





# Reporting from A to Z: Continuous reporting

#### **Krisztina Toth**

Managing Director, Europa Media Innovations EMG Group

Horizon Europe Project Management and Financial Reporting

13-14 December 2022 Budapest, Hungary

# Mutual Insurance Mechanism and the Pre-financing



## **Mutual Insurance Mechanism (MIM)**

Replacing the Guarantee Fund in Horizon Europe

Contribution to the Mechanism:

but it can be more, or less.

- Actions require a 5% -8 %contribution
- From the first pre-financing
- Additional OPTION for programmes with MIM split contribution contribution can be partially offset from the additional pre-financing.
- The contribution cannot exceed the amount of the initial prefinancing.
- The Mechanism may be extended to beneficiaries of any other directly managed Union programme.
- The Commission shall adopt modalities for participation of beneficiaries of other programmes.



## **Pre-financing payment**

## Model Grant Agreement

#### 22.3 Amounts due

#### 22.3.1 Prefinancing payments

The aim of the prefinancing is to provide the beneficiaries with a float.

It remains the property of the EU until the final payment.

For **initial prefinancings** (if any), the amount due, schedule and modalities are set out in the Data Sheet (see Point 4.2).

For **additional prefinancings** (if any), the amount due, schedule and modalities are also set out in the Data Sheet (see Point 4.2). However, if the statement on the use of the previous prefinancing payment shows that less than 70% was used, the amount set out in the Data Sheet will be reduced by the difference between the 70% threshold and the amount used.

The contribution to the Mutual Insurance Mechanism will be retained from the prefinancing payments (at the rate and in accordance with the modalities set out in the Data Sheet, see Point 4.2) and transferred to the Mechanism.

Prefinancing payments (or parts of them) may be offset (without the beneficiaries' consent) against amounts owed by a beneficiary to the granting authority — up to the amount due to that beneficiary.

Reporting and payments in Horizon Europe



## **HE Grant Agreement obligations**

## Reporting and payments

#### **ARTICLE 21 — REPORTING**

#### 21.1 Continuous reporting

The beneficiaries must continuously report on the progress of the action (e.g. **deliverables**, **milestones**, **outputs/outcomes**, **critical risks**, **indicators**, etc; if any), in the Portal Continuous Reporting tool and in accordance with the timing and conditions it sets out (as agreed with the granting authority).

Standardised deliverables (e.g. progress reports not linked to payments, reports on cumulative expenditure, special reports, etc; if any) must be submitted using the templates published on the Portal.

#### 21.2 Periodic reporting: Technical reports and financial statements

In addition, the beneficiaries must provide reports to request payments, in accordance with the schedule and modalities set out in the Data Sheet (see Point 4.2):

- for additional prefinancings (if any): an additional prefinancing report
- for interim payments (if any) and the final payment: a **periodic report**.

## ARTICLE 22 — PAYMENTS AND RECOVERIES — CALCULATION OF AMOUNTS DUE

#### 22.1 Payments and payment arrangements

Payments will be made in accordance with the schedule and modalities set out in the Data Sheet (see Point 4.2).

They will be made in euro to the bank account indicated by the coordinator (see Data Sheet, Point 4.2) and must be distributed without unjustified delay (restrictions may apply to distribution of the initial prefinancing payment; see Data Sheet, Point 4.2).

Payments to this bank account will discharge the granting authority from its payment obligation.



## **Monitoring Project Implementation**

## Scope and Timing

- 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.
- 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.

Project Officers monitor projects. External experts may assist.

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



## **Project reporting**

#### Schedule

The beneficiaries must provide reports to request payments, in accordance with the schedule and modalities set out in the **Data Sheet**.

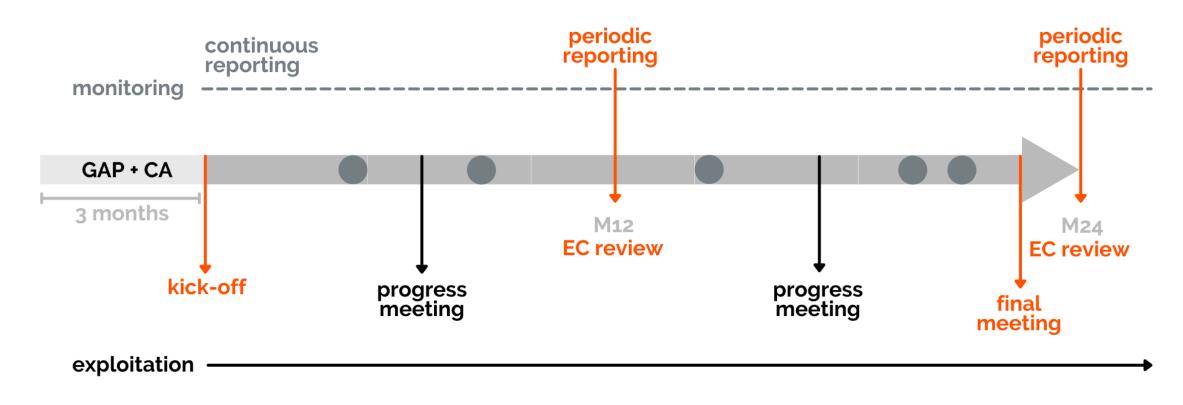
#### 4.2 Periodic reporting and payments

Reporting and payment schedule (art 21, 22):

Reporting					Payments	
Reporting periods			Type	Deadline	Type	Deadline (time to pay)
RP No	Month from	Month to				
					Initial prefinancing	30 days from entry into force/10 days before starting date – whichever is the latest
1	1	12	Periodic report	60 days after end of reporting period	Interim payment	90 days from receiving periodic report
2	13	24	Periodic report	60 days after end of reporting period	Final payment	90 days from receiving periodic report



## Reporting schedule





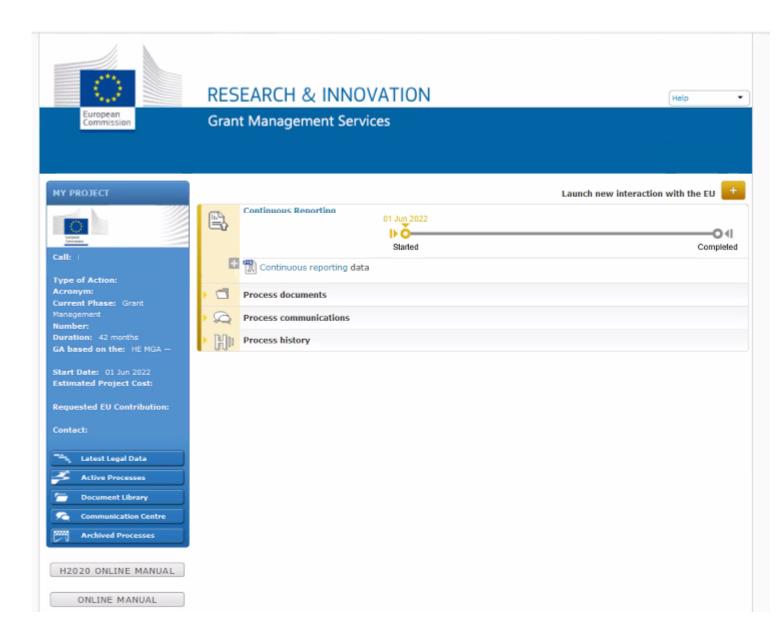
## **Continuous reporting**



## Continuous reporting module

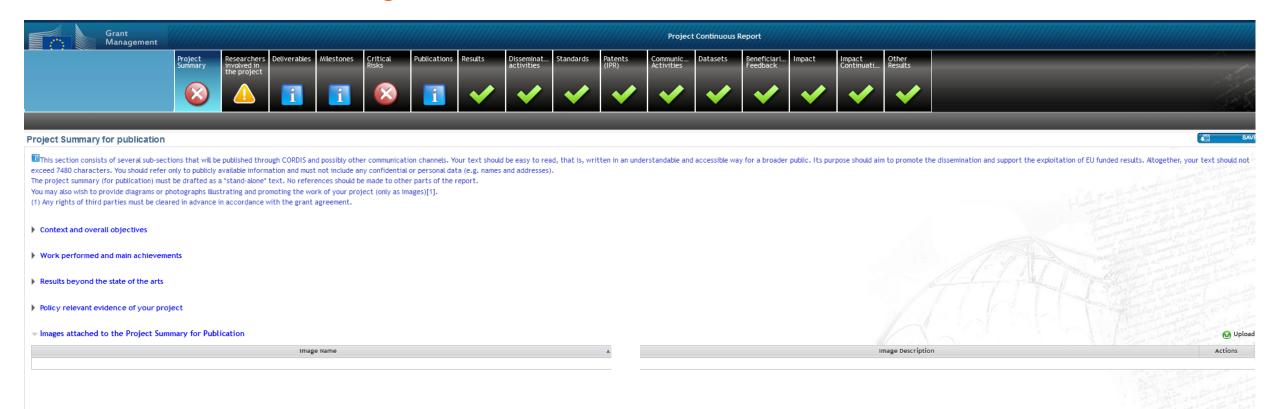
- Project summary
- Submission of deliverables
- Report progress in achieving milestones
- Follow-up critical risks
- Reporting on horizontal issues
  - Open access tables (publications, datasets, other results)
  - Dissemination, exploitation and communication activities
  - Policy questionnaires

Continuous Reporting is activated at the project start



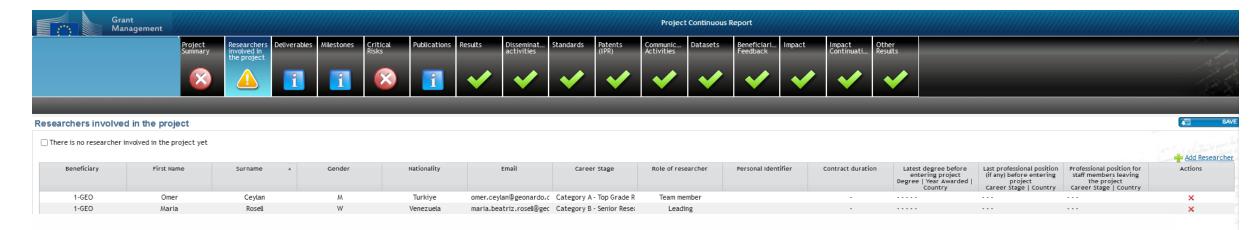


## **Project Summary**





## Researchers involved in the project



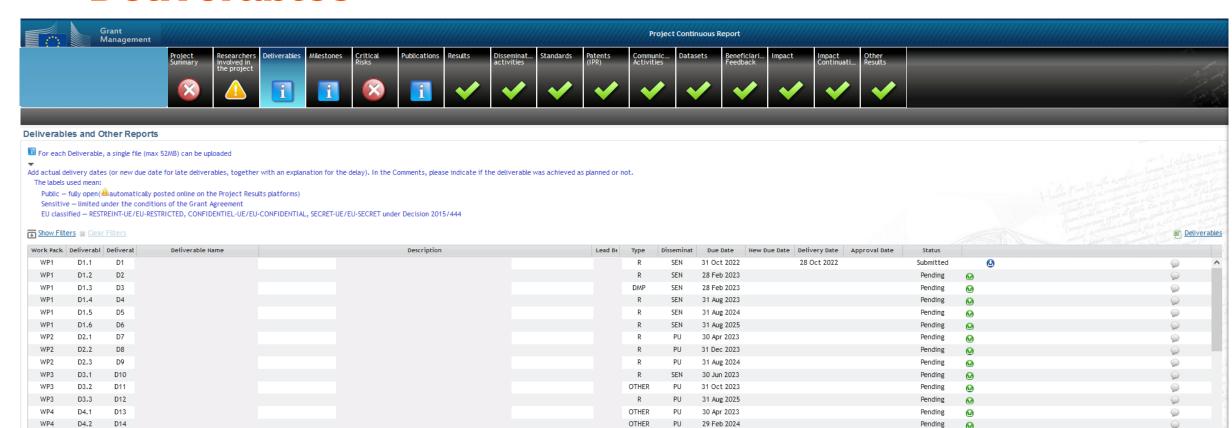


## **Deliverables**

WP4

D4.3

D15



OTHER

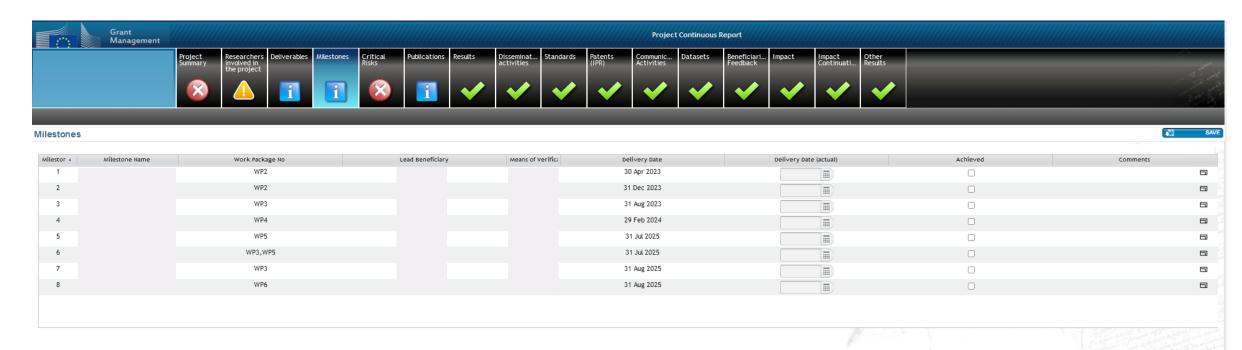
PU

29 Feb 2024

Pending

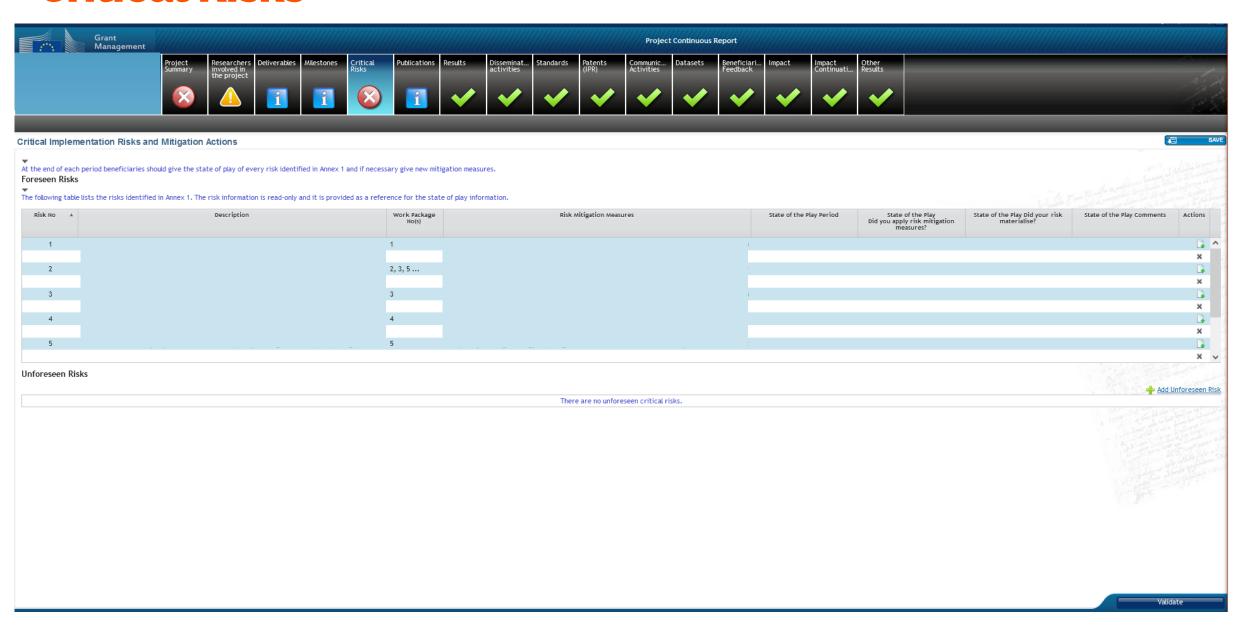


## **Milestones**



## **Critical Risks**







## Critical risks Internal system

#### WHAT?

- Risk management = continuous process to identify, analyze, monitor and control risks
- Risk register = identify and handle causes of project deviations

#### WHY?

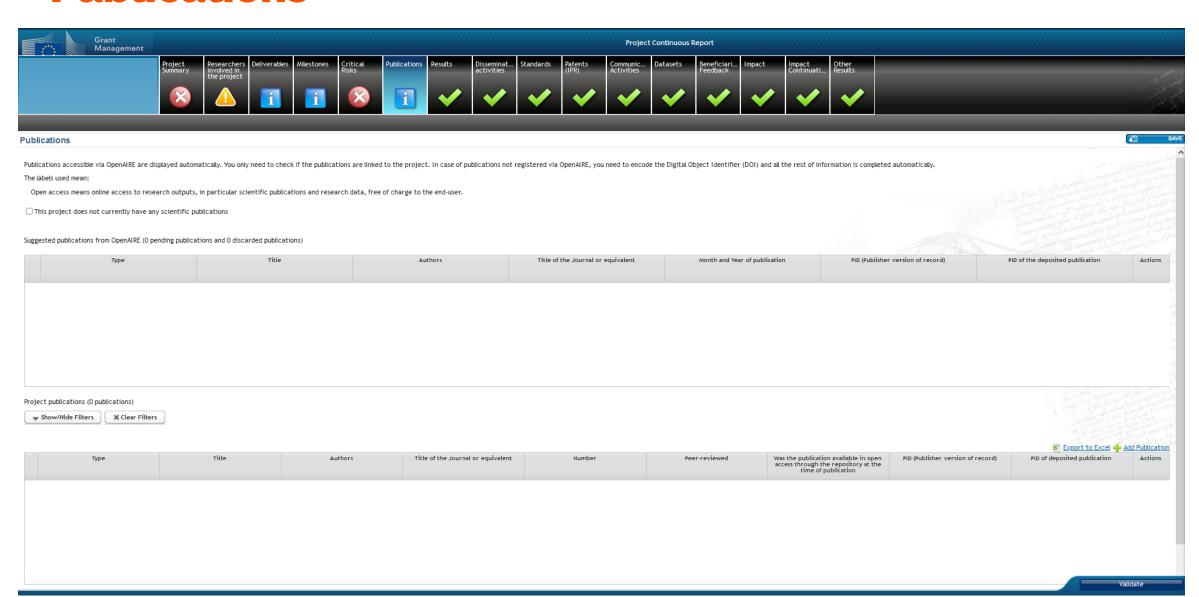
- Recommended to avoid "disaster" situations
- Included in your continuous reporting

В	С	D	Е	F				
	Risk Description	Probability	Impact	Prevention and Mitigation				
	Technical Risks							
1	Conceptual Design not well aligned with business requirements and domain knowledge	15%	Moderate	The work plan is structured in two iterative cycles with a synchronization every 6 months to ensure alignment with requirements;				
2								
3								
4								
5								
6								
	Financial/Management Risks							
7	Personnel leaves before project completion	80%	Moderate	Introduction of common responsibility and backup developers (at least two people are familia				
8								



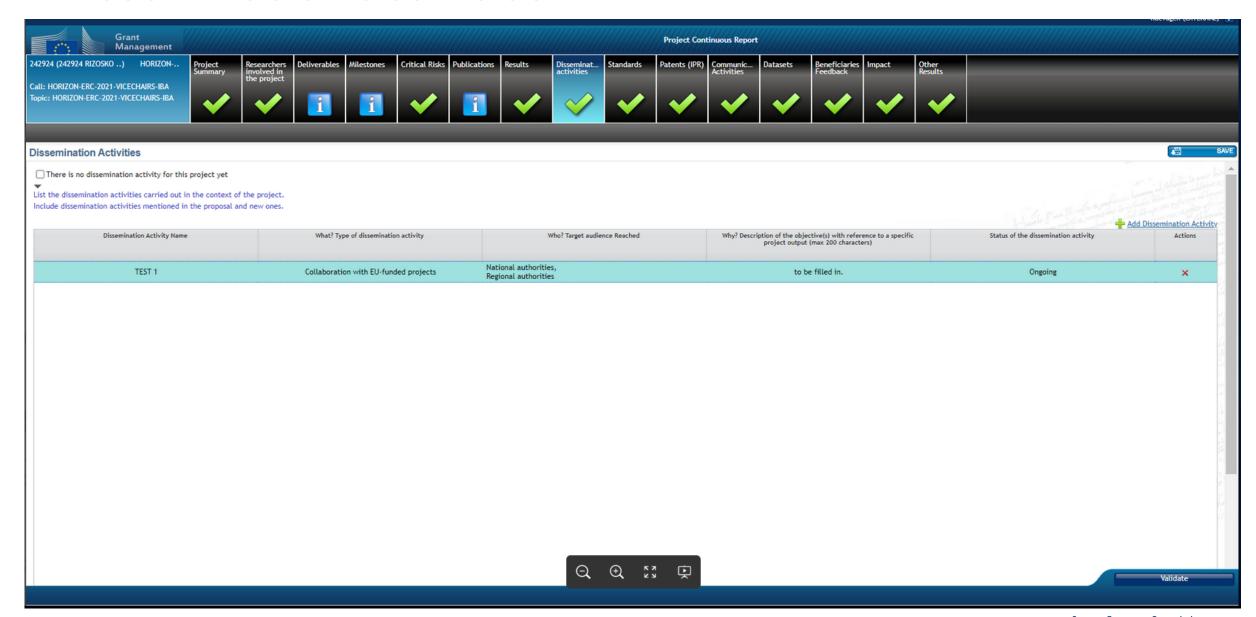
#### TRAININGS

## **Publications**



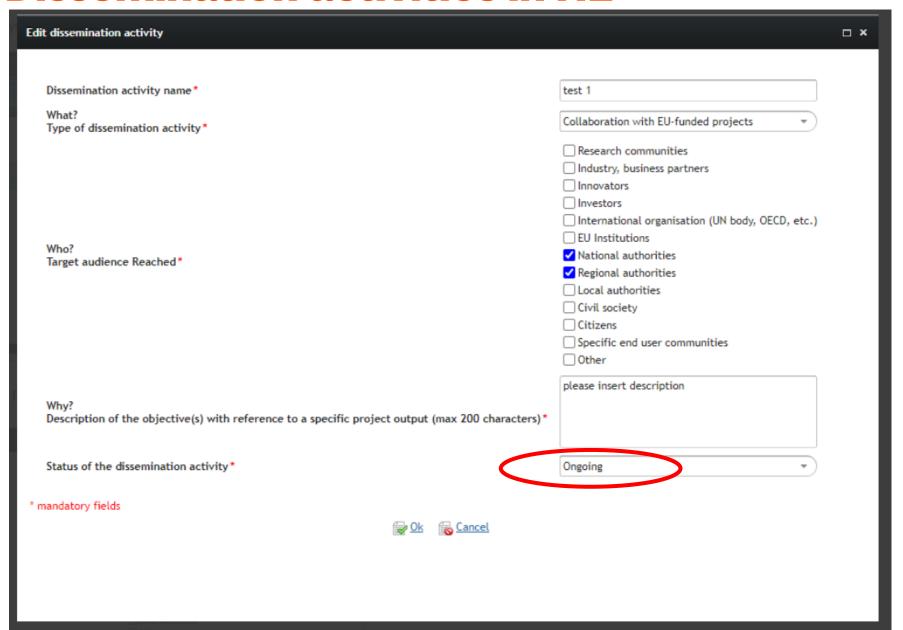
#### TRAININGS

## **Dissemination activities in HE**



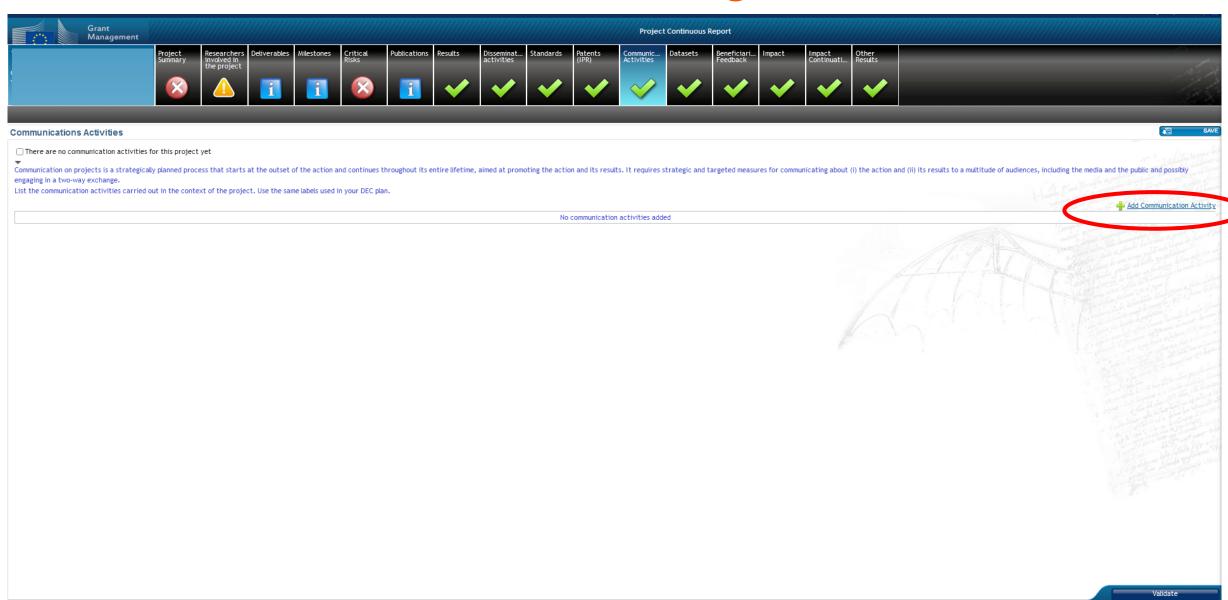


## **Dissemination activities in HE**

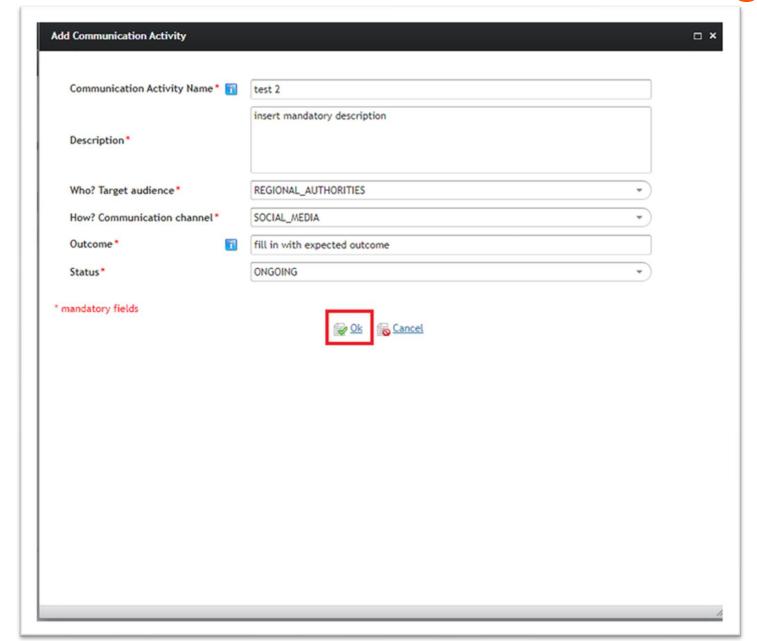


## Communication activities in HE 1/3





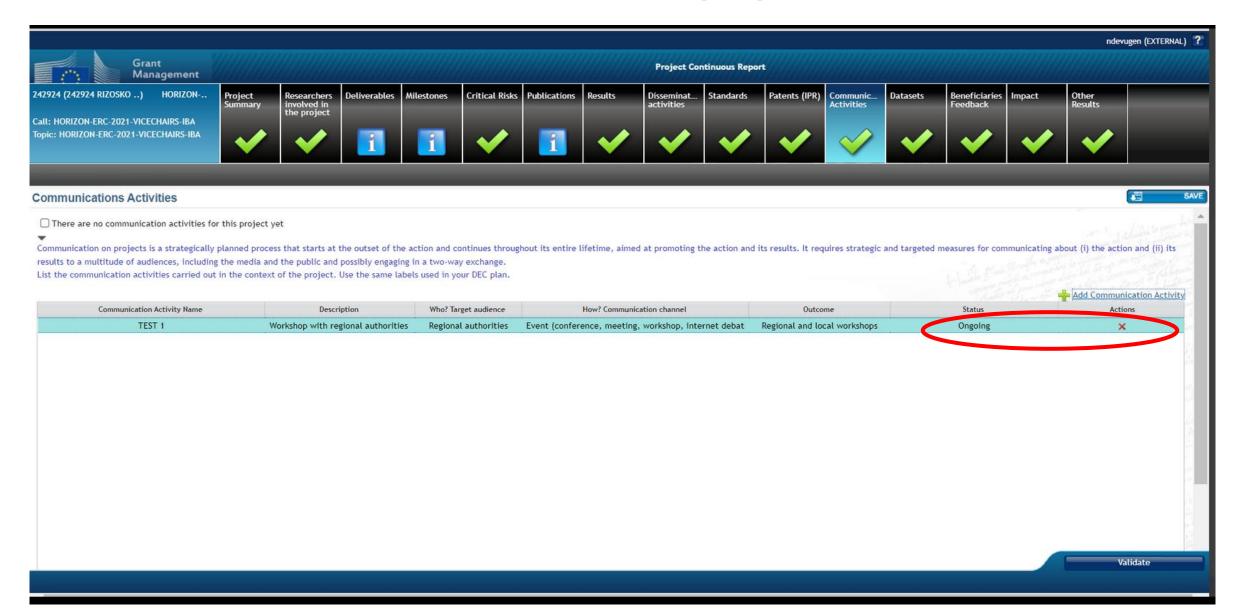
## Communication activities in HE 2/3







## Communication activities in HE 3/3



# Dissemination & communication Internal system

#### **Dissemination reporting**

- Each partner fills in activities they performed
- Recommended every 6 months (the latest)

#### **Communication reporting**

- Each partner fills in activities they performed
- Recommended every 3 months (the latest)

#### Press and media details

 All partners to report any mention of the project externally (interviews, crossreferences, promotion...)

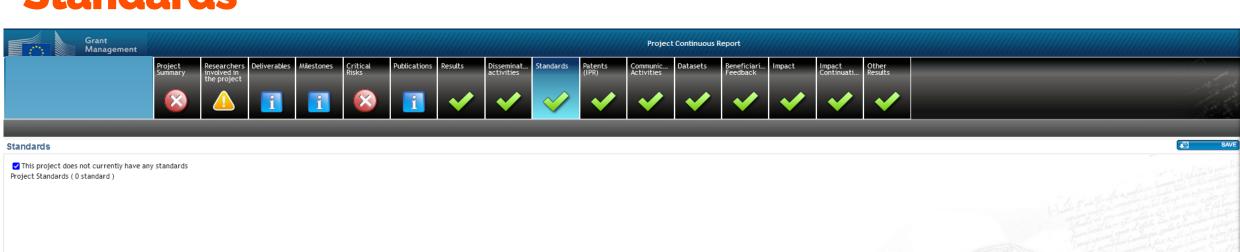


Dissemination exploitation report table HE



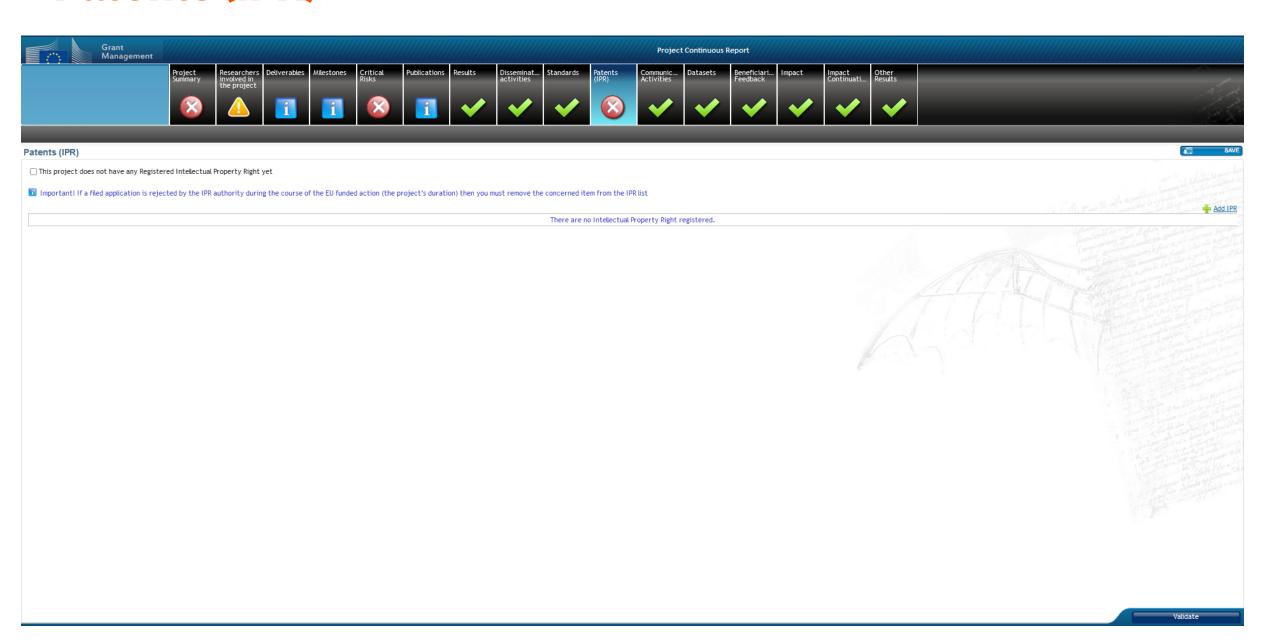
## **Standards**





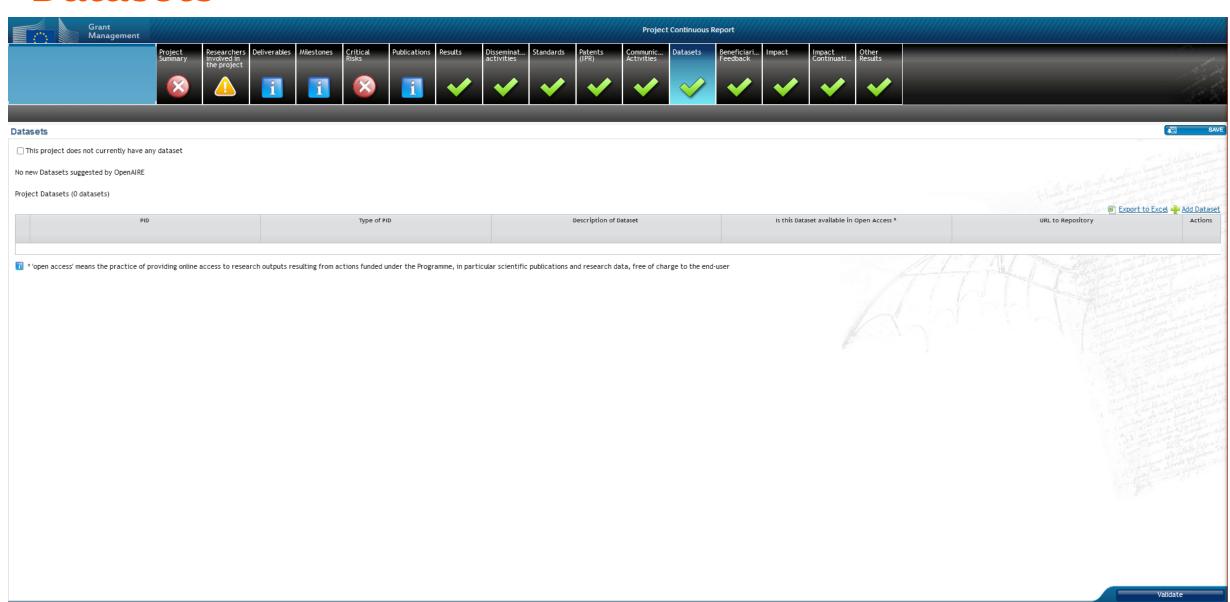
## **Patents (IPR)**





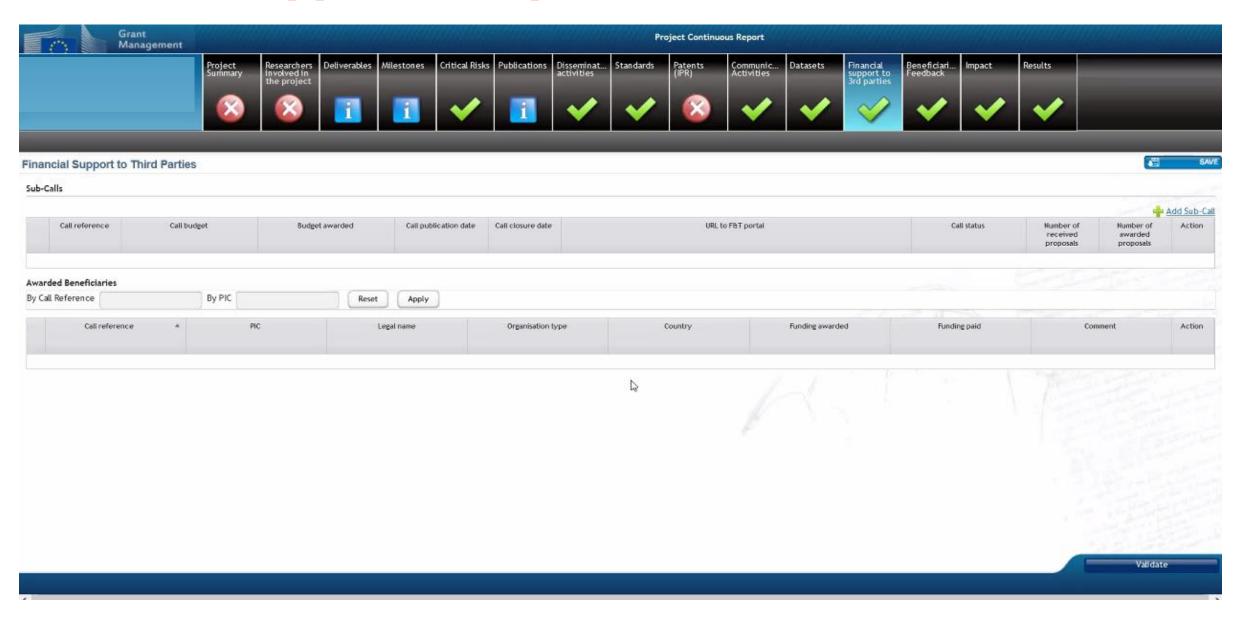
## **Datasets**





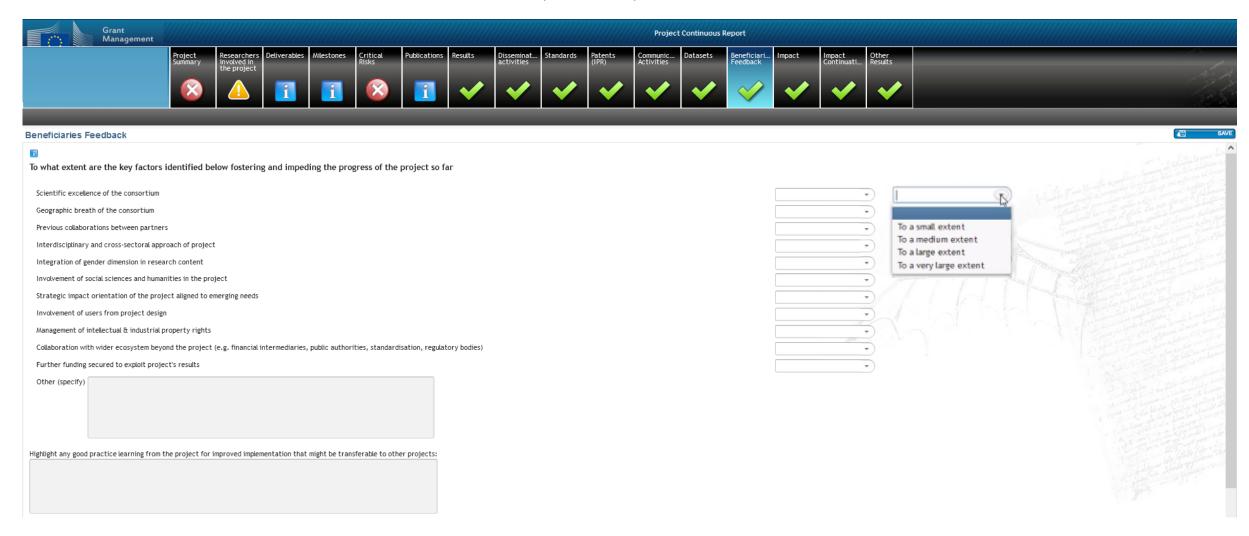
## Financial support to 3<sup>rd</sup> parties





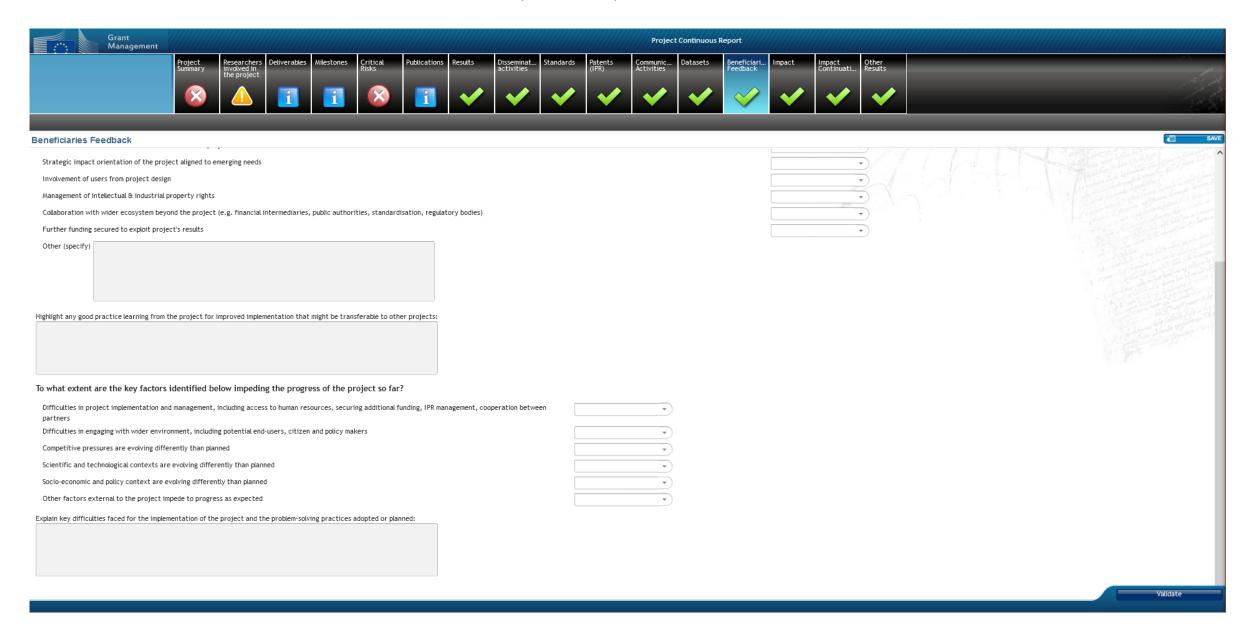
## **Beneficiaries Feedback (1/2)**





## **Beneficiaries Feedback (2/2)**

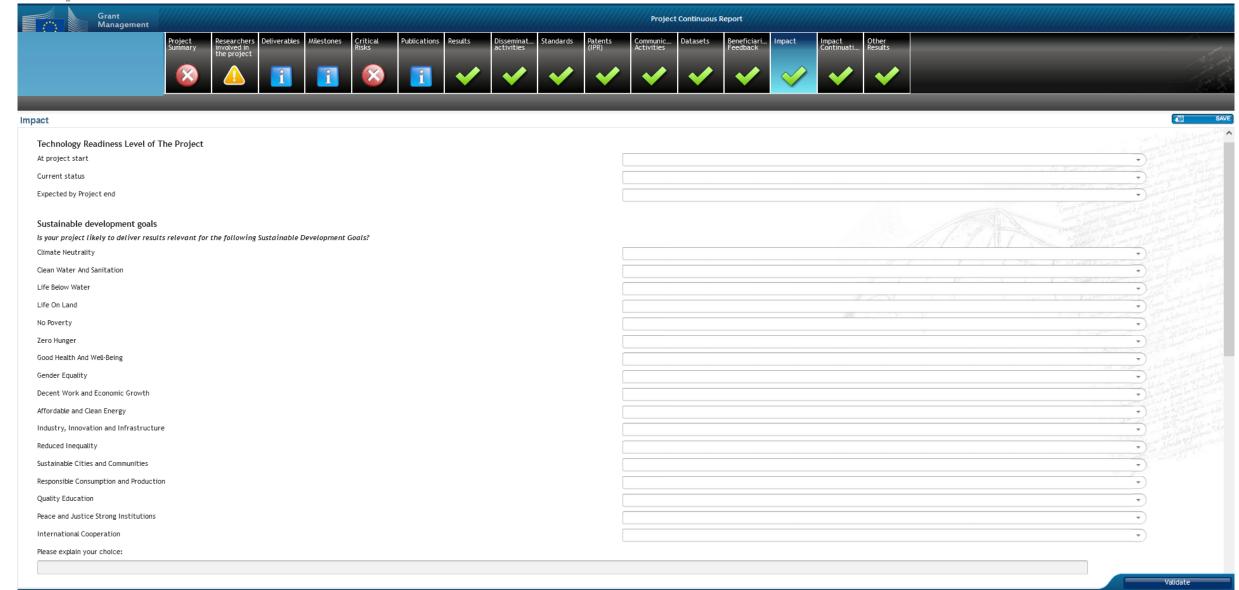




## **Impact (1/2)**



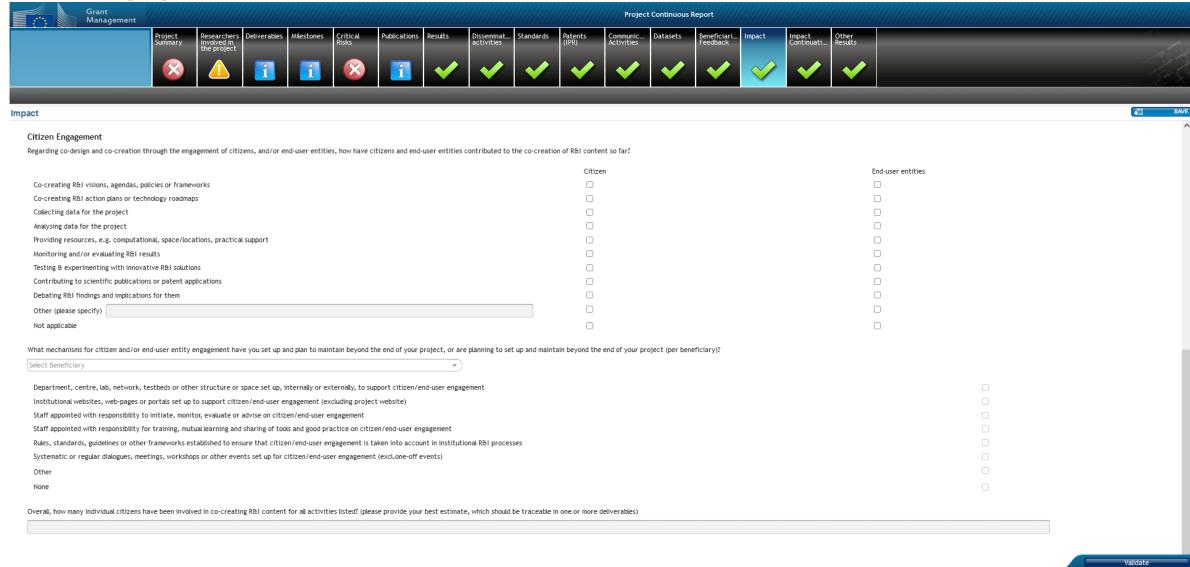




## **Impact (2/2)**



### Citizen Engagement



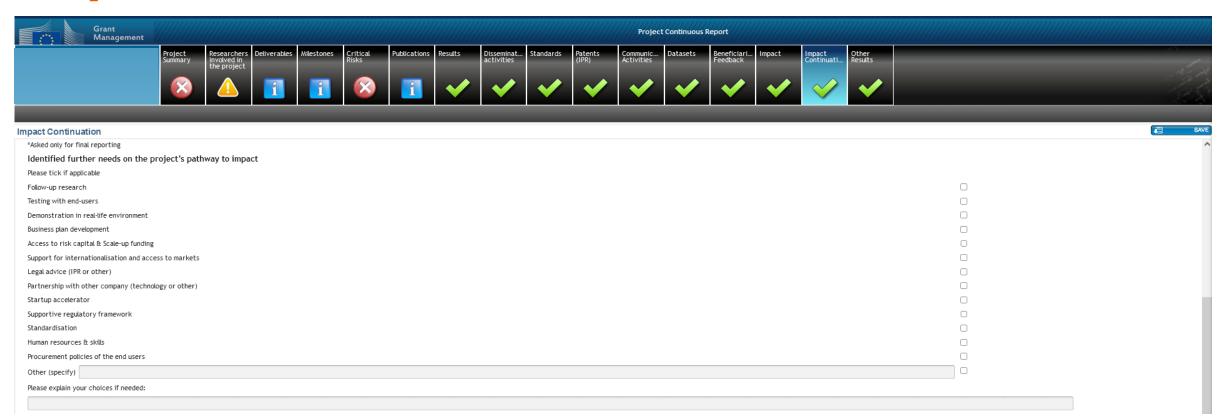
## Impact Continuation (1/3)



Grant Management			Project Co	ntinuous Report		
Project Summary	Researchers involved in the project  I Deliverables Milestones Critica Risks	Publications Results Disseminat activities	Standards Patents Communic Da	tasets Beneficiari Impact Impact Cor	act Other Results	
Impact Continuation						
	wards delivering scientific impact, based on its objectiv					if a comparable for the property of the comparable for the comparable
Please describe the progress of the project so far tow	wards delivering economic impact, based on its objectiv wards delivering impact for society, including environme			cesses) including quantification to the exten	it possible:	Annaly to the control of the first the control of t
Further employment to exploit or scale-up p	project results * employed based on project's results and their dissemina	tion/exploitation				
New/Existing contracts:	Involve existing team/people		ire new team/people	Not sure yet		No Case of the Work of the State of the Stat
Short term contracts (incl. PHD):	Technicians:		Researchers:	Administrative support & project management:		Other:
Long term contracts:	Technicians:		Researchers:	Administrative support & project management:		Other:
Please Explain:						
						The second secon
Further investment mobilized to exploit or s Further investment expected:	scale-up project results *					
Yes:		Private/capital investment	Public investment		Own funds	(may be more than one)
Launch of a dedicated company during (or a	after end of) the project *					
Company:	Spin-off	Spin-out	Joint venture	Not sure yet	No 🗆	(May be more than one company)

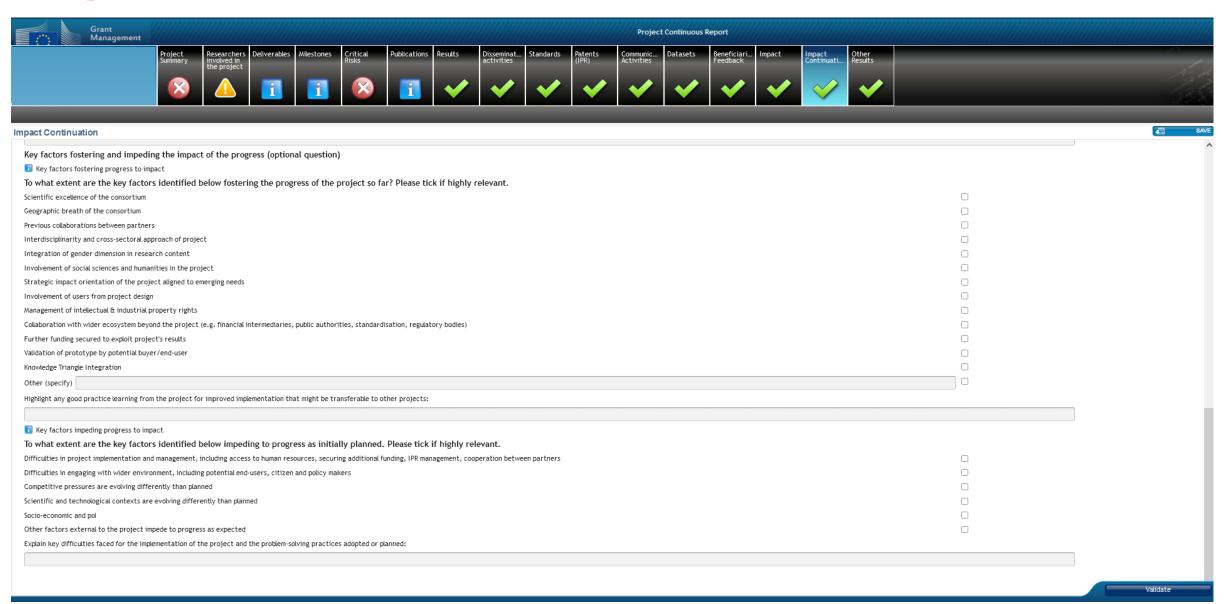
## Impact Continuation (2/3)





## Impact Continuation (3/3)





# Results (1/3)





☐ There is no result for this project yet

Please provide details about project results. Please focus on the content of the results, for example discoveries and theories, products, services, methods etc. Publications, intellectual property rights, datasets, software, algorithms, protocols etc. will be linked to these results later in separate tables. It will also be possible to add these to the project as a whole.

- 1. The project developed a new medical device, which is described in two publications and later patented. Instructions: List the medical device here (as 'PROD: Product') and link publications to this product in dedicated sections. When you have information about the patent application, link it in a dedicated section.
- 2. The project developed a new scientific theory which is described in several publications. Instructions: List the name and potential of the theory here (as 'SCI: Scientific discovery, model, theory') and add relevant publications later in dedicated sections.
- 3. The project develops a high potential industrial process and is currently at the stage of prototyping. Instructions: List the industrial process') and indicate the prototyping stage under 'Steps undertaken towards exploitation'. If the there is a registered prototype, link the registered prototype in a dedicated section.
- 4. The project mainly focused on activities such as conferences, staff exchanges, or on investments in infrastructures. Instructions: List these as results and their potential here.

#### Results

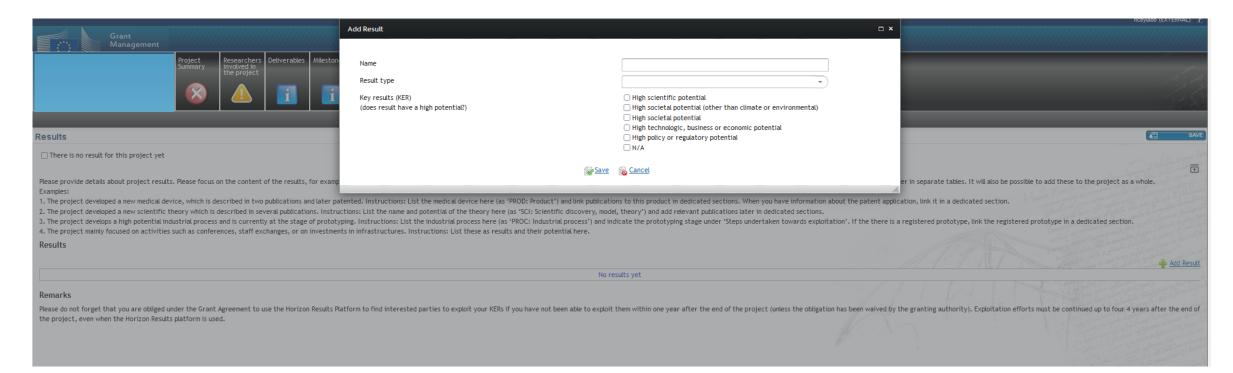
#### Remarks

Please do not forget that you are obliged under the Grant Agreement to use the Horizon Results Platform to find interested parties to exploit them within one year after the end of the project (unless the obligation has been waived by the granting authority). Exploitation efforts must be continued up to four 4 years after the end of the project, even when the Horizon Results platform is used.

No results yet







## Results (3/3)





### Results

☐ There is no result for this project yet

Please provide details about project results. Please focus on the content of the results, for example discoveries and theories, products, services, methods etc. Publications, intellectual property rights, datasets, software, algorithms, protocols etc. will be linked to these results later in dedicated sections. It will also be possible to add these to the project as a whole.

#### Examples:

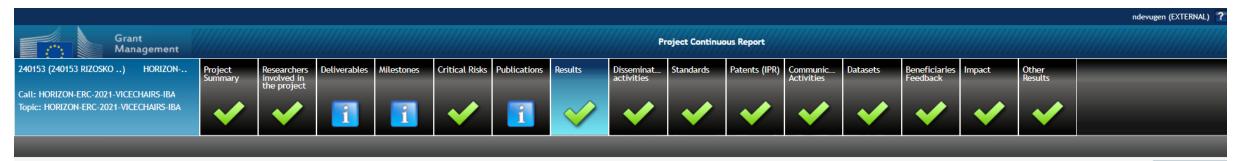
- Example: The project developed a new medical device, which is described in two publications and later patented. Instructions: List the medical device here (as 'PROD: Product') and link publications to this product in dedicated sections. When you have information about the patent application, link it in a dedicated section.
- Example: The project developed a new scientific theory which is described in several publications. Instructions: List the name and potential of the theory here (as 'SCI: Scientific discovery, model, theory') and link publications to this model later in dedicated sections.
- Example: The project develops a high potential industrial process and is currently at the stage of prototyping. Instructions: List the industrial process here (as 'PROC: Industrial process') and indicate the prototyping stage under 'Steps undertaken towards exploitation'. If the there is a registered prototype, link the registered prototype in a dedicated section.
- · Example: The project mainly focused on activities such as conferences, staff exchanges, or on investments in infrastructures. Instructions: List these as results and their potential here.

#### Results

Acti	Market maturity (state of the market targeted by this result)	Steps undertaken towards exploitation	Audience or target group	Description of high potential	Key results (KER) (does result have a high potential?)	Result type	*	Name
t. >	Not yet existing and not clear if market	Prototyping in laboratory environment	Researchers	sssssss	High scientific potential	LEARN: Learning and training (learning n		a
pl >	Emerging: growing demand, scarce suppl	Feasibility study Business plan	Citizens	insert description	High societal potential (other than clima High policy or regulatory potential	SERV: Service (new or improved)		test2

# **Results Ownership List**





#### Results

Please do not forget that you are obliged under the Grant Agreement to use the Horizon Results Platform to find interested parties to exploit your KERs if you have not been able to exploit them within one year after the end of the project (unless the obligation has been waived by the granting authority). Exploitation efforts must be continued up to four 4 years after the end of the project, even when the Horizon Results platform is used.

Specific elements requested in the table below are aimed at fulfilling Art. 2(21) and 38 of the Horizon Europe Regulation ('Beneficiaries shall own the results they generate' during a project etc.). Please recall that it is mandatory to submit a 'results ownership list' with the last periodic report (see Annex 5 of Model Grant Agreement). By duly filling in this table you fulfil this obligation. The submission of your last periodic report will be blocked if the 'results ownership list' is not filled in.

#### Results Ownership List

Indicate the owner(s) of the results.

Note:

This is the 'results ownership list' required under the Grant Agreement. \_\_

The submission of your last Periodic Report will be blocked if this table is not filled in.

	OTTHER	- Add Nesdite						
	Actions	Does the exploitation of the results require access to third party IPR?	Does the exploitation of the results require access to background of one or several consortium members?	In which form will the result be made available to other consortium members and/or third parties?	Will the owners exploit the result?	Result owners	Single or joint ownership of results? (Indicate the number of owners)	Result name
П	×	Not known	No	Open source	Yes	Entity: 973276467-Germany	Single	test1
П	×	Not known	No	Open access	Yes	Entity: 999997930-France	Single	test3

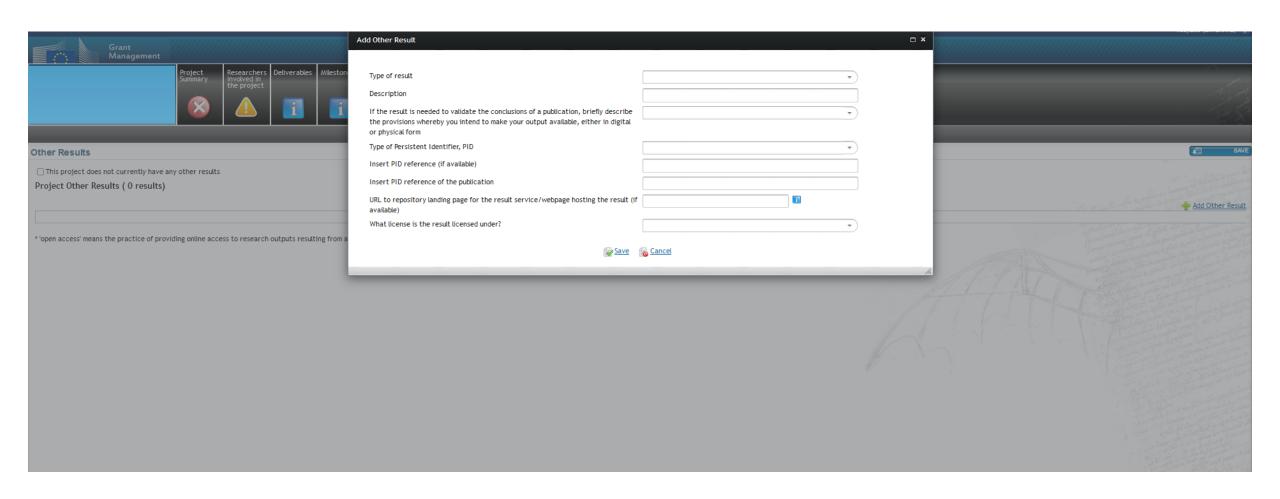
Validate

Add Result Ownership

 $\overline{\uparrow}$ 

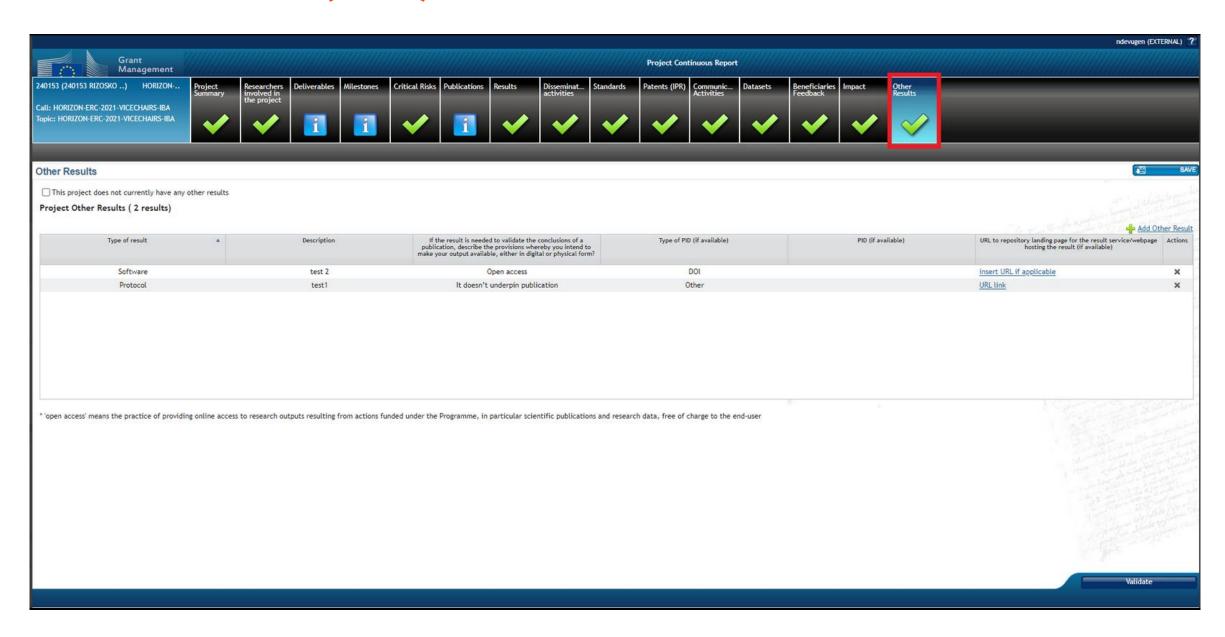






## Other Results (2/2)

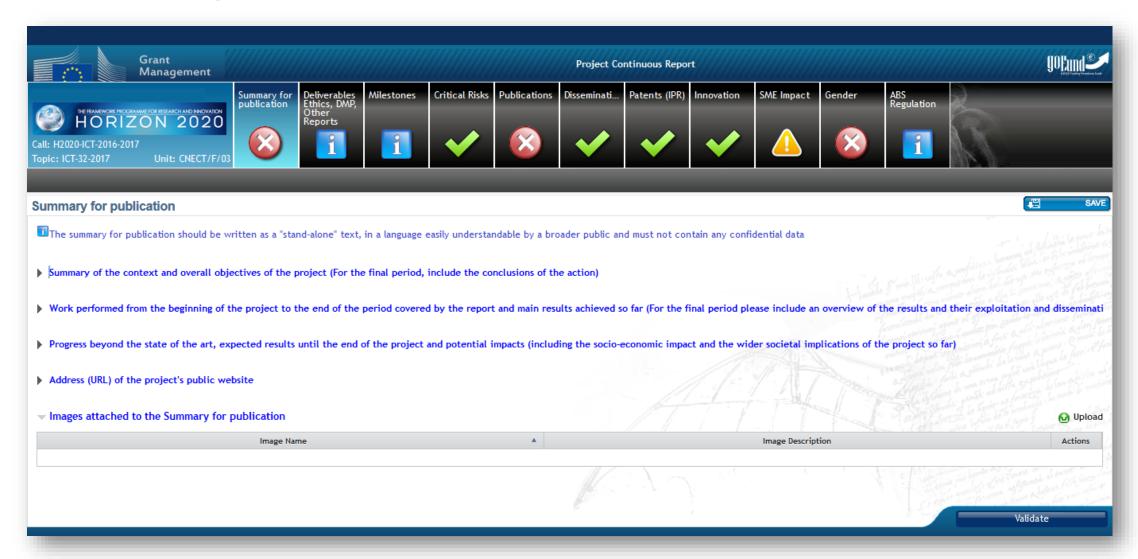




# Continuous reporting in Horizon 2020

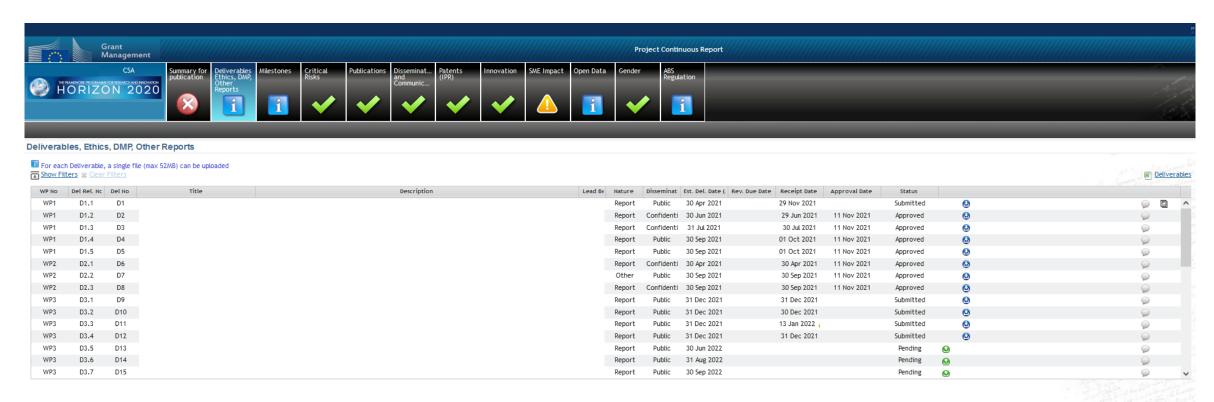


# **Summary for publication**



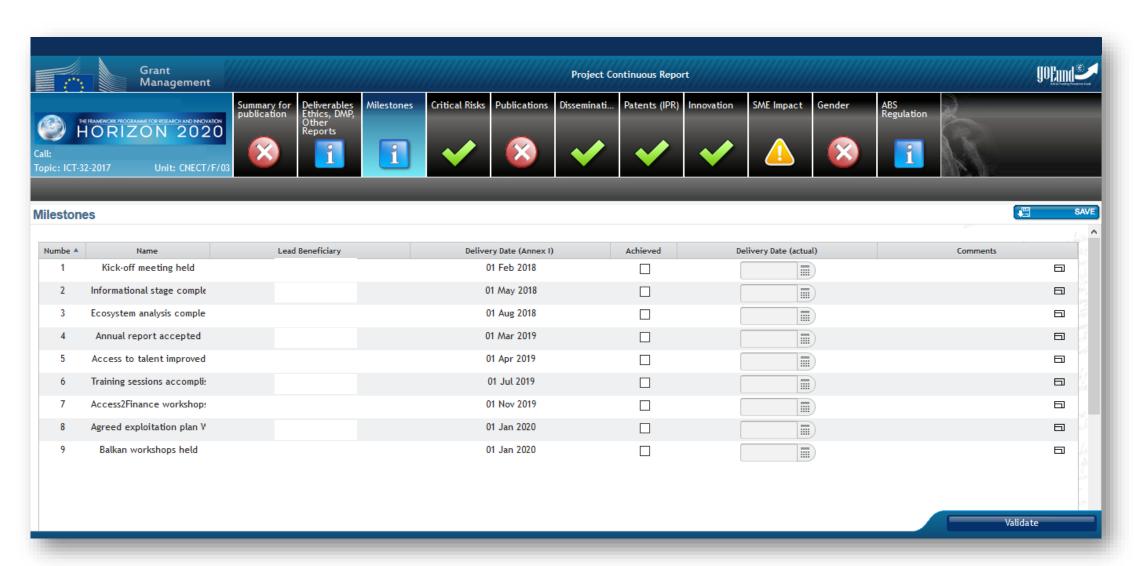


### **Deliverables**



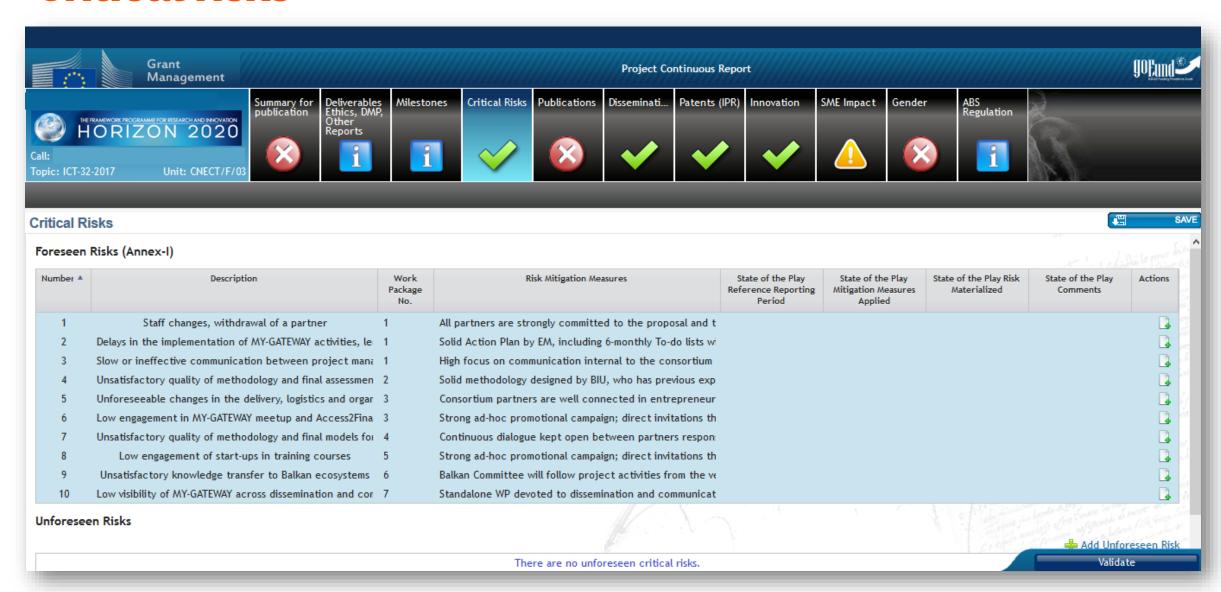


### **Milestones**



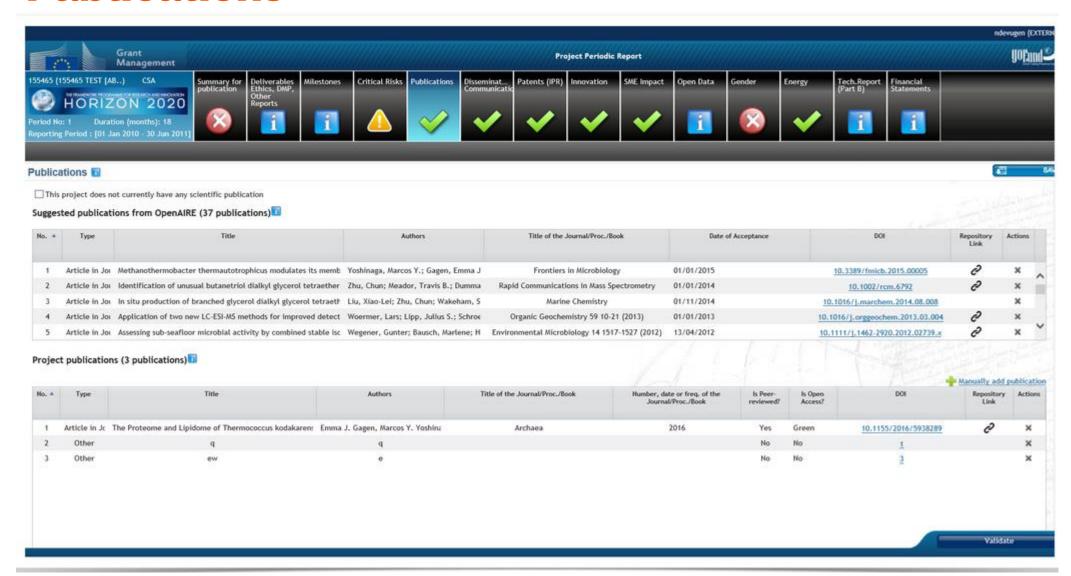
### **Critical risks**





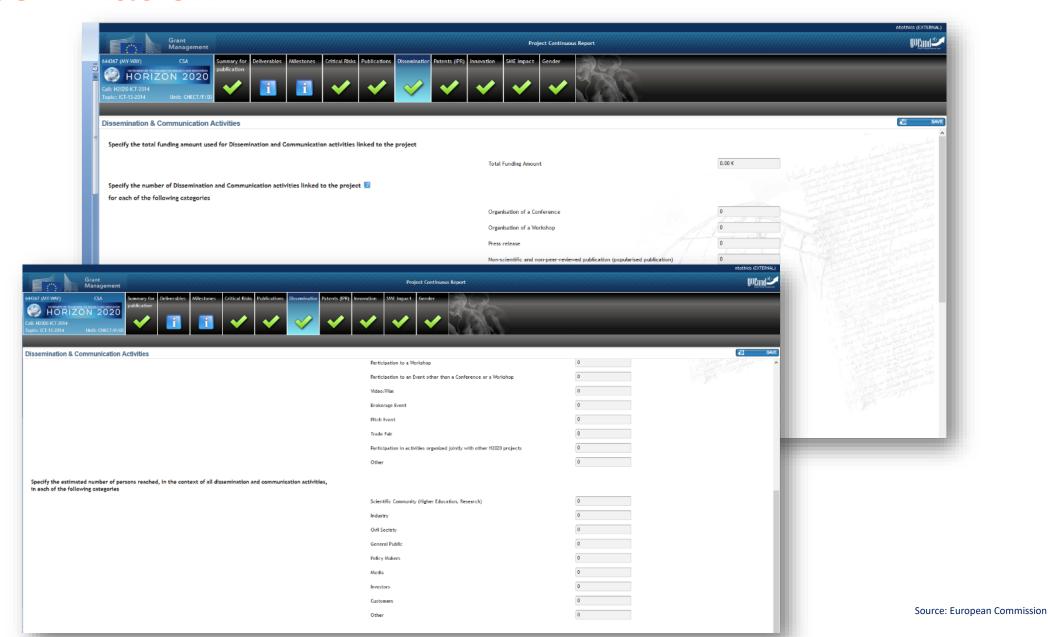


### **Publications**



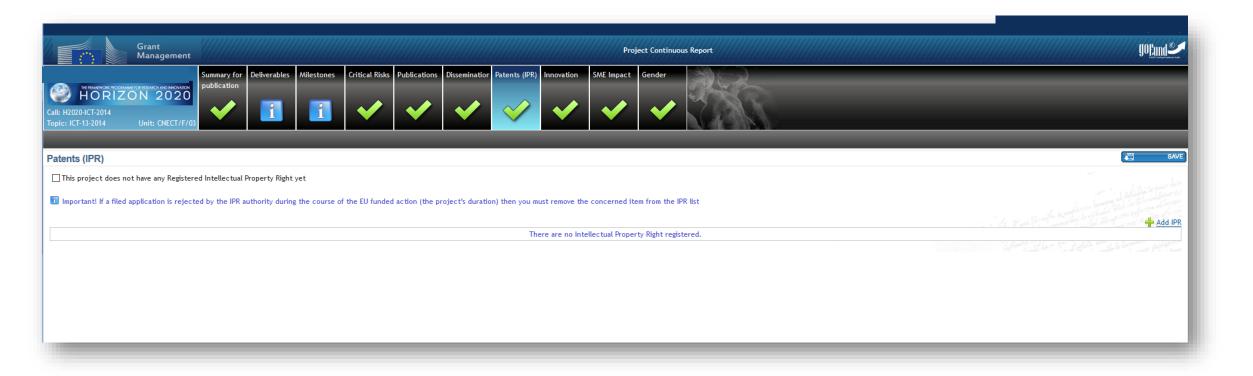


### **Dissemination**



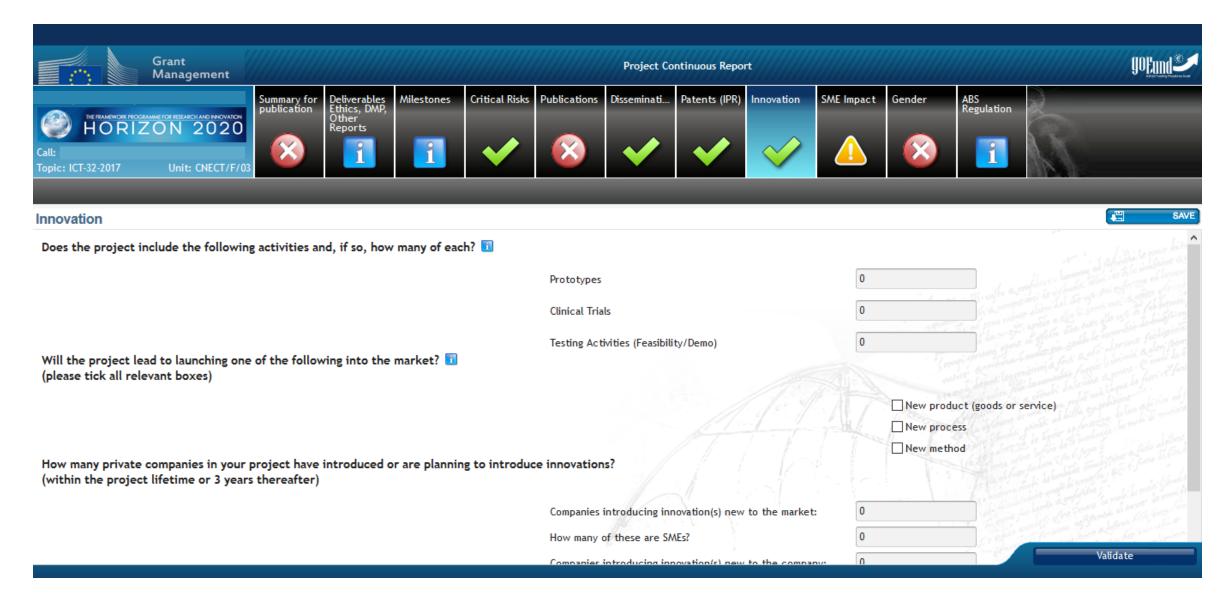


### **Patents**



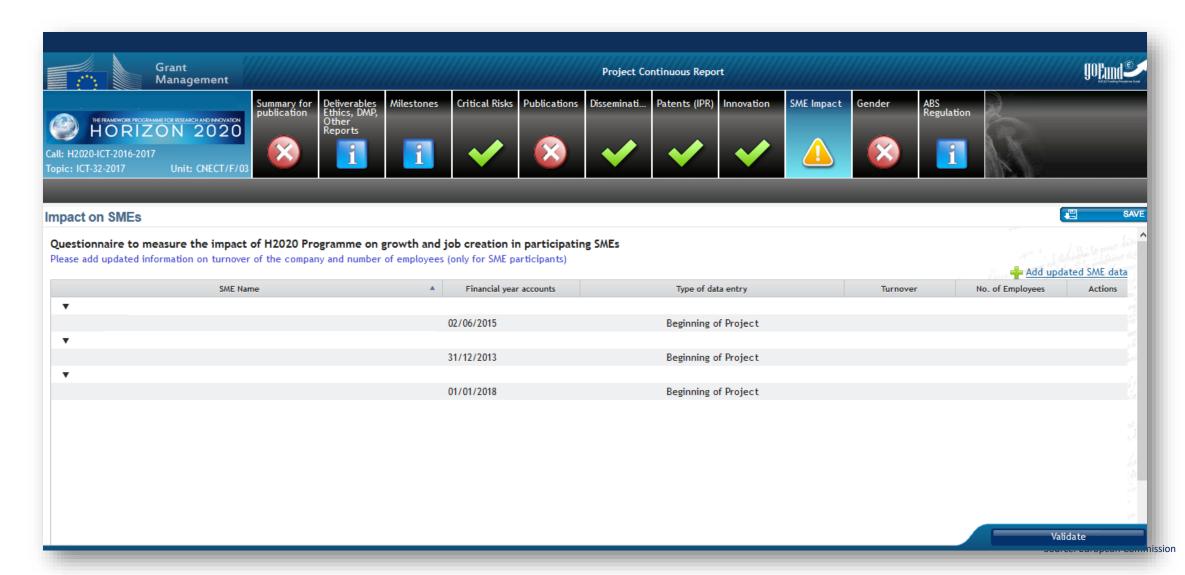


### **Innovation**





# **SME Impact**



### 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 Affiliated Entities (if appropriate)

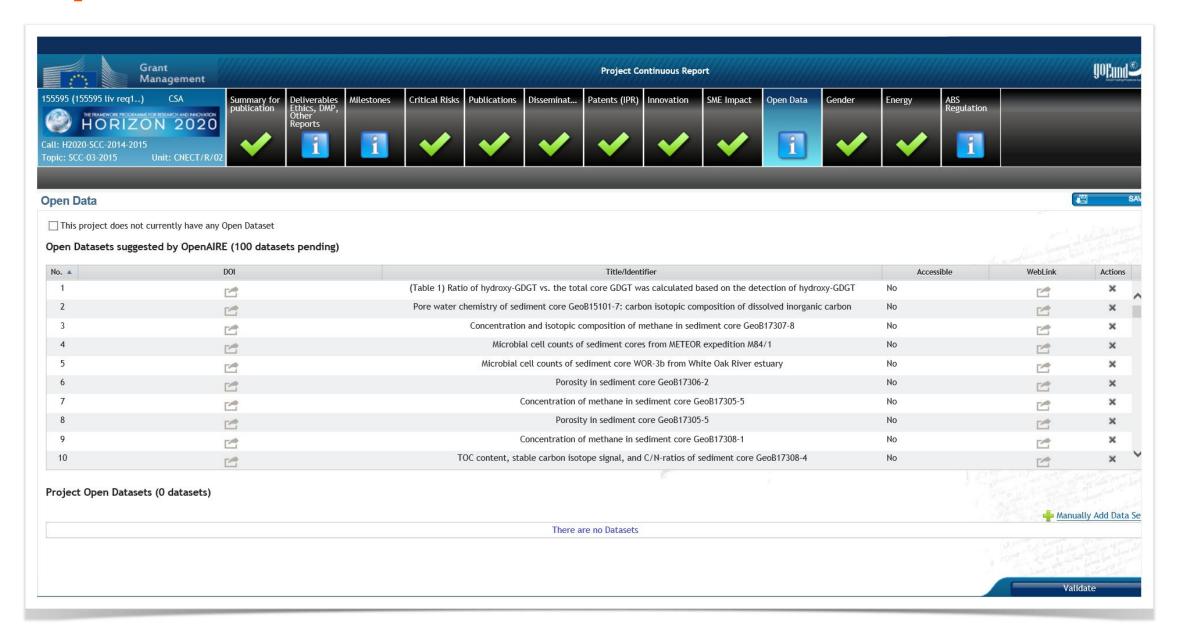
Beneficiaries A	Number of female researchers	Number of male researchers	Number of females in the workforce other than researchers	Number of males in the workforce other than researchers	Total number of females in the workforce	Total number of males in the workforce
1	0	0	0	0	0	0
2	0	0	0	0	0	0
3	9	3	8	5	17	8
4	0	0	0	0	0	0
5	2	1	1	1	3	2
6	0	0	0	0	0	0
7	0	2	1	1	1	3

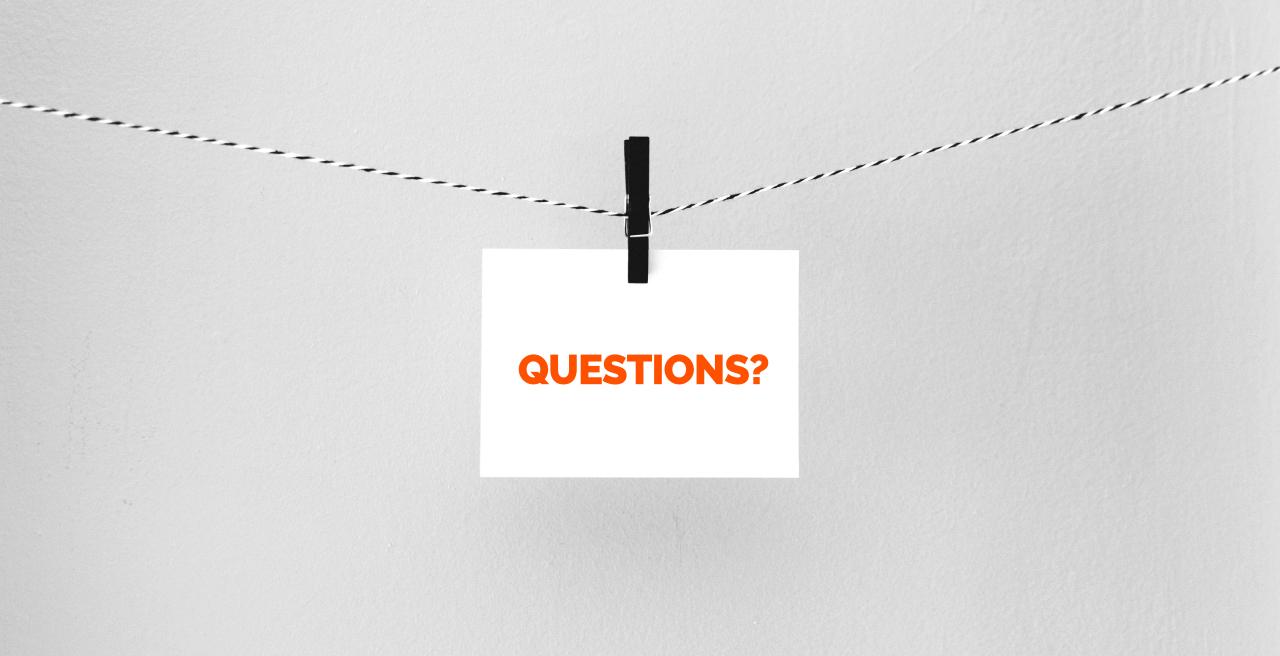
Gender dimension in the project 🗊

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

# **Open Data**









# Krisztina Toth <a href="mailto:krisztina.toth@europamedia.org">krisztina.toth@europamedia.org</a>

