

# The European Research Council

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*Amendments to Grant Agreements*

*PI event*

Paris, 2<sup>nd</sup> June 2017



## I. Amendment to the Grant Agreements

- Definition, Conditions, Differences, Types
- Amendments steps
- Decision, Effect date

## II. Case studies

- Change of Annex 1 & 2 - budget shifts
- Extension
- Portability

# I. Amendment to Grant Agreements

→ Definition - Article 55 H2020 ERC GA

- ***“Legal act modifying the commitments initially accepted by the parties”***
- It may:
  - **modify** provisions of the GA,
  - **create new rights and obligations** on the contracting parties or third parties.
- Consequences:
  - The amended provisions become an integral part of the GA
  - All other provisions remain unchanged and continue to have full effect



# I. Amendment to Grant Agreements



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## → Conditions

Amendments **may not result in changes** that — if known before awarding the grant — would **have impact on the award decision**.

- eligibility and selection criteria (*e.g. ethical aspects*)
- principle of equal treatment of applicants (*e.g. PI not employed by HI*)
- modifications in the action and/or budget which may have affected the assessment (*e.g. objectives, methodology*)

**At all times** the action has to be in full compliance with the framework regulations and the GA provisions

# I. Amendment to Grant Agreements

→ Timeframe to introduce an amendment



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Requests will be introduced **before the end of the action** (i.e. date set out in Article 3)

**Exception:** After the end of the action in exceptional cases **ONLY** (e.g. bank account to make the payment of the balance)

Requests will be submitted **sufficiently in advance** (to allow preparation and proper analysis before the changes are due to take effect)

# I. Amendment to Grant Agreements

## → Types

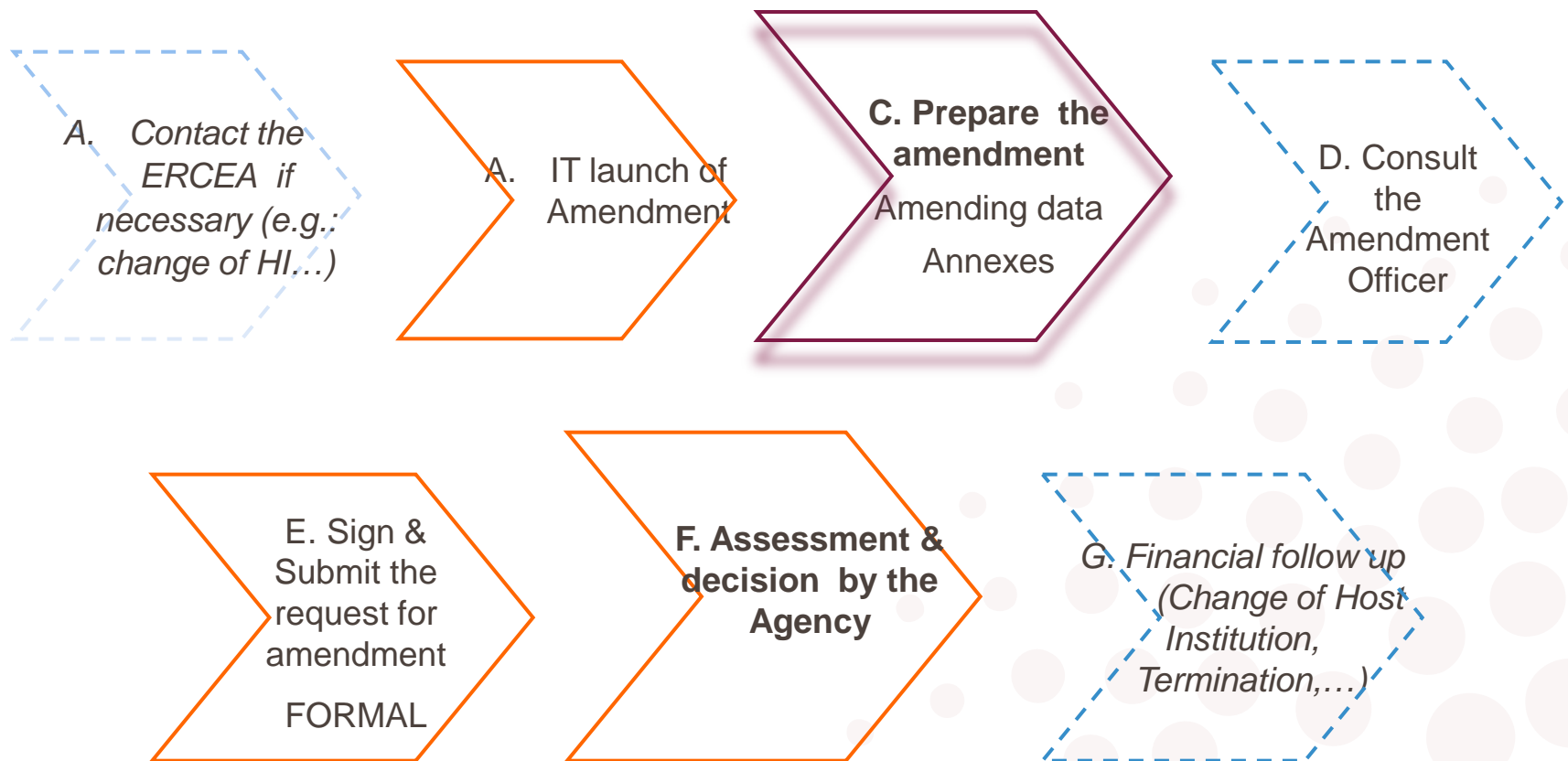
- Transfer of the GA from the [principal] beneficiary
- Addition of a beneficiary
- Changes to Annex 1 (description of the action)
- Changes to Annex 2 (estimated budget of the action)
- Removal of a beneficiary due to non-accession
- Removal of a beneficiary for other reasons
- Change of beneficiary due to partial takeover
- Changes to the status of a beneficiary or linked third party as 'receiving EU funding' or 'not receiving EU funding'
- Removal of a linked third party
- Addition of a linked third party
- Change of Coordinator / Principal Beneficiary
- Change of the option for authorisation to administer
- Change of the action's title and/or acronym
- Change of reporting periods
- Reinstatement of the action after suspension
- Change of the action's duration
- Change to the maximum grant amount
- Change to the action's estimated eligible costs
- Change concerning financial support to third parties
- Change to the amount of the Guarantee Fund
- Change to the bank account
- Change of the action's starting date
- Sabbatical leave of the PI
- Termination of the GA
- Suspension
- Change of beneficiary's details (legal name, legal address, VAT, etc.)
- Change of beneficiary's legal status

# I. Amendment to Grant Agreements

→ Amendment steps (i)



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# I. Amendment to Grant Agreements

→ Assessment & decision by the Agency



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After submission of request the receiving party has  
**45 days for 'evaluation and validation'**

*Agreement*

*Rejection*

*Request for additional information*

*Extension of the deadline for assessment*

*If no reaction within deadline, tacit rejection*

*Withdrawal*



# I. Amendment to Grant Agreements

## → Entering into Force and Taking Effect

- An amendment **enters into force and is binding** from the moment the receiving party signs it (in the electronic exchange system)
- An amendment **takes effect** (the changes will start to apply):
  - when the amendment enters into force, or
  - on the date agreed by the parties
    - this date should normally be **after** the entry into force
  - if an amendment request involves several changes, they could take effect on **different dates** (*e.g. addition of beneficiary and change of bank account*)
    - depending on the type of change, the date of taking effect may have an **impact on the eligibility of costs**

## II. Cases Studies



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CHANGE  
AHEAD





# II. Case studies (1) – Change in Annex 1 & 2



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- Overall principle - flexibility in budget management:

**NO Amendment** as long as the work is carried out as foreseen in Annex I

Budget transfers and re-allocation	Amendment needed?
From one beneficiary to another	<b>NO</b>
From one budget category to another	<b>NO</b>
Between forms of costs within the direct personnel costs budget category	<b>NO (new)</b>
Addition/removal of tasks in Annex 1	<b>YES</b>
Re-allocation of tasks in Annex 1	<b>YES</b>
New subcontracts, new in-kind contributions	<b>YES (strongly advised)</b>



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## II. Case studies (2) – Extensions

### Policy line at the level of FP7 research programs:

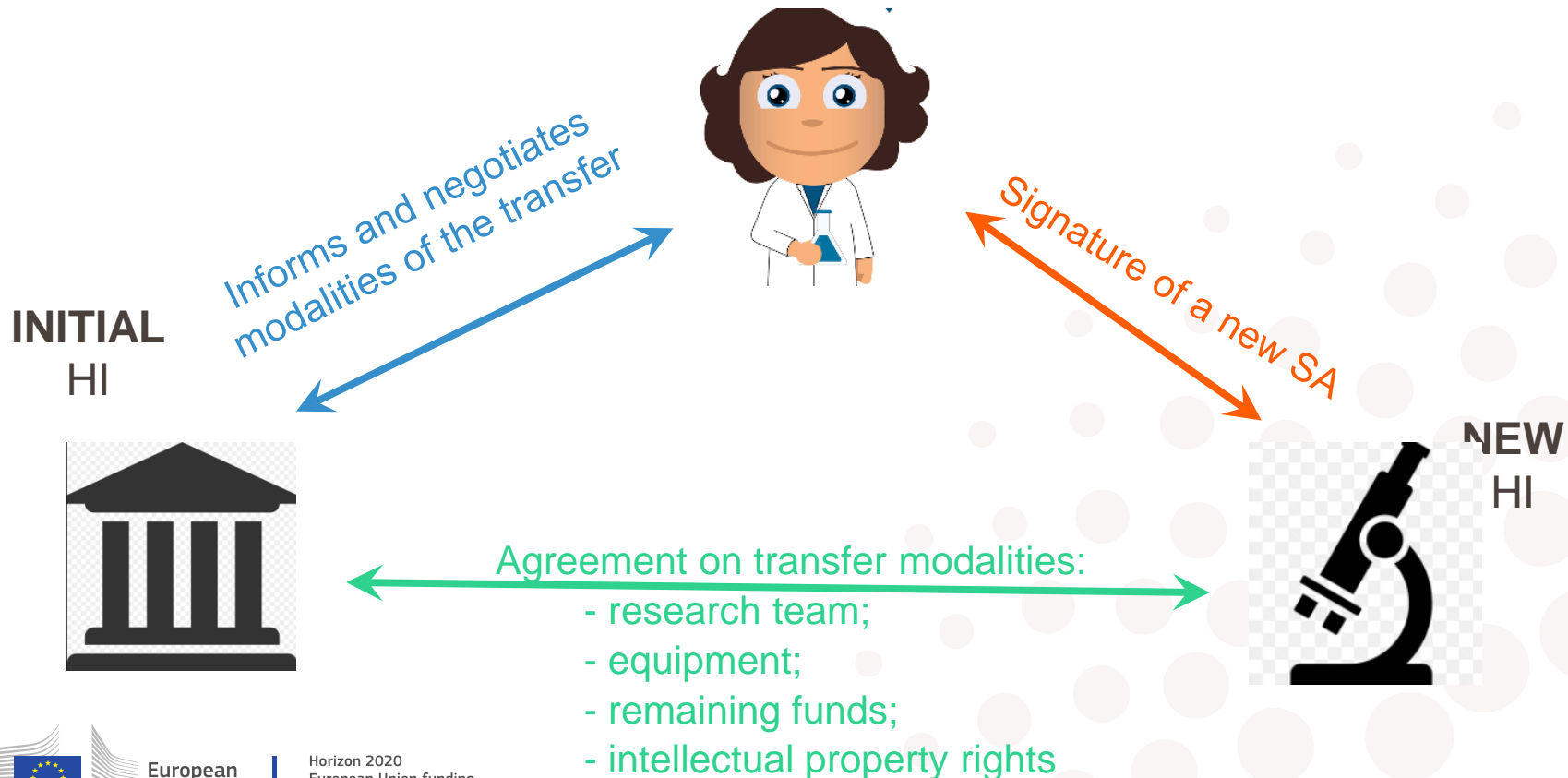
- All extensions **are *exceptional*** actions to be kept to a minimum
- Extensions can be granted only once per project (exception: parental and maternity leaves)
- Extension to up to 12 months maximum
- Grounds: ***well justified scientific grounds and demonstrated high scientific value or due to events not reasonably foreseeable***
- Extension can be requested only **after** the submission of the **scientific mid-term report** and **before the last 6 months of the GA**

## II. Case Studies (3) – Portability (i)

- **Portability.** ERC grants can be transferred to a new beneficiary — at any time during the action implementation.
- Upon any ground beneficial to the PI, achieving the action's objectives.
- 'Old' HI can only oppose the transfer if it is not allowed under national law.
- 'New' HI has to agree on joining the GA
- The Agency has to accept it following the legal/financial/scientific and ethic assessment

## II. Case Studies (3)– Portability (ii)

1. Transfer conditions to be negotiated between former HI, new HI and PI to be presented to ERCEA as part of the amendment request:



# Useful links:



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- Centralised mailbox:

**[ERC-C2@ec.europa.eu](mailto:ERC-C2@ec.europa.eu)**

- Centralised Amendment mailbox:

**[ERC-C2-amendments@ec.europa.eu](mailto:ERC-C2-amendments@ec.europa.eu)**

- PI helpdesk mailbox:

**[ERC-C2-PI-HELPDESK@ec.europa.eu](mailto:ERC-C2-PI-HELPDESK@ec.europa.eu)**

# Thank you!



## Key figures

**7,000**

top researchers funded

**50,000**

researchers & other professionals  
hired in ERC teams

with **€12 billion**



## Breakthroughs

**73%**

of completed projects  
led to breakthroughs/major  
advances



## Scientific impact

**> 5,500**

articles among  
1% most cited  
scientific journals



## Open to the World

**9**

international initiatives  
for non-EU talent  
to join ERC teams



## Prestigious prizes, e.g.

**6**

Nobel  
Prizes

**5**

Wolf  
Prizes

**4**

Fields  
Medals



## ERC as model

**15**

EU countries set up  
ERC-like structures/funding  
schemes