

Europa Media online course



Coordinate the work of Continuous reporting, Periodic Reporting, Final Reporting, and the Review meeting

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Project coordination in Horizon Europe

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Content

- Reporting obligations
- Continuous reporting
- Periodic reporting
- Final reporting
- Reviews

1

Reporting obligations

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 prefinancements (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 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.

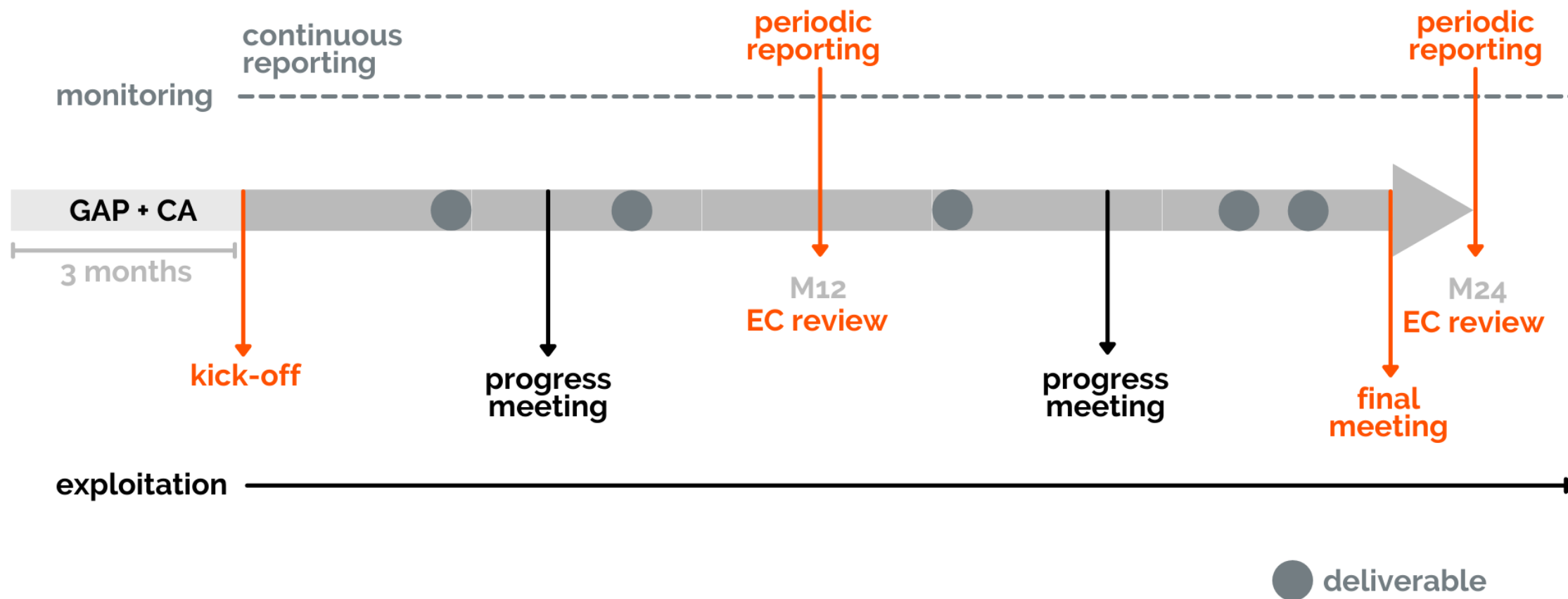
4.2 Periodic reporting and payments

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

Overview of implementation



Internal reporting

To monitor the financial and technical implementation

Based on the CA at the kick off meeting you would need to discuss the internal monitoring and reporting procedures.

Internal reporting:

- Allows a good overview of the work that's been done
- Alerts if a partner is overspending or underspending
- Highlights issues that may hinder the implementation of the project activities



Internal reporting

Instructions

- E-mails to be sent to proper contacts
- Instructions second time, example the first time
- Video tutorials are useful

Dear ACRONYM main contacts,

This email is sent to all main contact persons of the ACRONYM beneficiaries (partners that receive funding from the EU) and every recipient is kindly requested to take action: please ask your colleagues from your finance department (or equivalent) to provide a financial report of the first 12 months of the project (1 August 2022 – 31 July 2023) according to the template attached.

Please note that this financial reporting will be done cumulatively, so could you kindly use your 6M financial report as a basis and add/update this report for the additional months 7-12.

The same way as the last time, please fill the template with the actual costs according to categories as defined in the project budget and send it back to email@address **before Monday 16th Sept 2023**.

There are two worksheets to fill: the 'financial report' worksheet and the 'details PM and subcontracting' worksheet.

As a reminder: it is necessary to register the time spent on the ACRONYM project for all beneficiaries. If your organization does not have a system for this in place, this template can be used:

[HorizonEurope template time-declaration en.docx](#). The original budget for the project (as stated in the Grant Agreement) can be found here:

[ACRONYM total budget Annex2 June 2022.xlsx](#)

Please let us know if you have any questions.

Name and name and name

ACRONYM Coordination Team



Internal reporting

To monitor the financial implementation – What to request? - examples

Effort (person months) of <u>all members</u> of the project team per WP <i>(compared with the DoA)</i>										
	X Periodic Financial Report (START DATE - END DATE)		TOTAL RPX (actual)	TOTAL reported previously (to be filled in only if we are in RP2)	TOTAL PLANNED (DoA)	Difference (DoA - actual- RP1)				
	A1. Employees * <i>(person months)</i>	A4. SME Owners without salary <i>(hours)</i>								
WP1			0,00	0,00	0,00	0,00				
WP2			0,00	0,00	0,00	0,00				
WP3			0,00	0,00	0,00	0,00				
WP4										
WP5										
WP6										
WP7										
WP8										
WP9										
TOTAL	0,00									

X Periodic Financial Report (START DATE - END DATE)										
Travel	Purpose / explanation	Relevant WP(s)	Date		Destination <i>(city / country)</i>	Foreseen in DoA? (YES/NO)	People traveled <i>(Names)</i>	Total cost <i>(in Euro)</i>	Remarks / comments	
			From	Until						
1										
2										
3										
4										
5										
6										
7										
8										
9										
10										
11										
12										
13										
14										
15										
							TOTAL	0,00		

Add internal reporting to the Consortium Agreement to make it mandatory!

Internal reporting

To monitor the financial implementation – What data to request? - examples

X Periodic Financial Report (START DATE - END DATE)										
	Date (INVOICE)	Description / Explanation	Relevant WP(s)	Foreseen in DoA? (YES/NO)	Total cost (in Euro)					
1										
2										
3					X Periodic Financial Report (START DATE - END DATE)	TOTAL RPY (actual)	TOTAL reported in RPX	DoA	Up to now	Difference (DoA - actual- RPY)
4		a) Direct personnel costs declared as actual costs (A1. Employees)			0,00	0,00	0,00	0,00	#ZÉRÓOSZTÓ!	0,00
5		c) Direct personnel costs declared as unit costs (A4. SME owners without salary)			0,00	0,00	0,00	0,00	0,00%	0,00
6		No of units (hours)			0,00	0,00	0,00	0,00	0,00%	0,00
		d) Direct costs for subcontracting			0,00	0,00	0,00	0,00	0,00%	0,00
		c) Purchase costs (- travel • equipment • other)			0,00	0,00	0,00	0,00	#ZÉRÓOSZTÓ!	0,00
		Travel costs			0,00	0,00				
		Equipment			0,00	0,00				
		Other goods and services			0,00	0,00				
		h) Indirect costs (= (a+c+f) *25%)			0,00	0,00	0,00	0,00	#ZÉRÓOSZTÓ!	0,00
		j) Total costs (=a+c+d+f+h)			0,00	0,00	0,00	0,00	#ZÉRÓOSZTÓ!	0,00
		m) Maximum EU contribution (100%)			0,00	0,00	0,00	0,00	#ZÉRÓOSZTÓ!	0,00

Add internal reporting to the Consortium Agreement to make it mandatory!

2

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

The screenshot displays the 'RESEARCH & INNOVATION Grant Management Services' interface. The header includes the European Commission logo and the user name 'Omer CEYLAN'. The main content area is titled 'MY PROJECT' and shows details for a project named 'Continuous Reporting' (ID: 101057901 - SURPASS), which started on 01 Jun 2022. A progress bar indicates the project is in the 'Started' phase. Below the project details, there are several navigation buttons: 'Latest Legal Data', 'Active Processes', 'Document Library', 'Communication Centre', and 'Archived Processes'. At the bottom, there are links for 'H2020 ONLINE MANUAL' and 'ONLINE MANUAL'. The right sidebar contains a list of process categories: 'Continuous reporting data', 'Process documents', 'Process communications', and 'Process history'.

Deliverables

Grant Management

Project Continuous Report
ntothkis (EXTERNAL)

Project Summary

Researchers involved in the project

Deliverables

Milestones

Critical Risks

Publications

Results

Disseminat... activities

Communic... Activities

Standards

Intellectual property rights (IPR)

Datasets

Impact

Impact Continuati...

Other Results

Deliverables and Other Reports ?

For each Deliverable, a single file (max 52MB) can be uploaded

Add actual delivery dates (or new due date for late deliverables, together with an explanation for the delay). In the Comments, please indicate if the deliverable was achieved as planned or not.

The labels used mean:

- Public – fully open
- Sensitive – limited under the conditions of the Grant Agreement

EU classified – RESTREINT-UE/EU-RESTRICTED, CONFIDENTIEL-UE/EU-CONFIDENTIAL, SECRET-UE/EU-SECRET under Decision 2015/444. For items classified under other rules (e.g. national or international organization), please select the equivalent EU classification level.

Show Filters Clear Filters

Work Pack	Deliverabl	Deliverat	Deliverable Name	Description	Lead Bt	Type	Disseminat	Due Date	New Due Date	Delivery Date	Approval Date	Status	
WP1	D1.1	D1				R	PU	30 Nov 2022		28 Nov 2022		Submitted	
WP1	D1.2	D2				R	PU	31 Aug 2024				Pending	
WP1	D1.3	D3				R	PU	31 Aug 2026				Pending	
WP1	D1.4	D4				R	PU	31 Aug 2024				Pending	
WP1	D1.5	D5				R	PU	30 Jun 2026				Pending	
WP2	D2.1	D6				R	SEN	31 Aug 2023				Pending	
WP2	D2.2	D7				R	SEN	31 Aug 2024				Pending	
WP2	D2.3	D8				R	SEN	31 Aug 2025				Pending	
WP3	D3.1	D9				R	SEN	29 Feb 2024				Pending	
WP3	D3.2	D10				DEM	PU	31 Dec 2025				Pending	
WP3	D3.3	D11				DEM	PU	31 May 2026				Pending	
WP3	D3.4	D12				R	PU	31 Aug 2026				Pending	
WP4	D4.1	D13				R	SEN	28 Feb 2026				Pending	
WP4	D4.2	D14				R	SEN	31 Dec 2025				Pending	
WP4	D4.3	D15				R	SEN	28 Feb 2026				Pending	

Coordination tasks

- Collaboration with WP leaders
- Regular meetings
- Risk assessment
- Internal reports to be delivered properly
- DEC table filled in – actions uploaded by the DEC WP leader
- Ask for clarification



3

Periodic reporting

Internal processes

To prepare your partners

- **Internal training or guidance** about:
 - Reporting obligations
 - **Personnel cost calculation**
 - Daily rate calculation
 - Day equivalent
 - Hours / Days to PM
 - Timesheet requirement
 - **How to justify costs?**
- **Internal deadlines to**
 - Provide input to the Part B
 - Share draft numbers and deviations
 - Inform the coordinator about serious delays, issues, discrepancies
- **Internal financial reporting**
 - Few months before the periodic reporting starts
 - In the last period to monitor overspending and underspending partners
 - Identify potential need for amendment



Periodic report module

Overview

Technical part

- **Part A** (structured information entered through the **continuous reporting** module)
 - Project summary
 - Deliverables, milestones, risks, etc.
 - Answers to the impact questionnaire
- **Part B** (narrative part submitted in a PDF through the **periodic reporting** module)
 - Explanation of the work carried out by the beneficiaries and overview of progress
 - Explanations on deviations from DoA

Financial part

- **Financial statements** (individual and consolidated).
- Explanation on the **use of resources** and information on subcontracting and in-kind contributions by third parties.
- **Certificates on the financial statements** (CFS), only at final payment if threshold is reached (uploaded as PDF).

Report generated automatically based on the information entered through the **periodic reporting** module.

Activated at the end of reporting periods

Must be submitted within 60 days following the end of each reporting period

Periodic technical reporting module – HE

Grant Management ntothkis (EXTERNAL) HOW TO

Project Periodic Report

HORIZON...	Project Summary	Researchers involved in the project	Deliverables	Milestones	Critical Risks	Publications	Results	Disseminat... Activities	Standards	Intellectual property rights (IPR)	Communic... Activities	Tech.Report (Part B)	Financial Statements	Impact	Impact Continuati...	Other Results	Datasets
Period No: 1 Duration (months): 18 Reporting Period : [01 Aug 2022 - 31 Jan 2024]	✓	✓	i	i	✓	i	✓	✓	✓	✓	✓	i	i	✓	✓	✓	✓

Project Summary (for publication)

i This section is structured in four sub-sections that must be completed on-line with suitable quality to enable direct publication by the Commission/Agency/other EU funding body. It should be easy to read i.e. written in a language easily understandable by a broader public, thereby promoting the dissemination and supporting the exploitation of EU funded results. It should preferably not exceed 7480 characters (equivalent to two pages of a text document). This part must not contain any confidential or personal data (e.g. names and addresses).

The summary for publication must be drafted as a "stand-alone" text. No references should be made to other parts of the report. References can be made only to publicly available information.

Beside the summary filled within the tool, diagrams or photographs illustrating and promoting the work of the project can be provided (only as images).

Context and overall objectives

Work performed and main achievements

At the end of the first reporting period (M1-M18, January 2024) the main achievements of the projects can be summarized as follows by specific objective:

Validate

Technical Report - H2020 vs HE



TABLE OF CONTENT

TABLE OF CONTENT	3
1. Explanation of the work carried out by the beneficiaries and overview of the progress	5
1.1 Objectives	6
1.2 Explanation of the work carried per WP	15
Work package 1: Management and Coordination	15
Work package 2: Ecosystem	20
Work Package 3: Access to Networks and Finance	21
Work Package 4: Access to Talents	40
Work Package 5: Capacity Building	46
Work package 6: Synergies and Exploitation	55
Work package 7: Dissemination and Communication	75
1.3 Impact	100
2. Update of the plan for exploitation and dissemination of result	111
3. Update of the data management plan	111
4. Follow-up of recommendations and comments from the previous review	111
5. Deviations from Annex 1 and Annex 2	112
5.1 Tasks	112
5.2 Use of resources	112
5.2.1 Unforeseen subcontracting	118
5.2.2 Unforeseen use of in-kind contribution from the third party against payment or free of charges	118
Annexes	119

Horizon Europe

1. EXPLANATION OF THE WORK CARRIED OUT AND OVERVIEW OF THE PROGRESS

1.1 Objectives

1.2 Explanation of the work carried out per WP

1.3 Impact

2. FOLLOW-UP OF RECOMMENDATIONS AND COMMENTS FROM PREVIOUS REVIEW(S) (IF APPLICABLE)

3. EXPLOITATION PRIMARILY IN NON-ASSOCIATED THIRD COUNTRIES (IF APPLICABLE)

4. OPEN SCIENCE

5. DEVIATIONS FROM ANNEX 1 AND ANNEX 2 (IF APPLICABLE)

Drafting the reports effectively


Tips – what and how to include in the reports

- Put together a very clear and solid **Publishable / Executive Summary**
- **Distribute** the work – as in proposal preparation
- Work Progress (WP1-n): **WP leaders** should coordinate with input from the relevant partners
- Establish **uniform** templates for the sections where you need partners' input
- **Consolidate** partner outputs/achievements in case of joint activities (e.g. Dissemination)
- Use **visuals** (highlight, graphics, tables, etc.)
- Leave enough time to do the **final editing, formatting** and proof-reading of the reports + filling in all the info **also online!**
- **Minor problems should never be reported** – find the solution “in-house”!
- **Major problems** (serious delays, exclusion of a beneficiary, etc.) have to be reported – but there will be consequences...
- **Report problems with options for solutions**
- All other problems – **try to balance!**



Periodic Report - HE

Financial Part




236417 (236417 OliD - G..) HORIZON-..

Beneficiary 1: AST GmbH
 Legal Name: AST ADVANCED SPACE TECHNOLOGIES GMBH
 PIC: 973276467 Status: VALIDATED
 Legal Address: ZEPPELINSTRASSE 9B , 28816 , STUHR
 Germany

Project Periodic Report

Period No: 1 Duration (months): 18
 Reporting Period : [14 Aug 2020 - 13 Feb 2022]

Financial Statement



Financial Statement

SAVE

Financial Statement for period '1' - (14 Aug 2020 - 13 Feb 2022)

Eligible costs:

Category	Form of Funding	Total Amount
▼ Eligible costs (per budget category)		
▼ Direct costs		
▼ A. Personnel costs		
▼ (a1) A.1 Employees (or equivalent), A.2 Natural persons under direct contract, A.3 Seconded persons	actual	50.00 €
▼ (a2) A.1 Employees (or equivalent), A.2 Natural persons under direct contract, A.3 Seconded persons	unit (usual accounting practices)	0.00 €
▼ (a3) A.4 SME owners and natural person beneficiaries	unit	0.00 €
SME owner/Natural person costs		
▼ B. Subcontracting costs		
▼ (b) Subcontracting	actual	0.00 €
▼ C. Purchase costs		
▼ (c1) C.1 Travel and subsistence	actual	10.00 €
▼ (c2) C.2 Equipment	actual	5.00 €
▼ (c3) C.3 Other goods, works and services	actual	5.00 €
▼ D. Other cost categories		
▼ (d2) D.2 Internally invoiced goods and services	unit (usual accounting practices)	15.00 €
(d3) D.3 Transnational access to research infrastructure unit costs	unit	0.00 €
(d4) D.4 Virtual access to research infrastructure unit costs	unit	0.00 €
▼ Indirect costs		
▼ E. Indirect costs		
(e) E. Indirect costs (25% * (a1 + a2 + a3 + c1 + c2 + c3))	flat-rate	17.50 €
(f) Total costs (a1 + a2 + a3 + b + c1 + c2 + c3 + d2 + d3 + d4 + e)		102.50 €

Validate

Form C of your partners

What to check?

- **Personnel Cost**
 - **Average PM rate** (Personnel cost / PM). Is there any difference compared to the previous period or the proposal? NO – all ok, YES – deviation
 - **PM spent** (per WP and the total). Is the time allocated as planned? YES – all ok, NO – deviation
- **Purchase costs – Travel and subsistence**
 - Was this trip **foreseen**? Is the cost **justification** sufficient? YES – link to technical report. NO – Unforeseen -deviation
- **Purchase costs – Equipment**
 - **Depreciation** – double check with your partners!
 - Cost of installation, cost or renting or leasing
 - Foreseen? YES – link to technical report. NO -deviation
- **Purchase cost – Other goods works and services**
 - Was this cost **planned**? YES – link to technical report. NO - deviation
 - Other goods **VS.** Subcontracting **VS.** Indirect cost – always mixed up!



Form C of your partners

What to check?

- **Subcontracting**
 - **Is there a subcontracting budget?** YES – ok
NO-deviation / rejection
 - **Is this really a subcontracting cost?** YES – ok
NO – Other goods, works and services
- **Other cost categories (D. costs) – if applicable**
- **Status of the current spending**
 - % of the **current** spending
 - **Remaining activities** vs. remaining budget
 - **Underspending or Overspending?**
 - Is/will a **reallocation or amendment** be necessary?



Form C of your partners

Frequently asked questions

- In-house consultant vs. Subcontractors
- Other goods works and services vs. Subcontracting
- How much more PM is acceptable compared to the planned efforts?
- Can I charge this cost to the project? I thought it was budgeted...
- Our researcher went to an event that was not foreseen but did dissemination...
- I spent much more on this activity than foreseen?
- I think I forgot to charge this cost in the previous period / I charged an incorrect amount of...
- Etc.....



Where to report deviations?

Section 5. Deviations from Annex 1

5.1 Tasks

- Include explanations for tasks not fully implemented, critical objectives not fully achieved and/or not being on schedule. Explain also the impact on other tasks on the available resources and the planning.

5.2 Use of resources

- Include explanations on deviations of the use of resources between actual and planned use of resources in Annex 1, especially related to person-months per work package.

5.2.1 Unforeseen subcontracting (if applicable)

- Specify in this section:
 - The work (the tasks) performed by a subcontractor which may cover only a limited part of the project;
 - Explanation of the circumstances which caused the need for a subcontract, taking into account the specific characteristics of the project;
 - The confirmation that the subcontractor has been selected ensuring the best value for money or, if appropriate, the lowest price and avoiding any conflict of interests.

5.2.2 Unforeseen use of in-kind contribution from third party against payment or free of charges (if applicable)

- Specify in this section:
 - The identity of the third party;
 - The resources made available by the third party respectively against payment or free of charges
 - Explanation of the circumstances which caused the need for using these resources for carrying out the work.

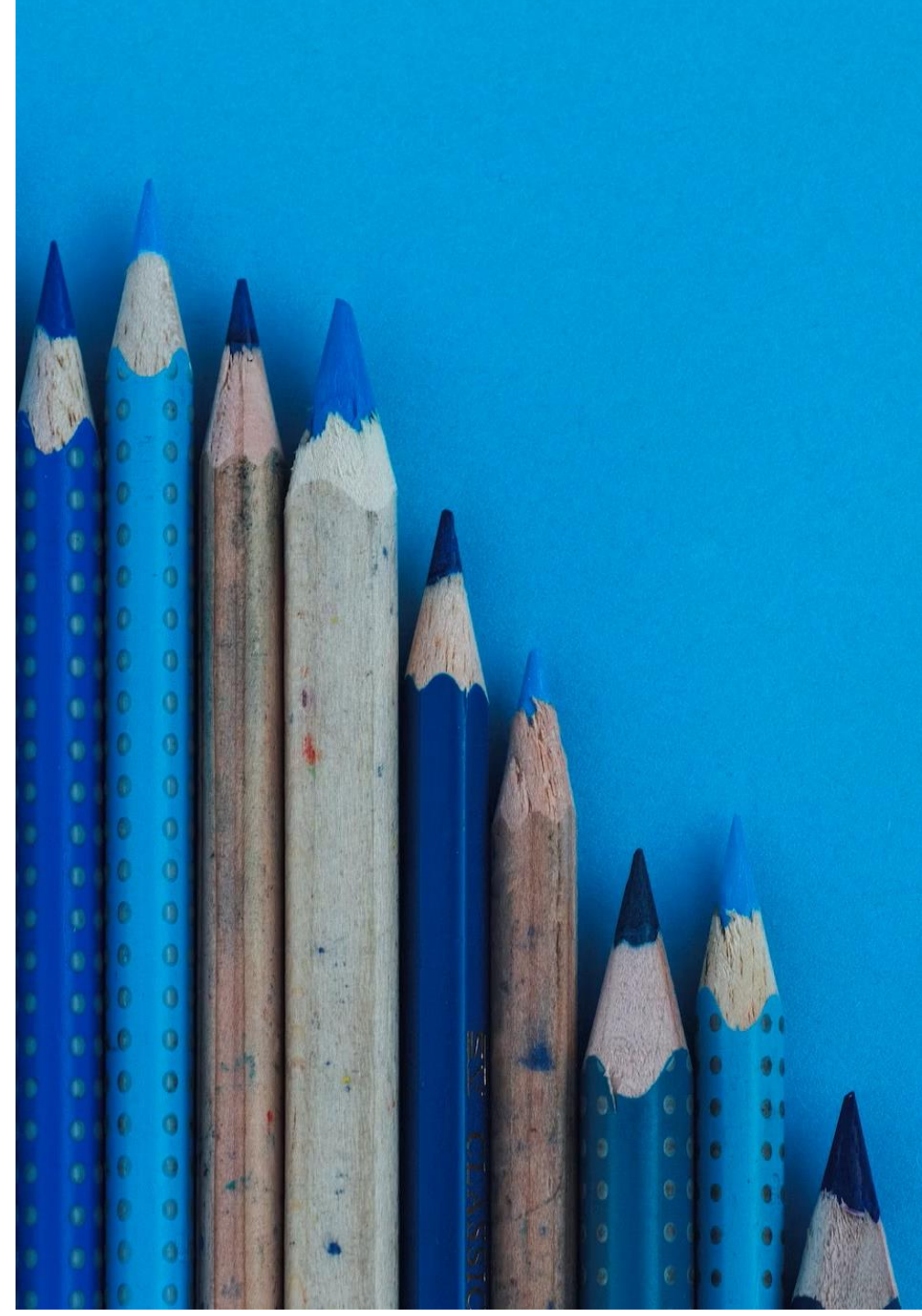


Deviations – Section 5.2

How to explain the deviations in the use of resources?

TIPS:

- All deviations should be explained on a partner-by-partner basis
- Brief and to the point!
- If the deviation is related to extra effort for a particular task, it should also appear in the WP description.
- Let's look at the impact of deviation on the budget of a given partner.
 - Will it stay within or overspend the original budget?
- Adjustment Form C is also a deviation – explain!



Suspension of the Payment Deadline

Letter to the consortium

You are required to (re)submit the updated reports/requested information via the Participant Portal **within 30 days /15 days** (last period) from receiving the letter.

Suspension will be lifted (and the remaining payment period will continue to run again) **once all issues have been resolved**.

Please resubmit the updated report via your [Funding & Tenders Portal account](#) — within **15 days** after receiving this letter.

The suspension will be lifted (and the remaining payment period will continue to run again) once the problem is solved.

Please ensure that the other members of your consortium (if any) are informed of this letter.

For any questions, please contact us via your [Funding & Tenders Portal account](#).

Yours faithfully,

Project Officer

Subject: Horizon 2020 Framework Programme
Project: '
Periodic reporting: RP 2
Request for a revised periodic report
Suspension of the payment deadline (Article 47 GA)

Dear Madam/Sir,

In connection with your above-mentioned periodic report, I would like to inform you that we had to reject the report and **suspend our payment deadline** because the report must be revised.

The following changes are required for the **financial part**:

- for
 "Venue renting (including audio visual equipment)....": 25.121,01€
 Could you please provide the details of the event (date/title/relation with the project)?
- for
 Adjustment to RP1:
 Please add a paragraph describing the adjustment in the Final Report (page 114).
- for
 The actual effort for RP2 reported in the Final report (page 113) is not consistent with the effort reported in the Report on Explanation of the Use of Resources"
 Other direct costs:
 Startup Europe Club hosting: 117,00€
 Please provide details of the event (date/relation with the project)
 Startup World Cup Prague: 105,86€
 Please provide details of the event (date/relation with the project)

The following changes are required for the **technical part**:

- Certificate on the Financial Statements

Suspension of the payment deadline

Letter to the consortium

1. Beneficiary No 3 for WP2, **more PM than foreseen have been reported**, please explain the reason for the deviation.
2. Beneficiary No 9..... Has an average **monthly salary** of approx. 8.500 EUR foreseen. In the first reporting period, they are claiming personnel cost of approx. 12.200 EUR per month. Since this is a **high deviation, please explain** the reason.
1. Other direct costs: Line EUR 644.70 – includes EUR 254.95 for Business breakfast in Kingston on 27/04/2023 – this **cost is related to an event occurred in RP1**. Please check if this amount has not already been claimed and paid in RP1. If not, please take it away from RP2 and claim it as an Adj RP1.
2. For WPs 4 and 9, the **PMs foreseen are already overused**. Please clarify if the work of Beneficiary 3 in these two WPs is done or if there is still work foreseen in the next reporting period.
3. Beneficiary No 4, **WP8 only starts in M25, but already 6,8 PM are requested**, please clarify.
4. Beneficiary No 6 Please explain in the technical part of the periodic report (section 5.2 Use of Resources) why the following **cost item (category Purchase cost) is substantially higher than anticipated: 1 599.33 €: 60% more than foreseen;**
5. Beneficiary No, 50.000 EUR **travel cost reimbursement for guest lecturers was not foreseen in the proposal**. Please provide further explanation.



What happened here?

1. „more PM than foreseen have been reported” -
 2. „average monthly salary increased – high deviation”
 3. „cost is related to an event occurred in RP1.”
 4. „PMs foreseen are already overused.”
 5. „WP8 only starts in M25, but already 6,8 PM are requested”
 6. „ cost item (category Purchase cost) is substantially higher than anticipated: ”
 7. „travel cost reimbursement for guest lecturers was not foreseen in the proposal”
- Coordinator and / or the Partner(s) lack experience
 - Coordinator and the Partner(s) did not discuss the deviations
 - Someone forgot something
 - Someone wants to hide something
 - Adjustment From C should have been submitted
 - No connection between the reported costs and the activities
 - Explanations in the Use of Resources are not well elaborated



Payment letter

Interim payment information letter

**Subject: Horizon 2020 Framework Programme Grant Agreement No. 644367 – MY-WAY
Request for interim payment (Reporting period 1 from 01/01/2015 to 31/12/2015)**

Dear Madam,

In connection with your above-mentioned **request for interim payment**, I would like to inform you that we will shortly **launch the payment of EUR 293,572.81**. As coordinator you must distribute this payment between the beneficiaries without delay.

You will find the detailed calculation in the enclosed documents.

Please ensure that the other members of your consortium are informed of this letter.

Dear Madam/Sir,

In connection with your request for **interim payment**, I would like to inform you that we will soon make a payment of **EUR 299,896.25**.

The amount is below your request because:

- your consortium reached the 90% limit for interim payments.
- some costs were rejected as ineligible.

You will find the detailed calculations in the enclosed documents.

As coordinator, you must distribute this payment between the members of your consortium without delay.

For any questions, please contact us via your [Participant Portal account](#).

Coordination tasks

- Cross check the technical and financial reports
- Ask for deviation explanations
- Compare planned and real spending rates
- Be ready with the explanations EC may ask
- Overspending and underspending – figure out now, not at the end
- A problem should be reported with a solution/proposition
- Pay attention to the max 90% (technically 85% because of the 5% which is in the MIM) funding distribution



3.1

**Periodic reporting
Lump sum projects**

Reporting obligations

of the lump sum projects

Continuous reporting

As it is in any other Horizon Europe grants

Periodic reporting

Consist of **Technical report** and **Status of Work Packages**

Process:

- Consortium will prepare a **detailed Technical report**.
- The coordinator declares work packages as **Completed or Not Completed**. This should be justified by the technical periodic report. Partially completed – only at the last reporting period.
- The **project officer will assess** the technical report and the status for each work packages declared
- There is **no reporting of actual costs or of resources**.



Periodic report module

Action grants

Technical part

- **Part A** (structured information entered through the **continuous reporting** module)
 - Project summary
 - Deliverables, milestones, risks, etc.
 - Answers to the impact questionnaire
- **Part B** (narrative part submitted in a PDF through the **periodic reporting** module)
 - Explanation of the work carried out by the beneficiaries and overview of progress
 - Explanations on deviations from DoA

Financial part

- **Financial statements** (individual and consolidated)
- Explanation of **expenses** and information on **cash** and in-kind contributions
- **Certificate of financial statements** (CFS), **cash flow statement** and **balance sheet** (if reached) as PDF

Report generated automatically based on the information entered through the **periodic reporting** module.

Activated at the end of reporting periods

Must be submitted within 60 days following the end of each reporting period

Periodic reporting module

Functionalities

- At the end of each reporting period, each beneficiary will receive a notification to complete:
- Their contribution to the **Technical Part** (this is common for all beneficiaries in the project)
- Their contribution to the **Status of Work Packages** (this is common for all beneficiaries in the project)
- They can see the read-only **Status of Work Packages** and the **Periodic Report composition** task, which need to be completed by the Coordinator.

The screenshot displays the 'RESEARCH & INNOVATION Grant Management Services' interface. The top navigation bar includes the European Commission logo and a 'Help' dropdown. The user is logged in as 'Generic DEVUSERCOORDINATOR'. The main content area is divided into a left sidebar for 'MY PROJECT' and a main workspace.

MY PROJECT Sidebar:

- Call: InnovFund-SSC-2020
- Type of Action: InnovFund-LS
- Acronym: 237556 SURDULI - SURDU Liviu-Iulian [ABAC: ABACBUDT]
- Current Phase: Grant Management
- Number: 237556
- Duration: 12 months
- GA based on the: INNOVFUND Lump Sum MGA -Multi & Mono - 1.null
- Start Date: 01 Apr 2022
- Estimated Project Cost: €0.00
- Requested EU Contribution: €50.00
- Contact: Angelo.SALS
- Navigation buttons: Latest Legal Data, Active Processes, Document Library, Communication Centre, Archived Processes

Main Workspace:

- Periodic Reporting and Payment - Lump Sums:** REP-237556-1 - period 01/03/2021 > 28/02/2022. Progress bar shows stages: Draft (active), Submitted, Observations, Paid.
- Tasks:**
 - Technical Part contribution
 - Status of Work Packages contribution (locking...)
 - Periodic Report composition (Lock & Include, Submit to EU)
- Process sections:** Process documents, Process communications, Process history.
- Continuous Reporting:** 237556 - 237556 SURDULI - SURDU Liviu-Iulian [ABAC: ABACBUDT]. Progress bar shows stages: Started, Completed.
- Tasks:**
 - Continuous reporting data
 - Process documents
 - Process communications

Status of the Work Packages

Periodic reporting

Grant Management Project Periodic Report ndevugen (EXTERNAL) ?

237556 (237556 SURDULI ..) InnovFun.. Status Of WP

Period No: 1 Duration (months): 12 Reporting Period : [01 Mar 2021 - 28 Feb 2022]

Status of completion SAVE

Number	Title	Lead Beneficiary	Status of Completion	Completion %
WP1	wp1	AST GmbH	Partially Completed	60.00
WP2	wp2	AAA	Completed	100.00
WP3	wp3	AST GmbH	Partially Completed	50.00
WP4	wp4	AAA	Not Completed	0.00
WP5	wp5	AST GmbH	Not Completed	0.00

- The Coordinator declares the status of the work packages as **Completed** or **Not Completed**
- An incomplete work package can be completed and paid in a subsequent reporting period.
- Partially Completed** status with **% of completion** can only be used at the final reporting period
- Completion of the work packages are based on the completion of the activities and not on a successful outcomes (like the action grants)**

Validate

Financial statements

Periodic reporting

- The **Locking & Including** of the Status of Work packages by the Coordinator **automatically generate the Financial Statement for all beneficiaries** and sent a notification to the Coordinator that the Financial Statement is ready to be signed.
- Financial Statements are **created based on the completed work packages** (at the final reporting, partially completed work packages as well) and the **corresponding lump sum shares**.

Launch new interaction with the EU +

Periodic Reporting and Payment - Lump Sums
REP-237556-1 - period
01/03/2021 > 28/02/2022

01 Mar 2022

Draft Submitted Observations Paid

+ Status of Work Packages contribution **Lock & Include**

+ Periodic Report composition

Coordinator C

Submit to EU

Process documents

Process communications

Process history

Periodic Reporting and Payment - Lump Sums
REP-245724-1 - period
11/04/2021 > 10/07/2022

11 Jul 2022

Draft Submitted Observations Paid

+ Financial Part TELIA [PIC 922460301] **Lock for review**

+ Periodic Report composition

Submit to EU




Process documents

Process communications

Process history

Keeping records

You need vs. You don't need, however.....

You need (e.g.)	You don't need
	
<ul style="list-style-type: none"> <input type="checkbox"/> Technical documents <input type="checkbox"/> Publications, prototypes, deliverables <input type="checkbox"/> Documentation required by good research practices such as lab books <input type="checkbox"/> ...any document proving that the work was done as detailed in Annex 1 	<ul style="list-style-type: none"> <input type="checkbox"/> Time-sheets <input type="checkbox"/> Pay-slips or contracts <input type="checkbox"/> Depreciation policy <input type="checkbox"/> Invoices <input type="checkbox"/> ...any documents proving the actual costs incurred
	
<p>Same as for all Horizon Europe grants</p>	

What if?

- lump sum project is not your only project
- if you have both a running action grant and a lump sum project and what if one of them is H2020 and the other one is Horizon Europe?
- What if you have colleagues who are working on both a lump sum project and an action grant?

Good questions, right?

Source: EC slides: Lump Sum Funding in Horizon Europe: How does it work? How to write a proposal? (9 February 2023)

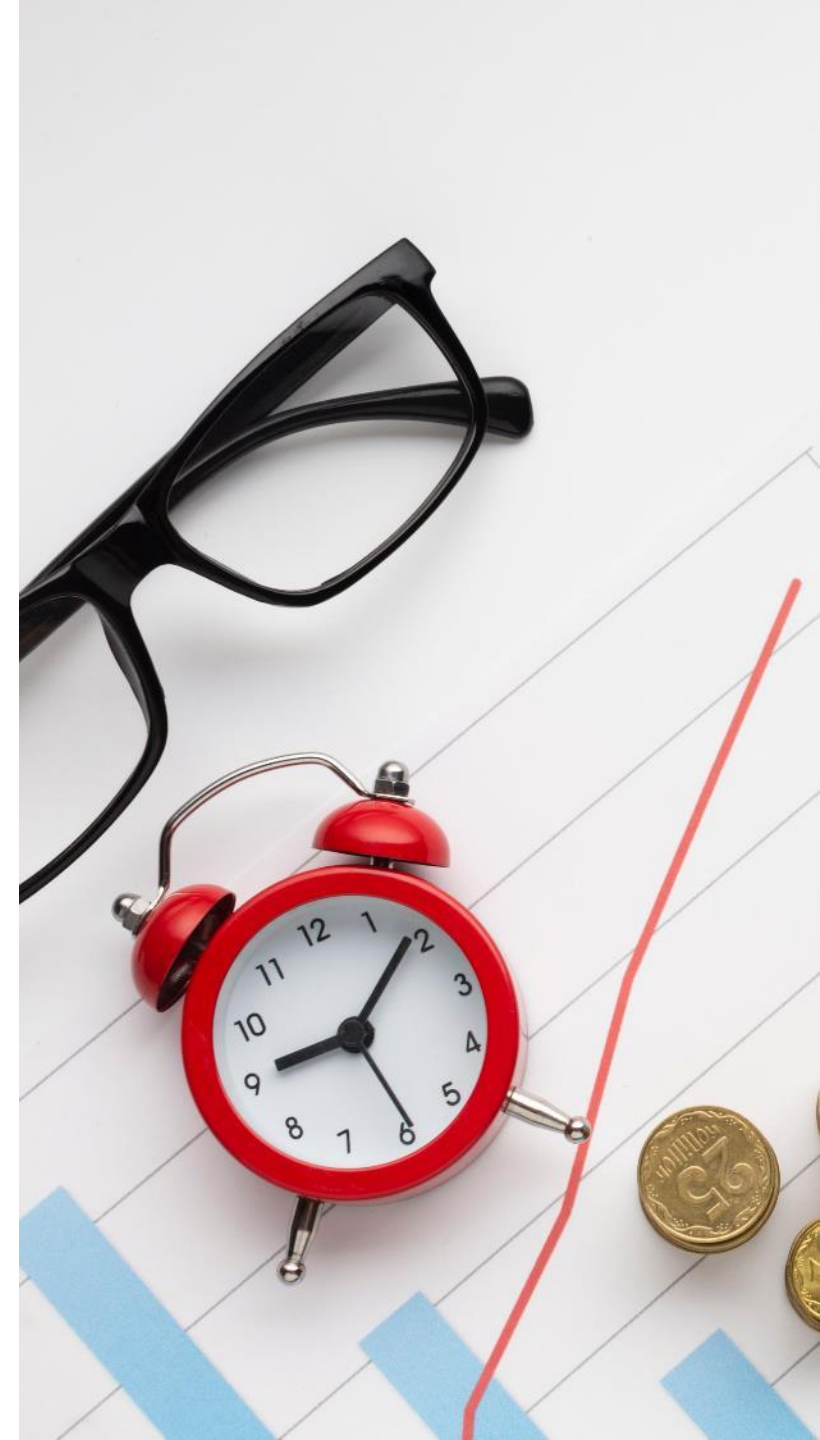
4

Final report

Final Report

Technical Report

- For the final reporting period, the coordinator must submit, in addition to the periodic report, the final report **within 60 days of the end of the final reporting period.**
- The final report **covers the whole project** and is composed of a final technical and a final financial part:
- **Final technical report** is a publishable summary of the entire project
 - Summary of the context and overall objectives of the project (For the final period, include the conclusions of the action)
 - Work performed from the beginning of the project to the end of the period covered by the report and main results achieved so far (For the final period include an overview of the results and their exploitation and dissemination)
 - Progress beyond the state of the art and expected potential impact (including the socio-economic impact and the wider societal implications of the project)
 - Project logos, diagrams, photographs and videos illustrating its work (if available).



Results ownership list

as part of the final periodic report

Single or joint ownership of results? <i>(Indicate the number of owners)</i>	Result owners	Owner country of establishment	Will the owners exploit the result?	In which form will the result be made available to other consortium members and/or third parties?	Does the exploitation of the results require access to background of one or several consortium members? <i>(If Yes a compulsory question opens below)</i>	Does the exploitation of the results require access to third party IPR? <i>(If Yes, a compulsory question opens below)</i>
[number of owners]	[insert owner name(s)] <i>[Entity or Individual]</i> <i>Entity: Drop down option with project partners + 'Other'. 'Other' opens a field asking for name, address, country, and an identifier such as VAT number.</i> <i>Individual: Drop down option with 'researchers in project</i>	[country]	[YES] [NO]	[Sale of IP] [Licensing] [Open access] [Open source] [Free license] [Secret/non-disclosure agreement] [Other] [N/A]	[YES] [NO]	[YES] [NO] [NOT KNOWN]
Exploitation requires access to background of consortium members						
[insert measures taken /envisaged to give access to the background required for exploitation]						
Exploitation requires access to third party IPR						
[insert measures taken /envisaged to get access to the required IPR]						

npopetib (EXTERNAL)
Grant Management
Project Periodic Report

158072 (158072 teaTEST ...) CSA
Period No: 2 Duration (months): 18
Reporting Period : [13 Sep 2017 - 12 Mar 2019]

Beneficiary 1: AST
Legal Name: AST ADVANCED SPACE TECHNOLOGIES GMBH
PIC: 973276467 Status: VALIDATED
Legal Address: ZEPPELINSTRASSE 9C <script>alert('Cougou');</script> , 28816 , STUHR Germany

Financial Statement

Financial Statement

Financial information from contract

[Use of Resources](#)
[Export Use of Resources to PDF](#)

No contribution requested? Yes No

Financial Certificate

Certificate on the Financial Statements

Yes No

Name of the Auditor Cost of Certificate

Financial Statements

Period	Adjustment	Requested Contribution	Actions
13 Sep 2017 - 12 Mar 2019 (Period No. 2)	No	50.00 €	Add Adjustment

Financial Statement for period '2' - (13 Sep 2017 - 12 Mar 2019)

Eligible costs: ⚠ The amount of Total Contribution requested entails that a Certificate of Financial Statements must be provided.

Cost Category	Unit Cost	Number of Units	Subtotal	Total	Actions
a) Direct personnel costs declared as actual costs				40.00 €	<input type="text"/>
b) Direct personnel costs declared as unit costs (average costs)				0.00 €	<input type="text"/>
c) Direct personnel costs declared as unit costs				0.00 €	<input type="text"/>
c1) SME owner/Natural person costs					
	1.06 € x	0.00 € =		0.00 €	
d) Direct costs of subcontracting				0.00 €	
e) Direct costs of providing financial support to third parties				0.00 €	
f) Other direct costs				0.00 €	<input type="text"/>
h) Costs of internally invoiced goods and services				0.00 €	
i) Indirect costs (= 0.25 * (a + b + c + f + h - p))				10.00 €	<input type="text"/>
k) Total costs (= a + b + c + d + e + f + h + i)				50.00 €	<input type="text"/>
l) Receipts				0.00 €	<input type="text"/>
n) Maximum EU contribution (= 100% * k)				50.00 €	<input type="text"/>
o) Requested EU contribution				50.00 €	<input type="text"/>

Additional information for indirect costs:

Use of 'costs of in-kind contributions not used on premises?' (p) Yes No

Validate

Payment of the balance letter

To the Coordinator

The coordinator will be notified of the end of the payment process and will receive a **Payment of the balance letter** and the supporting reports with the details of any cost rejected and the reasons for rejection:

- **Financial Situation** - Project Overview
- **Financial Statement Assessment** (per participant)
- **Payment of the Balance calculation sheet**

The coordinator must check for each beneficiary the amount of funds received and the costs reported and accepted by the EC:

- **Repayment of the excess funds to the coordinator**
- **Payment of the balance to the partners**



Coordination tasks

- As earlier in the periodic report, but pay attention on final justifications
- High focus on KPI achievement
- Final DEC plan and Sustainability plans
- IPR management of results
- Result ownership table
- Distribution of the balance payment



5

Review preparation

What is a technical review?

Projects are reviewed (monitored) to assess the work carried out over a given period. Reviews may cover the technical implementation of the project (i.e. its scientific and technological relevance) but may also cover financial and budgetary aspects or compliance with other obligations under the GA.

The reviewer(s) assess the **project progress** with regard to:

- the initial work plan
- deliverables
- planned and used resources
- relevance of the objectives
- scientific and industrial quality
- management procedures and methods
- beneficiaries' contributions, and
- the expected potential impact in scientific, technological, economic, competitive and social terms, and the plans for the use and dissemination of results.

When? Ad-hoc OR Foreseen (Number of reviews and the foreseen date (month on e.g. M12) is specified in the GA)

By whom? Contracted experts of the EC

Who should attend? Coordinator (mandatory) and the WP leaders.

Review process

– before the review?

- The Commission informs the project – via the Coordinator – approx. 2 months before the review meeting.
- Coordinator and the PO should agree on the date of the review and the agenda. Duration of the review meeting: 1 day approx.
- Consortium prepares the presentations (WP presentations) and all other requested documents (submitted deliverables, draft/final periodic report)
- Coordinator should send all requested documents and the presentations in advance.
- Reviewer(s) read all relevant documents before the review meeting, and may send questions in advance.

Dear Madam/Sir,

I am writing in connection with your above-mentioned grant and would like to inform you that we are planning a **review procedure**.

The review will cover the project activities that you have carried out.

It will examine:

- the degree to which the work plan has been carried out and whether all deliverables were completed
- whether the objectives are still relevant and provide scientific or industrial breakthrough potential
- how resources were planned and used in relation to the achieved progress, and if their use respects the principles of economy, efficiency and effectiveness
- the management procedures and methods of the project
- the beneficiaries' contributions and their integration within the project
- the expected potential scientific, technological, economic, competitive and social impact, and plans for using and disseminating results
- eligibility of the costs claimed
- compliance with other grant agreement obligations.

It will also cover the work of third parties involved in the project (*e.g. linked third parties, third parties giving in-kind contributions, subcontractors, etc.*)

We will be assisted by the following **outside expert(s)**:

- -
 -
 -
- -
 -
- -

Please let us know — within 5 days of receiving this letter — if you object to any of these experts on the grounds of commercial confidentiality, and explain the reasons why (via your [Funding & Tenders Portal account](#)).

The review will include a **review meeting** which will take place at the following venue:

Invitation to the review meeting

When?: 11/02/2020

Where?: Avenue Beaulieu 25, Bruxelles

Please provide us at your earliest convenience with a draft agenda for the meeting (unless already done).

I would be grateful if you could inform the other members of your consortium (if any) of this letter.

For any questions, please contact us via your [Funding & Tenders Portal account](#).

Review process

– during the review?

- PO introduces the Reviewer(s), progress and the purpose of the review;
- Coordinator introduces the partners (mainly WP leaders)
- Coordinator gives an overview about the project, progress and about any open/pending issues, next steps;
- Presentation of the WP leaders;
- Budget spending overview by the Coordinator;
- Q&A session with the Reviewer(s) and the PO;
- Closing remarks and feedback of the Reviewer(s) and the PO;
- Reviewer(s) assess the project based on the written material and information provided at the meeting. *(In the event of remote review, the assessment is based on written documents only)*



Outcome of the review

Expert Review Report - the reviewer(s) draw(s) up the Expert Review Report on a project, and the Commission sends it to the consortium via the coordinator, but it is not made public. If more than one expert is involved in project review, they issue a single consolidated report written by a rapporteur. In case of remote reviews separate review reports are developed.

- The reviewer(s) will also assist the Commission by recommending any changes that may be required. However, the final decision on recommendations and changes is taken by the Commission alone.
- Beneficiaries may comment on the review report within 30 days of receiving it.

Project assessment by the Commission - taking the experts' formal recommendations into account, the Commission informs the coordinator of its decision, which, however, may depart from the recommendations. It may entail

- Accepting or rejecting the deliverables
- Allowing the project to continue in its existing form
- Suggesting modifications,
- Suspend the project implementation (under certain conditions the project may continue when all requirements are fulfilled, or
- Taking steps to terminate the grant agreement or to exclude a beneficiary from taking part.

Subject: Horizon 2020 Framework Programme
Project:
Project review (Article 22)
Draft project review report

Dear Madam/Sir,

I am writing in connection with the above-mentioned review procedure for your grant.

Please find enclosed the draft review report. As you know it was drafted with the help of outside experts.

In our view, the project implementation is satisfactory.

To improve the implementation, we would recommend the following changes:

GENERAL PROJECT REVIEW CONSOLIDATED REPORT

Grant agreement (GA) number:	
Project ¹ Acronym:	InnORBIT
Project title:	Empowering innovation intermediaries to generate sustainable initiatives to incentivise and accelerate the commercialisation of space innovation
Type of action:	CSA
Start date of the project:	01/01/2021
Duration of the project:	30
Name of primary coordinator contact and organisation:	
Period covered by the report:	from 01/01/2021 to 15/11/2021
Periodic report/Reporting period number:	Assessment not linked to the end of a reporting period
Date of first submission of the periodic report (if applicable):	Not applicable
Amendments (latest AMD concerning description of the action) ²	Not applicable
Date of meeting with consortium (if applicable):	Not applicable
Name of project officer:	
Name(s) of monitors:	

Coordination tasks

- Get to know the reviewers – adjust the focus
- Organise a pre-review with key partners
- Be prepared for the unexpected
- Draft report to be ready a lot sooner – challenge!
- You should be strict, so reviewers do not have to.
- Ask them/accept their help/suggestions
- Answer to reviewers – thank you very much, we will carefully adjust



Any questions?

THANK YOU!

for your attention

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