

Periodic reports



In this section, you can look through the **full structure** of the periodic report and download the reporting template for previewing the structured web-tables and the part B that you have to fill in the Participant Portal Grant Management Service.

Structure

1. Technical report (in 2 parts)

■ Part A structured tables from the grant management system:

- cover page
- publishable summary
- web-based tables covering issues related to the project implementation (e.g. work packages, deliverables, milestones, etc.)
- answers to the questionnaire about the economic and social impact, especially as measured against the Horizon 2020 key performance indicators and monitoring requirements.

The tables include:

1. Deliverables
2. Milestones
3. Ethical Issues (if applicable)
4. Critical implementation risks and mitigation measures
5. Dissemination & exploitation of results
6. Impact on SMEs
7. Open Research Data
8. Gender
9. Science with and for Society [only for projects under this strand]
10. Energy [only for projects under societal challenge 3 "Secure, clean & efficient energy"]
11. Infrastructure [only for projects under "Infrastructure"]

You can update this information at any time during the life of the project, in the continuous reporting module.

■ Part B the free text, core part of the report that you must **upload to the grant management tool under the Report Core tab, as a single PDF document** with:

- explanations of the work carried out by all beneficiaries and linked third parties during the reporting period
- an overview of the progress towards the project objectives, justifying the differences between work expected under Annex I and work actually performed, if any.

2. Financial report

Consists of structured forms from the grant management system, including:

- individual **financial statements** (Annex 4 to the GA) for each beneficiary (and third parties)
- explanation of the **use of resources** and the information on **subcontracting** and **in-kind contributions** provided by third parties, from each beneficiary for the reporting period concerned
- periodic **summary** financial statement including the **request for interim payment**.

Technical Report

PART A – STRUCTURED FORMS

Part A is compiled automatically from the following tables that you fill in the grant management system.

The Cover page is automatically filled in with your project data.

1. Publishable summary

You must provide a **separate summary for each periodic report** (just update the summary for the previous period).

Required sub-tables

- *Summary of the context and overall objectives of the action*
- *Work performed from the beginning of the action to the end of the period covered by the report and main results achieved so far*
- *Progress beyond the state of the art and expected potential impact (including the socio-economic impact and the wider societal implications of the action so far)*
- *Address (URL) of the action's public website*

Quality requirements

The summary must be suitable for **direct publication** by the Commission, especially:

- **easily understandable** by a general audience
- preferably not longer than **7,480 characters** (roughly 2 pages)
- with **no confidential** data

Other requirements

- It must be a "**stand-alone**" text - no references to other parts of the report, only to publicly available information.
- You can upload **diagrams** or **photographs** illustrating and promoting your project work (only as images and you must have cleared any rights of third parties advance)
- Your website homepage should contain the **EU flag** (download an electronic version) and the name '*Horizon 2020*'.

2. Deliverables

1. Submit data on each deliverable identified in **Annex 1 of the GA** (which also specifies the timing and conditions) - with comments if necessary - in the continuous reporting section.

2. At the time the periodic report is submitted, check if all deliverables due are listed in the continuous reporting and you must enter an explanation (in the Comments column) for:

- any departure from the scheduled deliverables (e.g. missing or late deliverables)
- any deliverable that has been cancelled or grouped with another.

You can check the process for continuous reporting.

3. Milestones

Specify **whether the milestone was achieved** or not. If not, enter an **estimate of when**.

The milestones table included in each periodic report is cumulative (it shows all milestones from the beginning of the project).

4. Ethical Issues - if applicable

Ethical Issues table is not available any more under continuous reporting. As of the changes in January 2016 all ethics requirements due after project start are automatically included in the grant agreement in the form of deliverables. These ethics deliverables are placed in an automatically generated work package called 'ethics requirements'. Please report on the follow up of your ethics requirements through the deliverable section.

5. Critical implementation risks & mitigation measures

Assess the **state of play of every risk** identified in Annex 1 and if necessary specify **new mitigation measures**. You can **add a new risk** here without the need to make an amendment to your grant.

Foreseen risks table - Lists the risks identified in Annex 1. This table is read-only, a reference for the State of Play table.

Unforeseen risks - Enter here any unforeseen risk(s) and your proposal for risk-mitigation measures.

States of play for risk mitigation - Report on your risk-mitigation measures. If they have not been applied, you must say why.

6. Dissemination & exploitation of results

Scientific publications

All publications must include the statement that the results were generated with the assistance of EU financial support (Article 38.1.2, GA).

You must report joint publications by:

- public & private project participants
- private/public project participants with public/private organisations outside the consortium (if related to the project).

TIPS:

You can find clarification in the periodic report template: you should report 'Both the joint publications coming from public and private project participants as well as from private/public project participants with public/private organisations outside the consortium (as long as they are related to the funded project)'. The answer is YES to this question in the following cases:

- Joint publication coming from public and private project participants (for instances two participants, one from public sector and another from private sector are authors of the publication)
- Publication in which one or more participants from the public sector are authors, and the publication contains also author(s) from private sector who are not beneficiaries of the project
- Publication in which one or more participants from the private sector are authors, and the publication contains also author(s) from public sector who are not beneficiaries of the project

You can also check the process for continuous reporting.

Open access to peer-reviewed publications

You must ensure open access (free, online access for any user) to all peer-reviewed publications relating to your results (Article 29.2, GA).

Peer-reviewed publications

refer to publications that have been evaluated by peers, i.e. other scholars. The dominant type of peer-reviewed scientific publication is the journal article, for which open access is mandatory in Horizon 2020. In addition, however, beneficiaries are strongly encouraged to provide open access to other types of scientific publications, some of which may, in some cases, not be peer-reviewed, including monographs, books, conference proceedings and grey literature (informally published written material not controlled by scientific publishers, e.g. reports).

You are free to deposit your peer-reviewed publications in those repositories most appropriate for your subject and publication (for instance a thematic or institutional repository). But you **must continuously report all publications related to your project** in 1 of the following 3 ways:

1. OpenAIRE

For publications accessible via OpenAIRE, references to these publications (with link to the project ID) are displayed automatically in the reporting section of the Participant Portal for the project.

Simply check if the references are directly linked to the work performed within the project. If so, tick these publications as relevant and they will then be included in the table of publications when the report is generated.

OpenAIRE

links and federates existing repositories. As such it provides access to publications that have been deposited in all repositories that are technically interoperable with OpenAIRE ("OpenAIRE compliant")

2. DOI

For publications not registered via OpenAIRE, you must enter the Digital Object Identifier (DOI). All the other columns of the table will then be filled automatically.

DOI - Digital Object Identifier

Permanent identifier which should be a persistent link to the published version full text or abstract (if article is pay per view) or to the final manuscript accepted for publication (link to article in repository).

3. No OpenAIRE or DOI

you must manually enter the full reference data.

DOI

You must **answer a number of other questions**:

- **Peer-review** - you can check in the system if the publication is peer-reviewed or not via 'title of publication' (the *Peer-reviewed* column will then be filled automatically with "YES" or "NO").
If the system answers mistakenly that the publication is not peer-reviewed, you can change the answer by ticking the box "Peer-reviewed YES".
- **Open access** - you have 3 options (**Green OA** - Access is granted after an embargo period, **Gold OA** - Paid open access (processing charges), or **No open access**).
 - Yes Green OA / specify the length of embargo if any
 - Yes Gold OA/Specify the amount of processing charges, if any in €
 - No

Dissemination & communication activities

List only activities directly linked to the project, and the type of audience reached.

Intellectual property rights resulting from the project

List here your applications for patents, trademarks, registered designs, utility model etc.

For each, specify at least 1 unique identifier (e.g. European Patent application reference).

One IPR can have several IP organisations, identifiers and applicants. For multiple applications to different offices covering the same IP (e.g. the same invention), you should only indicate 1 office.

If you have filed an application with the European Patent Office (EPO), only this application should be mentioned. If not, only mention the first application. The same principle applies to the publication number of award of protection.

[This table is cumulative – it shows all applications from the beginning until after the end of the project.]

Innovation

	What the term means (for your report)
Innovation	The introduction within a firm or market of a new or significantly improved: • product (good or service) • process • marketing method • organisational method (business practices, workplace organisation or external relations) The minimum requirement for an innovation is that the product, process, marketing method or organisational method must be new (or significantly improved) to the firm.

Prototype, testing activities	Proof of S&T feasibility: Results of innovation activities that confirm/verify the technical feasibility of new products and processes in a (near) operational environment. Includes: • prototypes & demonstrations of new products and processes • results of testing/piloting with users • trial production and pilot plants in manufacturing • trials & testing for services, such as how new technologies affect provision or how significant improvements in existing services perform
Clinical trials	Systematic tests on human volunteers to ensure that new drugs, vaccines or treatments are both safe and effective and can be introduced to the market.
Product	Good or service introduced to the market or to the company/organisation that is new or significantly improved in its capabilities, usability, components or sub-systems . Goods include packaged & downloadable software/music/film.
Process	Production process, distribution method or supporting activity that was implemented within an organisation.
Method	Refers to organisational method or marketing concept/strategy in business/organisational practices (including knowledge management). • organisational method - covers workplace organisation or external relations not previously used by your enterprise/organisation • marketing method - significant changes in product design or packaging, product placement, product promotion or pricing that have not been used before

7. Impact on SMEs

All projects with SME participants must include the following information in each periodic report:

- **turnover** of the company (i) at the beginning of the project (or most recent accounting period before the beginning of the project) and (ii) in the most recent accounting period.
- **number of employees** (i) at the beginning of the project (or most recent accounting period from the beginning of the project) and (ii) for the most recent accounting period.

Beneficiaries in **SME instrument projects** (type of action) must also give **estimated** turnover and employment figures for the **next 3 years** (for multi-beneficiary projects, the coordinator should provide figures for the whole project consortium).

8. Open Research Data

All projects participating in the Open Research Data Pilot must use a Data Management Plan (DMP).

Other projects are requested to submit a plan if relevant for their planned research, but this is not obligatory.

If your dataset is:

- **openly accessible/reusable** – give your **Digital Object Identifier (DOI)** (if available)
- **linked to a publication** – give the DOI of the publication.

Accessible - means Open Access, defined as free internet access for anyone. Answer is "yes" if the open access to the data is already established or if it will be established after an embargo period.

Re-usability has 2 aspects:

- technical - the technical standards used are compatible
- legal - the necessary rights are in place for other users to use the dataset.

9. Gender

Gender of R&D participants in the project

Answer the gender related questions here. For **MSC Actions**, the whole table is automatically filled.

Gender of R&D participants - participants means **people actively participating and paid by the EU project**.

Gender dimension in the project - this concept groups the various elements concerning biological characteristics and social/cultural factors of both women and men in the development of research policies, programmes and projects.

10. Science with & for society

Only for projects under "Science with & for society" (SWAFS)

Tick the box if your project **contributes to institutional change** in any of the specific ways detailed in periodic report table. You can see the key examples of institutional change that projects may promote amongst their own partners and institutions, the wider scientific and stakeholder communities, civil society, as well as the *intended target of the project*. If you need to give more detail, please do so in part B of the report.

Institutional change definition: projects can undertake actions and produce results that promote closer collaboration between science and society and greater responsiveness to the citizens' expectations. For instance, by spreading science education, by tackling gender equality issues, by fostering high ethical standards and by engaging with multiple actors (i.e.: citizens and civil society organisations, industry, policy makers and public authorities). These actions are defined as 'institutional change', because **they contribute towards changing the governance of research and innovation, thereby bringing it closer to society.**

Projects can contribute to institutional change **directly**, by having it as an explicit goal for their institution, for example the implementation of CSR, an ethics board, or a gender action plan in their institution. Projects can also contribute **indirectly**, for example the development of a code of conduct can be instrumental to drive change in the research practices of national and EU research institutions, or development and implementation of game-changing concepts such as 'privacy by design', that open new, responsible paths of innovation. Also, projects may foster other changes in research practice, such as collaboration with non-researchers (via open science, citizen science, trans-disciplinary science), that change how science institutions operate.

11. Energy

Only for projects under societal challenge 3 "Secure, clean & efficient energy"

Where applicable, the coordinator must provide data related to identified indicators. In the system, the requests in the table will appear only for projects mentioned in the second column (this column appears only in the paper template).

12. Infrastructure

Only for projects under Infrastructure

Report here about the:

- researchers who have transnational access to research infrastructure through EU support
- research infrastructure made accessible to all researchers in Europe and beyond through EU support, and summary of transnational access provision for each installation and reporting period
- Researchers who have access to research e-infrastructure through EU support

*Columns with data already available will be pre-filled automatically. You only have to fill the corresponding column "**Access provided in RPx**".*

PART B – REPORT CORE

Any beneficiary can contribute to the narrative part, download the word version of the Part B template from the grant management system, complete it and upload it as a pdf document under the Report Core tab.

*There is no page limit per work package - but your report should be **concise and readable**. Avoid duplicating any text.*

1. Explanation of work & Overview of progress

Detail here your work carried out per WP, give an overview of your project results towards the objective (including summary of deliverables and milestones) and a summary of exploitable results (with an explanation about how they can/will be exploited).

If you have received EU funding and plan to exploit the results it generated mainly in non-EU countries not associated with Horizon 2020 - indicate how the funding will benefit Europe's overall competitiveness.

If applicable

2. Update of exploitation & dissemination plan

Say whether the plan described in Annex 1 (Description of the Action – DoA) needs to be updated, and give details.

3. Update of data management plan

Say whether the plan in Annex 1 (DoA) needs to be updated and give details.

4. Follow-up of recommendations & comments from previous review(s)

Include the list of recommendations and comments from previous reviews and explain what action you have taken on each.

5. Deviations from Annex 1 (DoA)

Explain the **reasons for any deviations, the consequences & proposed corrective actions.**

5.1 Tasks

Explain any tasks not fully implemented, critical objectives not fully achieved and/or not on schedule. Explain also the impact of the available resources on other tasks and the timetable.

5.2 Use of resources

Explain any difference in the use of resources between actual and planned (Annex 1), especially related to person-months per work package.

5.2.1 Unforeseen subcontracting

Exceptionally, the Commission may approve costs related to subcontracts not included in Annex 1 and 2, without formally amending the GA (Article 13.1, GA) - if you explain and justify the circumstances:

- describe the tasks performed by the subcontractor

- explain why you needed to use a subcontract, taking into account the specific characteristics of the project
- confirm that the subcontractor was selected as offering the best value for money, if not the lowest price, and avoiding any conflict of interests.

5.2.2 Unforeseen use of in-kind contributions from a 3rd party against payment or free of charge

Exceptionally, the Commission may approve costs related to in-kind contributions not included in Annex 1 and 2, without formally amending the GA – if you explain and justify the circumstances:

- identify the third party
- describe the resources made available by the third party, either for payment or for free
- explain why you needed to use these resources to carry out the work

Financial Report

You can fill in your financial statement in structured forms in the grant management system (under *Financial Statement drafting*).



Individual financial statements

Beneficiaries and **linked third parties** must fill these in and submit them to the Commission, as part of the periodic report.

They will be combined automatically by the system into a **consolidated financial statement**.

If you fail to do so, your **costs will be considered 'zero'** for this reporting period (though you can declare them in the next reporting period).

Period	Adjustment	Requested Contribution
01/07/2014 - 31/12/2014 (Period No 1)	No	100,000.00 €

Cost Category	Total	Actions
a) Direct personnel costs declared as actual costs	30,000.00 €	[icon]
b) Direct personnel costs declared as unit costs (average costs)	0.00 €	[icon]
d) Direct costs of subcontracting	65,000.00 €	
e) Direct costs of providing financial support to third parties	0.00 €	
f) Other direct costs	3,000.00 €	[icon]
h) Indirect costs (= 0.25 * (a + b + f + o))	8,000.00 €	
j) Total costs (= a + b + d + e + f + h)	106,000.00 €	
k) Receipts	0.00 €	
m) Maximum EU contribution (100%)	106,000.00 €	
n) Requested EU contribution	100,000.00 €	
z) Requested EU contribution eligible for CFS	106,000.00 €	

Additional Information for indirect costs:
Use of costs of in-kind contributions not used on premises? (o) ☐ Yes ☒ No

You can find a template for your individual financial statement in Annex 4 of your GA, with all the details for eligible costs, EU contribution, etc. and a sample financial statement in the Periodic report template.

Explanation of the use of resources & financial statements

Explain in your financial statement how the resources were used during this period: for each cost you declare, you will be prompted to give a justification, by clicking *View/Edit the Use of Resources*.

A. Direct personnel costs- line a)-c)

- Declare here your direct personnel costs a) as actual costs or b) as unit costs (average costs).
- If you are an **SME owner or individual not receiving a salary** /reimbursed on the basis of unit costs, declare your personnel costs in column **A.4** (c).
- You need only supply data on the **person-months per work-package** (not per deliverable).
- At this stage, you **don't have to provide details** like names, level of experience etc. (though we may ask you to later).

- **Use of in-kind contributions from third parties:** if you need to report any related personnel costs, the system will prompt you for details of the costs, name and type of third party, and whether or not the costs were planned in Annex 1 or not.
If the costs were not planned, you must give more explanation.

B. Direct costs of subcontracting - line d)

- In this pop-up, break down the total direct costs for the period into the **costs for individual subcontractors**, under *Unforeseen subcontracting not indicated in the grant agreement (Annex 1)* (in addition to the information provided in the technical report - par.1.2).

A + D Direct costs of Third Parties (not linked third parties) – line a)-d)

- Declare direct cost related to in-kind contributions from third parties in the pop up appearing in the columns for personnel and/or other direct costs, depending of the type of cost.
- If you used any unforeseen in-kind contributions, either for payment or for free, as well as describing them in the technical report (par.1.2), you must specify here the cost of the resources.

C. Direct cost of providing financial support – line (e) pop-up

This concerns "cascade funding" and prizes (Article 15, GA). Declare third parties here.

D. Other direct costs – line f)

You should have detailed costs related to contracts to third parties for providing goods, works or services in line f9 (Article 10, GA).

- If costs declared under "other direct costs" are **equal to or less than 15%** of the personnel costs, you are claiming for this reporting period, you *do not need to provide an explanation* (though you must still keep all the proof you have of any costs you declare as eligible, in case you are audited).
- If costs declared under "other direct costs" are **higher than 15%** of these personnel costs, then you **must explain other major direct cost items** (*This means costs declared in your accounts according to your internal accounting practices.*) in the table provided in the pop up in line f).
You must explain all items apart from those that add up to less than 15% of your personnel costs. Start from the highest-value cost items.

If you are reporting other direct cost items, you must provide:

- **if indicated in the DoA** – a simple reference to the DoA
- **if not indicated in the DoA** – cost/amount per item, description of the item, nature of item (travel, equipment, other goods & services), work package(s), project relevance/explanation

Example

Personnel costs: €100 000

Other direct costs: €35 000

Since the other direct costs represent 35% of the personnel costs, you must justify an amount representing 20% of the personnel costs, i.e. €20,000.

If the €35 000 is the sum of items recorded in the accounts (e.g. €8 500 + €7 500 + €6 500 + €5 500 + €4 000 + 3 x €1 000)...

*... you must **list and justify the items €8 500, €7 500 and €6 500.***

The remaining amount (a total of €12 500) is less than 15% of the personnel costs, so no details are required for it.

F. Specific costs – line i)

Report individual specific costs in the pop-up that appears here:

e.g. costs for energy-efficiency measures in buildings, costs for providing transnational access to research infrastructure, costs for clinical studies.

Additional information – line o)

You can declare again the different third party costs that need to be removed from your total eligible costs, in order to calculate your indirect costs (e.g. costs of in-kind contributions from third parties, but only those which are not used on your premises). More on eligible & ineligible costs.