



The EU Framework Programme  
for Research and Innovation

# HORIZON 2020



## H2020 Programme

### Periodic Report Template

(RIA, IA, CSA, SME instrument, MSCA, Lump Sum  
Pilot)

Periodic Technical Report (parts A and B)  
Periodic Financial Report

Version 3.0  
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Disclaimer  
applicants for Horizon 2020 funding. It serves only as an example. The actual web forms and templates are provided in the Funding & Tenders Portal Grant Management System (and may contain certain differences). The reports must be prepared and submitted online via the Portal.

Research and  
Innovation

### **Structure of the Periodic Report**

The periodic report must be submitted by the coordinator within 60 days following the end of each reporting period. It contains the periodic technical and financial reports.

The **periodic technical report** consists of two parts:

- **Part A** of the periodic technical report contains the cover page, a publishable summary and the answers to the questionnaire covering issues related to the project implementation and the economic and social impact, notably in the context of the Horizon 2020 key performance indicators and the Horizon 2020 monitoring requirements. **Part A is generated by the IT system. It is based on the information entered by the participants through the periodic report and continuous reporting modules of the electronic exchange system in the Participant Portal.** The participants can update the information in the continuous reporting module at any time during the life of the project.
- **Part B** of the periodic technical report is the narrative part that includes explanations of the work carried out by the beneficiaries during the reporting period. Part B needs to be uploaded as a PDF document following the template of Part B Periodic Technical report.

The **periodic financial report** consists of:

- Individual financial statements (Annex 4 to the GA) for each beneficiary;
- 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;
- A periodic summary financial statement including the request for interim payment.


### **Preparation and submission of periodic report**

- **Continuous reporting functionality** in the participant portal: it is activated at the time the project starts and it is continuously open for the beneficiaries to submit deliverables, to report on progress in achieving milestones, to follow up of critical risks, ethics issues, publications, communications activities, and the answers to the questionnaire on horizontal issues.

- **Periodic reporting functionality in the participant portal:** following the end of each reporting period the functionality of periodic reporting in the Participant Portal will be activated. While the periodic reporting session is open in the electronic exchange system:

- each participant will be able to complete on-line their own Financial Statement (and the financial report of their Third Parties, if any) including the explanations on the use of resources;
- coordinator will be able to upload the Part B of the periodic technical report as a pdf document.

When the coordinator submits the periodic report, the IT tool will capture the information from the continuous reporting module in order to generate the Part A of the periodic technical report. The IT tool will consolidate the individual financial statements and it will generate automatically the report with explanations of the use of resources and the periodic summary financial statements, which corresponds to the request for payment.

 The periodic technical report will be 'locked for review' by the coordinator before its submission. Make sure the information in the continuous reporting module is up-to-date before the periodic report is 'locked for review'. Updates entered after this step will be included in the periodic report of the following period.

- Instructions and footnotes in blue will not appear in the text generated by the IT system.
- For options [in square brackets]: the option that applies must be chosen in the IT system. Options not chosen will automatically either not appear or appear as 'not applicable'.
- For fields in [grey in square brackets] (even if they are part of an option as specified in the previous item): enter the appropriate data in the IT system.
- Data in coloured fields will be prefilled by the IT tool.

## PERIODIC REPORT

<b>Grant Agreement number:</b>	[insert Grant Agreement number]
<b>Project<sup>1</sup> Acronym:</b>	[insert acronym]
<b>Project title:</b>	[insert project title]
<b>Start date of the project:</b>	[insert dd/mm/yyyy]
<b>Duration of the project:</b>	[insert duration in months]
<i>[Option for MSCA Supervisor name:</i>	[insert name] ]
<i>[Option for MSCA Researcher name:</i>	[insert name] ]
<b>Period covered by the report:</b>	from [insert dd/mm/yyyy] to [insert dd/mm/yyyy]
<b>Periodic report:</b>	[1 <sup>st</sup> ] [2 <sup>nd</sup> ] [3 <sup>rd</sup> ] [4 <sup>rd</sup> ]
<b>Date of submission of the periodic report:</b>	[insert dd/mm/yyyy]
<b>Version:</b>	[insert number]
<b>Project website<sup>2</sup> address:</b>	[insert website address]
<b>The report is elaborated on the basis of the:</b>	- Original Grant agreement - Amended Grant Agreement through amendment n° [insert number]

(\*)Table is completed automatically

<sup>1</sup> The term 'project' used in this template equates to an 'action' in certain other Horizon 2020 documentation

<sup>2</sup> The home page of the website should contain the European flag which are available in electronic format at the Europa website (European flag: [http://europa.eu/abc/symbols/emblem/index\\_en.htm](http://europa.eu/abc/symbols/emblem/index_en.htm)) and the Horizon 2020 programme name.

## 1. Summary for publication

This section is structured in three sub-sections that must be completed on-line with suitable quality to enable direct publication by the Commission/Agency. 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 data.

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)<sup>3</sup>.

### 1.1 Summary of the context and overall objectives of the project

This section must be completed on-line (see above).

### 1.2 Work performed from the beginning of the project to the end of the period covered by the report and main results achieved so far

This section must be completed on-line (see above).

### 1.3 Progress beyond the state of the art, expected results until the end of the project and potential impacts (including the socio-economic impact and the wider societal implications of the project so far)

This section must be completed on-line (see above).

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<sup>3</sup> Any rights of third parties must be cleared in advance in accordance with the GA.

## 2. Deliverables

Del. no.	Deliverable name	WP no.	Lead beneficiary	Type	Dissemin. level	Delivery date from Annex 1	Actual delivery date	If deliverable not submitted on time: Forecast delivery date if appropriate	Status	Comments
[insert deliverable number]	[insert deliverable name]	[insert WP number]	[insert beneficiary short name]	[R] [DEM] [DEC] [OTHER]	[PU] [CO] [CI]	[insert month number]	[insert dd/mm/yyyy]	[insert dd/mm/yyyy]	[Not submitted] [Request for revision] [Not assessed yet] [Not valid] [Accepted]	[insert comments]

(\*) Data in coloured fields will be prefilled by the IT tool.

## 3. Milestones

Milest. no.	Milestone title	Related WP(s) no.	Lead beneficiary	Delivery date from Annex 1	Means of verification	Achieved	If not achieved Forecast achievement date	Comments
[insert MS number]	[insert milestone name]	[insert WP number]	[insert beneficiary short name]	[insert dd/mm/yyyy]	[insert means of verification as in Annex 1 ]	[YES] [NO]	[insert dd/mm/yyyy]	[insert comment if needed ]

(\*) Data in coloured fields will be prefilled by the IT tool.

## 4. Ethical Issues (if applicable)

Ethic deliverables	Due date of the compliance of the ethic deliverables	Report of the independent ethics advisor/ advisory board if applicable	Comments
[insert requirement as in Annex 1 ]	[insert dd/mm/yyyy]	[Not submitted] [Submitted]	[insert comment]

(\*) Data in coloured fields will be prefilled by the IT tool.

## 5. Critical implementation risks and mitigation actions

At the end of each period beneficiaries should give the state of play of every risk identified in Annex 1 and if necessary give new mitigation measures.

### Foreseen Risks

The following table lists the Risks identified in Annex 1. The table is read-only and it is provided as a reference for the State of Play table below.

Risk Number	Description of Risk	Work Packages Concerned	Proposed risk-mitigation measures
[insert risk number as in Annex 1]	[insert risk description as in Annex 1]	[insert WP number]	[insert mitigation measure as in Annex 1]

(\*) Data in coloured fields will be prefilled by the IT tool.

### Unforeseen Risks

Risk Number	Description of Risk	Work Packages Concerned	Proposed risk-mitigation measures
[insert unforeseen risk number]	[insert risk description]	[insert WP number]	[insert mitigation measure]

### States of the Play for Risk Mitigation

Risk Number	Period	Did you apply risk mitigation measures?	Did your risk materialise?	Comments
[risk number]	[period number]	[YES] [NO]	[YES] [NO]	[insert comment if needed; mandatory if the risk mitigation measures have not been applied]

## 6. Dissemination and exploitation of results

### 6.1 Scientific publications

Publications accessible via OpenAIRE will be displayed automatically. Beneficiaries will only need to check if the publications are linked to the project.

In case of publications not registered via OpenAIRE, the beneficiary encodes the Digital Object Identifier (DOI) and all the rest of information is complete automatically.

Type of scientific publication	Title of the scientific publication	DOI	ISSN or eSSN	Authors	Title of the journal or equivalent	Number, date	Publisher	Place of publication	Year of publication	Relevant pages	Public & private publication <sup>4</sup>	Peer-review	Is/Will open access provided to this publication
[Article in journal]	[insert title of the publication]	[insert DOI reference]	[insert ISSN or eSSN number]	[insert authors' name(s)]	[insert title of the journal]	[insert number of the journal]	[insert name of the publisher]	[insert place of publication]	[insert year of the publication]	[insert first page of the publication]	[YES] [NO]	[YES] [NO]	[Yes - Green OA [insert the length of embargo if any]]
[Publication in conference proceeding/workshop]						[insert month of the publication]				-			[Yes - Gold OA [insert the amount of processing charges in EUR if any]]
[Books/Monographs]						[insert year of the publication]				[insert last page of the publication]			[NO]
[Chapters in books]													
[Thesis/dissertation]													

(\*) Data to be completed only if DOI not available.

<sup>4</sup> Both the joint publications coming from academic and corporate project participants as well as joint publications of project participants with academic/corporate organisations outside the consortium (as long as they are related to the funded project) should be reported.

## 6.2 Dissemination and communication activities

List only activities directly linked to the project.

Type of dissemination and communication activities	Number
[Organisation of a Conference] [Organisation of a workshop] [Press release] [Non-scientific and non-peer reviewed publications (popularised publications)] [Exhibition] [Flyers] [Training] [Social media] [Web-site] [Communication campaign (e.g radio, TV)] [Participation to a conference] [Participation to a workshop] [Participation to an event other than a conference or workshop] [Video/film] [Brokerage event] [Pitch event] [Trade fair] [Participation in activities organised jointly with other H2020 project(s)] [Other]	[insert number of activities]
<b>Total funding amount</b>	[insert amount in EUR]

(\*) One row per type of activity selected from the drop-down menu in the IT tool.

Type of audience reached In the context of all dissemination & communication activities (multiple choices' is possible)	Estimated Number of persons reached
[Scientific Community (higher education, Research)] [Industry] [Civil Society] [General Public] [Policy makers] [Medias] [Investors] [Customers] [Other]	[insert number]

(\*) One row per type of activity selected from the drop-down menu in the IT tool.



### 6.3 Intellectual property rights resulting from the project

Type of IP Rights	Application reference	Date of the application	Official title of the application	Applicant(s)	Has the IPR protection been awarded?	If available, official publication number of award of protection
[Patent] [Trademark] [Registered design] [Utility model] [Other]	[Option for international applications of patents [insert IP international organisation code] [insert serial number]]  [Option for national applications of patents [insert country code (two letters)] [insert serial number]]  [Option for other registered IPR [insert application reference country code (two letters) or organisation code] [insert alphanumeric identifier]]	[insert dd/mm/yyyy]	[insert title of the application]	[insert beneficiary(ies) name]	[YES] [NO] [No applicable]	[Option for patents [insert code (two letters referring to a country or organisation)] [insert serial number]]  Option for rest [insert official publication number ]/

(\*) By encoding the application reference part of the data will be automatically completed.

## 6.4 Innovation

Explanation on the terminology used can be found in the Online Manual.

*[Option for LEIT, and societal challenges, including FTI, JUs and SME Instrument]* Does the project include the following activities and if so how many of each?

Activities developed within the project	Number
Prototypes	[insert number]
Testing activities (feasibility/demo)	[insert number]
Clinical trials	[insert number]

Will the project lead to launching one of the following into the market (several possible):

New product (good or service)	[YES]
	[NO]
New process	[YES]
	[NO]
New method	[YES]
	[NO]

]

*[Option for LEIT and societal challenges, including FTI, JUs and SME Instrument]* How many private companies in your project have introduced or are planning to introduce innovations (within the project lifetime or 3 years thereafter):

	Total Number of companies	Number of SMEs
Companies introducing innovation(s) new to the market	[insert number]	[insert number of SMEs]
Companies introducing innovation(s) only new to the company	[insert number]	[insert number of SMEs]

]

## 7. Impact on SMEs

### *[Option for all projects with an SME]*

SME Name	Turnover of the company at the beginning of the project/most recent accountability period from the beginning of the project	Number of employees at the beginning of the project/ most recent accountability period from the beginning of the project	Turnover of the company at the most recent accountability period	Number of employees at the most recent accountability period
[insert name of SME]	[insert amount from database (pre-filled if information is available, otherwise the user will need to enter the information manually)]	[insert amount from database (pre-filled if information is available, otherwise the user will need to enter the information manually)]	[insert amount]	[insert number]

(\*) Data in coloured fields will be prefilled by the IT tool.

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### *[Option for SME Instrument only]*

Please fill in the table with your estimated forecasts for turnover and employment for the next 3 years (for the multi-beneficiaries project the coordinator should provide figures for the whole project consortium).

	1 year after project completion	2 years after project completion	3 years after project completion
Turnover (€)	[insert amount]	[insert amount]	[insert amount]
Employment (Headcounts)	[insert number]	[insert number]	[insert number]

]

*[Option mandatory for all projects not opting out of the extended ‘Open research data pilot’ (now covering all of Horizon 2020)]*

## 8. Open Research Data

More information on Data Management Plans (DMPs) in the Online Manual.

Digital Object Identifier, DOI (if available)	Title/Identifier (if no DOI available)	Is this dataset Openly accessible <sup>5</sup> ?	Is this dataset re-usable <sup>6</sup>	If the dataset is linked to a publication, specify the DOI of the publication
[insert DOI reference]	[insert title or identifier]	[YES] [NO]	[YES] [NO]	[insert DOI reference of the publication]

]

<sup>5</sup> Accessible means Open Access defined as free of charge access for anyone via Internet. Answer "yes" if the open access to the data is already established or if it will be established after an embargo period.

<sup>6</sup> Re-usability has 2 aspects: 1) technical: the technical standards used are compatible 2) legal: the necessary rights are in place for other users to use the dataset.

## 9. Gender

### Gender of researchers and other workforce<sup>7</sup> involved in the project

Beneficiaries	Number Women researchers <sup>8</sup> (all levels, incl. postdocs and PhD students)	Number Men researchers <sup>8</sup> (all levels, incl. postdocs and PhD students)	Number Women in the workforce other than researchers	Number Men in the workforce other than researchers
[insert name of beneficiary]	[insert number]	[insert number]	[insert number]	[insert number]

(\*) Data in coloured fields will be prefilled by the IT tool.

### Gender dimension in the project

Does the project include a gender dimension in research content<sup>9</sup>? [YES][NO]

<sup>7</sup> Figures must be provided in Head Count.

<sup>8</sup> Researchers are professionals engaged in the conception or creation of new knowledge. They conduct research and improve or develop concepts, theories, models, techniques instrumentation, software or operational methods. (Frascati Manual (2015): §5.35).

<sup>9</sup> Gender dimension in research content means taking into account as relevant the biological characteristics and the social and cultural features of women and men in the content of the research itself. It does not refer to the gender balance in research team participating to the research project.

## *[Option only available for projects under "Science with and for Society" (SWAFS)]*

### **10. Science with and for Society**

More information on definition of "institutional change" and responsible research and innovation (RRI) approach in the Online Manual.

Institutional changes	Intended target of the project (multiple answers possible)	Beneficiaries
<ul style="list-style-type: none"> <li><i>[Develop Gender Equality Plans / measures]</i></li> <li><i>[Develop material for integration of science and society in curricula (e.g. covering STEM, public engagement, ethics, gender)]</i></li> <li><i>[Help uphold human rights and high general ethical standards, by adoption, development and/or implementation of codes of conduct, ethical review, etc.]</i></li> <li><i>[Develop activities to anticipate the potential social, environmental, and economic impacts of research (e.g. risk assessment, TA, foresight, Impact assessment, gender analysis)]</i></li> <li><i>[Develop a Social Corporate Responsibility dimension to foster responsible innovation]</i></li> <li><i>[Help develop R&amp;I standards that enhance social responsibility, inclusiveness, sustainability of R&amp;I processes and products]</i></li> <li><i>[Enlarge the scope of R&amp;I activities by fostering informal science education (museums, science centres), promoting citizen science, engaging civil society actors and citizens]</i></li> <li><i>[Engage with multiple stakeholders for R&amp;I decision making at local, national, regional EU or global level]</i></li> <li><i>[Foster open science and open access to scientific results and data (e.g. on-line open notebooks, open educational resources, open data, etc.)]</i></li> <li><i>[Other [insert specification]]</i></li> </ul>	<ul style="list-style-type: none"> <li><i>[The project itself / the project's host]</i></li> <li><i>[Universities overall]</i></li> <li><i>[Research performing organisation]</i></li> <li><i>[Public authorities]</i></li> <li><i>[International organisations]</i></li> <li><i>[Researchers]</i></li> <li><i>[Businesses and Industry R&amp;D]</i></li> <li><i>[Citizens and NGOs]</i></li> <li><i>[Other]</i></li> </ul>	<p><i>[insert name of beneficiary]</i></p>

(\*) One row per type of institutional change selected from the drop-down menu in the IT tool.

]

## *[Option for Projects under societal challenge 3 "Secure, clean and efficient energy"]*

### 11. Energy

<b>Indicators</b>	<i>Calls under Societal challenge 3 "Secure, clean and efficient energy"</i>	<b>Results</b>
<i>[Option for projects under the calls "Energy efficiency" and "Smart cities and communities" only</i> 1- Primary energy savings triggered by the project funded.]	<i>For projects under the call "Energy efficiency" and the call "Smart cities and communities" only.</i>	[insert amount (quantification (GWh/year per million €)]
<i>[Option for projects under the calls "Energy efficiency" and "Competitive low-carbon energy</i> 2- Total additional investments in sustainable energy triggered by the project within its duration. ]	<i>Investments triggered by projects under the call "Energy efficiency" and investments triggered by projects under the call "Competitive low-carbon energy".</i>	[insert amount in Mio €]
<i>[Option for projects under the call "Smart cities and communities" only</i> 3- City investments - Total additional investment for prototypes or roll-out of innovative SCC concepts, business models, technologies and infrastructures (specifically in Follower Cities) triggered by the project.]	<i>For projects under the call "Smart cities and communities" only.</i>	[insert amount in Mio €]

]

Example, not to complete

*[Option for Projects on Infrastructures*

**12. Infrastructures**

**List of users**

**Researchers who have trans-national access to research infrastructures through Union support**

Researcher			Employing organisation/Home institution			User-project acronym	Activity Domain (Discipline)	Installations used by the researcher (*)		
Name	Gender	Nationality	Name	Legal Status	Country			Infrastructure Short Name	Installation ID	Installation Short Name
[insert first name] [insert last name]	/M/ /F/	[insert nationality]	[insert name of organisation]	[UNI University and other higher education organisations ] [RES Public research organisation (including international research organisation as well as private research organisation controlled by a public authority)] [SME] [PRV Other Industrial and/or profit Private organisation] [OTH]	[insert country]	[insert acronym]	[Physics] [Chemistry] [Life Sciences & Biotech] [Earth Sciences & Environment] [Engineering & Technology] [Mathematics] [Information & Communication Technologies] [Material Sciences] [Energy] [Social Sciences] [Humanities]	[insert Short Name of the infrastructure (as in Annex I) to which the first installation used by the researcher belongs]	[insert ID of the first installation used by the researcher (as in Annex I)]	[insert Short Name of the first installation used by the researcher (as in Annex I)]
								(*) add as many rows as installations		



### Research infrastructures made accessible to all researchers in Europe and beyond through EU support and summary of trans-national access provision per installation per reporting period (RP)

Participant number	Organisation short name	Short name of infrastructure	Installation		Unit of access	Min. quantity of access to be provided in Annex I (A)	Access provided in RP1	Access provided in RP2	Access provided in RP3	Access provided in RP4	Total access provided (B)	Difference (B-A)
			Number	Short name								
[insert participant name]	[insert organisation short name]	[insert infrastructure short name as in Annex 1]	[insert installation number as in Annex 1]	[insert installation short name as in Annex 1]	[insert unit of access as in Annex 1]	[insert number as in Annex 1]	[insert number]	[insert number]	[insert number]	[insert number]	[insert TOTAL number]	[insert number]

(\*) Data in coloured fields will be prefilled by the IT tool.

### Researchers who have access to research e-infrastructures through Union support

e-infrastructure name	e-infrastructure service	Activity Domain (Discipline)	Maximum possible number of users	Nr of actual users by max possible number in P1 (%)	Nr of actual users by max possible number in P2 (%)	Nr of actual users by max possible number in P3 (%)	Nr of actual users by max possible number in P4 (%)
[insert e-infrastructure name]	[insert e-infrastructure service]	/Physics/ /Chemistry/ /Life Sciences & Biotech/ /Earth Sciences & Environment/ /Engineering & Technology/ /Mathematics/ /Information & Communication Technologies/ /Material Sciences/ /Energy/ /Social Sciences/ /Humanities/	[insert number]	[insert percentage]	[insert percentage]	[insert percentage]	[insert percentage]

]



**Project<sup>10</sup> Number:** [insert project reference number]

**Project Acronym:** [insert acronym]

**Project title:** [insert project title]

## Periodic Technical Report

### Part B

**Period covered by the report:** from [insert dd/mm/yyyy] to [insert dd/mm/yyyy]

**Periodic report:** [1<sup>st</sup>] [2<sup>nd</sup>] [3<sup>rd</sup>] [4<sup>rd</sup>]

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<sup>10</sup> The term 'project' used in this template equates to an 'action' in certain other Horizon 2020 documentation

## 1. Explanation of the work carried out by the beneficiaries and Overview of the progress

- Explain the work carried out during the reporting period in line with the Annex 1 to the Grant Agreement.
- Include an overview of the project results towards the objective of the action in line with the structure of the Annex 1 to the Grant Agreement including summary of deliverables and milestones, and a summary of exploitable results and an explanation about how they can/will be exploited<sup>11</sup>.

(No page limit per workpackage but report shall be concise and readable. Any duplication should be avoided).

### 1.1 Objectives

List the specific objectives for the project as described in section 1.1 of the DoA and described the work carried out during the reporting period towards the achievement of each listed objective. Provide clear and measurable details.

### 1.2 Explanation of the work carried per WP

#### 1.2.1 Work Package 1

Explain the work carried out in WP1 during the reporting period giving details of the work carried out by each beneficiary/linked third party involved.

#### 1.2.2 Work package 2

Etc.

### 1.3 Impact

Include in this section whether the information on section 2.1 of the DoA (how your project will contribute to the expected impacts) is still relevant or needs to be updated. Include further details in the latter case.

## *[Option for Projects on Access to Research Infrastructures]*

### 1.4. Access provisions to Research Infrastructures

If access to research infrastructures has been provided under the grant please include access provision activities.

#### **Trans-national Access Activities (TA)**

Provide for the set of TA Work Packages, the integrated information described below.

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<sup>11</sup> Beneficiaries that have received Union funding, and that plan to exploit the results generated with such funding primarily in third countries not associated with Horizon 2020, should indicate how the Union funding will benefit Europe's overall competitiveness (reciprocity principle), as set out in the grant agreement.

### Description of the publicity concerning the new opportunities for access

In the first periodic report describe the measures taken to publicise to research teams throughout Europe the opportunities for access open to them under the Grant Agreement. In the following periodic reports indicate only additional measures and changes.

### Description of the selection procedure

In the first periodic report, describe the procedure used to select users: organisation of the Selection Panel, any additional selection criteria<sup>12</sup> employed by the Selection Panel, measures to promote equal opportunities, etc. Specify if feedback is given to rejected applicants and in which form. In the following periodic reports indicate only changes to the existing procedure.

The list of the Selection Panel members should be maintained and update when necessary in order to prove that the panel is composed following the conditions indicated in Article 16.1 of the GA<sup>13</sup>. The Commission reserves the right to request this list at any time.

Indicate number, date and venue (if not carried out remotely) of the meetings of the Selection panel during the reporting period.

Provide integrated information on the selection of user projects and on the scientific output of supported users. In particular indicate the number of eligible User projects submitted in the reporting period and the number of the selected ones taking into account only calls for which the selection has been completed in the reporting period. Indicate also the number of user projects, started and supported in the reporting period, which have a majority of users not working in an EU or associated country

### Description of the Trans-national Access activity

Give an overview of the user-projects<sup>14</sup> and users supported in the reporting period indicating their number, their scientific fields and other relevant information you may want to highlight. You should maintain the list of the user-projects for which costs have been incurred in the reporting period. A user-project can run over more than one reporting period. In this case it should be inserted in the list of each concerned reporting period.

The list of user-projects must include, for each user-project, the acronym, objectives, as well as the amount of access granted to it on each installation used by the user-project in the reporting period. When the user-project is completed in the reporting period the list should also include a short description of the work carried out. The Commission reserves the right to request this list at any time.

In addition you must fill the following tables (in Part A to be filled in the IT tool):

- List of users: Researchers who have access to research infrastructures/installations (one or more) through Union support under the grant either in person (through visit) or through remote access;
- Research infrastructures made accessible to all researchers in Europe and beyond through EU support and summary of trans-national access provision per installation

<sup>12</sup> See article 16.1 of the Grant Agreement.

<sup>13</sup>The selection panel must be composed of international experts in the field, at least half of them independent from the beneficiaries, unless otherwise specified in Annex 1.

<sup>14</sup> A user-project is a proposal for access submitted by a user group to the consortium to be evaluated by the Selection Panel.

per reporting period indicate for each installation providing trans-national access under the project the quantity of access actually provided in the Reporting Period (expressed in the unit of access defined in Annex 1 for that specific installation).

### Scientific output of the users at the facilities

Give highlights of important research results from the user-projects supported under the grant agreement. Indicate the number and the type of publications derived by user-projects supported under the grant taking into account only publications that acknowledge the support of this EU grant.

You should maintain a list of publications that have appeared in journals (or conference proceedings) during the reporting period and are resulting from work carried out under the Trans-national Access activity. List only publications that acknowledge the support of the European Community. For each publication indicate: the acronyms of the user-projects that have led to the publication itself, the authors, the title, the year of publication, the type of publication (Article in journal, Publication in conference proceeding/workshop, Book/Monograph, Chapters in book, Thesis/dissertation, whether it has been peer-reviewed or not, the DOI (Digital Object Identifier), the publication references, and whether the publication is available under Open Access or not. The Commission reserves the right to request this list at any time.

### User meetings

If any user meetings have been organised in the reporting period, indicate for each of them the date, the venue, the number of users attending the meeting and the overall number of attendees.

### **Virtual Access Activities (VA)**

Provide for the set of VA Work Packages, the integrated information described below..

Provide statistics on the virtual access in the period by each installation, including quantity, geographical distribution of users and, whenever possible, information/statistics on scientific outcomes (publications, patents, etc.) acknowledging the use of the infrastructure.

As indicated in Art. 16.2, the access providers must have the virtual access services assessed periodically by a board composed of international experts in the field, at least half of whom must be independent from the beneficiaries. In the first periodic report, describe how the virtual access providers will comply with this obligation. In the following periodic reports indicate only changes to the existing procedure.

When an assessment is scheduled under the reporting period, the assessment report must be submitted as deliverable.

### **1.5 Resources used to provide access to Research Infrastructures**

For virtual or trans-national access costs reported as actual costs include, for each access provider, information on how many of the Person Months (PM) reported in the use of resources linked to the financial statements have been used to provide access and explain for which task (e.g. scientific support to users, ...).

<b>Beneficiary/Linked Third Party short name</b>	<b>Installation(s)</b>	<b>PM</b>	<b>Explanations of tasks</b>

Information on individual subcontracts must be reported in the use of resources linked to the financial statements in the IT tool. Please mention in the comments field of each subcontract whether it is related to virtual or trans-national access. In addition, all other direct costs items related to virtual or trans-national access must be detailed in the use of resources linked to the financial statements in the IT tool, even if they do not exceed 15% of personnel costs.

]

## **2. Update of the plan for exploitation and dissemination of result (if applicable)**

Include in this section whether the plan for exploitation and dissemination of results as described in the DoA needs to be updated and give details.

## **3. Update of the data management plan (if applicable)**

Include in this section whether the data management plan as described in the DoA needs to be updated and give details.

## **4. Follow-up of recommendations and comments from previous review(s) (if applicable)**

Include in this section the list of recommendations and comments from previous reviews and give information on how they have been followed up.

## **5. Deviations from Annex 1 and Annex 2 (if applicable)**

Explain the reasons for deviations from the DoA, the consequences and the proposed corrective actions.

### **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** (not applicable for MSCA and Lump Sum Pilot)

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.

Include explanations on transfer of costs categories (if applicable).

Include explanations on adjustments to previous financial statements (if applicable).

#### **5.2.1 Unforeseen subcontracting (if applicable)**

Specify in this section:

- a) the work (the tasks) performed by a subcontractor which may cover only a limited part of the project;
- b) explanation of the circumstances which caused the need for a subcontract, taking into account the specific characteristics of the project;
- c) 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 (not applicable for Lump Sum Pilot).

**5.2.2 Unforeseen use of in kind contribution from third party against payment or free of charges (if applicable)** (not applicable for MCSA and Lump Sum Pilot)

Specify in this section:

- d) the identity of the third party;
- e) the resources made available by the third party respectively against payment or free of charges
- f) explanation of the circumstances which caused the need for using these resources for carrying out the work.

Example, not to complete

# Periodic Financial Report

Individual financial statements (Annex 4 to the GA). More information in the Online Manual. The IT tool will show the financial statement applicable for your type of action.

print format A4 landscape

## MODEL ANNEX 4 FOR H2020 GENERAL MGA — MULTI

### FINANCIAL STATEMENT FOR [BENEFICIARY [name]/ LINKED THIRD PARTY [name]] FOR REPORTING PERIOD [reporting period]

Eligible <sup>1</sup> costs (per budget category)											Receipts					Additional information		
A. Direct personnel costs			B. Direct costs of subcontracting	[C. Direct costs of fin. support]	D. Other direct costs			E. Indirect costs <sup>2</sup>	[F. Costs of ... ]		Total costs	Receipts	Reimbursement rate %	Maximum EU contribution <sup>3</sup>	Requested EU contribution	Information for indirect costs:		
A.1 Employees (or equivalent)	A.4 SME owners without salary			[C.1 Financial support]	D.1 Travel	[D.4 Costs of large research (infrastructure)]	D.5 Costs of internally invoiced goods and services		[F.1 Costs of ...]	[F.2 Costs of ...]		Receipts of the action, to be reported in the last reporting period, according to Article 5.3.3				Costs of in-kind contributions not used on premises		
A.2 Natural persons under direct contract	A.5 Beneficiaries that are natural persons without salary			[C.2 Prizes]	D.2 Equipment													
A.3 Seconded persons [A.6 Personnel for providing access to research (infrastructure)]					D.3 Other goods and services													
Form of costs <sup>4</sup>	Actual	Unit	Unit	Actual	Actual	Actual	Actual	Unit	Flat-rate <sup>5</sup> 25%	Unit	[Unit][Lump sum]							
	a	Total b	No hours Total c	d	[e]	f	[g]	Total h	I=0.25 x (a+b+c+f+g) + h x (i <sup>6</sup> + [j2] <sup>6</sup> - p)	No units	Total [j1]	Total [j2]	k = a+b+c+d+e+f+h+g) x h + i + [j1] + [j2]	i	m	n	o	p
[short name beneficiary/linked third party]																		

The beneficiary/linked third party hereby confirms that:  
 The information provided is complete, reliable and true.  
 The costs declared are eligible (see Article 6).  
 The costs can be substantiated by adequate records and supporting documentation that will be produced upon request or in the context of checks, reviews, audits and investigations (see Articles 17, 18 and 22).  
 For the last reporting period: that all the receipts have been declared (see Article 5.3.3).

Please declare all eligible costs, even if they exceed the amounts indicated in the estimated budget (see Annex 2). Only amounts that were declared in your individual financial statements can be taken into account later on, in order to replace other costs that are found to be ineligible.

<sup>1</sup> See Article 6 for the eligibility conditions

<sup>2</sup> The indirect costs claimed must be free of any amounts covered by an operating grant (received under any EU or Euratom funding programme; see Article 6.2.E). If you have received an operating grant during this reporting period, you cannot claim indirect costs unless you can demonstrate that the operating grant does not cover any costs of the action.

<sup>3</sup> This is the theoretical amount of EU contribution that the system calculates automatically (by multiplying the reimbursement rate by the total costs declared). The amount you request (in the column 'requested EU contribution') may be less.

<sup>4</sup> See Article 5 for the form of costs

<sup>5</sup> Flat rate: 25% of eligible direct costs, from which are excluded: direct costs of subcontracting, costs of in-kind contributions not used on premises, direct costs of financial support, and unit costs declared under budget category F if they include indirect costs (see Article 6.2.E)

<sup>6</sup> Only specific unit costs that do not include indirect costs



**Report on Explanations on the use of resources** (not applicable for MCSA and Lump Sum Pilot)

A report on explanations on the use of resources per beneficiary. The report is generated automatically with the information inserted by the beneficiary at the time the financial statements are completed in the IT tool.

<b>Project Number</b>	[project number]
<b>Acronym</b>	[acronym]
<b>Period Number</b>	[1 <sup>st</sup> ] [2 <sup>nd</sup> ] [3 <sup>rd</sup> ] [4 <sup>rd</sup> ]
<b>Period covered</b>	From [dd/mm/yyyy] to [dd/mm/yyyy]

<b>Beneficiary Number</b>	[beneficiary number]
<b>Beneficiary Short Name</b>	[beneficiary short name]

<b>Direct personnel costs</b>
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**1. Direct personnel costs declared as actual costs** (When direct personnel costs are reported in the financial statement, a pop-up window will appear in the IT tool requesting to give information of the amount on person months per WP).

Person months	Associated WP
[insert number pm]	WP1
[insert number pm]	WP2
[insert number pm]	WP3
[insert number pm]	(etc.)

**2. Direct personnel costs declared as unit costs** (When direct personnel costs are reported as unit costs, including unit costs for SME owners without a salary and beneficiaries that are natural persons without a salary, in the financial statement, a pop-up window will appear in the IT tool requesting to give information on the amount of person months per WP).

Person months	Associated WP
[insert number pm]	WP1
[insert number pm]	WP2
[insert number pm]	WP3
[insert number pm]	(etc.)

**3. Use of in kind contribution from third party** (When direct personnel costs are reported – as actual or unit costs - in the financial statement, the pop-up window used to give information on the amount of person months per WP will also request details about the use of in kind contribution from third party: the costs, the name and type of the third party and whether the costs were foreseen in Annex 1 or not. Further explanations are mandatory if costs were not foreseen in Annex 1).

Third Party name	Type	Foreseen in Annex 1	Explanations (if not foreseen in Annex 1)	Costs
[insert name]	[Free of charge] [Against payment]	[YES] [NO]	[insert comment]	[insert amount in EUR]
One row per third party				
<b>TOTAL</b>				[insert amount in EUR]

### Direct costs of subcontracting

(When subcontracting costs are reported in the financial statement, a pop-up window will appear in the IT tool requesting to give information on the costs, description of the subcontract and if the subcontract was foreseen in Annex 1 or not. Further explanations are mandatory if subcontract not foreseen in Annex 1).

Description	Foreseen in Annex 1	Explanations (if not foreseen in Annex 1)	Costs
[insert comment]	[YES] [NO]	[insert comment]	[insert amount in EUR]
One row per subcontract			
<b>TOTAL</b>			[insert amount in EUR]

### Direct costs of providing financial support to third parties

(When direct costs of financial support to third parties (cascade funding) are reported in the financial statement, a pop-up window will appear in the IT tool requesting to give information on the costs and their description).

Description	Costs
[insert comment]	[insert amount in EUR]
One row per item.	
<b>TOTAL</b>	[insert amount in EUR]

**Other direct costs: 1. explanation of major actual cost items if the amount exceeds 15% of personnel costs;  
2. Unit costs for internal invoicing**

**1. Other direct costs declared as actual costs:** If actual costs declared under "other direct costs" are equal or less than 15% of claimed personnel costs for the beneficiary in each reporting period, no need to give any detail.

If actual costs declared under "other direct costs" are higher than 15% of claimed personnel costs for the beneficiary in each reporting period, major direct costs items need to be recorded in the pop-up window within the IT tool. The record of items must be up to the level that the remaining costs are below 15% of personnel costs, starting from the cost items of highest value in terms of cost amount. If costs were foreseen in the Annex 1 no further explanation is needed. If costs were not foreseen in Annex 1, further explanations are needed.

Short description	Category	Associated WP	Foreseen in Annex 1	Explanation (if not included in Annex 1)	Costs
[insert comment]	[Travel] [Equipment] [Other goods & services]	[insert WP number]	[YES] [NO]	[insert comment]	[insert amount in EUR]
One row per item					
<b>TOTAL</b>					[insert amount in EUR]

**2. Other direct costs declared as unit costs** (When unit costs for internally invoiced goods and services are reported in the financial statement, a pop-up window will appear in the IT tool requesting to give information on the costs and their description)..

Short description	Associated WP	Foreseen in Annex 1	Explanation (if not included in Annex 1)	Costs
[insert comment]	[insert WP number]	[YES] [NO]	[insert comment]	[insert amount in EUR]
One row per item				
<b>TOTAL</b>				[insert amount in EUR]

**Other direct costs reported as use of in kind contribution from third party**

Third Party name	Type	Category	Associated WP	Foreseen in Annex 1	Explanations (if not foreseen in Annex 1)	Costs
[insert name]	[Free of charge] [Against payment]	[Travel] [Equipment] [Other goods & services] [Internal invoicing]	[insert WP number]	[YES] [NO]	[insert comment]	[insert amount in EUR]
One row per item						
<b>TOTAL</b>						[insert amount in EUR]

HISTORY OF CHANGES		
VERSION	PUBLICATION DATE	CHANGE
1.0	15.07.2015	Initial version
1.1	14.09.2015	Table on section 12 on Research infrastructures has been corrected.
1.2	08.08.2016	Simplification of the question on energy. Question on gender: distinction between researchers and other work force. Corrections for MSCA.
1.3	27.03.2017	Modification of Part B for Research Infrastructures (RI) actions to include a table with the resources used to provide access to RI.
2.0	19.09.2017	Revision to include the new cost category in MGA v4.0 (other direct costs declared as units costs for internally invoiced goods and services)
2.1	19.12.2017	Update of part B of the template to include explanations on adjustments to financial statements declared on previous periods.
3.0	27.11.2019	Update of Part B to include specificities of lump sum pilot

Example, not to complete