



# **H2020-ITN-2019**

## **Coordinators Info Day**

**22 November 2019**

# **Grant Agreement obligations**

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Unit REA-A1

Disclaimer: the information provided in this presentation is not  
legally binding

1. Division of roles and responsibilities
2. Some GA Obligations
3. Consequences of non-compliance
4. Amendments to the GA

# **1. Division of roles and responsibilities**

## Each beneficiary must:

- ✓ Keep up to date the Beneficiary Register
- ✓ Inform the coordinator immediately of any event or circumstances that may affect significantly or delay the implementation of the action or the EU's financial interests and of any circumstances affecting the decision to award the grant or compliance with requirements under the Agreement
- ✓ Submit to the coordinator documents/ information listed in art. 41.2 (individual financial statements, ethics committee opinions etc.)

- ✓ **Monitor** that the action is properly implemented
- ✓ Act as **Intermediary** for all communication between REA and beneficiaries
- ✓ **Request and review** documents/information required by the REA
- ✓ **Submit** deliverables and reports to the REA

## Coordinator cannot delegate these tasks

- ✓ **Ensure payments** are made to beneficiaries without unjustified delay
- ✓ **Inform the REA** of the amounts paid to each beneficiary when required by the Agreement or upon request

## **Coordinator cannot delegate these tasks**

*exception : “Authorization to administer” (only for public bodies or second or higher education establishments):  
the coordinator may delegate these two tasks to a third party, but it retains sole responsibility for the EU contribution and for compliance with the GA*

Beneficiary must have appropriate resources to implement the action

**If it is necessary to implement the action the beneficiary can call upon**

- 1) Entities with a capital or legal link to the beneficiary (to host and train ESRs)
- 2) Partner Organizations (to host and train ESRs during secondments)

## *Comparison of functions in the action*

	Host and train	Recruit	Hosting and training during secondments	Implement action activities	Signature of GA	Claim costs
Beneficiary	YES	YES	YES	YES	YES	YES
Partner organisation	NO	NO	YES	YES	NO	NO
Entity with capital or legal link	YES	NO	YES	YES	NO	NO

**Beneficiaries must have internal arrangements set out in a written « Consortium Agreement » which may cover:**

- Internal organization of the consortium
- Distribution of EU funding
- Rules on IPR
- Settlement of internal disputes
- ,,,,

**When:** In principle, before signature of GA and in any case no later than the submission date fixed in Annex 1 (M2)

**Further guidance:** [How to draw up your consortium agreement](#)



## **2. Some Grant Agreement obligations**

## The beneficiaries must implement the action:

- ✓ As described in Annex 1
- ✓ In compliance with the provisions of the GA and all legal obligations under EU, international and national law

**Technical implementation = joint liability**

**Financial responsibility = individual (own debt)**

## The beneficiaries must:

- ✓ provide any information requested by the REA
- ✓ keep up to date Beneficiary Register
- ✓ Inform the coordinator immediately of:
  - 1) any events that may affect or delay significantly the implementation of the action or the EU financial interest
  - 2) any circumstance affecting the decision to award the grant or the compliance with the GA

### The beneficiaries must:

- ✓ take all measures to implement the “**Charter and Code**”
- ✓ advertise and **publish vacancies internationally**
- ✓ recruit fellows with an **open, transparent, impartial and equitable** procedure
- ✓ ensure that **no conflict of interest** exists or arises from the recruitment
- ✓ **assist** researchers in **administrative procedures**
- ✓ **inform** the researchers on the details on the research training activities
- ✓ **host** the researchers at their premises (or of entities with capital or legal link)
- ✓ **provide training** and the necessary means to implement the action
- ✓ **limit secondments to 30%** of the time spent under the action

### The beneficiaries must ensure that:

- ✓ the researchers enjoy **at least the same standards** as local researchers holding a similar position
- ✓ the **employment contract specifies the elements** indicated in art.32.1(f) - e.g. duration, monthly support, MSCA-related obligations etc.
- ✓ the **researchers do not have to bear any costs** for the implementation of the action (e.g. tuition fees)
- ✓ the researchers are **adequately supervised**
- ✓ a **Career Development Plan** is established and supported
- ✓ the researchers are appropriately **exposed to the non-academic sector**

### **3. Consequences of non-compliance**

## Rejection of ineligible costs

### When:

- at the time of an interim payment,
- at the payment of the balance or afterwards
- after termination of a beneficiary,

### In which cases:

- ✓ Non compliance with eligible conditions stated under Article 6 of the GA (e.g. mobility rule, employment contract, full time and exclusive dedication action, costs fully incurred for the benefit of the researcher, ...)

### How:

- ✓ Contradictory procedure:
  - 1) REA will formally notify a “pre-info letter” with detailed information
  - 2) Coordinator/Beneficiary has 30 days to submit observations
  - 3) REA analyses them and takes final decision

## Reduction of the grant

### When:

- at the payment of the balance or afterwards
- after termination of a beneficiary,

### In which cases:

- ✓ If a beneficiary has committed
  - substantial errors, irregularities or fraud
  - serious breach of obligations under the Agreement or the award procedure (including improper implementation, false declarations...)
- ✓ In case of “extension of findings from other grants to this grant”

### How:

- ✓ Reduction will be proportional to the seriousness of the errors, irregularities, fraud or breach (from 5% up to 100% of the grant amount)
- ✓ Contradictory procedure:
  - 1) REA will formally notify a “pre-info letter” with detailed information
  - 2) Coordinator/Beneficiary has 30 days to submit observations
  - 3) REA analyses them and either stops the procedure or confirms it



## Suspension of payments/ of the action implementation

**When:**

At any moment

**In which cases:**

- ✓ If a beneficiary has committed
  - substantial errors, irregularities or fraud
  - serious breach of obligations under the Agreement or the award procedure
- ✓ In case of “extension of findings from other grants to this grant”
- ✓ (Only for suspension of action implementation): If the action is suspected of having lost its scientific or technological relevance

**How:**

- ✓ In whole or in part, for one or more beneficiaries
- ✓ Contradictory procedure:
  - 1) REA will formally notify a “pre-info letter” with detailed information
  - 2) Coordinator/Beneficiary has 30 days to submit observations
  - 3) REA analyses them and either stops the procedure or confirms it
- ✓ If the conditions to resume the payment are met, suspension will be lifted

### Termination of the Agreement or of the participation of one or more beneficiaries

In which cases:

- ✓ In all cases indicated in art. 50.3, particularly:
  - If a beneficiary has committed
    - substantial errors, irregularities or fraud
    - serious breach of obligations under the Agreement or the award procedure
  - In case of “extension of findings from other grants to this grant”

How:

- ✓ Contradictory procedure:
  - 1) REA will formally notify a “pre-info letter” with detailed information
  - 2) Coordinator/Beneficiary has 30 days to submit observations
  - 3) REA analyses them and either stops the procedure or confirms it

## **4. Amendments**

*“The Agreement may be amended, unless it entails changes that would call into question the decision awarding the grant or breach equal treatment of applicants”*

Amendments are needed to change the GA or its Annexes, if both parties agree

### How

- ✓ Through a request for amendment signed in the electronic exchange system
- ✓ The request must be justified and must include the appropriate supporting documents
- ✓ If the other party agrees, the amendment must be signed in the electronic exchange system within 45 days; otherwise, the request is considered to have been rejected- CHANGES TO SUBMITTED REQUESTS ARE NOT POSSIBLE (NO “NEGOTIATIONS”!)

Always consult your Project Officer before submitting an amendment request!

### ***Examples of amendments:***

- Beneficiaries (addition, removal of terminated beneficiary...)
- Coordinator (bank account...)
- Implementation of the project (Annex 1)
- ....

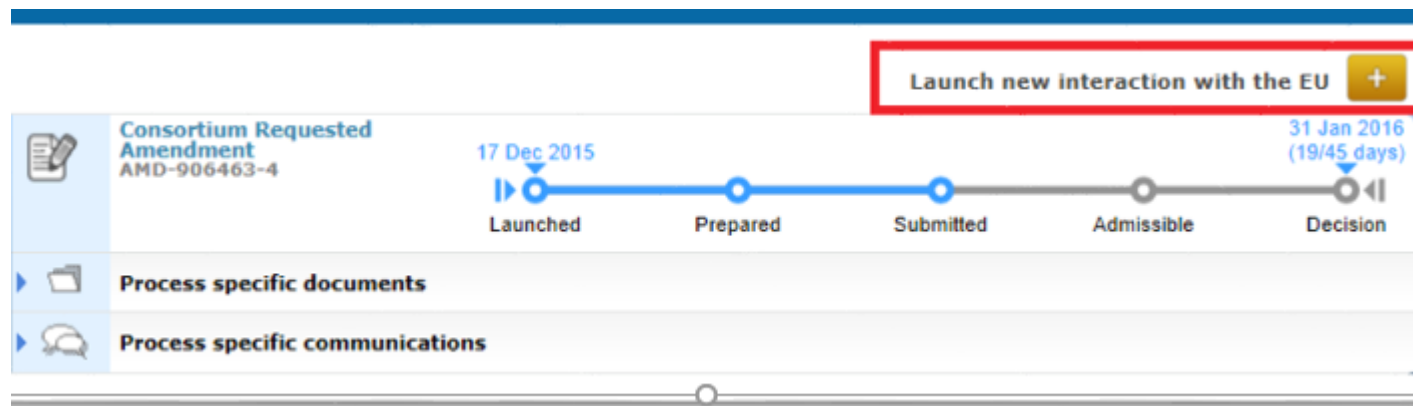
### ***No amendment needed:***

- Name/address (beneficiary register update)
- Universal takeover

### **Further guidance on Amendments:**


*Funding and Tender Opportunities Portal- IT How to*

## Launching amendment - in Funding and Tender Opportunities Portal (FTOP)



Launch new Amendment or Task ×

Choose one of the options below

 **Launch new Consortium Requested Amendment** Launch

You may launch a new amendment request to the Service. For termination of the grant, please choose the last option. Different requests can be launched in parallel although it is strongly recommended to limit the number of draft requests. Once an amendment is processed and accepted by both parties, draft requests can be updated or invalidated by the system in order to reflect the latest legal basis. The new amendment will be launched based on the grant agreement data



## Composing amendment - in Sygma

**MY PROJECT**  
  
**Call:** H2020-Adhoc-2014-20  
**Type of Action:** CSA  
**Acronym:** 779703 Marianne  
Amendment Training Project:  
07  
**Current Phase:** Grant  
Management  
**Number:** 779703  
**Duration:** 8 months  
**Start Date:** 2015-02-18

**Consortium Requested  
Amendment**  
AMD-779703-10  
  
  
  
 **Amendment preparation**   
**Amendment**  
**Process specific documents**  
**No documents for this process**  
**Process specific communication**

**03/08/2015**  
  
**Launched**  
  
Prepared  
Submitted  
Admissible  
Decision

**Grant Management**  
Amendments of Grant Agreement Data  

Project 779703 (779703 Marianne Amendment)	Amendment Information	Beneficiaries	General Information	Reporting Periods	GA Information	GA Options	Financial Information	LF Overview	Work Packages	Reviews
 Call: H2020-Adhoc-2014-20 Resp. Unit: RTD/B/07 Action: CSA Duration: 8										

  
**DOCUMENTS**  
**Project Summary**  
**Project 779703 ( 779703 Marianne Amendment Training Project: 07 )**  

Responsible Unit:	RTD/B/07
Call:	H2020-Adhoc-2014-20
Topic:	INNOSUP - INNOSUP
Type of Action:	CSA
Duration:	8

  
**Budget Information:**  

Total Costs in the Proposal:	
Max EU Grant Amount(following evaluation):	14,113.00 €
Total Costs:	17,640.00 €
Maximum Grant Amount:	14,112.00 €

  
**Officers:**  
Project Officer: Maria ALLEGRI (RTD/B/07)  
  
**Amendment Information:**  
AMD Number:  
AMD Reference:  
AMD Type:

AMD-779703-10  
CONSORTIUM\_REQUESTED

## Composing amendment – “Edit data” in Sygma

SygMa - System for Grant Management - Windows Internet Explorer

parezmn (EXTERNAL) ?

Grant Management

Amendments of Grant Agreement Data

Project 643950 (SecondHands)	Amendment Information	Beneficiaries	General Information	Reporting Periods	GA Information	GA Options	Financial Information	LF Overview	Work Packages	Reviews	Deliverables	Milestones	Ethics
<b>HORIZON 2020</b> Call: H2020-ICT-2014-1 Resp. Unit: CNECT/A/02 Action: RIA Duration: 60	✗	✓	✓	✓	✓	✗	✓	i	✓	✓	✓	✓	i

DOCUMENTS

**Project Summary**

**Project 643950 ( SecondHands )**

Responsible Unit: CNECT/A/02  
Call: H2020-ICT-2014-1  
Topic: ICT-23-2014 - Robotics  
Type of Action: RIA  
Duration: 60

**Budget Information:**

Total Costs in the Proposal:	5,994,000.00 €
Max EU Grant Amount(following evaluation):	5,994,000.00 €
Total Costs:	6,930,000.00 €
Maximum Grant Amount:	5,994,000.00 €

86.49 % of total costs

**Officers:**

Project Officer: Franco MASTRODDI (CNECT/A/02)

**Amendment Information:**

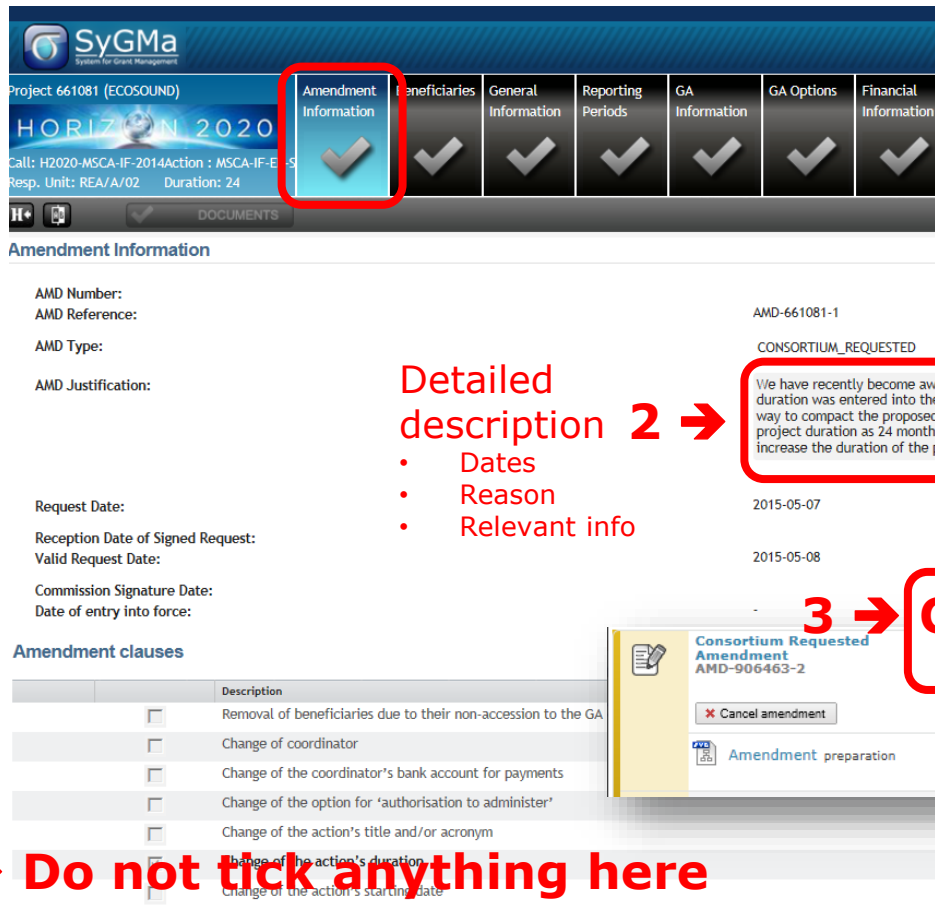
AMD Number:	-
AMD Reference:	AMD-643950-1
AMD Type:	CONSORTIUM_REQUESTED

Validate



## Composing amendment – “Edit data” in Sygma

**1 →**



**2 →**

Detailed description

- Dates
- Reason
- Relevant info

**3 →**

**Consult Officer (FTOP)**

**X → Do not tick anything here**

Consortium makes all the **needed changes** :

(e.g. change Start date, Add New Beneficiaries, duration, ...) in the related tabs

At least one modification has to be done

# Amendments to the Agreement

## « How to »



Grant Management

Amendments of Grant Agreement Data

Project 779593 (779593 AMENDMENT DEMO 1)

HORIZON 2020

Call: H2020-Adhoc-2014-20 Action : CSA  
Resp. Unit: RTD/B/07 Duration: 8

Amendment Information

Beneficiaries

General Information

Reporting Periods

GA Information

GA Options

Financial Information

LF Overview

Work Packages

Reviews

Amendment clauses

	Description	hasVars
<input type="checkbox"/>	Removal of beneficiaries due to their non-accession to the GA	
<input type="checkbox"/>	Addition of a new beneficiary	
<input type="checkbox"/>	Change of the status as 'receiving EU funding' or 'not receiving EU funding'	
<input type="checkbox"/>	Removal of a linked third party	
<input type="checkbox"/>	Addition of a linked third party	
<input type="checkbox"/>	Change of coordinator	
<input type="checkbox"/>	Change of the coordinator's bank account for payments	
<input type="checkbox"/>	Change of the option for 'authorisation to administer'	
<input type="checkbox"/>	Change of the action's title and/or acronym	
<input checked="" type="checkbox"/>	Change of the action's starting date	
<input type="checkbox"/>	Change of the action's duration	
<input type="checkbox"/>	Modification of reporting periods	
<input type="checkbox"/>	Change concerning the security context	
<input type="checkbox"/>	Change of the amount of the pre-financing and/or of the contribution to the guarantee fund	
<input type="checkbox"/>	Change of Beneficiary Details (legal name, legal address, VAT, ...)	
<input type="checkbox"/>	Change of legal status	

Validate

Changes of Annex 2 (estimated budget of the action)

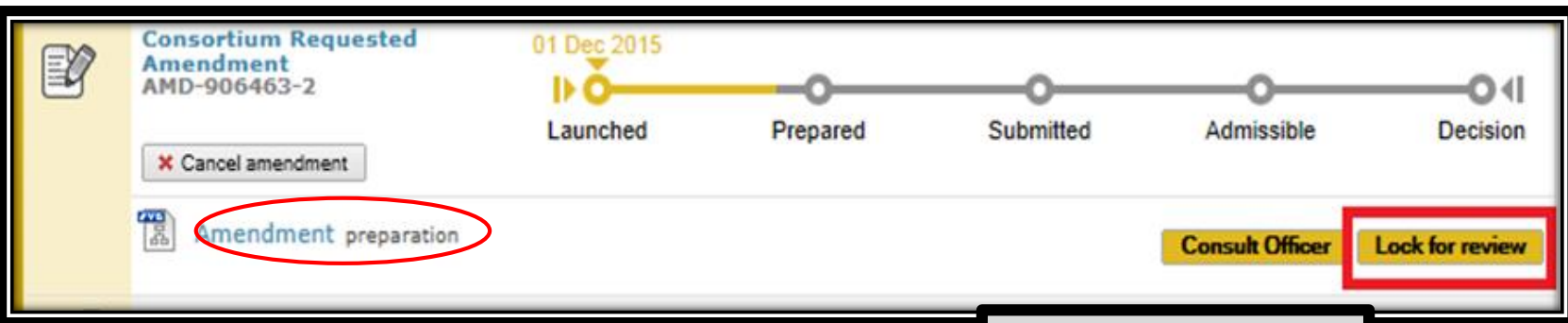
Change to the action's estimated eligible costs

Change to the maximum grant amount

→ Amendment clauses are here automatically checked

→ Full overview of the modifications

## Submitting amendment - in Funding and Tender Opportunities Portal (FTOP)

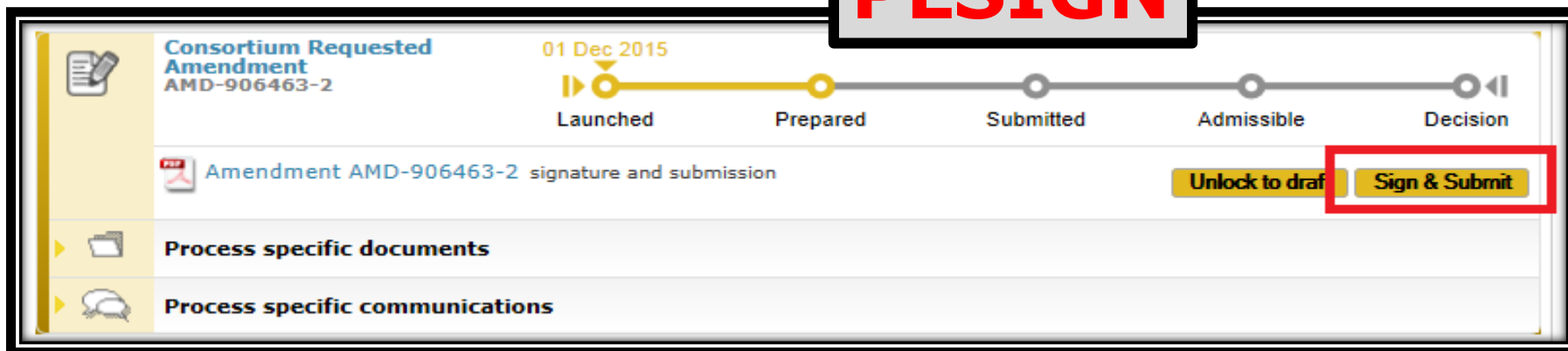


**Consortium Requested Amendment**  
AMD-906463-2

01 Dec 2015

Launched Prepared Submitted Admissible Decision

**PLSIGN**



**Consortium Requested Amendment**  
AMD-906463-2

01 Dec 2015

Launched Prepared Submitted Admissible Decision

# **Thank you for your attention!**

<http://ec.europa.eu/mariecurieactions>