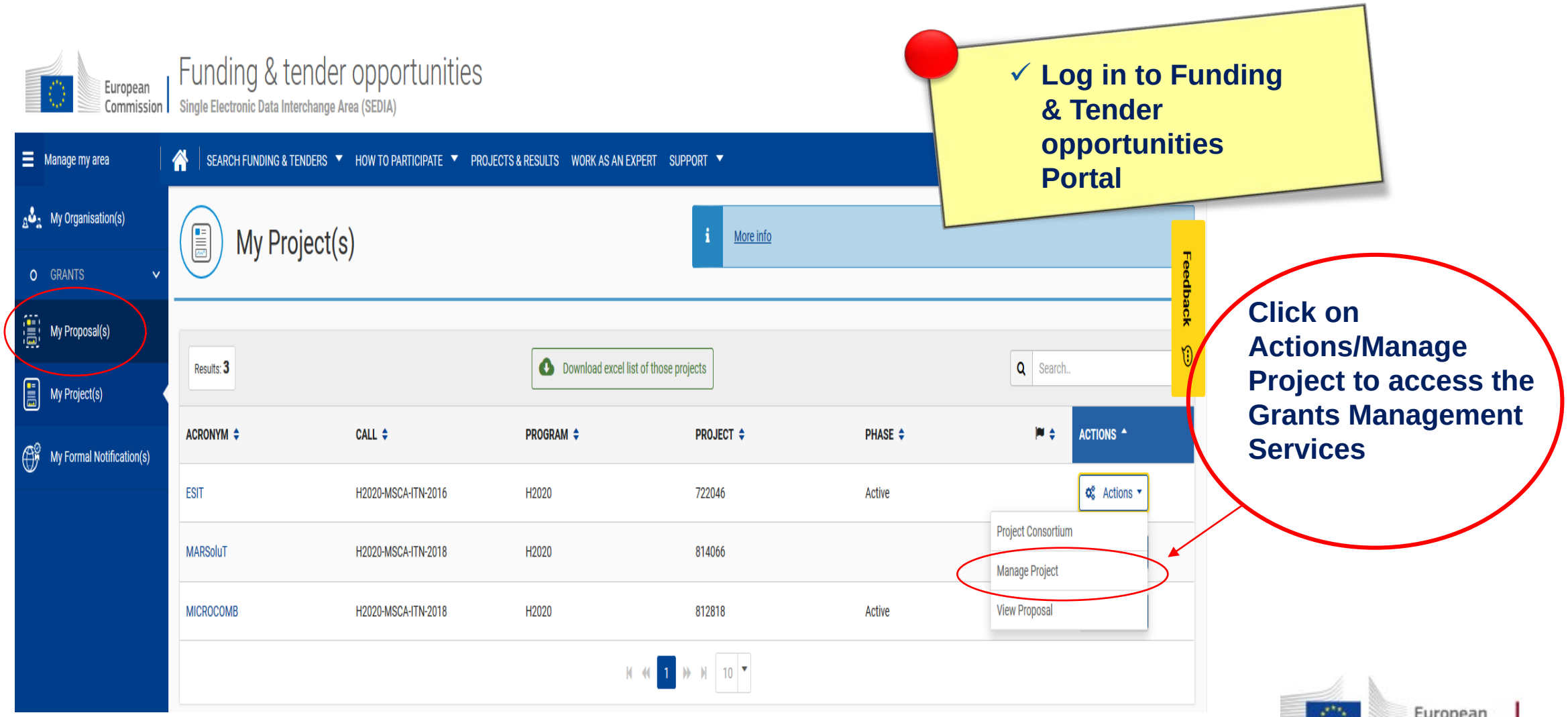
# Funding & Tender: My Project(s)

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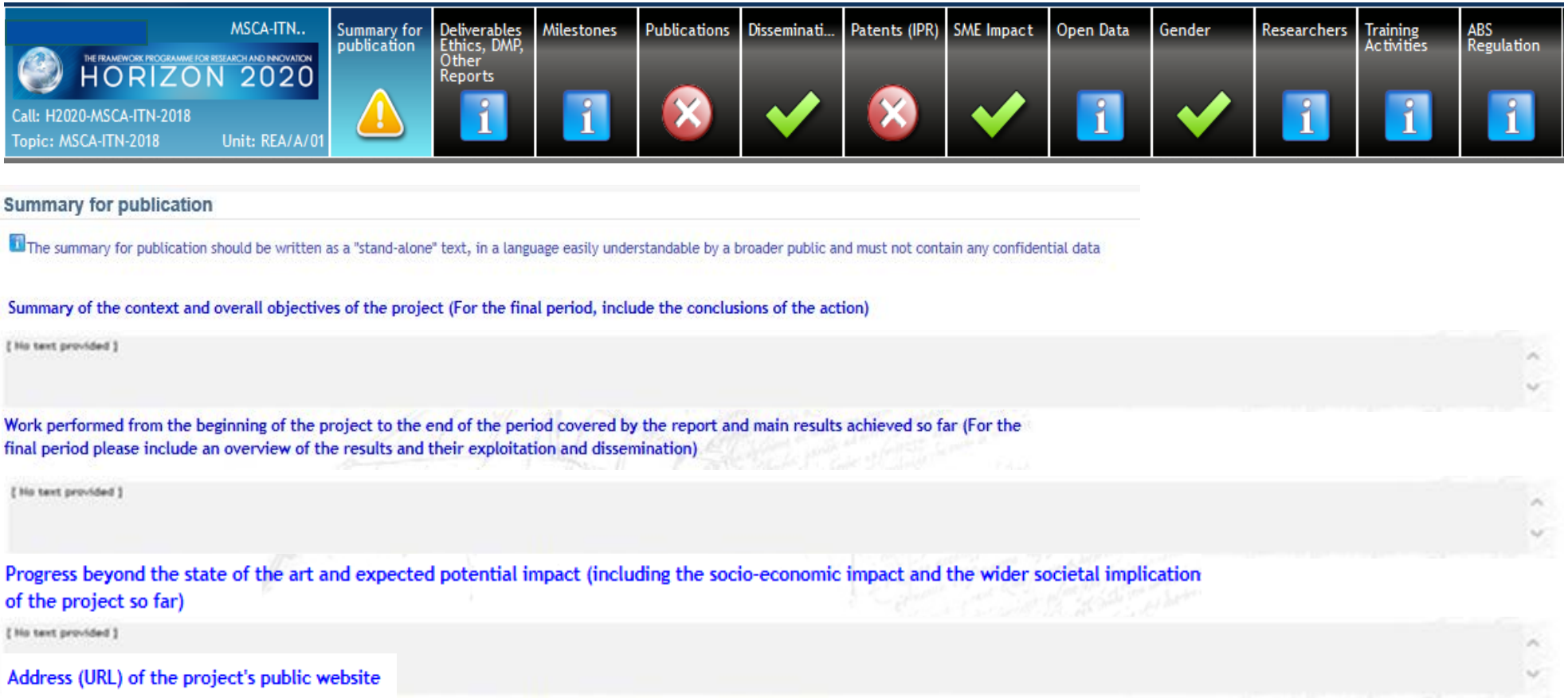
RESEARCH & INNOVATION
Participant Portal - Grant Management Se
Help
Continuous reporting module
MY PROJECT
HORIZON 2020
Call: H2020-ICT-2016-2
Type of Action: RIA
Acronym: IoRL
Current Phase: Grant Management
Number: 761992
Duration: 36 months
Start Date: 01 Jun 2017
Estimated Project Cost: €8,604,923.75
Requested EU Contribution: €7,685,423.75
Contact: Manuel CARVALHOSA
Latest Legal Data
Process List
Document Library
Communication Centre
H2020 ONLINE MANUAL
HOW TO
Launch new interaction with the EU
Continuous Reporting
14 Jun 2017
Started
Completed
Continuous reporting data
Process documents
Process communications
New messages (0)
Process history
EU launched the process on 14 Jun 2017 16:30
Proposal Management & Grant Preparation
08 Nov 2016
Submitted
Informed
Invited
Prepared
Signed
Paid
Process documents
Process communications
New messages (0)
Process history

# Continuous Reporting: *Summary for publications*




- *All fields are mandatory.*
- *Strongly recommended to upload at least one image under "Publishable Summary's associated images".*

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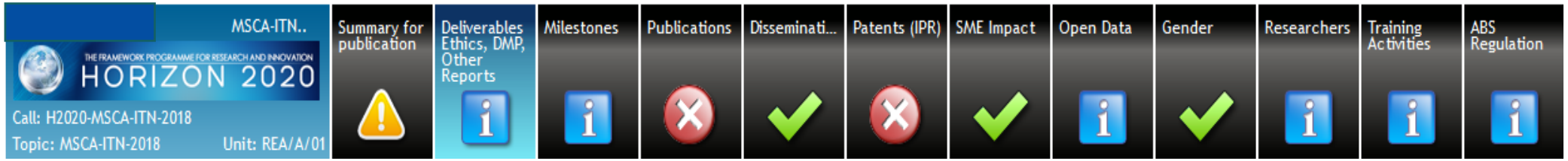
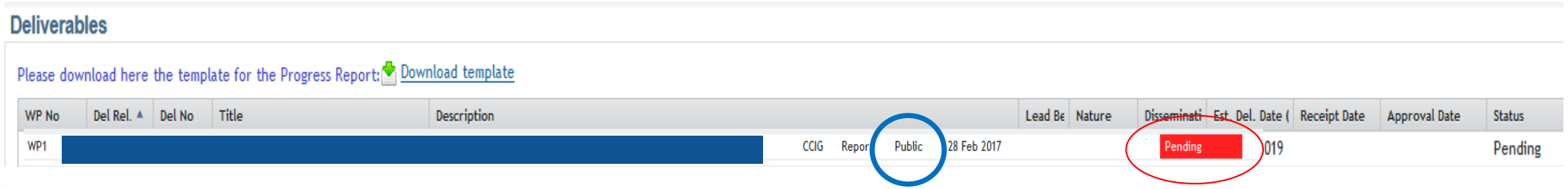
# Continuous Reporting: *Deliverables*




*Obligation to submit deliverables identified in Annex 1 (Art. 19.1 of the GA)*

- *The status of the deliverable is 'Pending' when a deliverable hasn't been uploaded yet and the delivery date has passed.*
- *Before submission a comment can be added.*
- *All beneficiaries can upload deliverables, but only the coordinator can submit them.*
- *Each time a deliverable has been submitted, the EU Officer will be notified.*
- *Each time the EU Officer rejects the deliverable, the Coordinator Contacts and the Participant Contacts are notified through the Participant Portal Notification System.*
- *Deliverables with a 'PUBLIC' dissemination level will be published as soon as they are approved by the EU officer; to change the dissemination level to 'CONFIDENTIAL', contact your Project Officer.*

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# Continuous Reporting: *Milestones*

- *The milestones entered during the Grant Preparation are displayed here.*
- *It has to be indicated whether the milestone has been achieved or not and select the delivery date.*

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# Continuous Reporting: *Publications*

- *Only the publications linked to the project should be included.*
- *The EU funding should be acknowledged.*
- *It is expected to see ESRs as co-authors of the publications.*
- *Joint publications are encouraged.*
- *Each beneficiary must ensure open access (free of charge, online access for any user) to all peer-reviewed scientific publications relating to its results (Art. 29,2 of the GA). Non-compliance can result in a grant reduction (Art. 29,6).*

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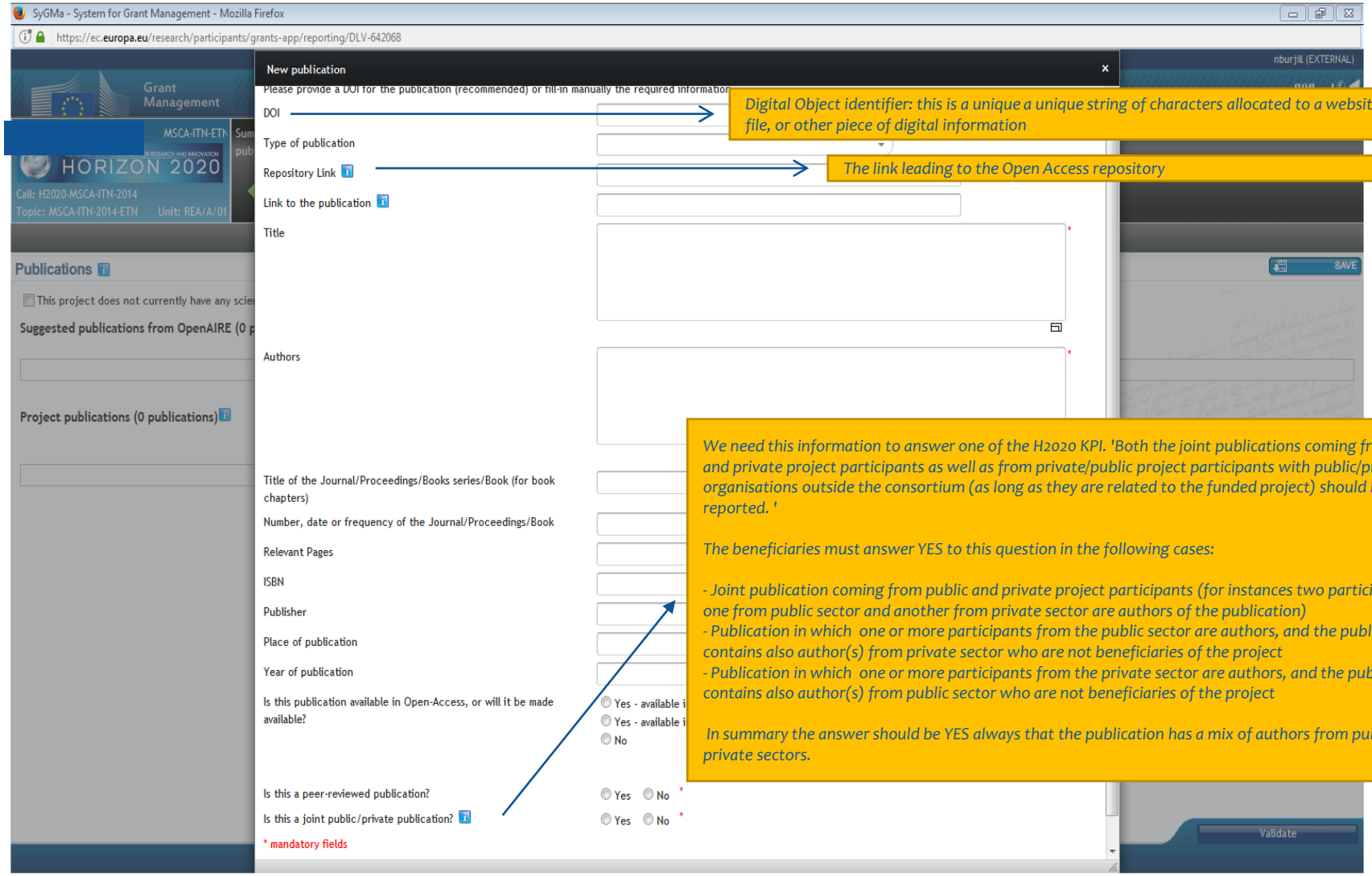
# Continuous Reporting: *Publications*

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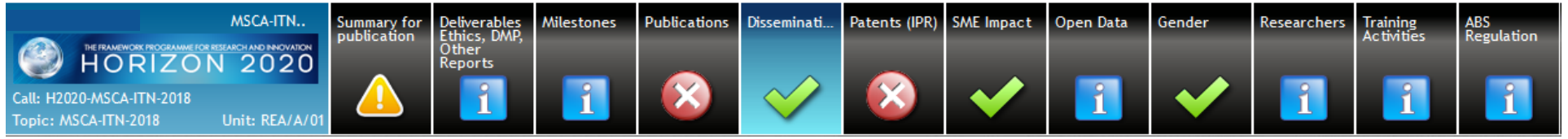
# Continuous Reporting: *Dissemination*




**Dissemination & Communication Activities**

**Specify the total funding amount used for Dissemination and Communication activities linked to the project**

| | |
|---|---|
| Total Funding Amount | 33,000.00 € |

**Specify the number of Dissemination and Communication activities linked to the project for each of the following categories**

| | |
|---|---|
| Organisation of a Conference | 0 |
| Organisation of a Workshop | 2 |
| Press release | 4 |
| Non-scientific and non-peer-reviewed publication (popularised publication) | 0 |
| Exhibition | 0 |
| Flyer | 0 |
| Training | 2 |
| Social Media | 0 |
| Website | 1 |
| Communication Campaign (e.g. Radio, TV) | 0 |
| Participation to a Conference | 0 |
| Participation to a Workshop | 0 |
| Participation to an Event other than a Conference or a Workshop | 0 |
| Video/Film | 0 |
| Brokerage Event | 0 |
| Pitch Event | 0 |

*In total funding amount, an estimation of the EU budget dedicated to the communication and dissemination activities should be indicated for statistical reasons.*

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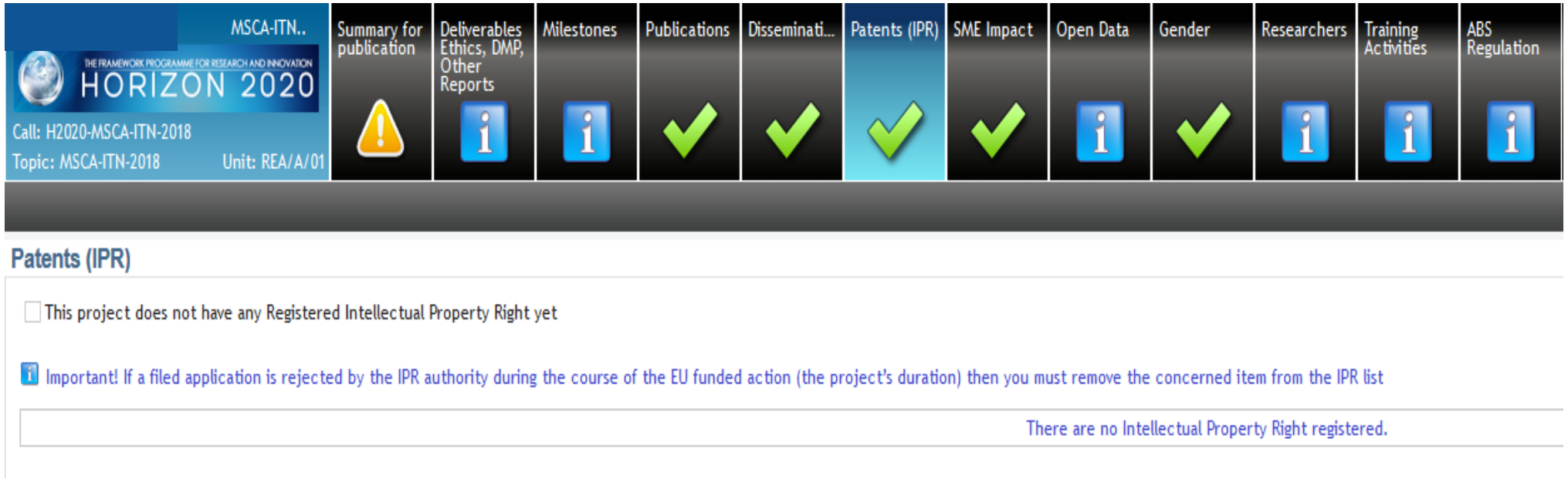
# Continuous Reporting: *Patents (IPR)*




*This tab lists the Registered Intellectual Property Rights which have been generated by the project.*

*Patents should be reported as soon as an application for patent has been filed.*

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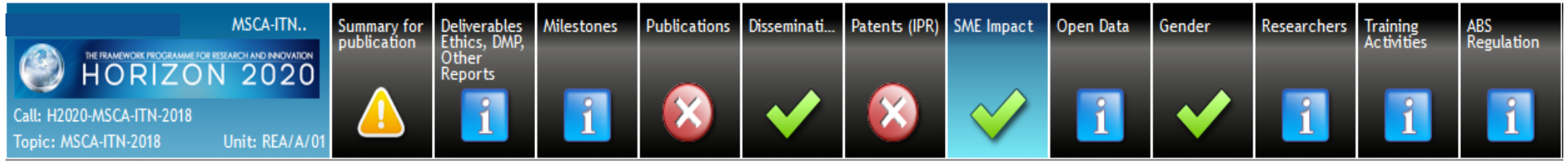
# Continuous Reporting: *SME Impact*

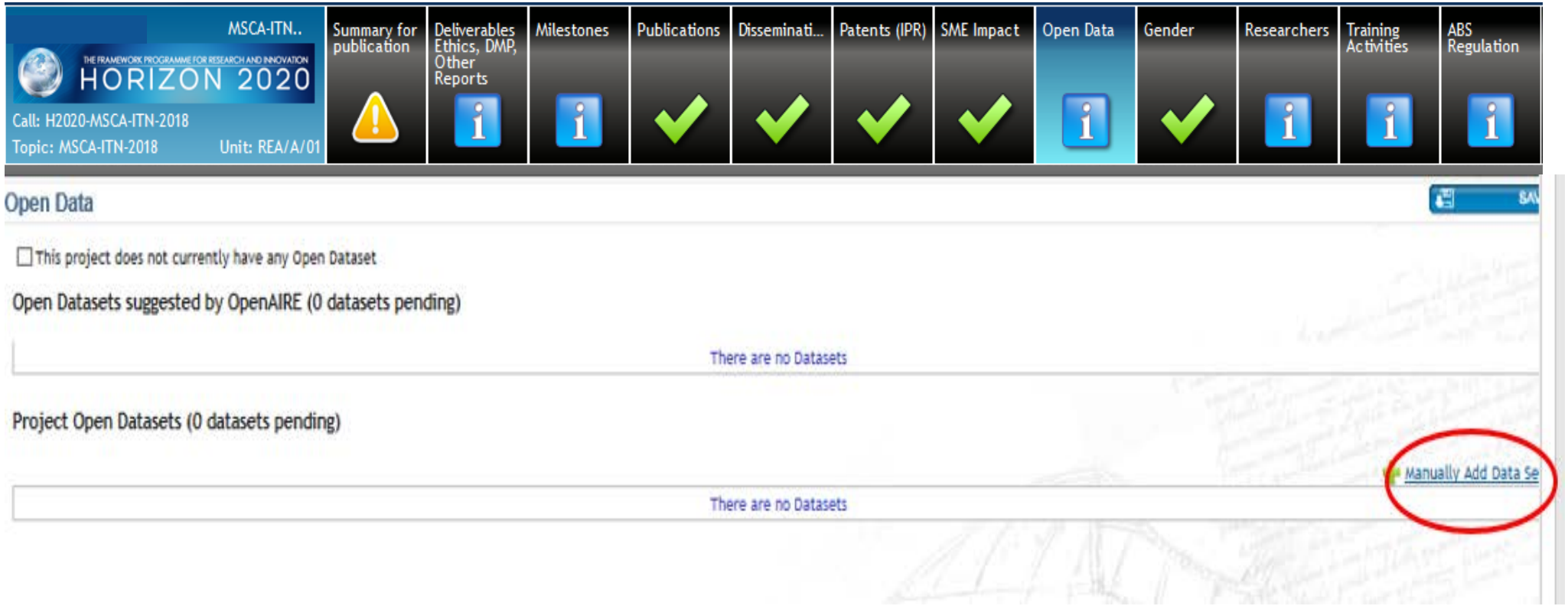



## Impact on SMEs

**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)

# Continuous Reporting: *Open Data*

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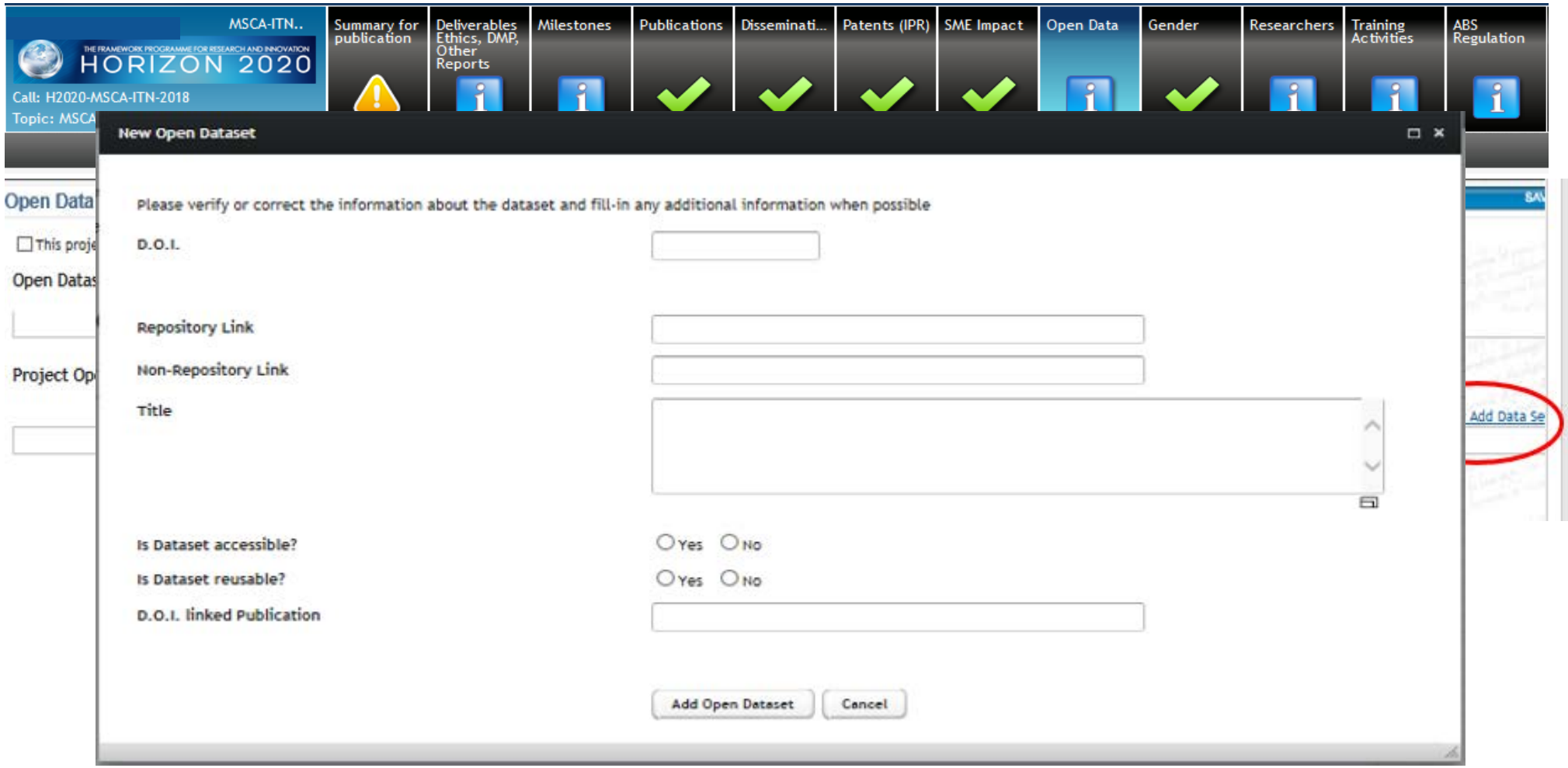
# Continuous Reporting: *Open Data*

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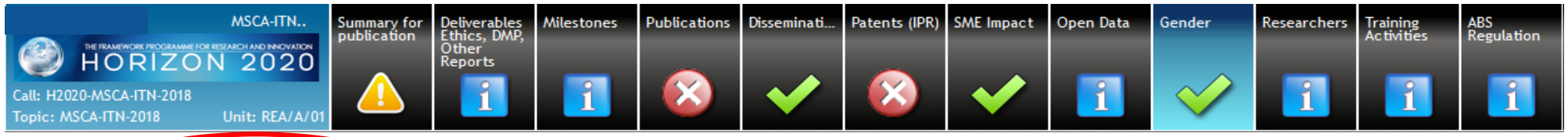
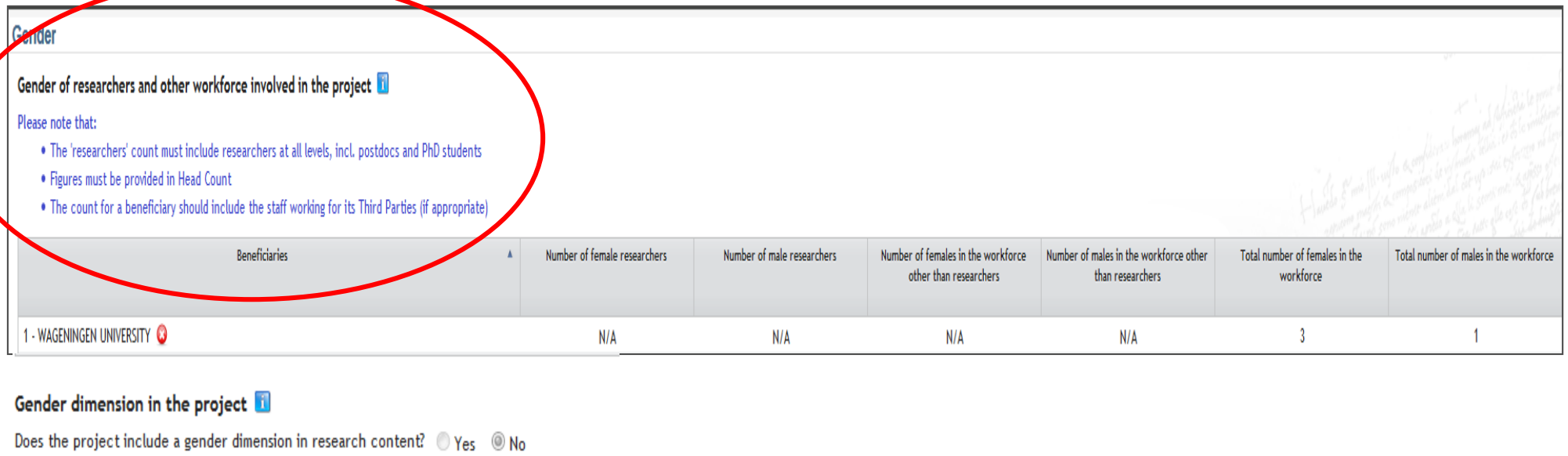
# Continuous Reporting: *Gender*



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 | 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 - WAGENINGEN UNIVERSITY | N/A | N/A | N/A | N/A | 3 | 1 |

**Gender dimension in the project**

Does the project include a gender dimension in research content? ○ Yes ◉ No

*Gender dimension in research analyses the various elements concerning biological characteristics and social/cultural factors of both women and men into the development of research policies and projects.*

*See explanatory video.*

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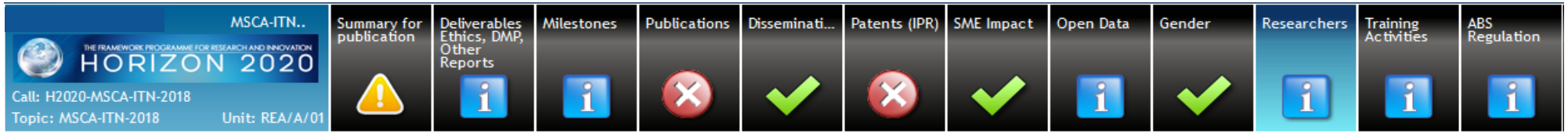
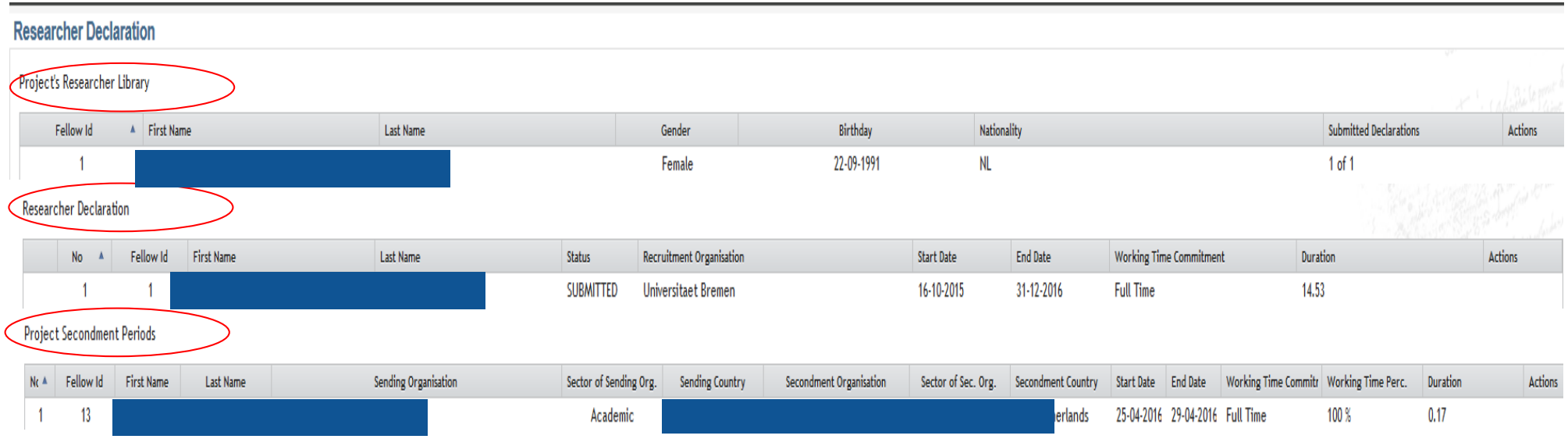
# Continuous Reporting: *Researchers*




*Each beneficiary must submit a 'researcher declaration' within 20 days after the recruitment of each researcher (Art. 19.1 of the GA).*

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# Continuous Reporting: *Researchers*

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

- **Second step - Creation of (RDs) by each beneficiary**
  The GA specifies the assigned researchers in the action. The assignment is identified by a duration and the profile of the researcher, but without identifying exactly the person that will be assigned to the job. **The RD is the document that links a specific researcher to one of the assignments.**

- **The RDs contain** :
  - **Researcher information** (name, birth date, nationality, gender, family charges, email of researcher, last countries of activity, contract type, enrolment in PhD).
  - **Recruitment information**: recruitment organisation, country and sector.
  - **Recruitment period**: **start date and end date of contract**, working time commitment (full time, part-time, etc.).

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# Continuous Reporting: *Researchers*

- If something was wrongly encoded, a researcher's declaration can be re-opened by the EU officer and corrected by the beneficiary. Once a Researcher Declaration has been submitted, the only data that is still editable are the periods.

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

  **Thus RDs are the basis for IFS (Individual financial Statement) and need to be updated in case of change (particularly before submission of periodic reports).**

**Secondments**

- **Secondments** are additional periods of research training with another beneficiary or partner organisation.
- All beneficiaries need to report **all implemented secondments.**

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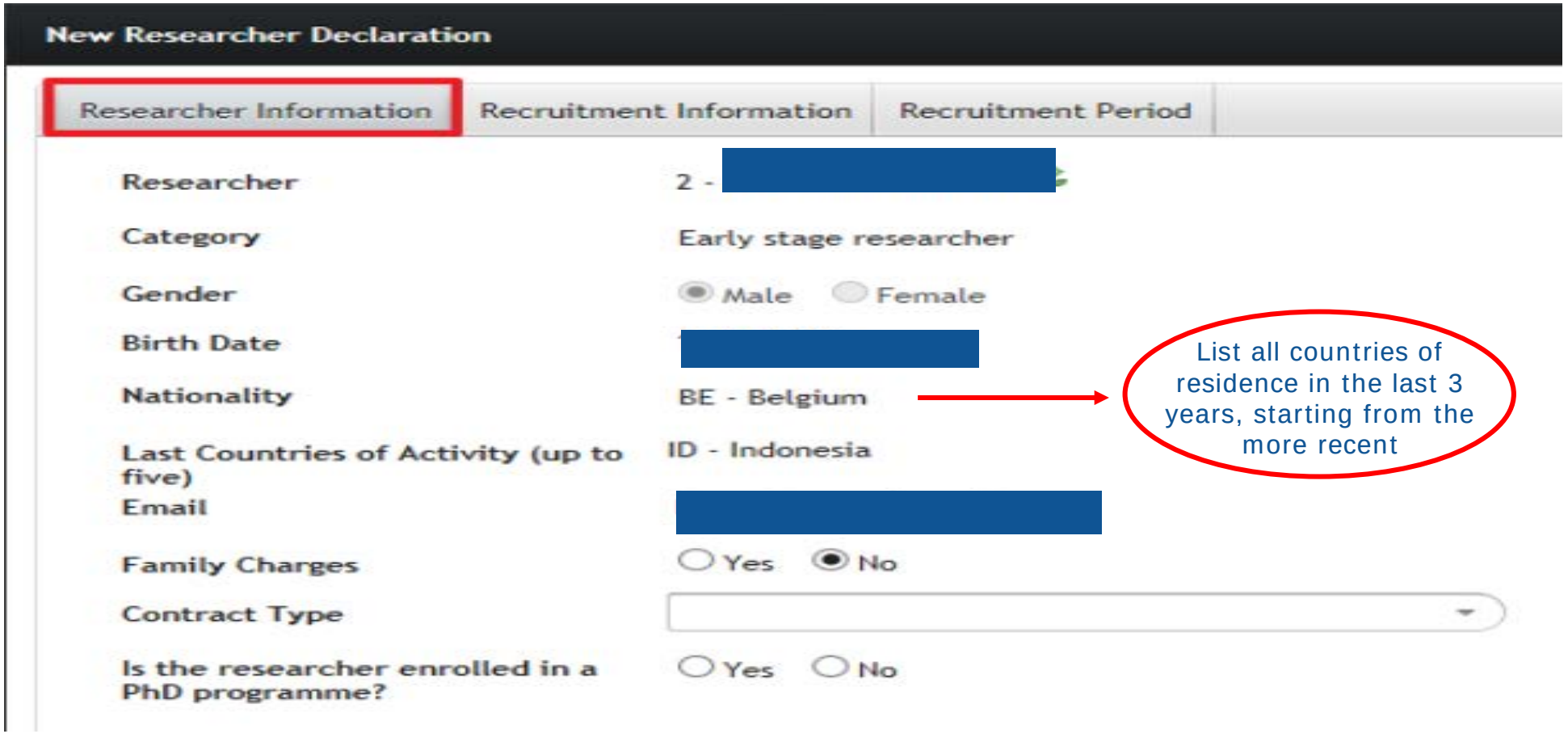
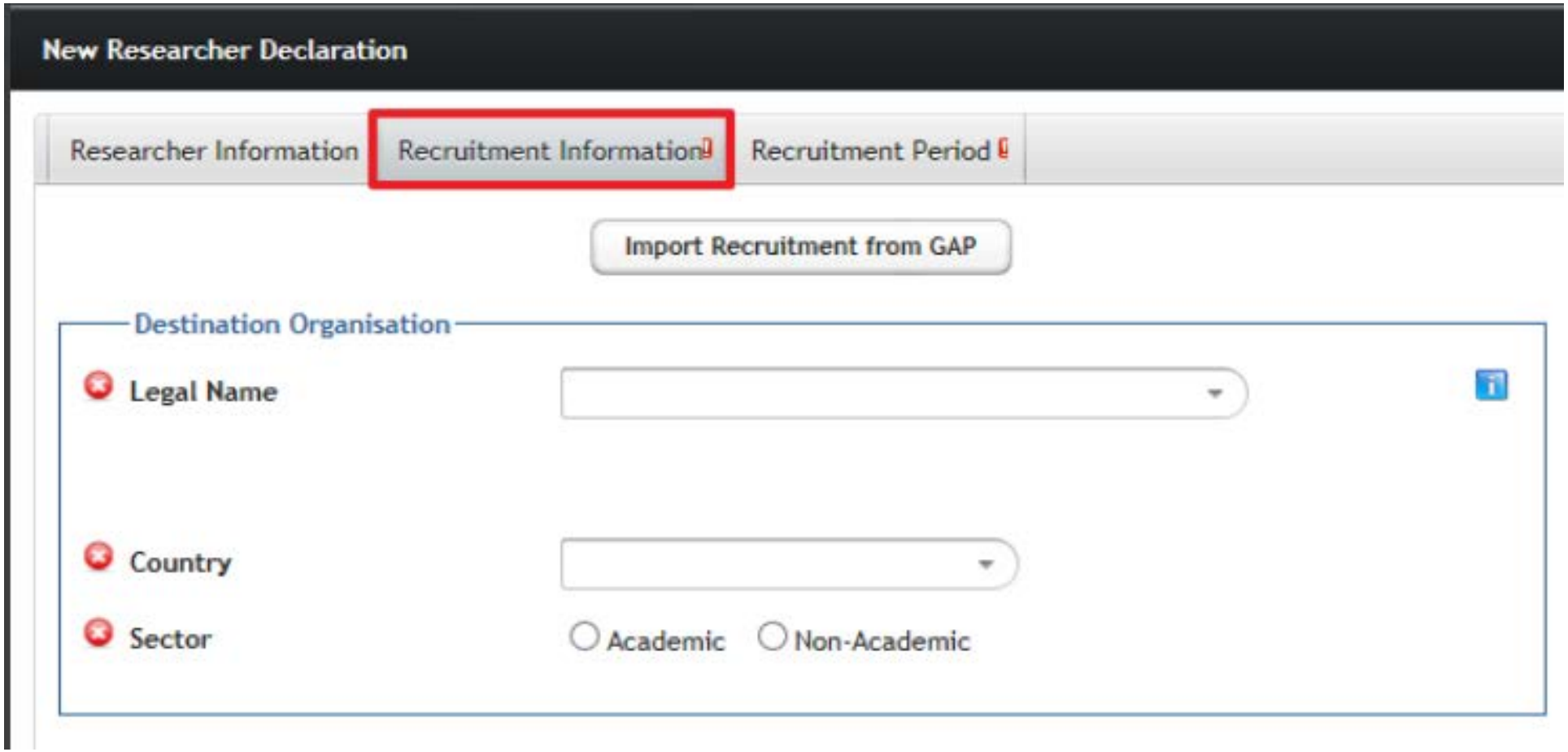
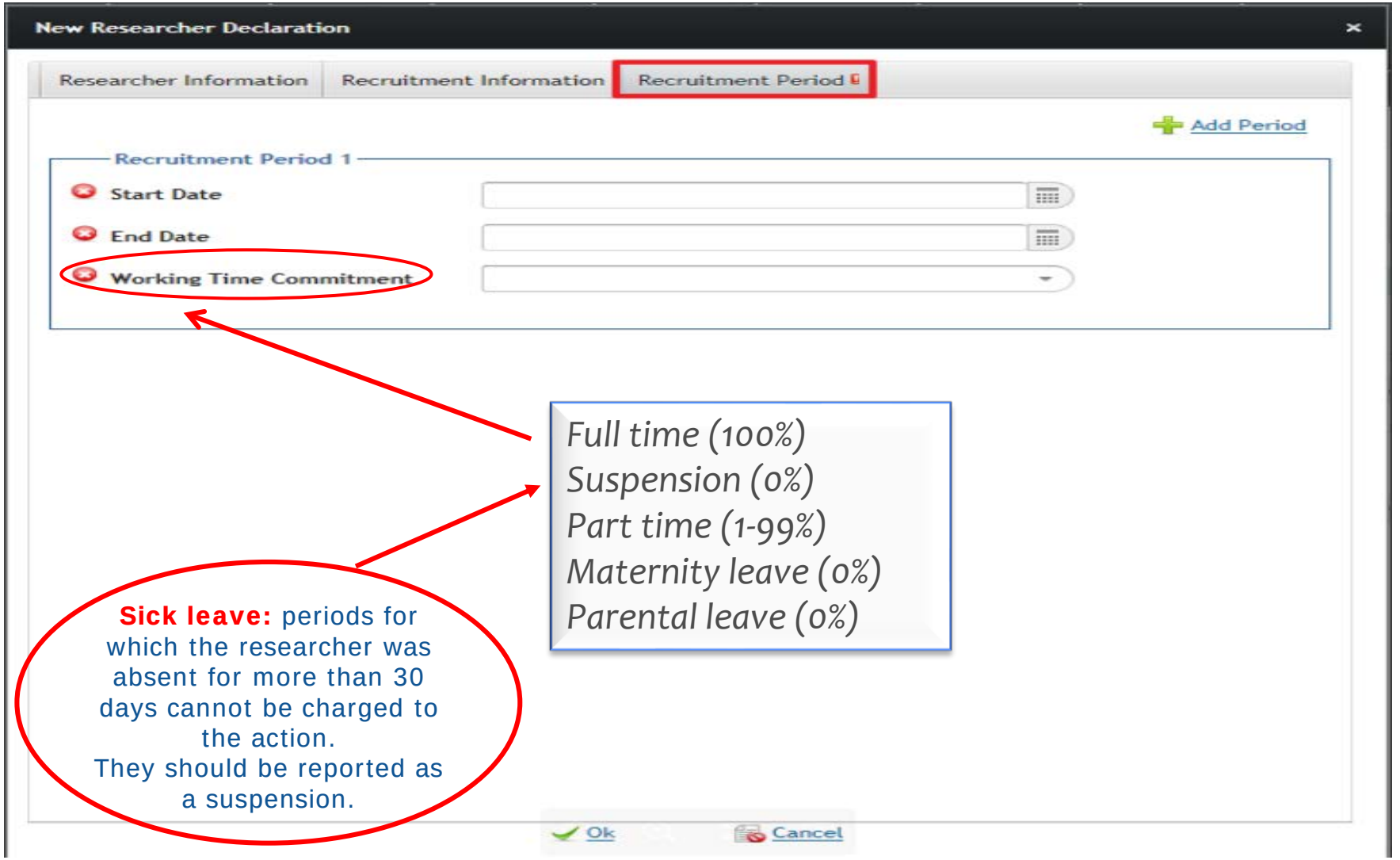
# Continuous Reporting: *Researchers*



# Continuous Reporting: *Researchers*



# Continuous Reporting: *Researchers*

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# Continuous Reporting: *Researchers*

- If something was wrongly encoded, a researcher's declaration can be re-opened by the EU officer and corrected by the beneficiary.

**IMPORTANT!**

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

**Thus RDs are the basis for IFS (Individual financial Statement) and need to be updated in case of change (particularly before submission of periodic reports).**

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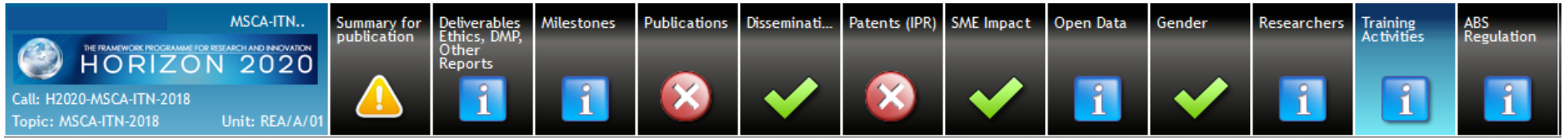
# Continuous Reporting: *Training Activities*




**Network-wide Training Activities**

| | Organiser Name | Organiser Sector | Training Module Title | Skills/Knowledge Acquired | Duration (days) | ETCS Points (if applicable) | Number of Early Stage Researchers | Number of External Trainees |
|---|---|---|---|---|---|---|---|---|
| 1 | [redacted] | Non-Academic | [redacted] | [redacted]skills, Other | 5.00 | 3 | 13 | 1 |

*This tab needs to list the network-wide training activities which were foreseen in the DoA and which took place.*

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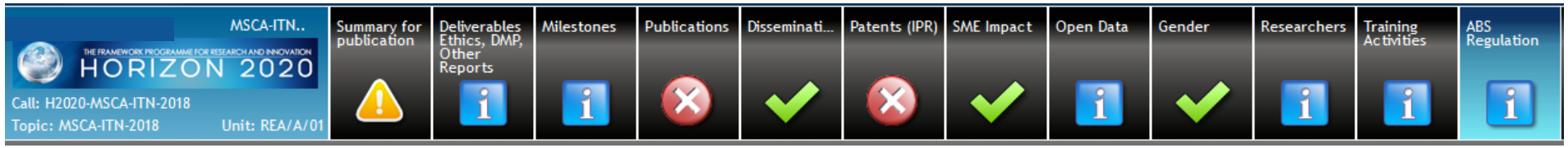
# Continuous Reporting: *ABS Regulation*




**EU Access and Benefit Sharing Regulation (NAGOYA Protocol)**

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

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

☐ Yes

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

*If a project uses genetic resources and if it falls within the scope of the ABS regulation, this needs to be declared in SyGMa by the beneficiary. If this is the case, a declaration of due diligence needs to be submitted. This needs to be done before the end of the project.*

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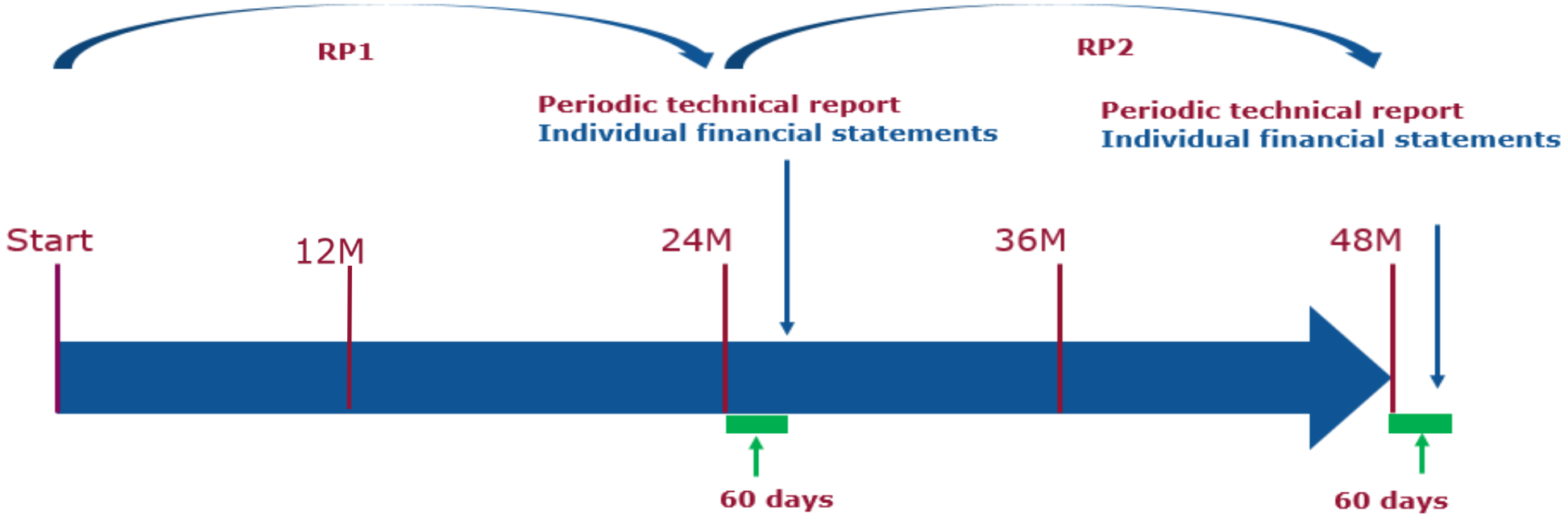
# Periodic Reporting

## *(Art. 20 of the GA)*

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# Periodic Reporting

**Electronic submission via Funding & Tender opportunities Portal & Electronic signature**

✓ *Periodic report – Payment request*

➢ The periodic report contains:

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

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

(2) A Periodic financial report containing:

- An individual financial statement from each beneficiary.
- A periodic summary financial statement, created automatically by the electronic exchange system, consolidating the individual financial statements for the reporting period.

# Periodic Reporting

## REA Assessment of reports and payment (Art. 21.5 of the GA)

EU Officers' assessment can be either:

- ✓ Report acceptance OR
- ✓ Report rejection - 2 options :

  1) Ask for revisions → Suspension of payment deadline letter → Modify Reports

  2) Ask for additional information → Suspension of payment deadline letter → send notification with requested information

Once accepted by EU→ Payment

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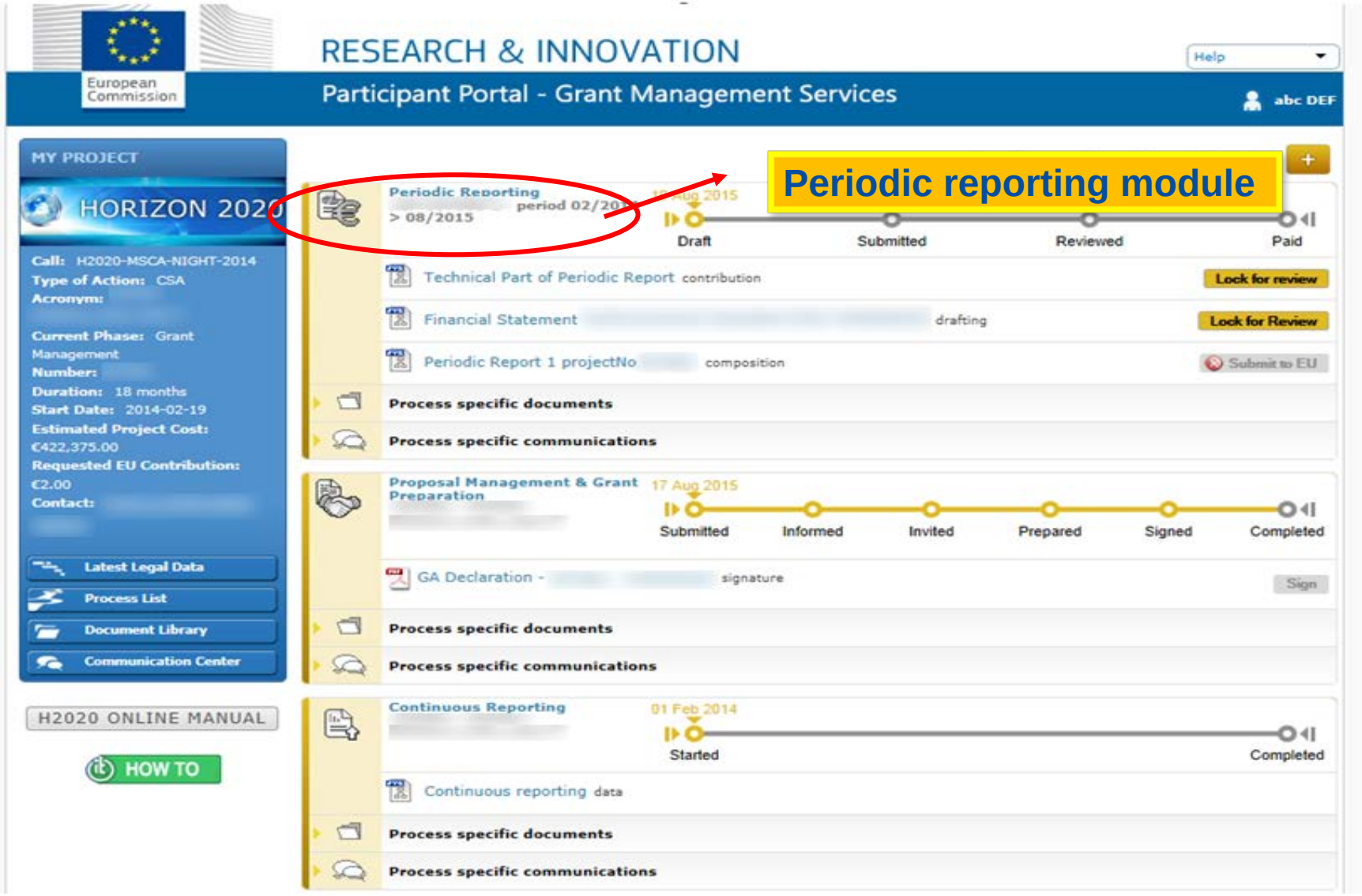
# Periodic reporting module

## Information to be entered after the end of each reporting period

# Periodic reporting module



# Periodic reporting module: *Summary of steps*

1. **Notification**: All beneficiaries receive a notification at the end of each Reporting Period → Log on to the Funding & Tender opportunities Portal.

2. **Beneficiaries contribute to Periodic Report :**

- All beneficiaries contribute to the Technical Part of the Periodic Report.

- All beneficiaries check and e-sign their own Financial Statement and submit to Coordinator→ If corrections are needed, beneficiaries must update Researcher Declarations in Continuous reporting module.

3. **The Coordinator approves & submits the elements of the Periodic Report**. Coordinator submits all reports (**(Technical Part and Financial Statements)** in one package – **Single Submission**.

4. **The REA reviews** the submitted reports -> Accepts or rejects them.

5. **The REA issues the interim payment / payment of the balance.**

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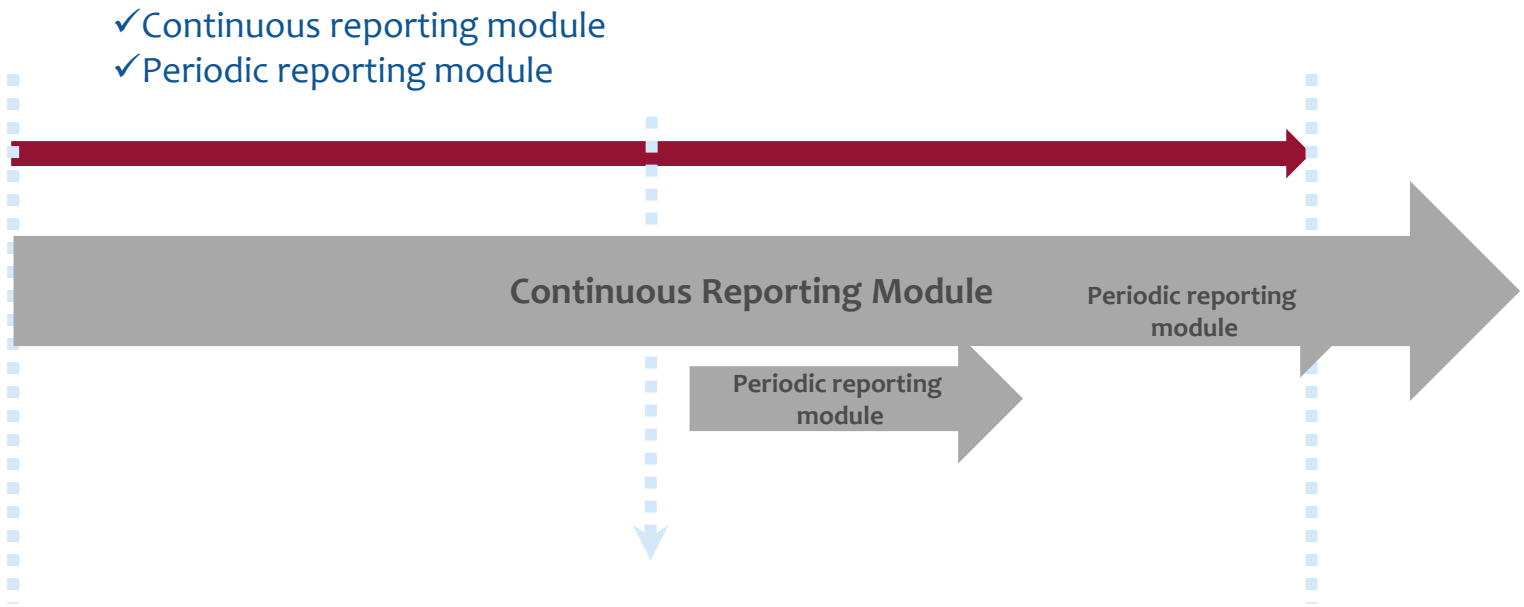
# Periodic reporting module

- ✓ While the periodic reporting module is active beneficiaries can also update information in the continuous reporting.
- ✓ There is synchronization between the two modules until the coordinator **'locks for review'** the periodic reporting.
- ✓ At the time the coordinator submits the periodic report, the IT tool will capture the information from the continuous reporting module in order to generate automatically the Part A of the Periodic report.

## *Synchronisation between the 2 modules*

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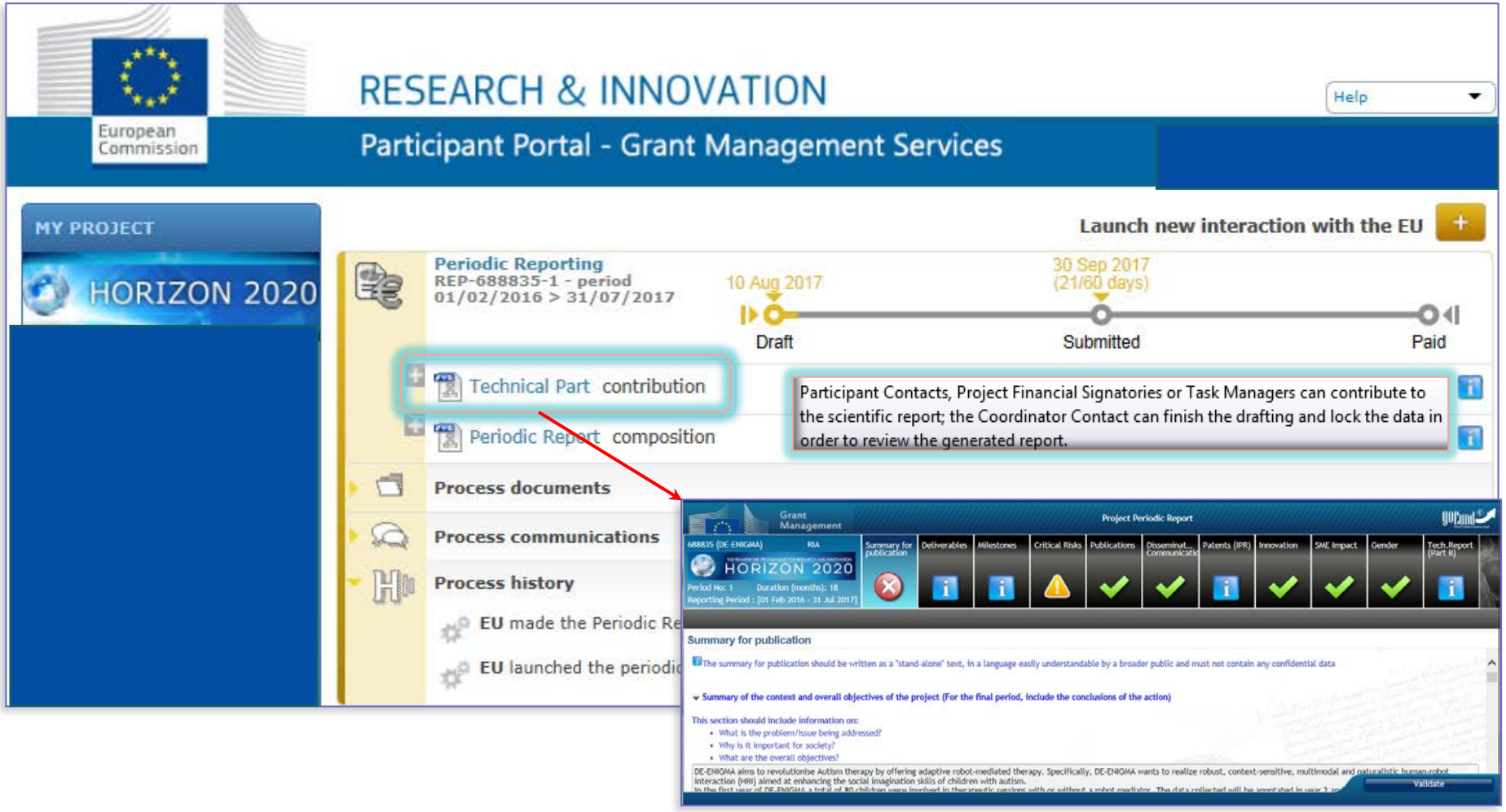
# Periodic reporting module: *Technical report*




All beneficiaries are asked to contribute to the Technical Part of the Periodic Report.

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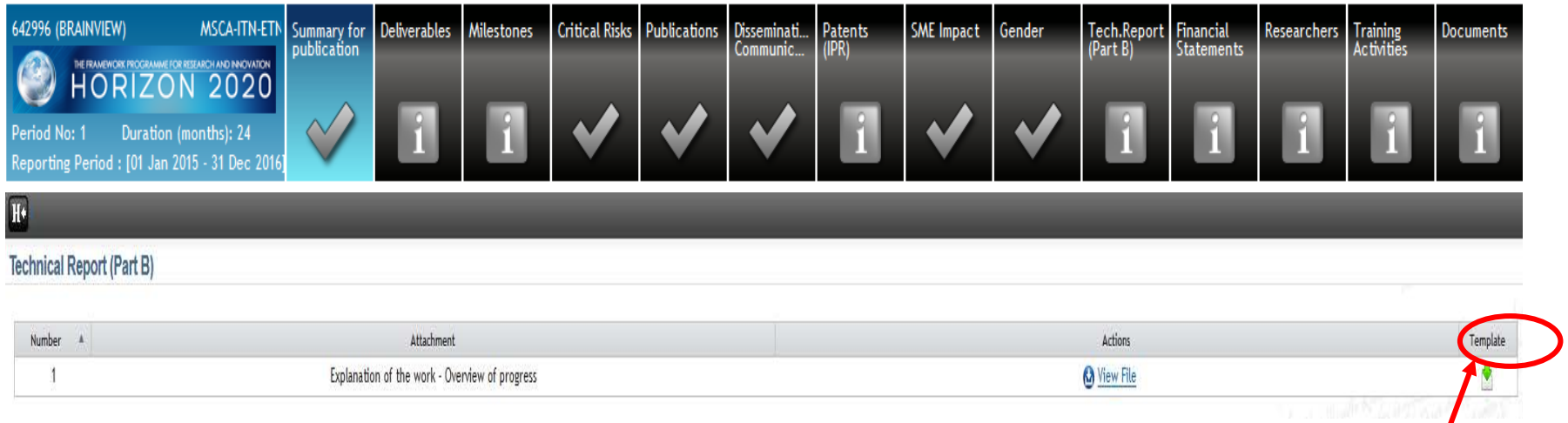
# Periodic reporting module: *Technical report*




- *The template for Part B of the Periodic Report will be available in this page.*
- *Template also available in the Funding & Tender opportunities Portal :* ***Template Periodic Report***

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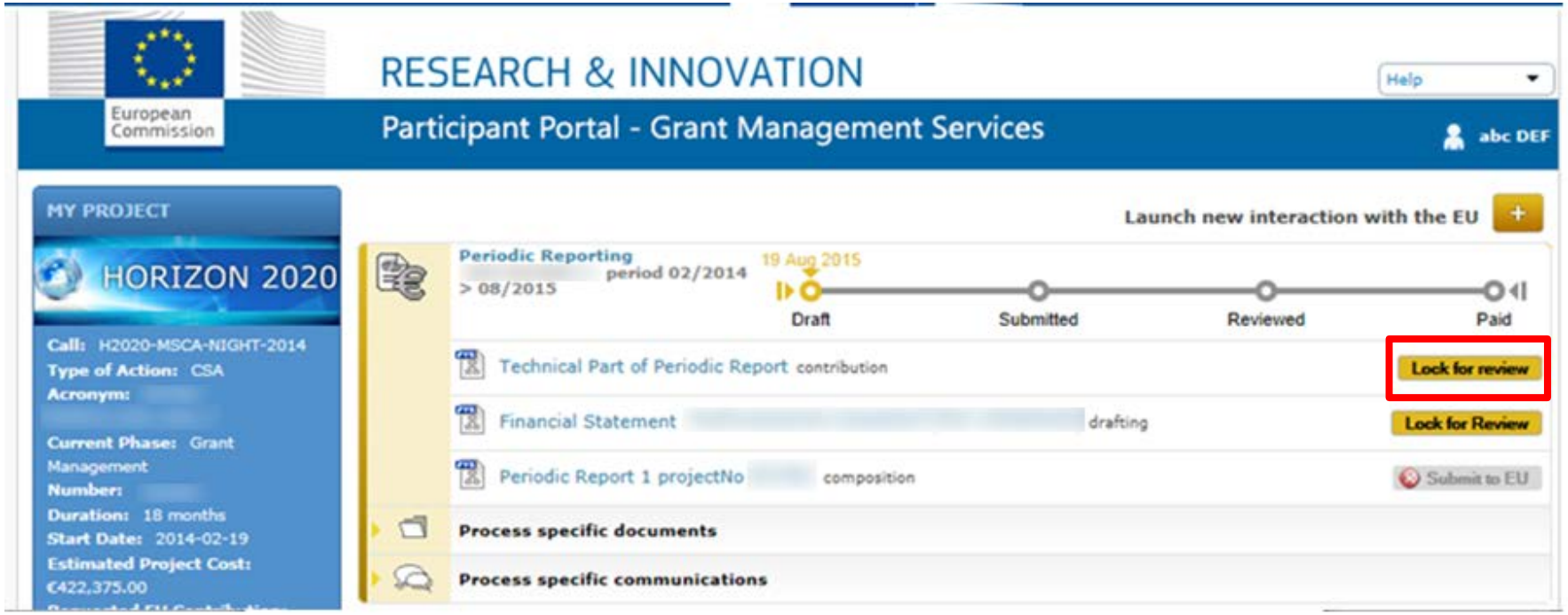
# Periodic reporting module: *Technical report*

**Coordinator**




- *Once all information for the Technical Part has been filled in, the coordinator* clicks on "Lock for Review".*
- *This action freezes the data and generates a PDF document.*

**Only users with the role Primary Coordinator Contact and Coordinator Contact can perform this action.*

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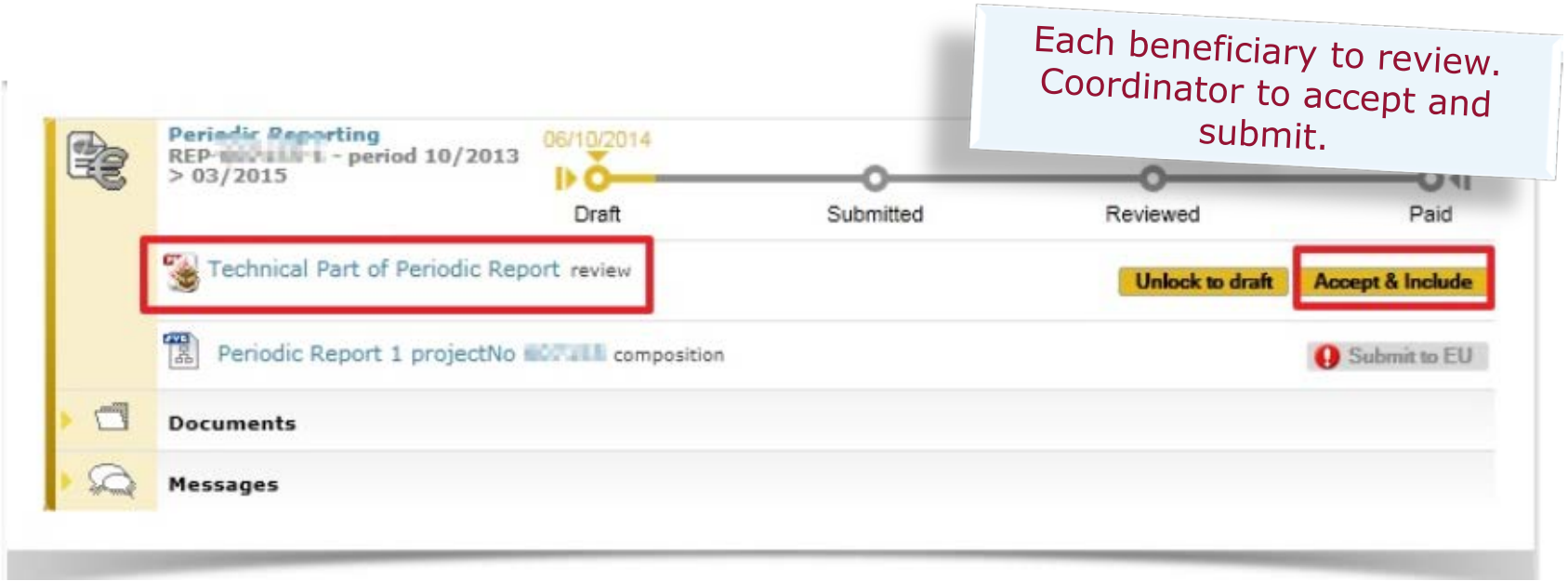
# Periodic reporting module: *Technical report*

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

***Beneficiary / Coordinator Interaction***

**Only users with the role Primary and Coordinator Contact can perform this action.*

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# Periodic reporting module: *Technical report*

***Beneficiary***

Beneficiaries are asked to complete their own Financial Statement.

Task to be performed by each beneficiary.

Automatically filled in from Researcher's declarations

# Individual financial statements

Automatically retrieved from Researcher's declarations

Automatically filled in based on unit costs

print format A4

MODEL ANNEX 4 FOR H2020 MSC-ITN — MULTI

NCIAL STATEMENT FOR BENEFICIARY [name] FOR REPORTING PERIO[...]porting period]

| Name of the fellows [6] | Number of units (person months) |
|---|---|
| | |
| | |
| | |
| Total beneficiary | |

| | Eligible [1] costs (per budget category) | | | | | | | | | | | EU contribution | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | A. Costs for recruited researchers | | | | | | B. Institutional costs | | | | Total costs | Reimbursement rate % | Maximum EU contribution | Requested EU contribution |
| | A.1 Living allowance | | A.2 Mobility allowance | | A.3 Family allowance | | B.1. Research, training and networking costs | | B2. Management and indirect [2] costs | | | | | |
| Form of costs [3] | Unit | | Unit | | Unit | | Unit | | Unit | | | | | |
| | Costs per unit [4] | Total a [5] | Costs per unit [4] | Total b [5] | Costs per unit [4] | Total c [5] | Costs per unit [4] | Total d [5] | Costs per unit [4] | Total e [5] | f = a+b+c+d+e | g | h | i |
| | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |
| Total beneficiary | | | | | | | | | | | | | | |

| | |
|---|---|
| Checkbox 1: | I confirm that the total amount of the allowances used (including compulsory deductions) for the researcher is equal to or higher than the living allowance, the mobility allowance and the family allowance as set out in Annex 2 of the Agreement or that any underpayments in Reporting Period 1 will be corrected by the end of the action. |

| | | | |
|---|---|---|---|
| Checkbox 2 : | Did you receive any EU/Euratom operating grant during this reporting period? YES ☐ NO ☐<br>If yes, pls indicate how many of the total person-months (see 'total beneficiary' above) were incurred DURING the period covered by the operating grant? | Number of person-months | |

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# Periodic reporting module: *Beneficiary*

Automatically generated

## Financial Statement

**Financial information from contract**

No contribution requested? ○ Yes ◉ No

**Financial Statements**

| Period | Adjustment | Requested Contribution |
|---|---|---|
| 01 Jan 2015 - 31 Dec 2016 (Period No. 1) | No | 239,530.55 € |

**Financial Statement for period '1' - (01 Jan 2015 - 31 Dec 2016)**

Detail of the recruitments

Eligible costs:

| Cost Category | Unit Cost | | Number of Units | | Subtotal | Total |
|---|---|---|---|---|---|---|
| ▼A) Costs of recruited researchers | | | | | | 134,530.55 € |
| Living allowance - F.Id 13 - Emma Ward (Country NL, Contract A) | 3,243.73 € | x | 17.00 | = | 55,143.41 € | |
| Living allowance - F.Id 16 - Giorgia Bussu (Country NL, Contract A) | 3,243.73 € | x | 18.00 | = | 58,387.14 € | |
| Mobility allowance - F.Id 13 - Emma Ward (Country NL, Contract A) | 600.00 € | x | 17.00 | = | 10,200.00 € | |
| Mobility allowance - F.Id 16 - Giorgia Bussu (Country NL, Contract A) | 600.00 € | x | 18.00 | = | 10,800.00 € | |
| Family allowance - F.Id 13 - Emma Ward (Country NL, Contract A) | 0.00 € | x | 17.00 | = | 0.00 € | |
| Family allowance - F.Id 16 - Giorgia Bussu (Country NL, Contract A) | 0.00 € | x | 18.00 | = | 0.00 € | |
| ▼B) Institutional costs | | | | | | 105,000.00 € |
| B1) Research, training and networking costs | 1,800.00 € | x | 35.00 | = | 63,000.00 € | |
| B1) Management and indirect costs | 1,200.00 € | x | 35.00 | = | 42,000.00 € | |
| C) Total costs ( = A + B) | | | | | | 239,530.55 € |
| D) Maximum EU contribution ( = 100% * C) | | | | | | 239,530.55 € |
| E) Requested EU contribution | | | | | | 239,530.55 € |

Did you receive any EU/Euratom operating grants during this reporting period? ○ Yes ◉ No

Please indicate how many of the total person-months were incurred DURING the period covered by the operating grant

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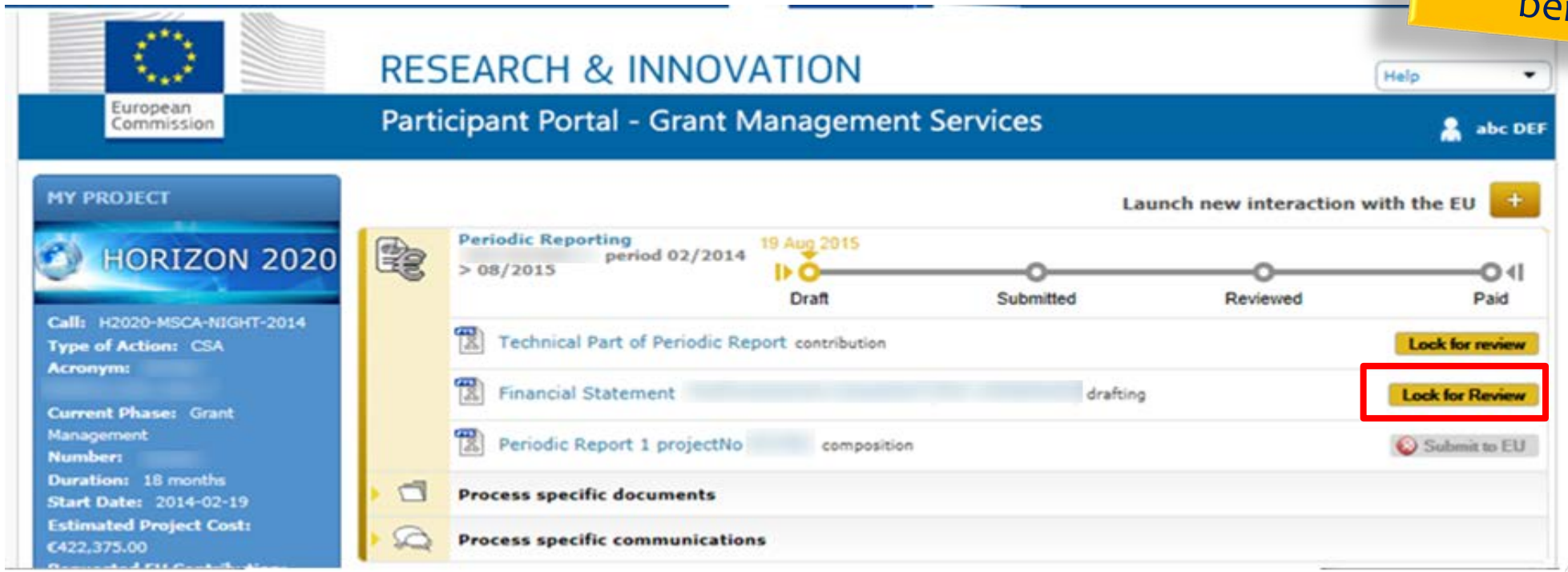
# Periodic reporting module: *Financial statement*

- *Once all information has been filled in and saved, click on Lock for Review.*
- *The generation of the PDF might take a few minutes.*

Task to be performed by each beneficiary

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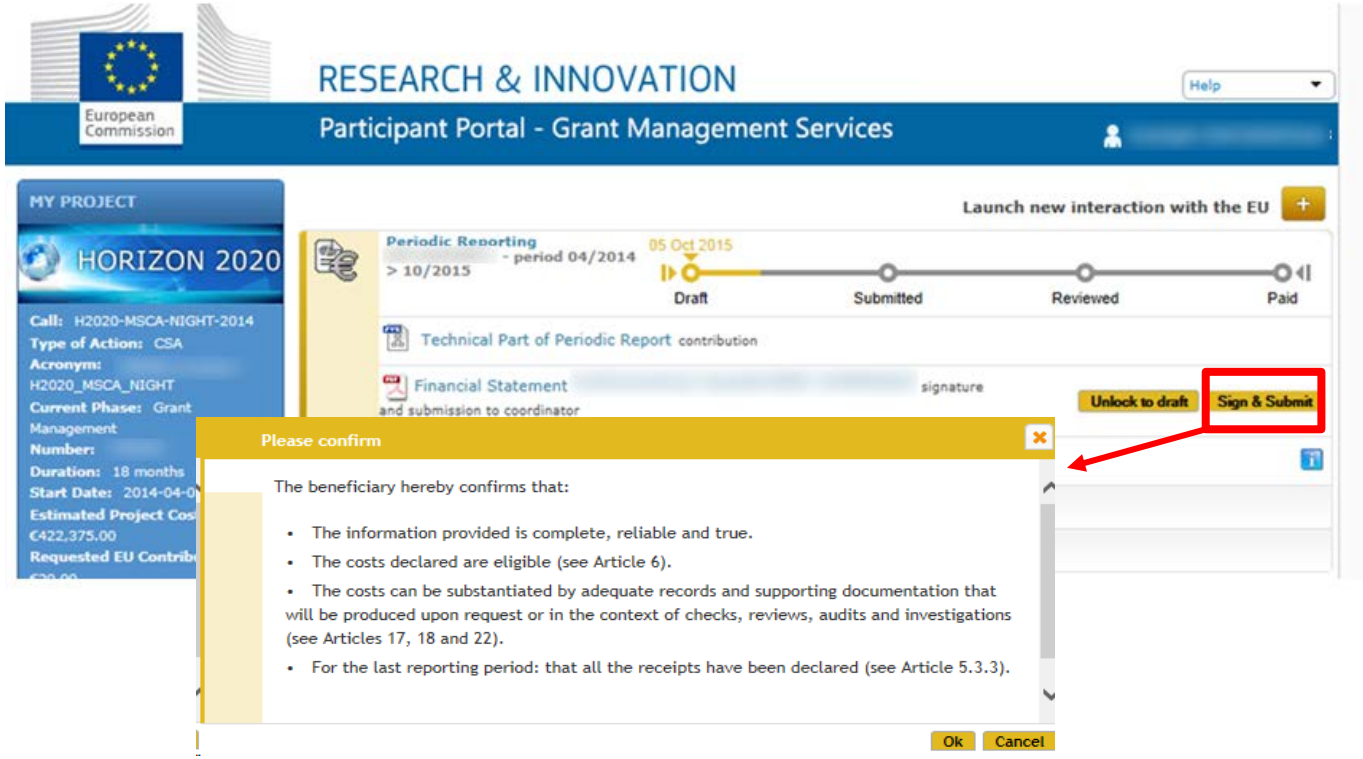
# Periodic reporting module: *Financial statement*

Task to be performed by each beneficiary

- The Financial Statement can be reviewed by clicking on the PDF icon.
- Only users with the roles Participant Contacts, Project Financial Signatories and Task Managers can perform this action.
- To electronically sign & submit the Financial Statement click the button Sign & Submit.
- Only users with the role **Project Financial Signatory (PFSIGN)** can perform this action**.**

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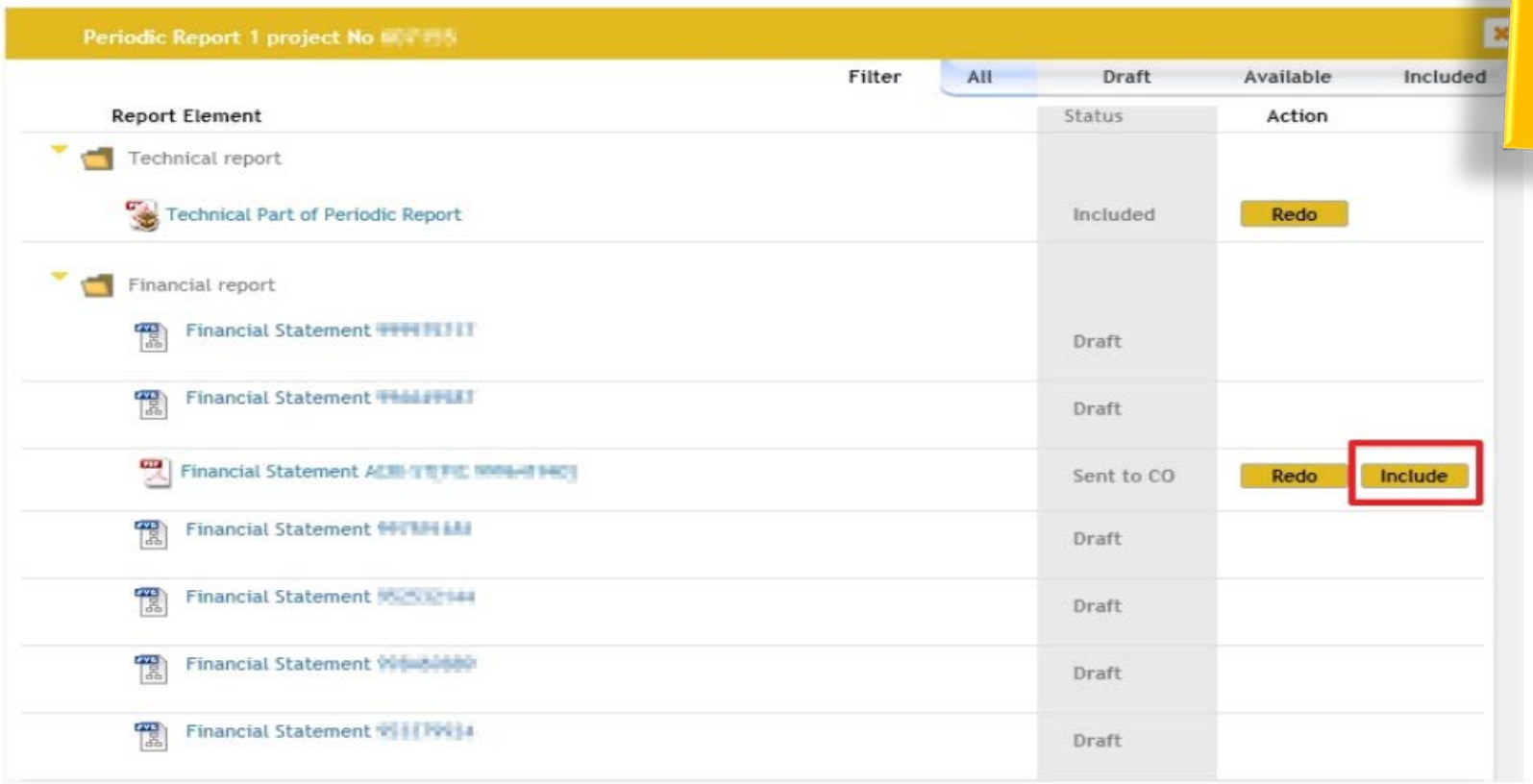
# Periodic reporting module: *Submission*

- The Coordinator approves the elements of the Periodic Report by explicitly including them in the Periodic Report & submits all reports to the EU Services (click on the task Periodic Report composition).




Each beneficiary to review.
Coordinator to accept and submit

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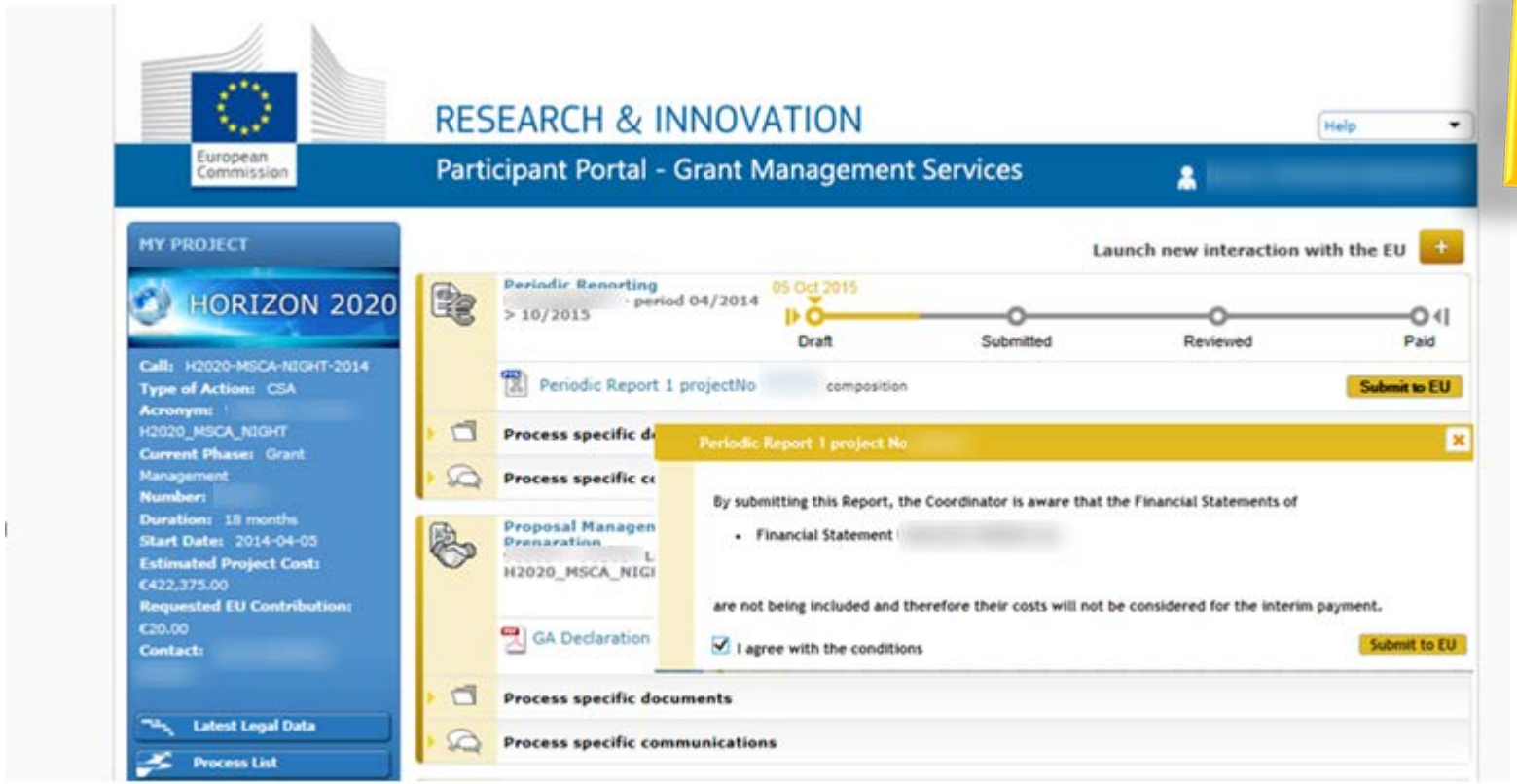
# Periodic reporting module: *Submission*

- 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.




Each beneficiary to review.
Coordinator to accept and submit

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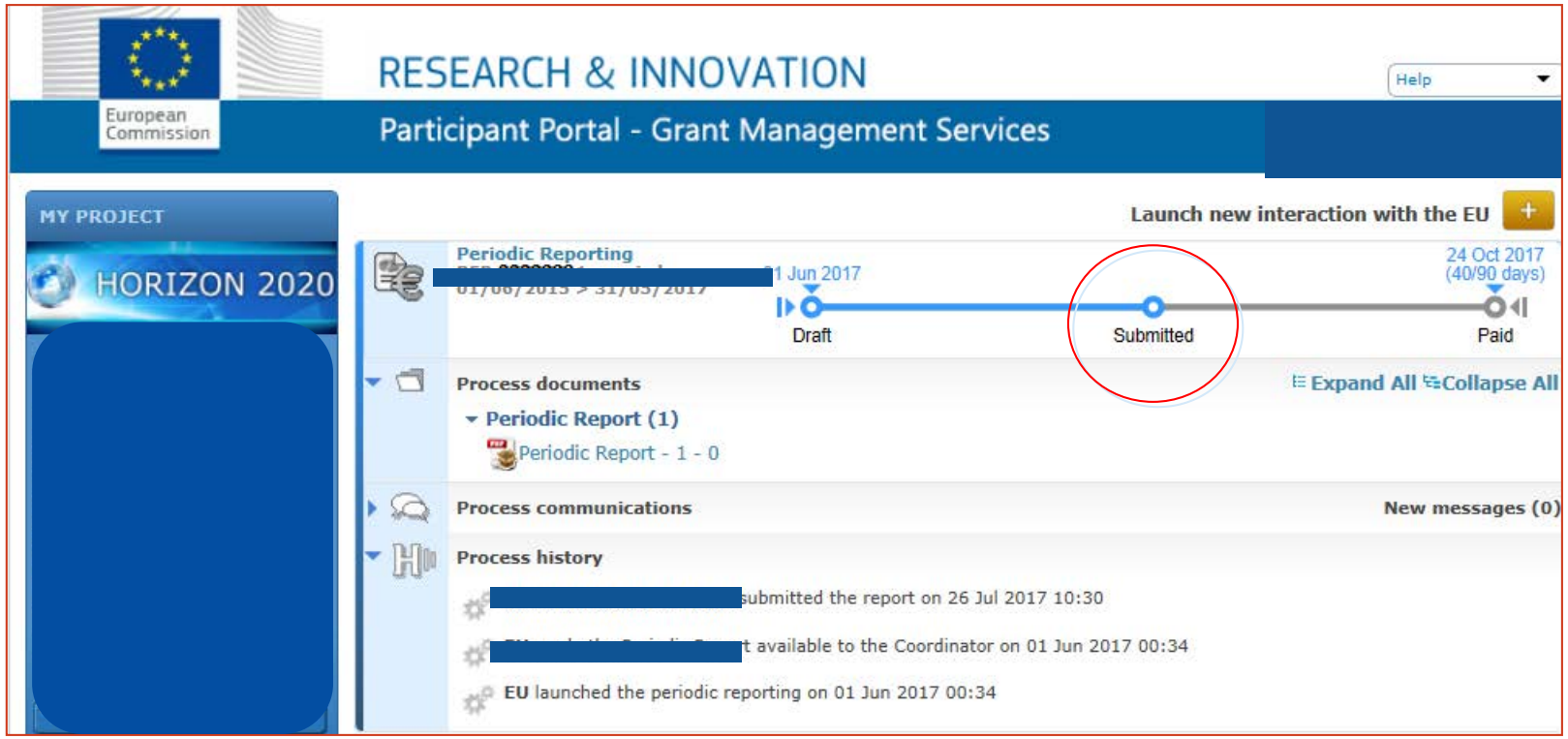
# Periodic reporting module: *Status Submitted*




EU Officers' assessment can be either:

- ✓ Report acceptance OR
- ✓ Report rejection - 2 options :

1) Ask for revisions → Suspension of payment deadline letter → Modify Reports

2) Ask for additional information → Suspension of payment deadline letter → send notification with requested information

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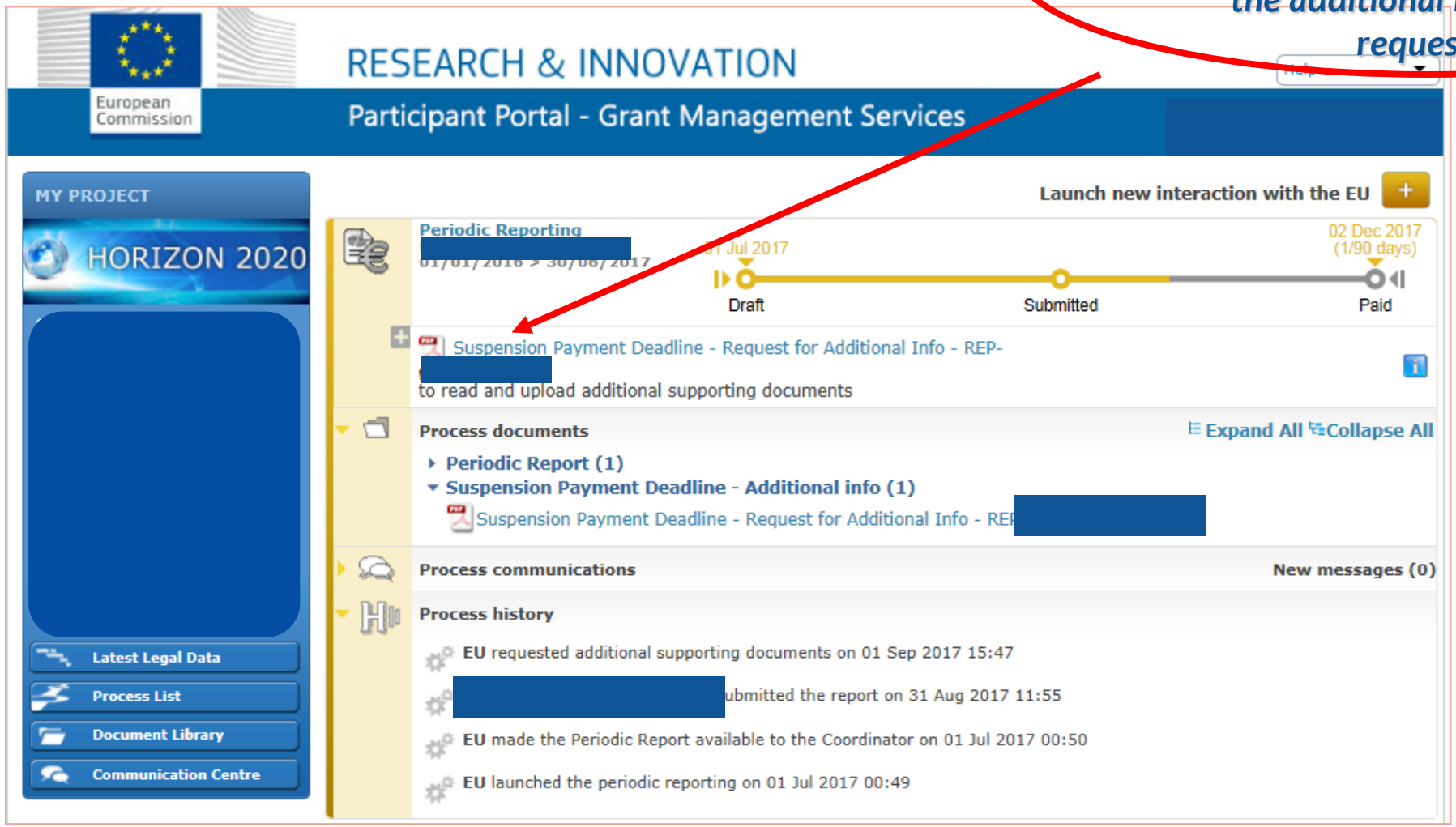
# Periodic reporting module: *If reports rejected by REA*

# If reports rejected by REA

***Coordinator receives a notification with more details on the additional information requested***




The Coordinator will **upload** a document with the requested information

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# If Reports accepted by REA Payment / Process closed

# QUESTIONNAIRES: Art. 32.1(h)

- WHAT
  - **Evaluation questionnaire -** at the end of the fellowship
  - **Follow-up questionnaire -** two years after the fellowship
- WHO
  - Each recruited researcher
- HOW

- https://ec.europa.eu/eusurvey/runner/Evaluation_for_MSC_fellows
- https://ec.europa.eu/eusurvey/runner/MSCA_Follow-up_Questionnaire_2_years_after_end_of_fellowship

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# PROJECT CHECKS

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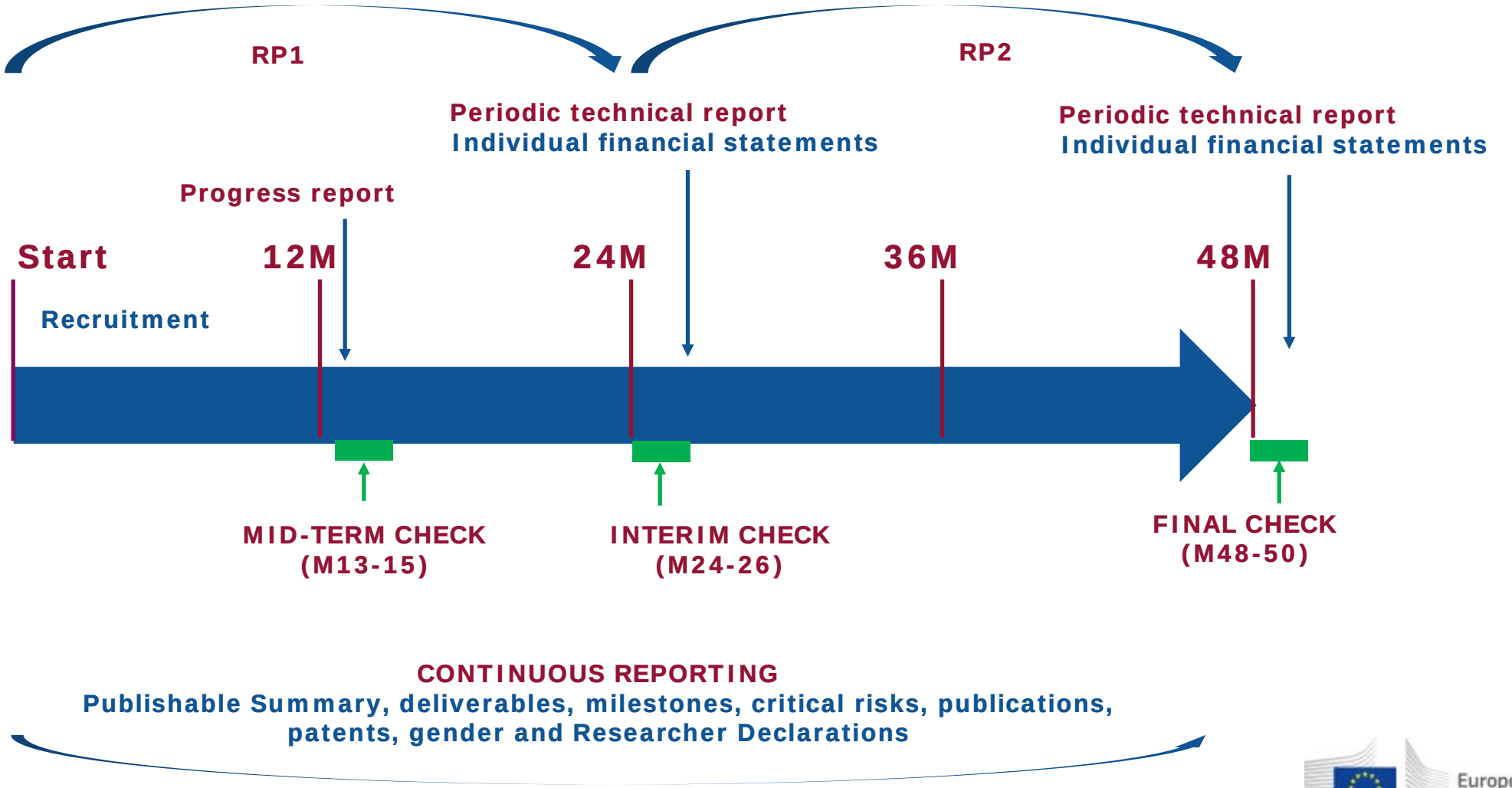
# Project timeline

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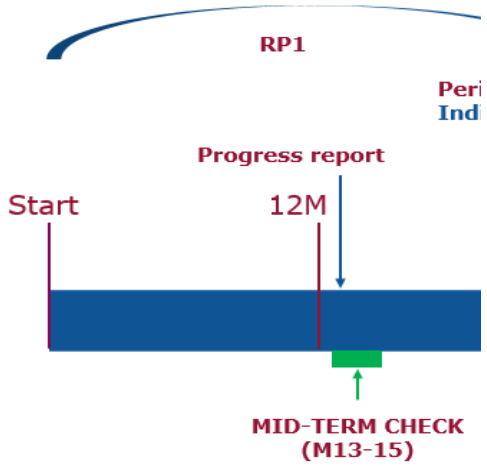
# PROJECT CHECK

## *Mid-Term check (Article 19.1 of the GA)*




- **The coordinator must organize a mid-term meeting at M13-15 (unless otherwise agreed with the PO).**
- **A Progress report needs to be submitted beforehand as deliverable via the continuous reporting module,**
- **Brings together EU officer, consortium members and recruited researchers.**

***The objective of the meeting will be to:***

- ✓*Assess the recruitment progress and procedure.*
- ✓*Clarify the eligibility rules for fellows.*
- ✓*Raise awareness on the rights and obligations of fellows and beneficiaries.*
- ✓*Assess any deviation of the original training programme.*
- ✓*Define contingency plans if necessary.*

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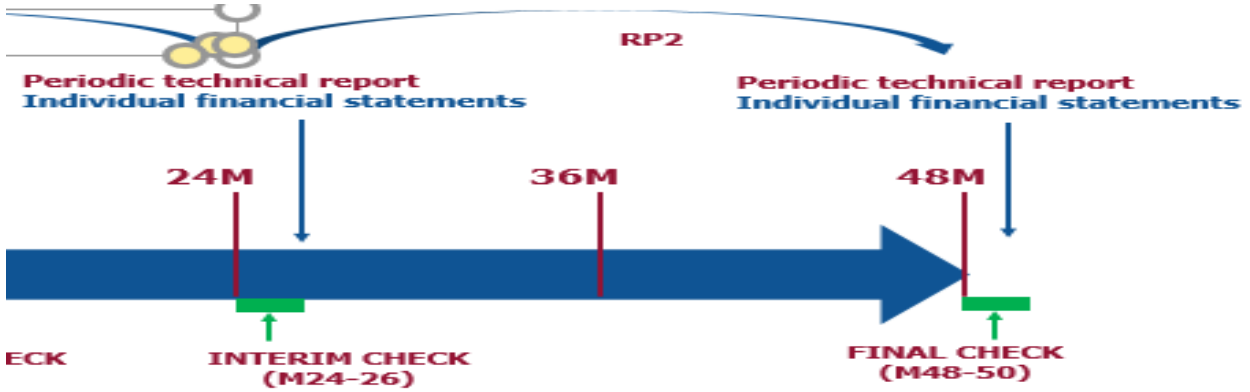
# PROJECT CHECK

## *Interim / final checks (Art. 22 of GA)*




- In order to assess the project's progress, including **the assessment of the reports and deliverables of each reporting period**, the REA will organize an interim / final check.
- When? At the end of each reporting period.
- The checks will be done **remotely** unless otherwise agreed with the PO.
- They could be carried out with the help of an **external expert**.

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# Thank you

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