

# The European Research Council

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Grant Management Department

**Principles of Sound Financial  
management**

Paris, 02/06/2017



# ERC funds = EU citizen's money



## Art. 30 of EU Financial Regulation

- Economy: resources made available in due time, in appropriate quantity and quality, and at best price
- Efficiency: best relationship resources – results
- Effectiveness: Achievement of the objectives and the intended results

# Summary

- Reporting obligations of the PI and how to use the H2020 IT tools
- Time records: supporting documents
- Budget transfers
- Avoiding double funding
- Travels & equipment
- Key messages

# Reporting obligations of the PI in H2020

- **Financial reporting**

**PI contributes to the narrative part (Periodic Financial Report part B)**

- **Scientific reporting**

**PI fully responsible for the drafting of the report**

➤ **H2020 completely paperless reporting!**

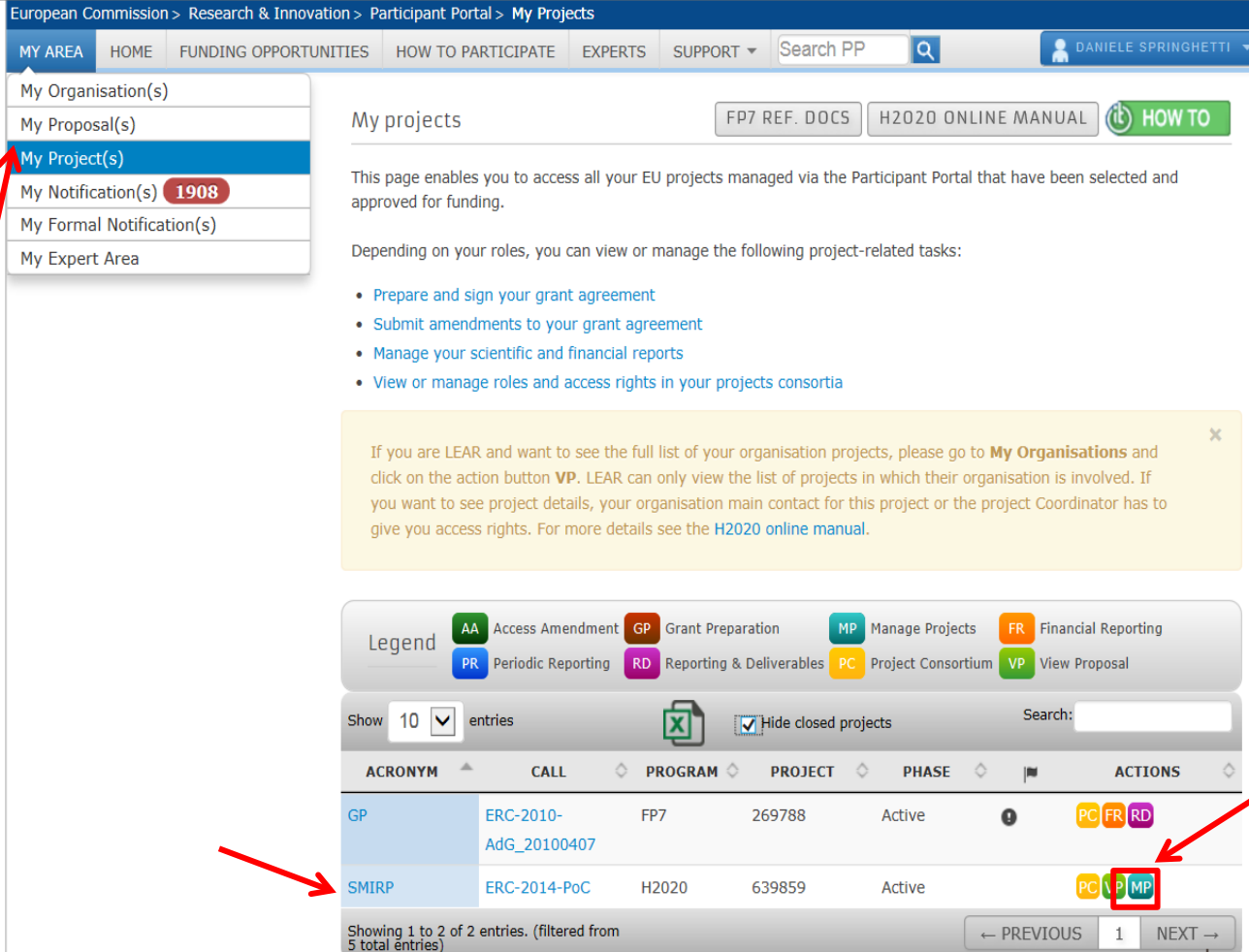
# H2020 Reporting – how to

The **Participant Portal** (PP) is your entry point to submit :

- Project Reports
- Ethics Deliverables
- Other documents (e.g. requests of Amendment)

"My Area" – "My projects" tab, then "MP" (manage project)

- Forms and templates are provided online



European Commission > Research & Innovation > Participant Portal > My Projects

MY AREA | HOME | FUNDING OPPORTUNITIES | HOW TO PARTICIPATE | EXPERTS | SUPPORT | Search PP | DANIELE SPRINGHETTI

My Organisation(s)  
My Proposal(s)  
**My Project(s)**  
My Notification(s) 1908  
My Formal Notification(s)  
My Expert Area

My projects [FP7 REF. DOCS] [H2020 ONLINE MANUAL] [HOW TO]

This page enables you to access all your EU projects managed via the Participant Portal that have been selected and approved for funding.

Depending on your roles, you can view or manage the following project-related tasks:

- Prepare and sign your grant agreement
- Submit amendments to your grant agreement
- Manage your scientific and financial reports
- View or manage roles and access rights in your projects consortia

If you are LEAR and want to see the full list of your organisation projects, please go to **My Organisations** and click on the action button **VP**. LEAR can only view the list of projects in which their organisation is involved. If you want to see project details, your organisation main contact for this project or the project Coordinator has to give you access rights. For more details see the [H2020 online manual](#).

Legend: AA Access Amendment, GP Grant Preparation, MP Manage Projects, FR Financial Reporting, PR Periodic Reporting, RD Reporting & Deliverables, PC Project Consortium, VP View Proposal

Show 10 entries [Hide closed projects] Search:

ACRONYM	CALL	PROGRAM	PROJECT	PHASE	ACTIONS
GP	ERC-2010-AdG_20100407	FP7	269788	Active	PC FR RD
SMIRP	ERC-2014-PoC	H2020	639859	Active	PC VP MP

Showing 1 to 2 of 2 entries. (filtered from 5 total entries) [PREVIOUS] 1 [NEXT]

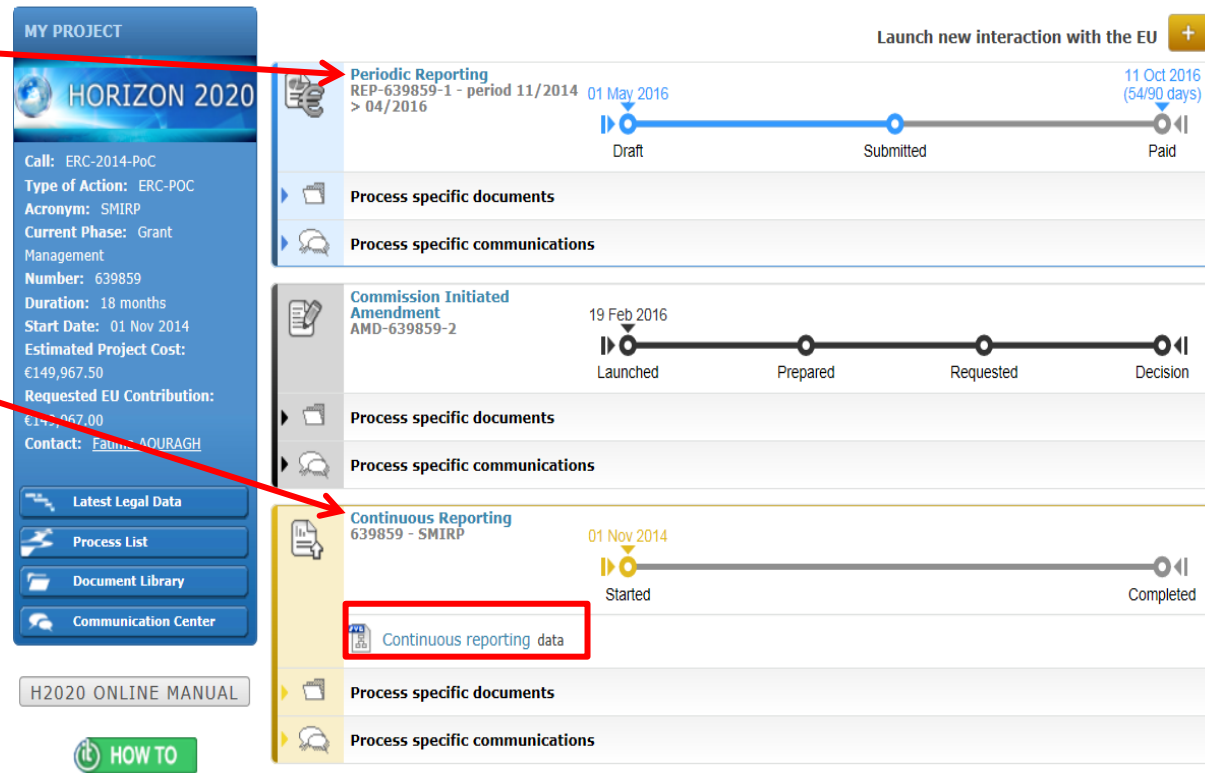
# H2020 Reporting – how to /2

Reporting in H2020, from an IT point of view, is divided in 2 :

## A. Periodic reporting

- Reports from art. 20 of the GA

B. Continuous reporting (always open, can be filled in whenever needed)



The screenshot displays the 'MY PROJECT' interface for a Horizon 2020 project. On the left, a sidebar lists project details: Call (ERC-2014-PoC), Type of Action (ERC-POC), Acronym (SMIRP), Current Phase (Grant Management), Number (639859), Duration (18 months), Start Date (01 Nov 2014), Estimated Project Cost (€149,967.50), Requested EU Contribution (€149,967.00), and Contact (Fabrice AOURAGH). Below this are buttons for 'Latest Legal Data', 'Process List', 'Document Library', and 'Communication Center'. A 'H2020 ONLINE MANUAL' button and an 'it HOW TO' icon are also visible.

The main content area shows three reporting sections:

- Periodic Reporting** (REP-639859-1 - period 11/2014 > 04/2016): A timeline from 01 May 2016 to 11 Oct 2016 (54/90 days) with stages Draft, Submitted, and Paid.
- Commission Initiated Amendment** (AMD-639859-2): A timeline from 19 Feb 2016 with stages Launched, Prepared, Requested, and Decision.
- Continuous Reporting** (639859 - SMIRP): A timeline from 01 Nov 2014 with stages Started and Completed. A red box highlights the 'Continuous reporting data' link.

Each section includes links for 'Process specific documents' and 'Process specific communications'. A 'Launch new interaction with the EU +' button is located at the top right.

# H2020 Reporting – how to /3

## B. Continuous reporting

- Summary publication
- Ethics deliverables
- Publications
- Dissemination activities
- Patents, etc

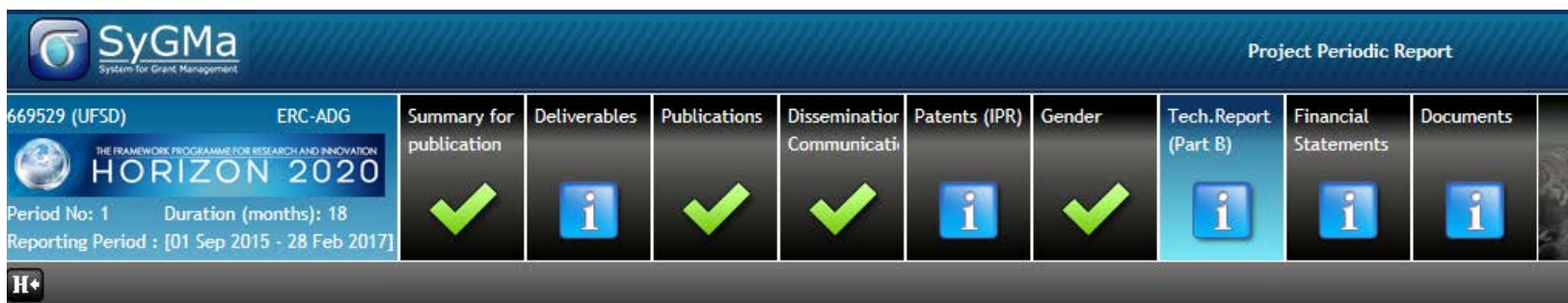


The screenshot shows the SyGMa (System for Grant Management) interface for a 'Project Continuous Report'. The header includes the SyGMa logo and the text 'Project Continuous Report'. Below the header, there is a table with columns for various reporting categories. The 'Summary for publication' column contains a green checkmark. The 'Deliverables' column contains an information icon. The 'Publications', 'Dissemination', 'Patents (IPR)', and 'Gender' columns each contain a green checkmark. The 'ERC-ADG' column is also present. The interface also displays project details: '669529 (UFSD)', 'ERC-ADG', 'Call: ERC-2014-ADG', 'Topic: ERC-ADG-2014', and 'Unit: ERCEA/C/03'. The background of the interface features the Horizon 2020 logo and the text 'THE FRAMEWORK PROGRAMME FOR RESEARCH AND INNOVATION'.

## Deliverables

# H2020 Reporting – how to /4

## Periodic Financial Report



**SyGMa**  
System for Grant Management

669529 (UFSD) ERC-ADG

THE FRAMEWORK PROGRAMME FOR RESEARCH AND INNOVATION  
**HORIZON 2020**

Period No: 1 Duration (months): 18  
Reporting Period : [01 Sep 2015 - 28 Feb 2017]

Project Periodic Report

Summary for publication	Deliverables	Publications	Dissemination Communicati	Patents (IPR)	Gender	Tech.Report (Part B)	Financial Statements	Documents
✓	i	✓	✓	i	✓	i	i	i

### Technical Report (Part B)

Number	Attachment
1	Workforce Statistic Form
2	Explanation of the work - Overview of progress

PI contributes to the narrative part



# H2020 Financial Reporting – timeline

## ■ 4 financial reports



## Reports covering the financial aspects of the grant

- Prepared by Host Institution in consultation with the PI
- Submitted 4 times over 5 years: months 18, 36, 54, 60. PoC only on 12m
- To be sent max 2 months after the date. A notification will be sent the day after the end of the RP
- Assessment by the relevant unit (StG, AdG, CoG/PoC)
- Final Scientific report to be submitted together with the Final Financial report

# H2020 Financial Reporting

## – the role of the PI

Requires explanations about:

- Global overview of the action's implementation for the RP
- The working relationship with the HI
- The respect of the time commitments of the PI
- The costs incurred in comparison with the budget foreseen (*tasks of the team members, the equipment used, description of travels, consumables, other direct costs, etc.*)
- Any envisaged reallocations of the use of resources
- Eventual problems (including delay, cancellation, postponement of activities/work tasks) which have incurred and how they have been addressed

# H2020 - Time records: supporting documents

Depends if the person works exclusively on a H2020 action or not

- 'working exclusively' = uninterrupted period of at least one full calendar month working on the H2020 action (NO OTHER ACTIVITIES)
  - **The researcher claiming 100% time commitment should not spend time teaching activities and/or travelling for other projects**

Working exclusively	Records	Conditions (full details available in the AGA; page 160)
YES	<b>Declaration on exclusive work for the action</b>	<ul style="list-style-type: none"> <li>→ only one per reporting period (per person)</li> <li>→ covering one uninterrupted period of exclusive dedication of at least one calendar month</li> </ul>
NO	<b>Time records (i.e. timesheets)</b>	<ul style="list-style-type: none"> <li>→ dated and signed at least monthly by the person and his/her supervisor</li> <li>→ minimum conditions and information needed are <b>detailed in the AGA</b></li> </ul>

# H2020 – Budget transfers POSSIBLE

- The PI is free to re-arrange the budget at will, as long as the scientific work does not change (please keep the HI informed!)
- Such changes must be explained in the next available Financial Report
- If the transfer is extremely important better to check first with the ERC Project officer
- For unforeseen subcontracts and in kind contribution from third parties, it is best to require an amendment but you can also choose to explain in the next FR (the beneficiary bears the risk that the costs might be not accepted!)

# H2020 – Avoiding double funding

- A PI can always look for additional funds (regional /national/ international/European) for costs not covered by the ERC grant.
- A PI can have his/her main ERC grant (STG/COG/ADG) running in parallel with a POC. 2 POCs cannot run in parallel instead.
- The safest way to avoid double charging is to have an HI with an accounting system capable of allocating expenditures, just once, to different cost centres.

# H2020 – Travel costs

- It means flight ticket and transportation costs, hotel, food and/or per diem, for team members and visiting experts
- Team Members = those working on the project, not simply "with the PI", no matter if salary costs are charged to ERC or not
- Visiting experts = must have been foreseen in the DoA

# H2020 – Equipment

- Respect internal procurement procedures
- Demonstrate Best Value for Money (tender, offers, market survey) and document reasons for Single Source Providers
- Do not artificially split tenders into smaller contracts to avoid public tendering calls.
- Only equipment purchased for the purpose of carrying out the project can be charged as direct cost
- Avoid purchasing equipment in the final period

# - Key Messages !

- Sound financial planning & follow-up from the start
- Be as informed as possible of H2020 Legal/Financial rules (as well as of those of the HI)
- Avoid Double Funding
- Keep relevant supporting documents for all expenses
- Avoid unnecessary expenditure made in the last few months/weeks of the project
- Ensure that all costs meant to be charged to the project are really necessary, are related to the project & fall within project period
- Seek advice as soon as issue arises with HI and with the ERC



# Useful emails and links

## EMAILS:

- Your KEY contact person, the **project officer (PO)**, is mentioned here:

- Email format is *Name.surname@ec.europa.eu*

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

## LINKS:

H2020 On-line manual:

<http://ec.europa.eu/research/participants/portal/desktop/en/funding/guide.html>

Annotated model Grant Agreement:

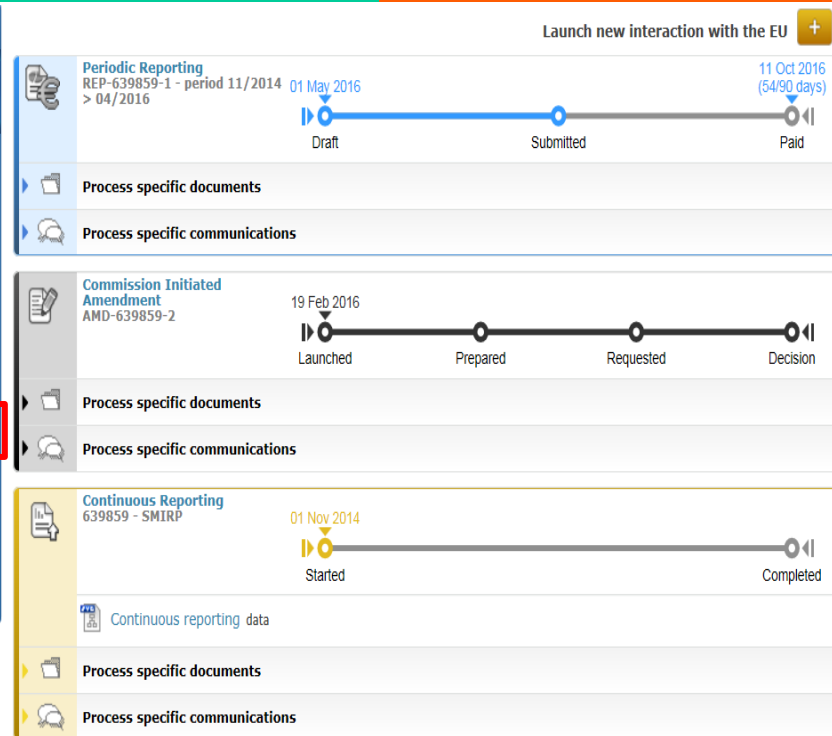
[http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/amga/h2020-amga\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf)



MY PROJECT  
HORIZON 2020  
Call: ERC-2014-PoC  
Type of Action: ERC-POC  
Acronym: SMIRP  
Current Phase: Grant Management  
Number: 639859  
Duration: 18 months  
Start Date: 01 Nov 2014  
Estimated Project Cost: €149,967.50  
Requested EU Contribution: €119,967.50  
Contact: **Fatima AOURAGH**

Latest Legal Data  
Process List  
Document Library  
Communication Center

H2020 ONLINE MANUAL



Launch new interaction with the EU +

**Periodic Reporting**  
REP-639859-1 - period 11/2014 > 04/2016  
01 May 2016  
11 Oct 2016 (54/90 days)  
Draft Submitted Paid

**Commission Initiated Amendment**  
AMD-639859-2  
19 Feb 2016  
Launched Prepared Requested Decision

**Continuous Reporting**  
639859 - SMIRP  
01 Nov 2014  
Started Completed

Continuous reporting data

Process specific documents  
Process specific communications

Keep it transparent!  
Thank you !