



A smooth reporting: some guidelines

PROGRESS kick-off meeting

**Paola CHIARINI
REA Space Research Unit**

- 1. Who we are:
the Research Executive
Agency**
- 2. FP7 space weather projects**
- 3. Getting down to work: some
guidelines for reporting**
- 4. Questions & Answers**



European
Commission

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Executive agency of the EC

1. Manages a large share of **Horizon 2020**:

- **Excellent Science: Marie Skłodowska-Curie Actions, Future and Emerging Technologies (FET Open):**
- **Industrial Leadership: Space Research**
- **Societal Challenges: i.e. Food security and growth, Secure societies**

2. Runs large parts of **ongoing projects** under FP7

3. Provides **horizontal services** across all programmes:

- **Runs the evaluation facility**
- **Runs the Research Enquiry Service**



FP7-H2020 Implementation by the Space Research Unit:

- The REA is in charge of:
 - organising the **evaluation** of proposals
 - **grant agreement preparation (GAP)** of proposals
 - **technical and financial management of projects**

Policy work remains within the Commission DG GROWTH – this includes the definition of the space work programme

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FP7 funding of space weather related projects:

- over EUR 37 million
- 20 collaborative projects
- approximately 165 organisations (universities, research institutes and companies)

FP7 space weather projects



Ionospheric effects

AFFECTS – ionosphere, impact on communications
POPDAT – database of ionospheric waves catalogues
MISW – effects on GNSS

Atmospheric effects

ATMOP – thermosphere, better tracking of space objects in LEO

Data exploitation

ECLAT – magnetosphere, data mining & visualisation
HESPE – solar high-energy data analysis
eHeroes – DB&models for space exploration
SHOCK – plasma, kinetic modelling
SOLID – irradiance data & modelling
F-CHROMA – solar flares

Effects on Ground Systems

EURISGIC – geomagnetically induced currents in power systems

Effects on Spacecraft

SPACECAST – radiation belt, solar energetic particles
SEPServer – SEP data and events
PLASMON – plasmasphere, radiation belt
COMESSEP – coronal mass ejections, solar energetic particles, geomagnetic storms
MAARBLE – ULF/VLF database, radiation belt dynamics
SIDER – radiation shielding of composite enclosures
SPACESTORM – radiation belt, mitigation of effects on satellites
FLARECAST - solar flare prediction
PROGRESS – radiation belt, solar wind

Global modelling

SWIFF – couplings at solar surface, in space and at Earth
SOTERIA – better databases of existing data & simulation models

Some projects of interest



Table with list of projects available in paper.



| Acronym | Title | Coordinator | |
|-----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------|----------------------|
| SOTERIA | SOLar-TERrestrial Investigations and Archives | Katholieke Universiteit Leuven (BE) | Giovanni Lapenta |
| AFFECTS | Advanced Forecast For Ensuring Communications Through Space | GOETTINGEN STIFTUNG OEFFENTLICHEN RECHTS - UGOE (DE) | Volker Bothmer |
| ATMOP | Advanced Thermosphere Modeling for Orbit Prediction | DEIMOS Space - DMS (ES) | Noelia Sánchez-Ortiz |
| COMESOP | COronal Mass Ejections and Solar Energetic Particles: forecasting the space weather impact | INSTITUT D'AERONOMIE SPATIALE DE BELGIQUE - BIRA-IASB (BE) | Norma Crosby |
| EURISGIC | European Risk from Geomagnetically Induced Currents | Finnish Meteorological Institute (FI) | Ari Viljanen |
| PLASMON | A new, ground based data-assimilative modelling of the Earth's plasmasphere-a critical contribution to Radiation Belt modelling for Space Weather purposes | Eötvös Loránd University - ELTE (HU) | Janos Lichtenberger |

PROGRESS should take contact with some projects which could be of interest, i.e.:

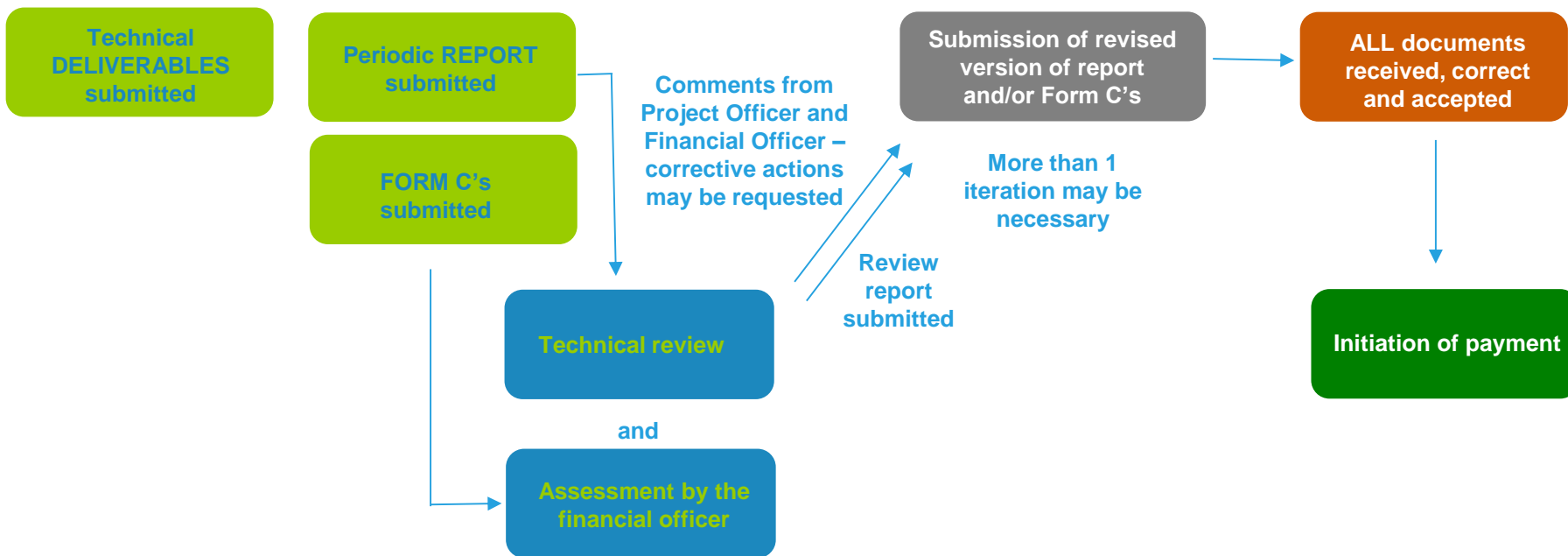
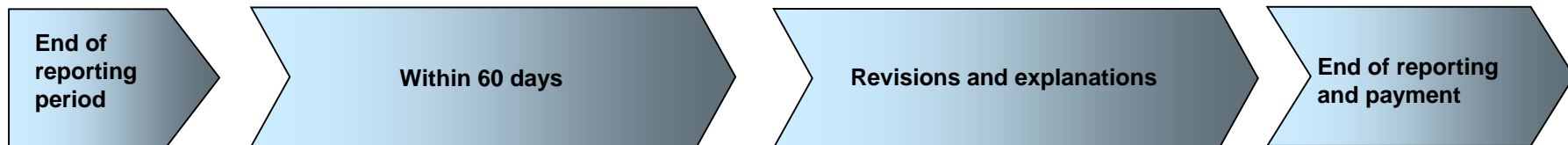
| Acronym | Title | Coordinator | |
|-------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------|---------------------|
| MAARBLE | Monitoring, Analyzing and Assessing Radiation Belt Loss and Energization | National Observatory of Athens (EL) | Ioannis Daglis |
| PLASMON | A new, ground based data-assimilative modelling of the Earth's plasmasphere-a critical contribution to Radiation Belt modelling for Space Weather purposes | Eötvös Loránd University - ELTE (HU) | Janos Lichtenberger |
| SPACESTORM | Modelling space weather events and mitigating their effects on satellites | NATURAL ENVIRONMENT RESEARCH COUNCIL - NERC-BAS (UK) | Richard B. Horne |

➡ Find all the space projects in the "Brochures" at

http://ec.europa.eu/enterprise/policies/space/research/resources/index_en.htm#h2-2

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Reporting and review



Find all documents in the Participant Portal



http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html#h2020

➔ Guidelines and templates for the periodic reporting are **still under development**

The screenshot shows the 'Reference Documents' page of the Research & Innovation Participant Portal. The page header includes the European Commission logo and the text 'RESEARCH & INNOVATION Participant Portal'. A navigation menu contains 'HOME', 'FUNDING OPPORTUNITIES', 'HOW TO PARTICIPATE', 'EXPERTS', and 'SUPPORT'. A search bar and 'LOGIN'/'REGISTER' buttons are also present. The main content area is titled 'Reference Documents' and contains a text block explaining that the page includes all H2020 & FP7 reference documents, grouped by categories. It provides instructions on how to click on a folder or an arrow for more information. Below this, there are tabs for 'H2020', 'Other EU programmes', and 'FP7'. The 'H2020' tab is active, showing a list of folders such as 'Legal basis', 'Model grant agreement', and 'H2020 Grants Manual'. The 'Research Executive Agency' logo is visible at the bottom of the page.

The consortium has to submit:

- The **deliverables** according to the timetable specified in the Deliverables list
- A **periodic report within 60 days** of the end of each reporting period (including the last reporting period)

BE ON TIME!

Grant Agreement number: [insert number] [insert acronym] [insert call/sub-call identifier]

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

Such breaches may also lead to any of the other measures described in Chapter 6.

ARTICLE 19 — SUBMISSION OF DELIVERABLES

19.1 Obligation to submit deliverables

The coordinator must submit the 'deliverables' identified in Annex 1, in accordance with the timing and conditions set out in it.

19.2 Consequences of non-compliance

If the coordinator breaches any of its obligations under this Article, the [Commission][Agency] may apply any of the measures described in Chapter 6.

ARTICLE 20 — REPORTING — PAYMENT REQUESTS

20.1 Obligation to submit reports

The coordinator must submit to the [Commission][Agency] (see Article 52) the technical and financial reports set out in this Article. These reports include the requests for payment and must be drawn up using the forms and templates provided in the electronic exchange system (see Article 52).

20.2 Reporting periods

The action is divided into the following 'reporting periods':

- RP1: from month 1 to month [X]
- [- RP2: from month [X+1] to month [Y]
- RP3: from month [Y+1] to month [Z]
- [same for other RPs]
- RPN: from month [N+1] to [the last month of the project].]

20.3 Periodic reports — Requests for interim payments

The coordinator must submit a periodic report within 60 days following the end of each reporting period.

The periodic report must include the following:

- (a) a 'periodic technical report' containing:
 - (i) an explanation of the work carried out by the beneficiaries;
 - (ii) an overview of the progress towards the objectives of the action, including milestones and deliverables identified in Annex 1.



It must include:

- **periodic technical report:**

- explanation of the work carried out,
- overview of the progress towards the objectives of the action,
- a summary for publication,
- a 'questionnaire', on economic and societal impact

- **periodic financial report:**

- individual financial statement,
- an explanation of the use of resources



Deliverables, technical report and financial statements to be **submitted on-line**

- **Access through the Participant Portal**
 - Each partner has to complete and upload its information
 - The coordinator has to revise it and submit it for the whole consortium
- **IT reporting module is under development and being tested**



NEW! = single submission & single rejection

- Technical report and all financial statements to be submitted by the coordinator as a "single package"
 - *"If a beneficiary does not include its related financial statement in a periodic report, the costs will be considered 'zero' for this reporting period but the beneficiary can declare its costs with the next financial report (for the next reporting period)."*
- Full package rejected if one document requires changes or corrections

Be aware



Some rules have changed

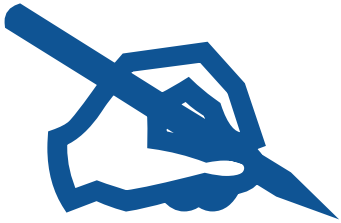
Implementation/interpretation of rules will be developed

New IT reporting tools are being developed

→ Check for up-to-date documents, and possibly revised presentation from the PO, before starting the reporting

Give a **clear account of the project activities** during the reporting period

The activity progress report:



- What did you do?
 - What did you achieve?
 - Which problems did you encounter?
 - Any deviations? Corrective actions?
-
- **Clear, informative, straight to the point, concise**
 - **Transparent communication**

Financial reporting: explain how the budget was spent



Fill in the form: ensure all required information is included

| Eligible costs (in €) | Type of activities | Total (F)=(A)+(B)+(C)+(D)+(E) |
|-----------------------------------------------|--------------------|-------------------------------|
| Personnel costs | | 0.00 |
| Subcontracting | | 0.00 |
| Other direct costs | | 0.00 |
| Indirect costs | | 0.00 |
| Access costs | | 0.00 |
| Lump sums / flat-rate / scale / unit declared | | 0.00 |
| Maximum EU Contribution | | 0.00 |
| Requested EU contribution | | 0.00 |

PERSONNEL COSTS: specify position (not name) and no. of person-months of work.
Ex. Salaries of 1 postdoctoral student for 18 person-months, 1 director for 3 person-months, 1 lab technician for 5 person-months

FP7 screenshot given only as example

| RTD/Personnel costs | | |
|---------------------|-------------|--------------|
| Cost | Explanation | Work Package |
| 0.00 | | |
| TOTAL | | |

0.00

Clear All Done

Explain how the budget was spent



DURABLE EQUIPMENT: has to be **depreciated** and **only the part relative to the period** can be charged

Ex. NMR spectrometer

*(total cost of 75,000€ / 12 months = 6,250 € * n. months of use in the project)*

TRAVELLING: List of travels including for each event: conference or meeting **title, location** (city and country), **date, purpose** of travel, number of **attendees** from the beneficiary

Ex.

ESWW5, Bruges (BE), 29.11.2009, kick-off meeting, 1 person

Meeting at partner 4, Brussels (BE), 09.03.2011, to discuss model development under WP4, 2 persons

The screenshot shows a web-based form titled "RTD/Other direct costs". The form has four columns: "Cost", "Category", "Explanation", and "Work Package". The "Cost" column contains a text input field with "895.00" and a "Clear All" button below it. The "Category" column has a dropdown menu with "other" selected, and a list of options: "other", "durable equipment", "consumables", "traveling", "computing", and "other". The "Explanation" column is empty. The "Work Package" column contains a text input field with "1". A "Done" button is located at the bottom right of the form.

| Cost | Category | Explanation | Work Package |
|--------|----------|-------------|--------------|
| 895.00 | other | | 1 |

Financial management: some words of advice

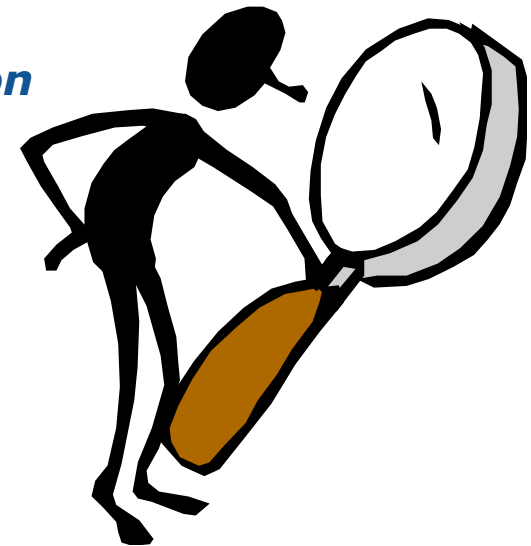


- Personnel Costs: **KEEP TIME RECORDS** of the hours worked on the action
- Meetings: collect participants' signatures (especially if you reimburse or claim travel costs)
- Any **subcontracting**?
 - *If you need a subcontract which is not planned in the Description of work, ask approval to the REA project officer **beforehand***
- Note to the coordinator: **if one partner overspends**, it is up to the coordinator to decide how much the partner can claim as EU contribution (i.e. full amount if the overspending is due to anticipated work, or only the budget share agreed for the reporting period and lower than the amount which could be claimed).

- **Planned at the end of each reporting period**
 - *Usually the review takes place 2 or 3 weeks after the submission of the report and deliverables*
 - *Combined with the progress meeting, when possible*

- **Present the work carried out, the main achievements and the use of the resources**
 - *Participation of the coordinator, participation of WP leaders to be discussed on a case-by-case basis*

- **REA is assisted by external reviewers**



- **Already paid at the end of 2014**
- **50% of maximum grant amount –
5% guarantee fund**



Intermediate payment



- Linked to the submission of **complete and correct** report, deliverables and financial statements
- Paid within **90 days** from receiving the full technical and financial report





Output- & Impact-Oriented Focus



Dissemination

Exploitation

Communication



open access



"Communicating EU Research & Innovation - A guide for project participants - "



On-line version (via Participant Portal)
http://ec.europa.eu/research/participants/data/ref/fp7/146012/communicating-research_en.pdf

One paper copy (from EU-Bookshop)
<http://bookshop.europa.eu/en/communicating-eu-research-innovation-pbKI3212366/>

Multiple paper copies (e-mail to)
RTD-PUBLICATIONS@ec.europa.eu



To be checked in H2020

Project WEBSITE

- Each project is requested to set up its own webpage and update it on a regular basis.
- Registering a project webpage on the ".eu" domain is particularly recommended.
 - Technical guidance on obtaining an ".eu" website may be found on http://ec.europa.eu/information_society/policy/doteu/index_en.htm.

Issue of deliverables

- **PUBLIC** deliverables
 - To be published in the project website
- **RESTRICTED** and **CONFIDENTIAL** deliverables
 - An abstract has to be published in the project website



What do we understand by OA?

OA = online access at no charge to the user

- to peer-reviewed scientific publications
- to research data (→ data management implications)

Two main OA publishing business models

- **Self-archiving**: deposit of manuscripts & immediate/delayed OA provided by author ("Green OA")
- **OA publishing**: costs covered & immediate OA provided by publisher ("Gold OA"), e.g. 'author-pay' model (APC) and others, e.g. sponsorship

What OA is NOT

- Not an obligation to publish
- Not at odds with patenting
- OA publications go through same peer review process as non OA publications



Any publicity, including at a conference or seminar or any type of information or promotional material must specify that the project has received EC research funding and **display the European emblem.**



All publications shall include the following statement:

"This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No [Number]"
(see Article 29.4 of the Grant Agreement).



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4. Any questions?

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