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# The European Research Council

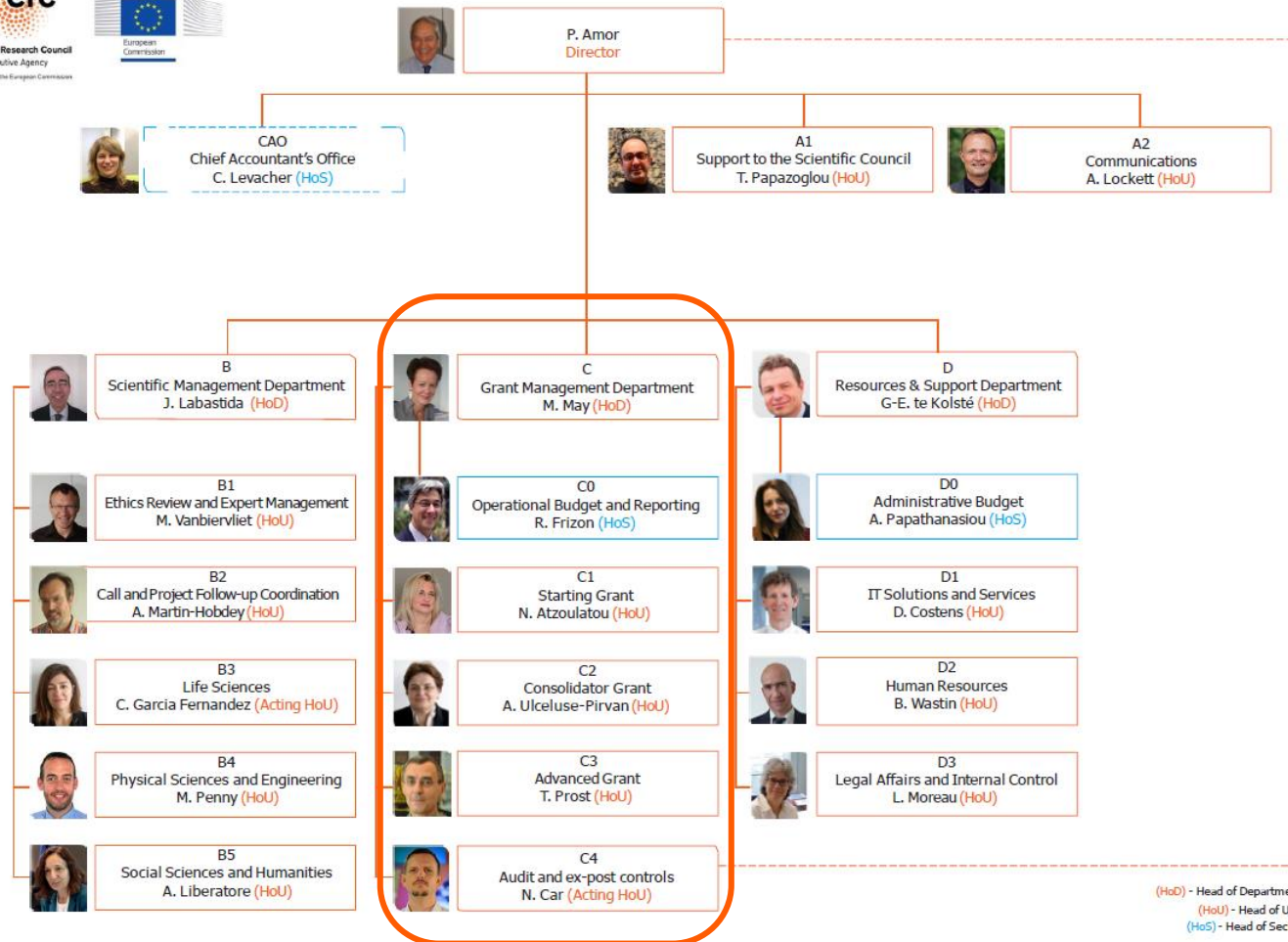


# The European Research Council

**ERC Grant Management Dept**  
**Caterina VISANI**  
*C3 Advanced Grant*

**Brussels, COV, March 2019**





(HoD) - Head of Department  
(HoU) - Head of Unit  
(HoS) - Head of Sector

# Grant Management Department

## Our mission



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- Once the funding decision is taken after the evaluation of a call, Department C takes charge of the financial and contractual requirements, for the research to happen.
- The Department is a service provider making sure that the PIs have the legal security and financial means to carry out their research in optimal conditions, keeping the administrative burden as low as possible.

# ERC grants - main specificities

## Principal Investigator has a central role

- PI is **key actor** in application and implementation (scientific expertise and **full autonomy**)
- PI **cannot be replaced**. If PI changes employer, GA is transferred (**portability**).
- PI efficient **supervision (PI time commitments obligations)**

## Grant Agreement signed with Host Institution

- HI must provide adequate environment (infrastructure & support)
- Institution hosting the PI is the (main) beneficiary
- Most of the ERC grants are **mono-beneficiary** (no consortium)

## Flexibility in Implementation

- Up to 100% real eligible costs
- Flexible management (budget and resources)
- Separation of reporting streams (scientific and financial)



# Separation of reporting duties

- 4 financial reports



- 2 scientific reports



**Thanks to streams separation and administrative support,  
PI can focus on science.**

# Grant Management Department

## Core businesses



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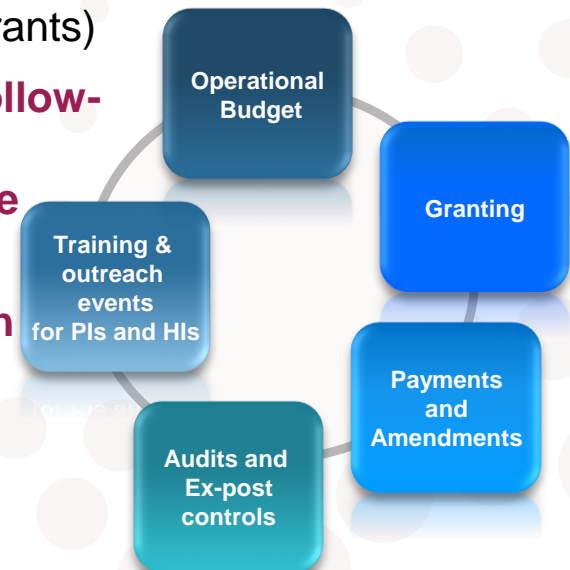
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Department C ensures the full administrative and financial management of ERC grants.

### Department C is in charge of the following Core Business Processes :

- ❑ Core Process 1: Establishment of **Operational budget** and supervision of implementation
- ❑ Core Process 2: **Granting** (transforming selected proposals into running ERC Grants)
- ❑ Core Process 3: **Financial and legal follow-up of the ERC grant agreements during their lifetime** (Payments and Amendments )
- ❑ Core Process 4: **Training and outreach events for PIs and HIs**
- ❑ Core Process 5: **Audits and Ex-post controls**

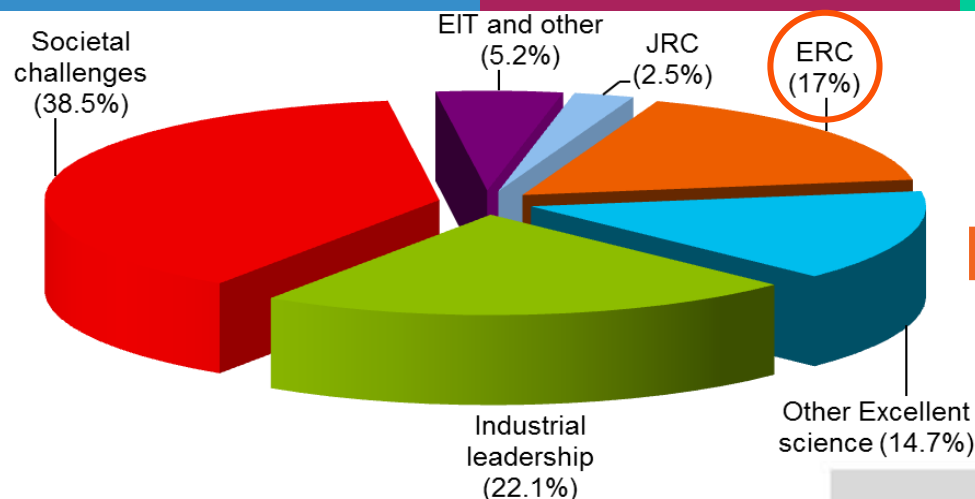


# Core business 1 Operational Budget

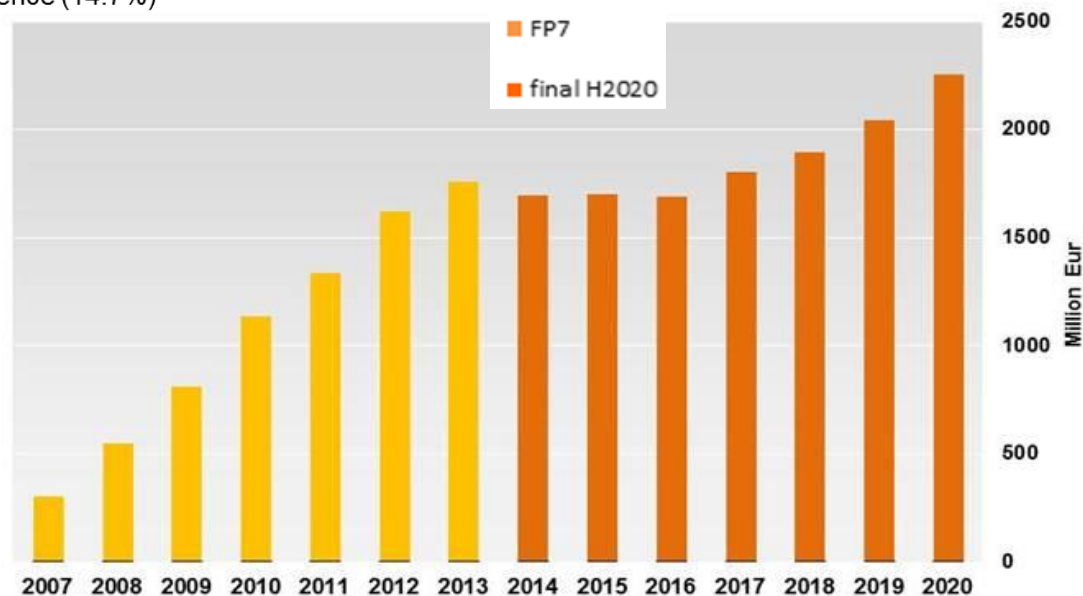


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## ERC Budget under H2020 13 billion €





# Core business 1

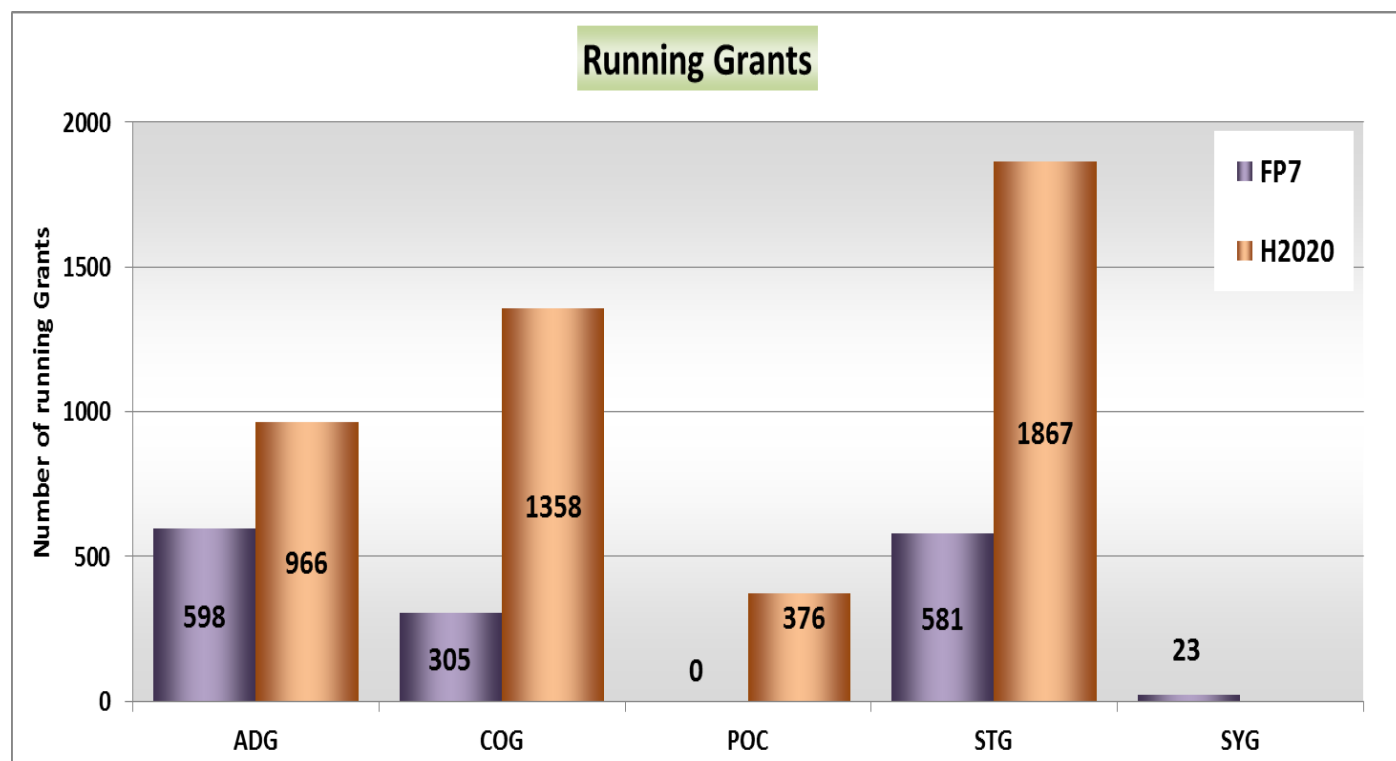
## Running Grants Portfolio



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	FP7	H2020	Total
<b>ADG</b>	598	966	<b>1564</b>
<b>COG</b>	305	1358	<b>1663</b>
<b>POC</b>	0	376	<b>376</b>
<b>STG</b>	581	1867	<b>2448</b>
<b>SYG</b>	23	3	<b>26</b>
<b>Sum:</b>	<b>1507</b>	<b>4570</b>	<b>6077</b>



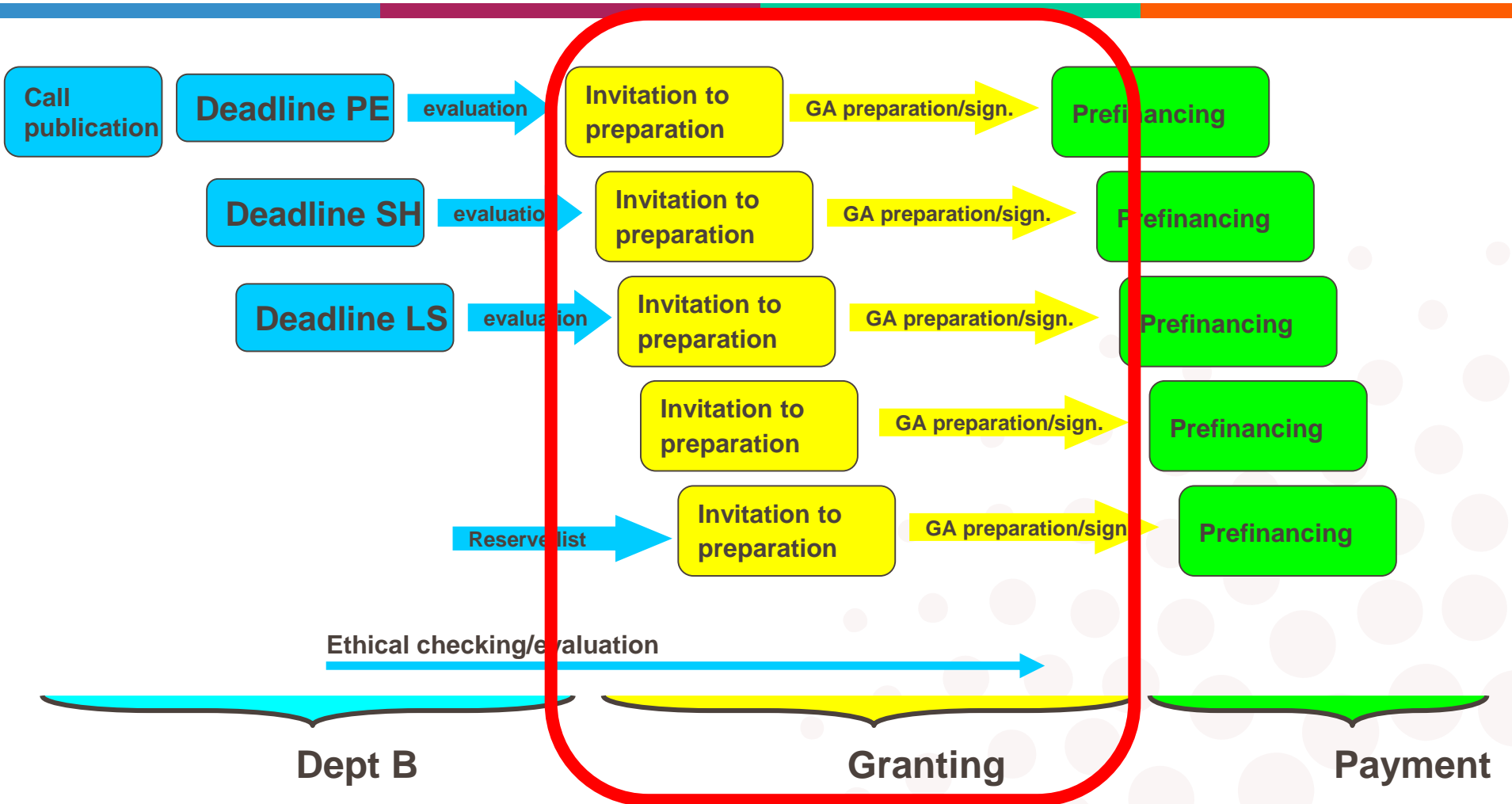
# Core business process 2 - Granting

## Granting in a project life-cycle



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# Grant preparation goals

## SIMPLIFICATION in granting:

- "Preventive checks": only when necessary
- Structure of the Annex 1: based on the proposal submission
- Budget table of Annex 2: simplified to one column
- Conclude granting fast and efficient
- Establish the key points of the grant agreement
  - start date,
  - ethics issues, if applicable,
  - linked third parties to the beneficiaries, in-kind contributions by third parties,
  - subcontracting
  - additional funding (if applicable)
- Description of the Action (Annex 1) and the Estimated budget for the action (Annex 2) match the proposal

# Granting - Key elements

- **Invitation Letter to prepare the grant agreement:**  
The Annex outlines important and updated information for each call
- **Online grant preparation** via the Participant portal **SyGMa**
- **Electronic Signatures:**
  - Remember to sign your 'Declaration of Honour'
  - EXCEPTION: Supplementary agreement
- **Please follow your proposal**

# Granting- key messages

- **Granting process is about concluding Grant Agreements for a smooth implementation of the project**
- **If there is any doubt about whether a cost is eligible, or for any questions, please contact your Project Officer. We are here to help**



# Core business process 3 - Payments

## Payment types



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### EU contribution is paid as follows:

- ➔ A single **pre-financing payment** paid out following the signature of the GA by the Agency,
  - 40% of the total EU contribution, 5% blocked on a Participants' Guarantee Fund
- ➔ **Interim payments** following each financial reporting period, on the basis of approved reports,
  - Eligible costs of the period are 100% reimbursed, up to 90% of the total EU contribution
- ➔ **Final payment** due at the end of the project for the last reporting period and upon approval of **both** scientific and financial reports.
  - Depending on the final cumulated eligible costs claimed:
    - either payment of the balance (+ release in part or totality of the Guarantee Fund)
    - or recovery of unspent amounts

# Core business process 2 - Payments

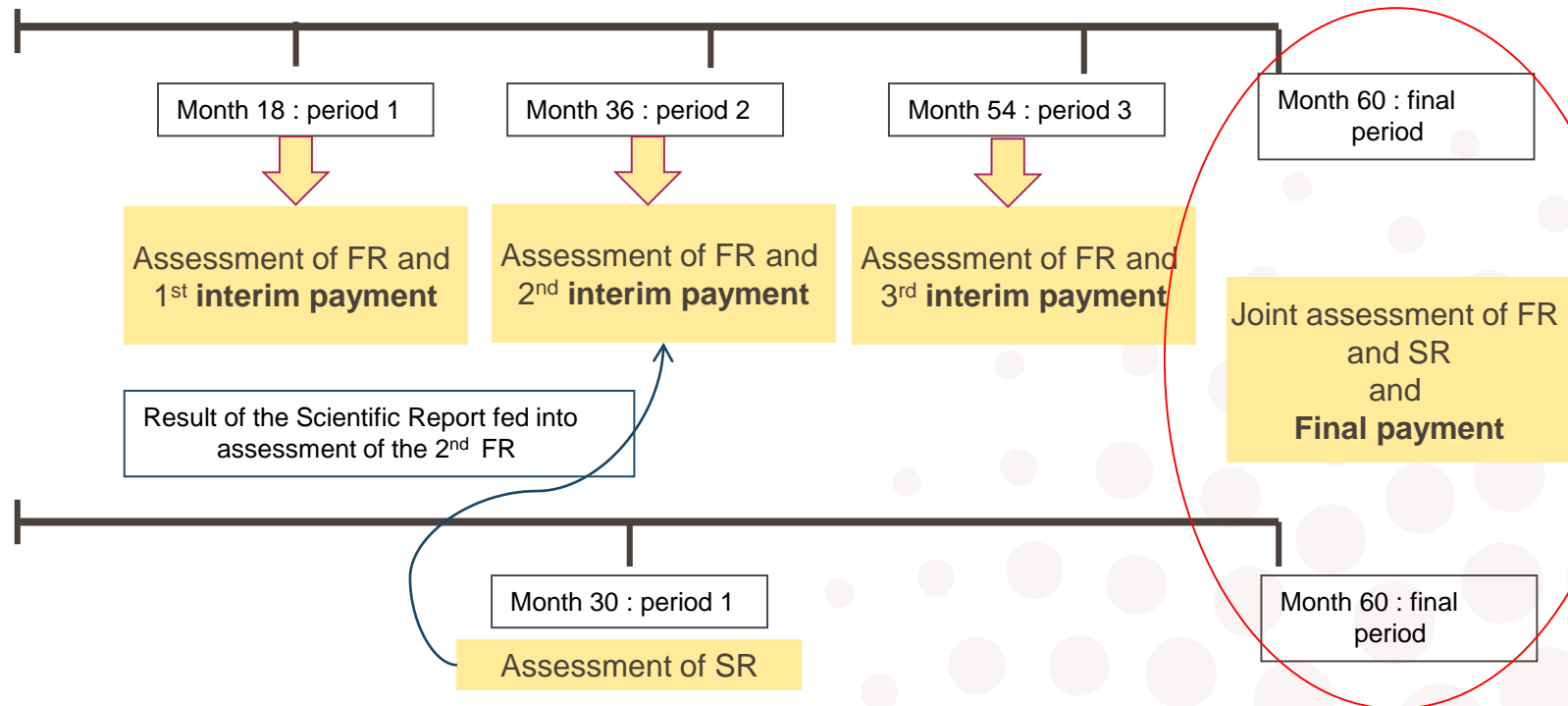
## Graphic presentation



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Financial report stream, responsible: Grant Management Department



Scientific report stream, responsible: Scientific Department

# Core business process 3 - Payments

## Eligible costs



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### Eligibility conditions

- Actual and recorded in the HI's accounts
- Incurred during the duration of the project
- Usual HI's management and accounting practices
- Necessary for the implementation of the Action
- Indicated in the Description of Action
- Sound financial management

### Typical costs categories

- Personnel (HI's payroll)
- Equipment (only the depreciation x % of use in the project)
- Consumables
- Travel
- Contracts for goods and services
- Publications
  
- Subcontracting (of action's tasks)

100%  
reimbursed  
+ flat rate  
25%  
overheads

d° but no overheads



# Core business process 3 - Amendments to the Grant Agreement



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*An amendment to a grant agreement (GA) is a legal act modifying the commitments initially accepted by the parties and which may create new rights or impose new obligations on them, or modify articles of the GA*

**Flexibility in implementing the budget: no formal amendment needed (unless resulting from changes in science)**

- **typical reasons for an amendment:**
  - Change of Host Institution
  - Addition/removal of a beneficiary
  - Extension of project's duration
  - Change in the scientific programme
  
- **May require approval of the Scientific Officer and/or the Ethics officer**

# Core business 4

## Training & outreach events for HIs and PIs



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Provide training on all project lifecycle phases (granting, justification of payments, amendments)

HI events

PIs events

Increase awareness of PIs with regard to their rights and obligations. Provide an interactive forum for questions and answers on specific situations.

PIs events

Bring beneficiaries to a high level of expertise on financial management by spotlighting common error and sharing best practices.

HI event

Dialogue and share experiences between them and with ERC staff. Inform about new ERC developments.



# Core business 5 - Ex-post control (external audit) for FP7\*



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- On the spot audits carried out with own resources
- Outsourcing to external audit firms
- Audits:
  - Pre-analysis
  - Field work
  - Preparation of the audit report
  - Conclusions of the audits are sent for implementation to the other C units.

\* H2020 is in remit of the Common Audit Service (CAS) at the level of the Commission



# Useful links



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- **Access to the Participant Portal:**  
<http://ec.europa.eu/research/participants/portal/desktop/en/home.html>
- **Link to the Annotated Model Grant Agreement**  
[http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/amga/h2020-amga\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf)
- **Step-by-step guide on preparing and submitting the Financial Report**  
<https://webgate.ec.europa.eu/fpfis/wikis/display/ECResearchGMS/Reporting+process+-+general>
- **Reference Documents via the Participant Portal**  
[http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference\\_docs.html](http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html)
- **Financial Periodic Report Template**  
[http://ec.europa.eu/research/participants/data/ref/h2020/gm/reporting/h2020-tpl-periodic-rep-fin-erc\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/gm/reporting/h2020-tpl-periodic-rep-fin-erc_en.pdf)