



EUROPEAN COMMISSION
Research Executive Agency

Director



GRANT AGREEMENT

NUMBER 101006261 — UniSAFE

This **Agreement** ('the Agreement') is **between** the following parties:

on the one part,

the **Research Executive Agency (REA)** ('the Agency'), under the powers delegated by the European Commission ('the Commission'), represented for the purposes of signature of this Agreement by Head of Unit, Research Executive Agency, Industrial Leadership and Societal Challenges, Spreading Excellence, Widening Participation, Science with and for Society, Ales FIALA,

and

on the other part,

1. 'the coordinator':

FONDATION EUROPEENNE DE LA SCIENCE (ESF), established in QUAI LEZAY MARNESIA 1, STRASBOURG CEDEX 67080, France, represented for the purposes of signing the Agreement by CEO, Nicolas WALTER

and the following other beneficiaries, if they sign their 'Accession Form' (see Annex 3 and Article 56):

2. **OREBRO UNIVERSITY (ORU)**, established in FAKULTETSGATAN 1, OREBRO 70182, Sweden, VAT number: SE202100292401,

3. **GESIS-LEIBNIZ-INSTITUT FUR SOZIALWISSENSCHAFTEN EV (GESIS)**, established in B2 1, MANNHEIM 68159, Germany, VAT number: DE814839735,

4. **YELLOW WINDOW (YW)**, established in MECHELSESTEENWEG 64 BUS 701, ANTWERPEN 2018, Belgium, VAT number: BE0829117792,

5. **INSTITUTE OF SOCIOLOGY OF THE ACADEMY OF SCIENCES OF THE CZECH REPUBLIC PUBLIC RESEARCH INSTITUTION (ISAS CR)**, established in JILSKA 1, PRAHA 1 11000, Czech Republic, VAT number: CZ68378025,

6. **UNIVERSIDAD COMPLUTENSE DE MADRID (UCM)**, established in AVENIDA DE SENECA 2, MADRID 28040, Spain, VAT number: ESQ2818014I,

7. **LIETUVOS SOCIALINIŲ TYRIMŲ CENTRAS (LSTC)**, established in GOSTAUTO G 11, Vilnius LT-01108, Lithuania,

8. **UNIWERSYTET JAGIELLONSKI (JU)**, established in Ul. Golebia 24, KRAKOW 31007, Poland, VAT number: PL6750002236,

9. **OXFORD BROOKES UNIVERSITY (OBU)**, established in HEADINGTON CAMPUS GIPSY LANE, OXFORD OX3 OBP, United Kingdom, VAT number: GB685414514,

Unless otherwise specified, references to ‘beneficiary’ or ‘beneficiaries’ include the coordinator.

The parties referred to above have agreed to enter into the Agreement under the terms and conditions below.

By signing the Agreement or the Accession Form, the beneficiaries accept the grant and agree to implement it under their own responsibility and in accordance with the Agreement, with all the obligations and conditions it sets out.

The Agreement is composed of:

Terms and Conditions

- Annex 1 Description of the action
- Annex 2 Estimated budget for the action
 - 2a Additional information on the estimated budget
- Annex 3 Accession Forms
- Annex 4 Model for the financial statements
- Annex 5 Model for the certificate on the financial statements
- Annex 6 Model for the certificate on the methodology

TERMS AND CONDITIONS

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CHAPTER 1 GENERAL

ARTICLE 1 — SUBJECT OF THE AGREEMENT

This Agreement sets out the rights and obligations and the terms and conditions applicable to the grant awarded to the beneficiaries for implementing the action set out in Chapter 2.

CHAPTER 2 ACTION

ARTICLE 2 — ACTION TO BE IMPLEMENTED

The grant is awarded for the action entitled ‘**Gender-based violence and institutional responses: Building a knowledge base and operational tools to make universities and research organisations safe**’ — ‘UniSAFE’ (‘action’), as described in Annex 1.

ARTICLE 3 — DURATION AND STARTING DATE OF THE ACTION

The duration of the action will be **36 months** as of 1 February 2021 (‘**starting date of the action**’).

ARTICLE 4 — ESTIMATED BUDGET AND BUDGET TRANSFERS

4.1 Estimated budget

The ‘**estimated budget**’ for the action is set out in Annex 2.

It contains the estimated eligible costs and the forms of costs, broken down by beneficiary and budget category (see Articles 5, 6).

4.2 Budget transfers

The estimated budget breakdown indicated in Annex 2 may be adjusted — without an amendment (see Article 55) — by transfers of amounts between beneficiaries, budget categories and/or forms of costs set out in Annex 2, if the action is implemented as described in Annex 1.

However, the beneficiaries may not add costs relating to subcontracts not provided for in Annex 1, unless such additional subcontracts are approved by an amendment or in accordance with Article 13.

CHAPTER 3 GRANT

ARTICLE 5 — GRANT AMOUNT, FORM OF GRANT, REIMBURSEMENT RATES AND FORMS OF COSTS

5.1 Maximum grant amount

The ‘**maximum grant amount**’ is **EUR 3 198 540.00** (three million one hundred and ninety eight thousand five hundred and forty EURO).

5.2 Form of grant, reimbursement rates and forms of costs

The grant reimburses **100% of the action's eligible costs** (see Article 6) (**'reimbursement of eligible costs grant'**) (see Annex 2).

The estimated eligible costs of the action are **EUR 3 198 540.00** (three million one hundred and ninety eight thousand five hundred and forty EURO).

Eligible costs (see Article 6) must be declared under the following forms (**'forms of costs'**):

(a) for **direct personnel costs**:

- as actually incurred costs (**'actual costs'**) or
- on the basis of an amount per unit calculated by the beneficiary in accordance with its usual cost accounting practices (**'unit costs'**).

Personnel **costs for SME owners or beneficiaries that are natural persons** not receiving a salary (see Article 6.2, Points A.4 and A.5) must be declared on the basis of the amount per unit set out in Annex 2a (**unit costs**);

(b) for **direct costs for subcontracting**: as actually incurred costs (**actual costs**);

(c) for **direct costs of providing financial support to third parties**: not applicable;

(d) for **other direct costs**:

- for costs of internally invoiced goods and services: on the basis of an amount per unit calculated by the beneficiary in accordance with its usual cost accounting practices (**'unit costs'**);
- for all other costs: as actually incurred costs (**actual costs**);

(e) for **indirect costs**: on the basis of a flat-rate applied as set out in Article 6.2, Point E (**'flat-rate costs'**);

(f) **specific cost category(ies)**: not applicable.

5.3 Final grant amount — Calculation

The **'final grant amount'** depends on the actual extent to which the action is implemented in accordance with the Agreement's terms and conditions.

This amount is calculated by the Agency — when the payment of the balance is made (see Article 21.4) — in the following steps:

Step 1 — Application of the reimbursement rates to the eligible costs

Step 2 — Limit to the maximum grant amount

Step 3 — Reduction due to the no-profit rule

Step 4 — Reduction due to substantial errors, irregularities or fraud or serious breach of obligations

5.3.1 Step 1 — Application of the reimbursement rates to the eligible costs

The reimbursement rate(s) (see Article 5.2) are applied to the eligible costs (actual costs, unit costs and flat-rate costs; see Article 6) declared by the beneficiaries (see Article 20) and approved by the Agency (see Article 21).

5.3.2 Step 2 — Limit to the maximum grant amount

If the amount obtained following Step 1 is higher than the maximum grant amount set out in Article 5.1, it will be limited to the latter.

5.3.3 Step 3 — Reduction due to the no-profit rule

The grant must not produce a profit.

‘**Profit**’ means the surplus of the amount obtained following Steps 1 and 2 plus the action’s total receipts, over the action’s total eligible costs.

The ‘**action’s total eligible costs**’ are the consolidated total eligible costs approved by the Agency.

The ‘**action’s total receipts**’ are the consolidated total receipts generated during its duration (see Article 3).

The following are considered **receipts**:

- (a) income generated by the action; if the income is generated from selling equipment or other assets purchased under the Agreement, the receipt is up to the amount declared as eligible under the Agreement;
- (b) financial contributions given by third parties to the beneficiary specifically to be used for the action, and
- (c) in-kind contributions provided by third parties free of charge and specifically to be used for the action, if they have been declared as eligible costs.

The following are however not considered receipts:

- (a) income generated by exploiting the action’s results (see Article 28);
- (b) financial contributions by third parties, if they may be used to cover costs other than the eligible costs (see Article 6);
- (c) financial contributions by third parties with no obligation to repay any amount unused at the end of the period set out in Article 3.

If there is a profit, it will be deducted from the amount obtained following Steps 1 and 2.

5.3.4 Step 4 — Reduction due to substantial errors, irregularities or fraud or serious breach of obligations — Reduced grant amount — Calculation

If the grant is reduced (see Article 43), the Agency will calculate the reduced grant amount by deducting the amount of the reduction (calculated in proportion to the seriousness of the errors,

irregularities or fraud or breach of obligations, in accordance with Article 43.2) from the maximum grant amount set out in Article 5.1.

The final grant amount will be the lower of the following two:

- the amount obtained following Steps 1 to 3 or
- the reduced grant amount following Step 4.

5.4 Revised final grant amount — Calculation

If — after the payment of the balance (in particular, after checks, reviews, audits or investigations; see Article 22) — the Agency rejects costs (see Article 42) or reduces the grant (see Article 43), it will calculate the ‘**revised final grant amount**’ for the beneficiary concerned by the findings.

This amount is calculated by the Agency on the basis of the findings, as follows:

- in case of **rejection of costs**: by applying the reimbursement rate to the revised eligible costs approved by the Agency for the beneficiary concerned;
- in case of **reduction of the grant**: by calculating the concerned beneficiary’s share in the grant amount reduced in proportion to the seriousness of the errors, irregularities or fraud or breach of obligations (see Article 43.2).

In case of **rejection of costs and reduction of the grant**, the revised final grant amount for the beneficiary concerned will be the lower of the two amounts above.

ARTICLE 6 — ELIGIBLE AND INELIGIBLE COSTS

6.1 General conditions for costs to be eligible

‘**Eligible costs**’ are costs that meet the following criteria:

(a) for **actual costs**:

- (i) they must be actually incurred by the beneficiary;
- (ii) they must be incurred in the period set out in Article 3, with the exception of costs relating to the submission of the periodic report for the last reporting period and the final report (see Article 20);
- (iii) they must be indicated in the estimated budget set out in Annex 2;
- (iv) they must be incurred in connection with the action as described in Annex 1 and necessary for its implementation;
- (v) they must be identifiable and verifiable, in particular recorded in the beneficiary’s accounts in accordance with the accounting standards applicable in the country where the beneficiary is established and with the beneficiary’s usual cost accounting practices;
- (vi) they must comply with the applicable national law on taxes, labour and social security, and

- (vii) they must be reasonable, justified and must comply with the principle of sound financial management, in particular regarding economy and efficiency;

(b) for **unit costs**:

- (i) they must be calculated as follows:

{amounts per unit set out in Annex 2a or calculated by the beneficiary in accordance with its usual cost accounting practices (see Article 6.2, Point A and Article 6.2.D.5)

multiplied by

the number of actual units};

- (ii) the number of actual units must comply with the following conditions:

- the units must be actually used or produced in the period set out in Article 3;
- the units must be necessary for implementing the action or produced by it, and
- the number of units must be identifiable and verifiable, in particular supported by records and documentation (see Article 18);

(c) for **flat-rate costs**:

- (i) they must be calculated by applying the flat-rate set out in Annex 2, and

- (ii) the costs (actual costs or unit costs) to which the flat-rate is applied must comply with the conditions for eligibility set out in this Article.

6.2 Specific conditions for costs to be eligible

Costs are eligible if they comply with the general conditions (see above) and the specific conditions set out below for each of the following budget categories:

- A. direct personnel costs;
- B. direct costs of subcontracting;
- C. not applicable;
- D. other direct costs;
- E. indirect costs;
- F. not applicable.

‘Direct costs’ are costs that are directly linked to the action implementation and can therefore be attributed to it directly. They must not include any indirect costs (see Point E below).

‘Indirect costs’ are costs that are not directly linked to the action implementation and therefore cannot be attributed directly to it.

A. Direct personnel costs

Types of eligible personnel costs

A.1 Personnel costs are eligible, if they are related to personnel working for the beneficiary under an employment contract (or equivalent appointing act) and assigned to the action (‘**costs for employees (or equivalent)**’). They must be limited to salaries (including during parental leave), social security contributions, taxes and other costs included in the **remuneration**, if they arise from national law or the employment contract (or equivalent appointing act).

Beneficiaries that are non-profit legal entities¹ may also declare as personnel costs **additional remuneration** for personnel assigned to the action (including payments on the basis of supplementary contracts regardless of their nature), if:

- (a) it is part of the beneficiary’s usual remuneration practices and is paid in a consistent manner whenever the same kind of work or expertise is required;
- (b) the criteria used to calculate the supplementary payments are objective and generally applied by the beneficiary, regardless of the source of funding used.

‘Additional remuneration’ means any part of the remuneration which exceeds what the person would be paid for time worked in projects funded by national schemes.

Additional remuneration for personnel assigned to the action is eligible up to the following amount:

- (a) if the person works full time and exclusively on the action during the full year: up to EUR 8 000;
- (b) if the person works exclusively on the action but not full-time or not for the full year: up to the corresponding pro-rata amount of EUR 8 000, or
- (c) if the person does not work exclusively on the action: up to a pro-rata amount calculated as follows:
 - {EUR 8 000
 - divided by
 - the number of annual productive hours (see below)},
 - multiplied by
 - the number of hours that the person has worked on the action during the year}.

A.2 The **costs for natural persons working under a direct contract** with the beneficiary other than an employment contract are eligible personnel costs, if:

- (a) the person works under conditions similar to those of an employee (in particular regarding the way the work is organised, the tasks that are performed and the premises where they are performed);
- (b) the result of the work carried out belongs to the beneficiary (unless exceptionally agreed otherwise), and

¹ For the definition, see Article 2.1(14) of the Rules for Participation Regulation No 1290/2013: ‘**non-profit legal entity**’ means a legal entity which by its legal form is non-profit-making or which has a legal or statutory obligation not to distribute profits to its shareholders or individual members.

- (c) the costs are not significantly different from those for personnel performing similar tasks under an employment contract with the beneficiary.

A.3 The **costs of personnel seconded by a third party against payment** are eligible personnel costs, if the conditions in Article 11.1 are met.

A.4 **Costs of owners** of beneficiaries that are small and medium-sized enterprises (**'SME owners'**) who are working on the action and who do not receive a salary are eligible personnel costs, if they correspond to the amount per unit set out in Annex 2a multiplied by the number of actual hours worked on the action.

A.5 **Costs of 'beneficiaries that are natural persons'** not receiving a salary are eligible personnel costs, if they correspond to the amount per unit set out in Annex 2a multiplied by the number of actual hours worked on the action.

Calculation

Personnel costs must be calculated by the beneficiaries as follows:

{hourly rate
multiplied by
the number of actual hours worked on the action},
plus
for non-profit legal entities: additional remuneration to personnel assigned to the action under the conditions set out above (Point A.1)}.

The number of actual hours declared for a person must be identifiable and verifiable (see Article 18).

The total number of hours declared in EU or Euratom grants, for a person for a year, cannot be higher than the annual productive hours used for the calculations of the hourly rate. Therefore, the maximum number of hours that can be declared for the grant are:

{number of annual productive hours for the year (see below)
minus
total number of hours declared by the beneficiary, for that person in that year, for other EU or Euratom grants}.

The **'hourly rate'** is one of the following:

- (a) for personnel costs declared as **actual costs** (i.e. budget categories A.1, A.2, A.3): the hourly rate is calculated *per full financial year*, as follows:

{actual annual personnel costs (excluding additional remuneration) for the person
divided by
number of annual productive hours}.

using the personnel costs and the number of productive hours for each full financial year covered by the reporting period concerned. If a financial year is not closed at the end of the

reporting period, the beneficiaries must use the hourly rate of the last closed financial year available.

For the ‘number of annual productive hours’, the beneficiaries may choose one of the following:

- (i) ‘fixed number of hours’: 1 720 hours for persons working full time (or corresponding pro-rata for persons not working full time);
- (ii) ‘individual annual productive hours’: the total number of hours worked by the person in the year for the beneficiary, calculated as follows:

{annual workable hours of the person (according to the employment contract, applicable collective labour agreement or national law)

plus

overtime worked

minus

absences (such as sick leave and special leave)}.

‘Annual workable hours’ means the period during which the personnel must be working, at the employer’s disposal and carrying out his/her activity or duties under the employment contract, applicable collective labour agreement or national working time legislation.

If the contract (or applicable collective labour agreement or national working time legislation) does not allow to determine the annual workable hours, this option cannot be used;

- (iii) ‘standard annual productive hours’: the ‘standard number of annual hours’ generally applied by the beneficiary for its personnel in accordance with its usual cost accounting practices. This number must be at least 90% of the ‘standard annual workable hours’.

If there is no applicable reference for the standard annual workable hours, this option cannot be used.

For all options, the actual time spent on **parental leave** by a person assigned to the action may be deducted from the number of annual productive hours.

As an alternative, beneficiaries may calculate the hourly rate *per month*, as follows:

{actual monthly personnel cost (excluding additional remuneration) for the person

divided by

{number of annual productive hours / 12}}}

using the personnel costs for each month and (one twelfth of) the annual productive hours calculated according to either option (i) or (iii) above, i.e.:

- fixed number of hours or
- standard annual productive hours.

Time spent on **parental leave** may not be deducted when calculating the hourly rate per month. However, beneficiaries may declare personnel costs incurred in periods of parental leave in proportion to the time the person worked on the action in that financial year.

If parts of a basic remuneration are generated over a period longer than a month, the beneficiaries may include only the share which is generated in the month (irrespective of the amount actually paid for that month).

Each beneficiary must use only one option (per full financial year or per month) for each full financial year;

(b) for personnel costs declared on the basis of **unit costs** (i.e. budget categories A.1, A.2, A.4, A.5): the hourly rate is one of the following:

- (i) for SME owners or beneficiaries that are natural persons: the hourly rate set out in Annex 2a (see Points A.4 and A.5 above), or
- (ii) for personnel costs declared on the basis of the beneficiary's usual cost accounting practices: the hourly rate calculated by the beneficiary in accordance with its usual cost accounting practices, if:
 - the cost accounting practices used are applied in a consistent manner, based on objective criteria, regardless of the source of funding;
 - the hourly rate is calculated using the actual personnel costs recorded in the beneficiary's accounts, excluding any ineligible cost or costs included in other budget categories.

The actual personnel costs may be adjusted by the beneficiary on the basis of budgeted or estimated elements. Those elements must be relevant for calculating the personnel costs, reasonable and correspond to objective and verifiable information;

and

- the hourly rate is calculated using the number of annual productive hours (see above).

B. Direct costs of subcontracting (including related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary) are eligible if the conditions in Article 13.1.1 are met.

C. Direct costs of providing financial support to third parties

Not applicable

D. Other direct costs

D.1 Travel costs and related subsistence allowances (including related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary) are eligible if they are in line with the beneficiary's usual practices on travel.

D.2 The depreciation costs of equipment, infrastructure or other assets (new or second-hand) as recorded in the beneficiary's accounts are eligible, if they were purchased in accordance with

Article 10.1.1 and written off in accordance with international accounting standards and the beneficiary's usual accounting practices.

The **costs of renting or leasing** equipment, infrastructure or other assets (including related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary) are also eligible, if they do not exceed the depreciation costs of similar equipment, infrastructure or assets and do not include any financing fees.

The costs of equipment, infrastructure or other assets **contributed in-kind against payment** are eligible, if they do not exceed the depreciation costs of similar equipment, infrastructure or assets, do not include any financing fees and if the conditions in Article 11.1 are met.

The only portion of the costs that will be taken into account is that which corresponds to the duration of the action and rate of actual use for the purposes of the action.

D.3 Costs of other goods and services (including related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary) are eligible, if they are:

- (a) purchased specifically for the action and in accordance with Article 10.1.1 or
- (b) contributed in kind against payment and in accordance with Article 11.1.

Such goods and services include, for instance, consumables and supplies, dissemination (including open access), protection of results, certificates on the financial statements (if they are required by the Agreement), certificates on the methodology, translations and publications.

D.4 Capitalised and operating costs of 'large research infrastructure'² directly used for the action are eligible, if:

- (a) the value of the large research infrastructure represents at least 75% of the total fixed assets (at historical value in its last closed balance sheet before the date of the signature of the Agreement or as determined on the basis of the rental and leasing costs of the research infrastructure³);
- (b) the beneficiary's methodology for declaring the costs for large research infrastructure has been positively assessed by the Commission ('**ex-ante assessment**');
- (c) the beneficiary declares as direct eligible costs only the portion which corresponds to the duration of the action and the rate of actual use for the purposes of the action, and
- (d) they comply with the conditions as further detailed in the annotations to the H2020 grant agreements.

² '**Large research infrastructure**' means research infrastructure of a total value of at least EUR 20 million, for a beneficiary, calculated as the sum of historical asset values of each individual research infrastructure of that beneficiary, as they appear in its last closed balance sheet before the date of the signature of the Agreement or as determined on the basis of the rental and leasing costs of the research infrastructure.

³ For the definition, see Article 2(6) of the H2020 Framework Programme Regulation No 1291/2013: '**Research infrastructure**' are facilities, resources and services that are used by the research communities to conduct research and foster innovation in their fields. Where relevant, they may be used beyond research, e.g. for education or public services. They include: major scientific equipment (or sets of instruments); knowledge-based resources such as collections, archives or scientific data; e-infrastructures such as data and computing systems and communication networks; and any other infrastructure of a unique nature essential to achieve excellence in research and innovation. Such infrastructures may be 'single-sited', 'virtual' or 'distributed'.

D.5 Costs of internally invoiced goods and services directly used for the action are eligible, if:

- (a) they are declared on the basis of a unit cost calculated in accordance with the beneficiary's usual cost accounting practices;
- (b) the cost accounting practices used are applied in a consistent manner, based on objective criteria, regardless of the source of funding;
- (c) the unit cost is calculated using the actual costs for the good or service recorded in the beneficiary's accounts, excluding any ineligible cost or costs included in other budget categories.

The actual costs may be adjusted by the beneficiary on the basis of budgeted or estimated elements. Those elements must be relevant for calculating the costs, reasonable and correspond to objective and verifiable information;

- (d) the unit cost excludes any costs of items which are not directly linked to the production of the invoiced goods or service.

'Internally invoiced goods and services' means goods or services which are provided by the beneficiary directly for the action and which the beneficiary values on the basis of its usual cost accounting practices.

E. Indirect costs

Indirect costs are eligible if they are declared on the basis of the flat-rate of 25% of the eligible direct costs (see Article 5.2 and Points A to D above), from which are excluded:

- (a) costs of subcontracting and
- (b) costs of in-kind contributions provided by third parties which are not used on the beneficiary's premises;
- (c) not applicable;
- (d) not applicable.

Beneficiaries receiving an operating grant⁴ financed by the EU or Euratom budget cannot declare indirect costs for the period covered by the operating grant, unless they can demonstrate that the operating grant does not cover any costs of the action.

F. Specific cost category(ies)

Not applicable

6.3 Conditions for costs of linked third parties to be eligible

⁴ For the definition, see Article 121(1)(b) of Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002 ('**Financial Regulation No 966/2012**') (OJ L 218, 26.10.2012, p.1): '**operating grant**' means direct financial contribution, by way of donation, from the budget in order to finance the functioning of a body which pursues an aim of general EU interest or has an objective forming part of and supporting an EU policy.

Not applicable

6.4 Conditions for in-kind contributions provided by third parties free of charge to be eligible

In-kind contributions provided free of charge are eligible direct costs (for the beneficiary), if the costs incurred by the third party fulfil — *mutatis mutandis* — the general and specific conditions for eligibility set out in this Article (Article 6.1 and 6.2) and Article 12.1.

6.5 Ineligible costs

‘**Ineligible costs**’ are:

- (a) costs that do not comply with the conditions set out above (Article 6.1 to 6.4), in particular:
 - (i) costs related to return on capital;
 - (ii) debt and debt service charges;
 - (iii) provisions for future losses or debts;
 - (iv) interest owed;
 - (v) doubtful debts;
 - (vi) currency exchange losses;
 - (vii) bank costs charged by the beneficiary’s bank for transfers from the Agency;
 - (viii) excessive or reckless expenditure;
 - (ix) deductible VAT;
 - (x) costs incurred during suspension of the implementation of the action (see Article 49);
- (b) costs declared under another EU or Euratom grant (including grants awarded by a Member State and financed by the EU or Euratom budget and grants awarded by bodies other than the Agency for the purpose of implementing the EU or Euratom budget); in particular, indirect costs if the beneficiary is already receiving an operating grant financed by the EU or Euratom budget in the same period, unless it can demonstrate that the operating grant does not cover any costs of the action.

6.6 Consequences of declaration of ineligible costs

Declared costs that are ineligible will be rejected (see Article 42).

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

CHAPTER 4 RIGHTS AND OBLIGATIONS OF THE PARTIES

SECTION 1 RIGHTS AND OBLIGATIONS RELATED TO IMPLEMENTING THE ACTION

ARTICLE 7 — GENERAL OBLIGATION TO PROPERLY IMPLEMENT THE ACTION

7.1 General obligation to properly implement the action

The beneficiaries must implement the action as described in Annex 1 and in compliance with the provisions of the Agreement and all legal obligations under applicable EU, international and national law.

7.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

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

ARTICLE 8 — RESOURCES TO IMPLEMENT THE ACTION — THIRD PARTIES INVOLVED IN THE ACTION

The beneficiaries must have the appropriate resources to implement the action.

If it is necessary to implement the action, the beneficiaries may:

- purchase goods, works and services (see Article 10);
- use in-kind contributions provided by third parties against payment (see Article 11);
- use in-kind contributions provided by third parties free of charge (see Article 12);
- call upon subcontractors to implement action tasks described in Annex 1 (see Article 13);
- call upon linked third parties to implement action tasks described in Annex 1 (see Article 14);
- call upon international partners to implement action tasks described in Annex 1 (see Article 14a).

In these cases, the beneficiaries retain sole responsibility towards the Agency and the other beneficiaries for implementing the action.

ARTICLE 9 — IMPLEMENTATION OF ACTION TASKS BY BENEFICIARIES NOT RECEIVING EU FUNDING

Not applicable

ARTICLE 10 — PURCHASE OF GOODS, WORKS OR SERVICES

10.1 Rules for purchasing goods, works or services

10.1.1 If necessary to implement the action, the beneficiaries may purchase goods, works or services.

The beneficiaries must make such purchases ensuring the best value for money or, if appropriate, the lowest price. In doing so, they must avoid any conflict of interests (see Article 35).

The beneficiaries must ensure that the Agency, the Commission, the European Court of Auditors (ECA) and the European Anti-Fraud Office (OLAF) can exercise their rights under Articles 22 and 23 also towards their contractors.

10.1.2 Beneficiaries that are ‘contracting authorities’ within the meaning of Directive 2004/18/EC⁵ (or 2014/24/EU⁶) or ‘contracting entities’ within the meaning of Directive 2004/17/EC⁷ (or 2014/25/EU⁸) must comply with the applicable national law on public procurement.

10.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under Article 10.1.1, the costs related to the contract concerned will be ineligible (see Article 6) and will be rejected (see Article 42).

If a beneficiary breaches any of its obligations under Article 10.1.2, the grant may be reduced (see Article 43).

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

ARTICLE 11 — USE OF IN-KIND CONTRIBUTIONS PROVIDED BY THIRD PARTIES AGAINST PAYMENT

11.1 Rules for the use of in-kind contributions against payment

If necessary to implement the action, the beneficiaries may use in-kind contributions provided by third parties against payment.

The beneficiaries may declare costs related to the payment of in-kind contributions as eligible (see Article 6.1 and 6.2), up to the third parties’ costs for the seconded persons, contributed equipment, infrastructure or other assets or other contributed goods and services.

The third parties and their contributions must be set out in Annex 1. The Agency may however approve in-kind contributions not set out in Annex 1 without amendment (see Article 55), if:

- they are specifically justified in the periodic technical report and
- their use does not entail changes to the Agreement which would call into question the decision awarding the grant or breach the principle of equal treatment of applicants.

The beneficiaries must ensure that the Agency, the Commission, the European Court of Auditors

⁵ Directive 2004/18/EC of the European Parliament and of the Council of 31 March 2004 on the coordination of procedures for the award of public work contracts, public supply contracts and public service contracts (OJ L 134, 30.04.2004, p. 114).

⁶ Directive 2014/24/EU of the European Parliament and of the Council of 26 February 2014 on public procurement and repealing Directive 2004/18/EC. (OJ L 94, 28.03.2014, p. 65).

⁷ Directive 2004/17/EC of the European Parliament and of the Council of 31 March 2004 coordinating the procurement procedures of entities operating in the water, energy, transport and postal services sectors (OJ L 134, 30.04.2004, p. 1)

⁸ Directive 2014/25/EU of the European Parliament and of the Council of 26 February 2014 on procurement by entities operating in the water, energy, transport and postal services sectors and repealing Directive 2004/17/EC (OJ L 94, 28.03.2014, p. 243).

(ECA) and the European Anti-Fraud Office (OLAF) can exercise their rights under Articles 22 and 23 also towards the third parties.

11.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the costs related to the payment of the in-kind contribution will be ineligible (see Article 6) and will be rejected (see Article 42).

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

ARTICLE 12 — USE OF IN-KIND CONTRIBUTIONS PROVIDED BY THIRD PARTIES FREE OF CHARGE

12.1 Rules for the use of in-kind contributions free of charge

If necessary to implement the action, the beneficiaries may use in-kind contributions provided by third parties free of charge.

The beneficiaries may declare costs incurred by the third parties for the seconded persons, contributed equipment, infrastructure or other assets or other contributed goods and services as eligible in accordance with Article 6.4.

The third parties and their contributions must be set out in Annex 1. The Agency may however approve in-kind contributions not set out in Annex 1 without amendment (see Article 55), if:

- they are specifically justified in the periodic technical report and
- their use does not entail changes to the Agreement which would call into question the decision awarding the grant or breach the principle of equal treatment of applicants.

The beneficiaries must ensure that the Agency, the Commission, the European Court of Auditors (ECA) and the European Anti-Fraud Office (OLAF) can exercise their rights under Articles 22 and 23 also towards the third parties.

12.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the costs incurred by the third parties related to the in-kind contribution will be ineligible (see Article 6) and will be rejected (see Article 42).

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

ARTICLE 13 — IMPLEMENTATION OF ACTION TASKS BY SUBCONTRACTORS

13.1 Rules for subcontracting action tasks

13.1.1 If necessary to implement the action, the beneficiaries may award subcontracts covering the implementation of certain action tasks described in Annex 1.

Subcontracting may cover only a limited part of the action.

The beneficiaries must award the subcontracts ensuring the best value for money or, if appropriate, the lowest price. In doing so, they must avoid any conflict of interests (see Article 35).

The tasks to be implemented and the estimated cost for each subcontract must be set out in Annex 1 and the total estimated costs of subcontracting per beneficiary must be set out in Annex 2. The Agency may however approve subcontracts not set out in Annex 1 and 2 without amendment (see Article 55), if:

- they are specifically justified in the periodic technical report and
- they do not entail changes to the Agreement which would call into question the decision awarding the grant or breach the principle of equal treatment of applicants.

The beneficiaries must ensure that the Agency, the Commission, the European Court of Auditors (ECA) and the European Anti-Fraud Office (OLAF) can exercise their rights under Articles 22 and 23 also towards their subcontractors.

13.1.2 The beneficiaries must ensure that their obligations under Articles 35, 36, 38 and 46 also apply to the subcontractors.

Beneficiaries that are ‘contracting authorities’ within the meaning of Directive 2004/18/EC (or 2014/24/EU) or ‘contracting entities’ within the meaning of Directive 2004/17/EC (or 2014/25/EU) must comply with the applicable national law on public procurement.

13.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under Article 13.1.1, the costs related to the subcontract concerned will be ineligible (see Article 6) and will be rejected (see Article 42).

If a beneficiary breaches any of its obligations under Article 13.1.2, the grant may be reduced (see Article 43).

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

ARTICLE 14 — IMPLEMENTATION OF ACTION TASKS BY LINKED THIRD PARTIES

Not applicable

ARTICLE 14a — IMPLEMENTATION OF ACTION TASKS BY INTERNATIONAL PARTNERS

Not applicable

ARTICLE 15 — FINANCIAL SUPPORT TO THIRD PARTIES

15.1 Rules for providing financial support to third parties

Not applicable

15.2 Financial support in the form of prizes

Not applicable

15.3 Consequences of non-compliance

Not applicable

ARTICLE 16 — PROVISION OF TRANS-NATIONAL OR VIRTUAL ACCESS TO RESEARCH INFRASTRUCTURE

16.1 Rules for providing trans-national access to research infrastructure

Not applicable

16.2 Rules for providing virtual access to research infrastructure

Not applicable

16.3 Consequences of non-compliance

Not applicable

SECTION 2 RIGHTS AND OBLIGATIONS RELATED TO THE GRANT ADMINISTRATION

ARTICLE 17 — GENERAL OBLIGATION TO INFORM

17.1 General obligation to provide information upon request

The beneficiaries must provide — during implementation of the action or afterwards and in accordance with Article 41.2 — any information requested in order to verify eligibility of the costs, proper implementation of the action and compliance with any other obligation under the Agreement.

17.2 Obligation to keep information up to date and to inform about events and circumstances likely to affect the Agreement

Each beneficiary must keep information stored in the Participant Portal Beneficiary Register (via the electronic exchange system; see Article 52) up to date, in particular, its name, address, legal representatives, legal form and organisation type.

Each beneficiary must immediately inform the coordinator — which must immediately inform the Agency and the other beneficiaries — of any of the following:

- (a) **events** which are likely to affect significantly or delay the implementation of the action or the EU's financial interests, in particular:
 - (i) changes in its legal, financial, technical, organisational or ownership situation
- (b) **circumstances** affecting:
 - (i) the decision to award the grant or
 - (ii) compliance with requirements under the Agreement.

17.3 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

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

ARTICLE 18 — KEEPING RECORDS — SUPPORTING DOCUMENTATION

18.1 Obligation to keep records and other supporting documentation

The beneficiaries must — for a period of five years after the payment of the balance — keep records and other supporting documentation in order to prove the proper implementation of the action and the costs they declare as eligible.

They must make them available upon request (see Article 17) or in the context of checks, reviews, audits or investigations (see Article 22).

If there are on-going checks, reviews, audits, investigations, litigation or other pursuits of claims under the Agreement (including the extension of findings; see Article 22), the beneficiaries must keep the records and other supporting documentation until the end of these procedures.

The beneficiaries must keep the original documents. Digital and digitalised documents are considered originals if they are authorised by the applicable national law. The Agency may accept non-original documents if it considers that they offer a comparable level of assurance.

18.1.1 Records and other supporting documentation on the scientific and technical implementation

The beneficiaries must keep records and other supporting documentation on scientific and technical implementation of the action in line with the accepted standards in the respective field.

18.1.2 Records and other documentation to support the costs declared

The beneficiaries must keep the records and documentation supporting the costs declared, in particular the following:

- (a) for **actual costs**: adequate records and other supporting documentation to prove the costs declared, such as contracts, subcontracts, invoices and accounting records. In addition, the beneficiaries' usual cost accounting practices and internal control procedures must enable direct reconciliation between the amounts declared, the amounts recorded in their accounts and the amounts stated in the supporting documentation;
- (b) for **unit costs**: adequate records and other supporting documentation to prove the number of units declared. Beneficiaries do not need to identify the actual eligible costs covered or to keep or provide supporting documentation (such as accounting statements) to prove the amount per unit.

In addition, **for unit costs calculated in accordance with the beneficiary's usual cost accounting practices**, the beneficiaries must keep adequate records and documentation to prove that the cost accounting practices used comply with the conditions set out in Article 6.2.

The beneficiaries may submit to the Commission, for approval, a certificate (drawn up in accordance with Annex 6) stating that their usual cost accounting practices comply with these

conditions (**‘certificate on the methodology’**). If the certificate is approved, costs declared in line with this methodology will not be challenged subsequently, unless the beneficiaries have concealed information for the purpose of the approval.

- (c) for **flat-rate costs**: adequate records and other supporting documentation to prove the eligibility of the costs to which the flat-rate is applied. The beneficiaries do not need to identify the costs covered or provide supporting documentation (such as accounting statements) to prove the amount declared at a flat-rate.

In addition, for **personnel costs** (declared as actual costs or on the basis of unit costs), the beneficiaries must keep **time records** for the number of hours declared. The time records must be in writing and approved by the persons working on the action and their supervisors, at least monthly. In the absence of reliable time records of the hours worked on the action, the Agency may accept alternative evidence supporting the number of hours declared, if it considers that it offers an adequate level of assurance.

As an exception, for **persons working exclusively on the action**, there is no need to keep time records, if the beneficiary signs a **declaration** confirming that the persons concerned have worked exclusively on the action.

18.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, costs insufficiently substantiated will be ineligible (see Article 6) and will be rejected (see Article 42), and the grant may be reduced (see Article 43).

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 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 Agency (see Article 52) the technical and financial reports set out in this Article. These reports include 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 18
- RP2: from month 19 to month 36

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.

This report must include explanations justifying the differences between work expected to be carried out in accordance with Annex 1 and that actually carried out.

The report must detail the exploitation and dissemination of the results and — if required in Annex 1 — an updated ‘**plan for the exploitation and dissemination of the results**’.

The report must indicate the communication activities;

- (iii) a **summary** for publication by the Agency;
- (iv) the answers to the ‘**questionnaire**’, covering issues related to the action implementation and the economic and societal impact, notably in the context of the Horizon 2020 key performance indicators and the Horizon 2020 monitoring requirements;

(b) a ‘**periodic financial report**’ containing:

- (i) an ‘**individual financial statement**’ (see Annex 4) from each beneficiary, for the reporting period concerned.

The individual financial statement must detail the eligible costs (actual costs, unit costs and flat-rate costs; see Article 6) for each budget category (see Annex 2).

The beneficiaries must declare all eligible costs, even if — for actual costs, unit costs and flat-rate costs — they exceed the amounts indicated in the estimated budget (see Annex 2). Amounts which are not declared in the individual financial statement will not be taken into account by the Agency.

If an individual financial statement is not submitted for a reporting period, it may be included in the periodic financial report for the next reporting period.

The individual financial statements of the last reporting period must also detail the **receipts of the action** (see Article 5.3.3).

Each beneficiary must **certify** that:

- the information provided is full, reliable and true;

- the costs declared are eligible (see Article 6);
 - the costs can be substantiated by adequate records and supporting documentation (see Article 18) that will be produced upon request (see Article 17) or in the context of checks, reviews, audits and investigations (see Article 22), and
 - for the last reporting period: that all the receipts have been declared (see Article 5.3.3);
- (ii) an **explanation of the use of resources** and the information on subcontracting (see Article 13) and in-kind contributions provided by third parties (see Articles 11 and 12) from each beneficiary, for the reporting period concerned;
- (iii) not applicable;
- (iv) a ‘**periodic summary financial statement**’, created automatically by the electronic exchange system, consolidating the individual financial statements for the reporting period concerned and including — except for the last reporting period — the **request for interim payment**.

20.4 Final report — Request for payment of the balance

In addition to the periodic report for the last reporting period, the coordinator must submit the final report within 60 days following the end of the last reporting period.

The **final report** must include the following:

- (a) a ‘**final technical report**’ with a **summary** for publication containing:
- (i) an overview of the results and their exploitation and dissemination;
 - (ii) the conclusions on the action, and
 - (iii) the socio-economic impact of the action;
- (b) a ‘**final financial report**’ containing:
- (i) a ‘**final summary financial statement**’, created automatically by the electronic exchange system, consolidating the individual financial statements for all reporting periods and including the **request for payment of the balance** and
 - (ii) a ‘**certificate on the financial statements**’ (drawn up in accordance with Annex 5) for each beneficiary, if it requests a total contribution of EUR 325 000 or more, as reimbursement of actual costs and unit costs calculated on the basis of its usual cost accounting practices (see Article 5.2 and Article 6.2).

20.5 Information on cumulative expenditure incurred

Not applicable

20.6 Currency for financial statements and conversion into euro

Financial statements must be drafted in euro.

Beneficiaries with accounting established in a currency other than the euro must convert the costs recorded in their accounts into euro, at the average of the daily exchange rates published in the C series of the *Official Journal of the European Union*, calculated over the corresponding reporting period.

If no daily euro exchange rate is published in the *Official Journal of the European Union* for the currency in question, they must be converted at the average of the monthly accounting rates published on the Commission's website, calculated over the corresponding reporting period.

Beneficiaries with accounting established in euro must convert costs incurred in another currency into euro according to their usual accounting practices.

20.7 Language of reports

All reports (technical and financial reports, including financial statements) must be submitted in the language of the Agreement.

20.8 Consequences of non-compliance

If the reports submitted do not comply with this Article, the Agency may suspend the payment deadline (see Article 47) and apply any of the other measures described in Chapter 6.

If the coordinator breaches its obligation to submit the reports and if it fails to comply with this obligation within 30 days following a written reminder, the Agency may terminate the Agreement (see Article 50) or apply any of the other measures described in Chapter 6.

ARTICLE 21 — PAYMENTS AND PAYMENT ARRANGEMENTS

21.1 Payments to be made

The following payments will be made to the coordinator:

- one **pre-financing payment**;
- one or more **interim payments**, on the basis of the request(s) for interim payment (see Article 20), and
- one **payment of the balance**, on the basis of the request for payment of the balance (see Article 20).

21.2 Pre-financing payment — Amount — Amount retained for the Guarantee Fund

The aim of the pre-financing is to provide the beneficiaries with a float.

It remains the property of the EU until the payment of the balance.

The amount of the pre-financing payment will be EUR **2 558 832.00** (two million five hundred and fifty eight thousand eight hundred and thirty two EURO).

The Agency will — except if Article 48 applies — make the pre-financing payment to the coordinator

within 30 days, either from the entry into force of the Agreement (see Article 58) or from 10 days before the starting date of the action (see Article 3), whichever is the latest.

An amount of EUR **159 927.00** (one hundred and fifty nine thousand nine hundred and twenty seven EURO), corresponding to 5% of the maximum grant amount (see Article 5.1), is retained by the Agency from the pre-financing payment and transferred into the '**Guarantee Fund**'.

21.3 Interim payments — Amount — Calculation

Interim payments reimburse the eligible costs incurred for the implementation of the action during the corresponding reporting periods.

The Agency will pay to the coordinator the amount due as interim payment within 90 days from receiving the periodic report (see Article 20.3), except if Articles 47 or 48 apply.

Payment is subject to the approval of the periodic report. Its approval does not imply recognition of the compliance, authenticity, completeness or correctness of its content.

The **amount due as interim payment** is calculated by the Agency in the following steps:

Step 1 — Application of the reimbursement rates

Step 2 — Limit to 90% of the maximum grant amount

21.3.1 Step 1 — Application of the reimbursement rates

The reimbursement rate(s) (see Article 5.2) are applied to the eligible costs (actual costs, unit costs and flat-rate costs; see Article 6) declared by the beneficiaries (see Article 20) and approved by the Agency (see above) for the concerned reporting period.

21.3.2 Step 2 — Limit to 90% of the maximum grant amount

The total amount of pre-financing and interim payments must not exceed 90% of the maximum grant amount set out in Article 5.1. The maximum amount for the interim payment will be calculated as follows:

{90% of the maximum grant amount (see Article 5.1)

minus

{pre-financing and previous interim payments}}.

21.4 Payment of the balance — Amount — Calculation — Release of the amount retained for the Guarantee Fund

The payment of the balance reimburses the remaining part of the eligible costs incurred by the beneficiaries for the implementation of the action.

If the total amount of earlier payments is greater than the final grant amount (see Article 5.3), the payment of the balance takes the form of a recovery (see Article 44).

If the total amount of earlier payments is lower than the final grant amount, the Agency will pay the

balance within 90 days from receiving the final report (see Article 20.4), except if Articles 47 or 48 apply.

Payment is subject to the approval of the final report. Its approval does not imply recognition of the compliance, authenticity, completeness or correctness of its content.

The **amount due as the balance** is calculated by the Agency by deducting the total amount of pre-financing and interim payments (if any) already made, from the final grant amount determined in accordance with Article 5.3:

$$\begin{aligned} & \{\text{final grant amount (see Article 5.3)} \\ & \text{minus} \\ & \{\text{pre-financing and interim payments (if any) made}\}. \end{aligned}$$

At the payment of the balance, the amount retained for the Guarantee Fund (see above) will be released and:

- if the balance is positive: the amount released will be paid in full to the coordinator together with the amount due as the balance;
- if the balance is negative (payment of the balance taking the form of recovery): it will be deducted from the amount released (see Article 44.1.2). If the resulting amount:
 - is positive, it will be paid to the coordinator
 - is negative, it will be recovered.

The amount to be paid may however be offset — without the beneficiaries' consent — against any other amount owed by a beneficiary to the Agency, the Commission or another executive agency (under the EU or Euratom budget), up to the maximum EU contribution indicated, for that beneficiary, in the estimated budget (see Annex 2).

21.5 Notification of amounts due

When making payments, the Agency will formally notify to the coordinator the amount due, specifying whether it concerns an interim payment or the payment of the balance.

For the payment of the balance, the notification will also specify the final grant amount.

In the case of reduction of the grant or recovery of undue amounts, the notification will be preceded by the contradictory procedure set out in Articles 43 and 44.

21.6 Currency for payments

The Agency will make all payments in euro.

21.7 Payments to the coordinator — Distribution to the beneficiaries

Payments will be made to the coordinator.

Payments to the coordinator will discharge the Agency from its payment obligation.

The coordinator must distribute the payments between the beneficiaries without unjustified delay.

Pre-financing may however be distributed only:

- (a) if the minimum number of beneficiaries set out in the call for proposals has acceded to the Agreement (see Article 56) and
- (b) to beneficiaries that have acceded to the Agreement (see Article 56).

21.8 Bank account for payments

All payments will be made to the following bank account:

Name of bank: CRCAM ALSACE VOSGES
Full name of the account holder: ESF DEMOCRITOS
IBAN code: FR7617206000709300353494232

21.9 Costs of payment transfers

The cost of the payment transfers is borne as follows:

- the Agency bears the cost of transfers charged by its bank;
- the beneficiary bears the cost of transfers charged by its bank;
- the party causing a repetition of a transfer bears all costs of the repeated transfer.

21.10 Date of payment

Payments by the Agency are considered to have been carried out on the date when they are debited to its account.

21.11 Consequences of non-compliance

21.11.1 If the Agency does not pay within the payment deadlines (see above), the beneficiaries are entitled to **late-payment interest** at the rate applied by the European Central Bank (ECB) for its main refinancing operations in euros ('reference rate'), plus three and a half points. The reference rate is the rate in force on the first day of the month in which the payment deadline expires, as published in the C series of the *Official Journal of the European Union*.

If the late-payment interest is lower than or equal to EUR 200, it will be paid to the coordinator only upon request submitted within two months of receiving the late payment.

Late-payment interest is not due if all beneficiaries are EU Member States (including regional and local government authorities or other public bodies acting on behalf of a Member State for the purpose of this Agreement).

Suspension of the payment deadline or payments (see Articles 47 and 48) will not be considered as late payment.

Late-payment interest covers the period running from the day following the due date for payment (see above), up to and including the date of payment.

Late-payment interest is not considered for the purposes of calculating the final grant amount.

21.11.2 If the coordinator breaches any of its obligations under this Article, the grant may be reduced (see Article 43) and the Agreement or the participation of the coordinator may be terminated (see Article 50).

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

ARTICLE 22 — CHECKS, REVIEWS, AUDITS AND INVESTIGATIONS — EXTENSION OF FINDINGS

22.1 Checks, reviews and audits by the Agency and the Commission

22.1.1 Right to carry out checks

The Agency or the Commission will — during the implementation of the action or afterwards — check the proper implementation of the action and compliance with the obligations under the Agreement, including assessing deliverables and reports.

For this purpose the Agency or the Commission may be assisted by external persons or bodies.

The Agency or the Commission may also request additional information in accordance with Article 17. The Agency or the Commission may request beneficiaries to provide such information to it directly.

Information provided must be accurate, precise and complete and in the format requested, including electronic format.

22.1.2 Right to carry out reviews

The Agency or the Commission may — during the implementation of the action or afterwards — carry out reviews on the proper implementation of the action (including assessment of deliverables and reports), compliance with the obligations under the Agreement and continued scientific or technological relevance of the action.

Reviews may be started up to two years after the payment of the balance. They will be formally notified to the coordinator or beneficiary concerned and will be considered to have started on the date of the formal notification.

If the review is carried out on a third party (see Articles 10 to 16), the beneficiary concerned must inform the third party.

The Agency or the Commission may carry out reviews directly (using its own staff) or indirectly (using external persons or bodies appointed to do so). It will inform the coordinator or beneficiary concerned of the identity of the external persons or bodies. They have the right to object to the appointment on grounds of commercial confidentiality.

The coordinator or beneficiary concerned must provide — within the deadline requested — any information and data in addition to deliverables and reports already submitted (including information on the use of resources). The Agency or the Commission may request beneficiaries to provide such information to it directly.

The coordinator or beneficiary concerned may be requested to participate in meetings, including with external experts.

For **on-the-spot** reviews, the beneficiaries must allow access to their sites and premises, including to external persons or bodies, and must ensure that information requested is readily available.

Information provided must be accurate, precise and complete and in the format requested, including electronic format.

On the basis of the review findings, a '**review report**' will be drawn up.

The Agency or the Commission will formally notify the review report to the coordinator or beneficiary concerned, which has 30 days to formally notify observations ('**contradictory review procedure**').

Reviews (including review reports) are in the language of the Agreement.

22.1.3 Right to carry out audits

The Agency or the Commission may — during the implementation of the action or afterwards — carry out audits on the proper implementation of the action and compliance with the obligations under the Agreement.

Audits may be started up to two years after the payment of the balance. They will be formally notified to the coordinator or beneficiary concerned and will be considered to have started on the date of the formal notification.

If the audit is carried out on a third party (see Articles 10 to 16), the beneficiary concerned must inform the third party.

The Agency or the Commission may carry out audits directly (using its own staff) or indirectly (using external persons or bodies appointed to do so). It will inform the coordinator or beneficiary concerned of the identity of the external persons or bodies. They have the right to object to the appointment on grounds of commercial confidentiality.

The coordinator or beneficiary concerned must provide — within the deadline requested — any information (including complete accounts, individual salary statements or other personal data) to verify compliance with the Agreement. The Agency or the Commission may request beneficiaries to provide such information to it directly.

For **on-the-spot** audits, the beneficiaries must allow access to their sites and premises, including to external persons or bodies, and must ensure that information requested is readily available.

Information provided must be accurate, precise and complete and in the format requested, including electronic format.

On the basis of the audit findings, a '**draft audit report**' will be drawn up.

The Agency or the Commission will formally notify the draft audit report to the coordinator or beneficiary concerned, which has 30 days to formally notify observations ('**contradictory audit procedure**'). This period may be extended by the Agency or the Commission in justified cases.

The '**final audit report**' will take into account observations by the coordinator or beneficiary concerned. The report will be formally notified to it.

Audits (including audit reports) are in the language of the Agreement.

The Agency or the Commission may also access the beneficiaries' statutory records for the periodical assessment of unit costs or flat-rate amounts.

22.2 Investigations by the European Anti-Fraud Office (OLAF)

Under Regulations No 883/2013¹⁶ and No 2185/96¹⁷ (and in accordance with their provisions and procedures), the European Anti-Fraud Office (OLAF) may — at any moment during implementation of the action or afterwards — carry out investigations, including on-the-spot checks and inspections, to establish whether there has been fraud, corruption or any other illegal activity affecting the financial interests of the EU.

22.3 Checks and audits by the European Court of Auditors (ECA)

Under Article 287 of the Treaty on the Functioning of the European Union (TFEU) and Article 161 of the Financial Regulation No 966/2012¹⁸, the European Court of Auditors (ECA) may — at any moment during implementation of the action or afterwards — carry out audits.

The ECA has the right of access for the purpose of checks and audits.

22.4 Checks, reviews, audits and investigations for international organisations

Not applicable

22.5 Consequences of findings in checks, reviews, audits and investigations — Extension of findings

22.5.1 Findings in this grant

Findings in checks, reviews, audits or investigations carried out in the context of this grant may lead to the rejection of ineligible costs (see Article 42), reduction of the grant (see Article 43), recovery of undue amounts (see Article 44) or to any of the other measures described in Chapter 6.

Rejection of costs or reduction of the grant after the payment of the balance will lead to a revised final grant amount (see Article 5.4).

Findings in checks, reviews, audits or investigations may lead to a request for amendment for the modification of Annex 1 (see Article 55).

Checks, reviews, audits or investigations that find systemic or recurrent errors, irregularities, fraud or

¹⁶ Regulation (EU, Euratom) No 883/2013 of the European Parliament and of the Council of 11 September 2013 concerning investigations conducted by the European Anti-Fraud Office (OLAF) and repealing Regulation (EC) No 1073/1999 of the European Parliament and of the Council and Council Regulation (Euratom) No 1074/1999 (OJ L 248, 18.09.2013, p. 1).

¹⁷ Council Regulation (Euratom, EC) No 2185/1996 of 11 November 1996 concerning on-the-spot checks and inspections carried out by the Commission in order to protect the European Communities' financial interests against fraud and other irregularities (OJ L 292, 15.11.1996, p. 2).

¹⁸ Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002 (OJ L 298, 26.10.2012, p. 1).

breach of obligations may also lead to consequences in other EU or Euratom grants awarded under similar conditions (**‘extension of findings from this grant to other grants’**).

Moreover, findings arising from an OLAF investigation may lead to criminal prosecution under national law.

22.5.2 Findings in other grants

The Agency or the Commission may extend findings from other grants to this grant (**‘extension of findings from other grants to this grant’**), if:

- (a) the beneficiary concerned is found, in other EU or Euratom grants awarded under similar conditions, to have committed systemic or recurrent errors, irregularities, fraud or breach of obligations that have a material impact on this grant and
- (b) those findings are formally notified to the beneficiary concerned — together with the list of grants affected by the findings — no later than two years after the payment of the balance of this grant.

The extension of findings may lead to the rejection of costs (see Article 42), reduction of the grant (see Article 43), recovery of undue amounts (see Article 44), suspension of payments (see Article 48), suspension of the action implementation (see Article 49) or termination (see Article 50).

22.5.3 Procedure

The Agency or the Commission will formally notify the beneficiary concerned the systemic or recurrent errors and its intention to extend these audit findings, together with the list of grants affected.

22.5.3.1 If the findings concern **eligibility of costs**: the formal notification will include:

- (a) an invitation to submit observations on the list of grants affected by the findings;
- (b) the request to submit **revised financial statements** for all grants affected;
- (c) the **correction rate for extrapolation** established by the Agency or the Commission on the basis of the systemic or recurrent errors, to calculate the amounts to be rejected if the beneficiary concerned:
 - (i) considers that the submission of revised financial statements is not possible or practicable or
 - (ii) does not submit revised financial statements.

The beneficiary concerned has 90 days from receiving notification to submit observations, revised financial statements or to propose a duly substantiated **alternative correction method**. This period may be extended by the Agency or the Commission in justified cases.

The Agency or the Commission may then start a rejection procedure in accordance with Article 42, on the basis of:

- the revised financial statements, if approved;
- the proposed alternative correction method, if accepted

or

- the initially notified correction rate for extrapolation, if it does not receive any observations or revised financial statements, does not accept the observations or the proposed alternative correction method or does not approve the revised financial statements.

22.5.3.2 If the findings concern **substantial errors, irregularities or fraud or serious breach of obligations**: the formal notification will include:

- (a) an invitation to submit observations on the list of grants affected by the findings and
- (b) the flat-rate the Agency or the Commission intends to apply according to the principle of proportionality.

The beneficiary concerned has 90 days from receiving notification to submit observations or to propose a duly substantiated alternative flat-rate.

The Agency or the Commission may then start a reduction procedure in accordance with Article 43, on the basis of:

- the proposed alternative flat-rate, if accepted

or

- the initially notified flat-rate, if it does not receive any observations or does not accept the observations or the proposed alternative flat-rate.

22.6 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, any insufficiently substantiated costs will be ineligible (see Article 6) and will be rejected (see Article 42).

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

ARTICLE 23 — EVALUATION OF THE IMPACT OF THE ACTION

23.1 Right to evaluate the impact of the action

The Agency or the Commission may carry out interim and final evaluations of the impact of the action measured against the objective of the EU programme.

Evaluations may be started during implementation of the action and up to five years after the payment of the balance. The evaluation is considered to start on the date of the formal notification to the coordinator or beneficiaries.

The Agency or the Commission may make these evaluations directly (using its own staff) or indirectly (using external bodies or persons it has authorised to do so).

The coordinator or beneficiaries must provide any information relevant to evaluate the impact of the action, including information in electronic format.

23.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the Agency may apply the measures described in Chapter 6.

SECTION 3 RIGHTS AND OBLIGATIONS RELATED TO BACKGROUND AND RESULTS

SUBSECTION 1 GENERAL

ARTICLE 23a — MANAGEMENT OF INTELLECTUAL PROPERTY

23a.1 Obligation to take measures to implement the Commission Recommendation on the management of intellectual property in knowledge transfer activities

Beneficiaries that are universities or other public research organisations must take measures to implement the principles set out in Points 1 and 2 of the Code of Practice annexed to the Commission Recommendation on the management of intellectual property in knowledge transfer activities¹⁹.

This does not change the obligations set out in Subsections 2 and 3 of this Section.

The beneficiaries must ensure that researchers and third parties involved in the action are aware of them.

23a.2 Consequences of non-compliance

If a beneficiary breaches its obligations under this Article, the Agency may apply any of the measures described in Chapter 6.

SUBSECTION 2 RIGHTS AND OBLIGATIONS RELATED TO BACKGROUND

ARTICLE 24 — AGREEMENT ON BACKGROUND

24.1 Agreement on background

The beneficiaries must identify and agree (in writing) on the background for the action (**‘agreement on background’**).

‘Background’ means any data, know-how or information — whatever its form or nature (tangible or intangible), including any rights such as intellectual property rights — that:

- (a) is held by the beneficiaries before they acceded to the Agreement, and
- (b) is needed to implement the action or exploit the results.

24.2 Consequences of non-compliance

¹⁹ Commission Recommendation C(2008) 1329 of 10.4.2008 on the management of intellectual property in knowledge transfer activities and the Code of Practice for universities and other public research institutions attached to this recommendation.

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

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

ARTICLE 25 — ACCESS RIGHTS TO BACKGROUND

25.1 Exercise of access rights — Waiving of access rights — No sub-licensing

To exercise access rights, this must first be requested in writing ('**request for access**').

'**Access rights**' means rights to use results or background under the terms and conditions laid down in this Agreement.

Waivers of access rights are not valid unless in writing.

Unless agreed otherwise, access rights do not include the right to sub-license.

25.2 Access rights for other beneficiaries, for implementing their own tasks under the action

The beneficiaries must give each other access — on a royalty-free basis — to background needed to implement their own tasks under the action, unless the beneficiary that holds the background has — before acceding to the Agreement —:

- (a) informed the other beneficiaries that access to its background is subject to legal restrictions or limits, including those imposed by the rights of third parties (including personnel), or
- (b) agreed with the other beneficiaries that access would not be on a royalty-free basis.

25.3 Access rights for other beneficiaries, for exploiting their own results

The beneficiaries must give each other access — under fair and reasonable conditions — to background needed for exploiting their own results, unless the beneficiary that holds the background has — before acceding to the Agreement — informed the other beneficiaries that access to its background is subject to legal restrictions or limits, including those imposed by the rights of third parties (including personnel).

'**Fair and reasonable conditions**' means appropriate conditions, including possible financial terms or royalty-free conditions, taking into account the specific circumstances of the request for access, for example the actual or potential value of the results or background to which access is requested and/or the scope, duration or other characteristics of the exploitation envisaged.

Requests for access may be made — unless agreed otherwise — up to one year after the period set out in Article 3.

25.4 Access rights for affiliated entities

Unless otherwise agreed in the consortium agreement, access to background must also be given — under fair and reasonable conditions (see above; Article 25.3) and unless it is subject to legal restrictions or limits, including those imposed by the rights of third parties (including personnel) —

to affiliated entities²⁰ established in an EU Member State or ‘**associated country**’²¹, if this is needed to exploit the results generated by the beneficiaries to which they are affiliated.

Unless agreed otherwise (see above; Article 25.1), the affiliated entity concerned must make the request directly to the beneficiary that holds the background.

Requests for access may be made — unless agreed otherwise — up to one year after the period set out in Article 3.

25.5 Access rights for third parties

Not applicable

25.6 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

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

SUBSECTION 3 RIGHTS AND OBLIGATIONS RELATED TO RESULTS

ARTICLE 26 — OWNERSHIP OF RESULTS

26.1 Ownership by the beneficiary that generates the results

Results are owned by the beneficiary that generates them.

‘**Results**’ means any (tangible or intangible) output of the action such as data, knowledge or information — whatever its form or nature, whether it can be protected or not — that is generated in the action, as well as any rights attached to it, including intellectual property rights.

26.2 Joint ownership by several beneficiaries

²⁰ For the definition see Article 2.1(2) Rules for Participation Regulation No 1290/2013: ‘**affiliated entity**’ means any legal entity that is:

- under the direct or indirect control of a participant, or
- under the same direct or indirect control as the participant, or
- directly or indirectly controlling a participant.

‘Control’ may take any of the following forms:

- (a) the direct or indirect holding of more than 50% of the nominal value of the issued share capital in the legal entity concerned, or of a majority of the voting rights of the shareholders or associates of that entity;
- (b) the direct or indirect holding, in fact or in law, of decision-making powers in the legal entity concerned.

However the following relationships between legal entities shall not in themselves be deemed to constitute controlling relationships:

- (a) the same public investment corporation, institutional investor or venture-capital company has a direct or indirect holding of more than 50% of the nominal value of the issued share capital or a majority of voting rights of the shareholders or associates;
- (b) the legal entities concerned are owned or supervised by the same public body.

²¹ For the definition, see Article 2.1(3) of the Rules for Participation Regulation No 1290/2013: ‘**associated country**’ means a third country which is party to an international agreement with the Union, as identified in Article 7 of Horizon 2020 Framework Programme Regulation No 1291/2013. Article 7 sets out the conditions for association of non-EU countries to Horizon 2020.

Two or more beneficiaries own results jointly if:

- (a) they have jointly generated them and
- (b) it is not possible to:
 - (i) establish the respective contribution of each beneficiary, or
 - (ii) separate them for the purpose of applying for, obtaining or maintaining their protection (see Article 27).

The joint owners must agree (in writing) on the allocation and terms of exercise of their joint ownership ('**joint ownership agreement**'), to ensure compliance with their obligations under this Agreement.

Unless otherwise agreed in the joint ownership agreement, each joint owner may grant non-exclusive licences to third parties to exploit jointly-owned results (without any right to sub-license), if the other joint owners are given:

- (a) at least 45 days advance notice and
- (b) fair and reasonable compensation.

Once the results have been generated, joint owners may agree (in writing) to apply another regime than joint ownership (such as, for instance, transfer to a single owner (see Article 30) with access rights for the others).

26.3 Rights of third parties (including personnel)

If third parties (including personnel) may claim rights to the results, the beneficiary concerned must ensure that it complies with its obligations under the Agreement.

If a third party generates results, the beneficiary concerned must obtain all necessary rights (transfer, licences or other) from the third party, in order to be able to respect its obligations as if those results were generated by the beneficiary itself.

If obtaining the rights is impossible, the beneficiary must refrain from using the third party to generate the results.

26.4 Agency ownership, to protect results

26.4.1 The Agency may — with the consent of the beneficiary concerned — assume ownership of results to protect them, if a beneficiary intends — up to four years after the period set out in Article 3 — to disseminate its results without protecting them, except in any of the following cases:

- (a) the lack of protection is because protecting the results is not possible, reasonable or justified (given the circumstances);
- (b) the lack of protection is because there is a lack of potential for commercial or industrial exploitation, or
- (c) the beneficiary intends to transfer the results to another beneficiary or third party established in an EU Member State or associated country, which will protect them.

Before the results are disseminated and unless any of the cases above under Points (a), (b) or (c) applies, the beneficiary must formally notify the Agency and at the same time inform it of any reasons for refusing consent. The beneficiary may refuse consent only if it can show that its legitimate interests would suffer significant harm.

If the Agency decides to assume ownership, it will formally notify the beneficiary concerned within 45 days of receiving notification.

No dissemination relating to these results may take place before the end of this period or, if the Agency takes a positive decision, until it has taken the necessary steps to protect the results.

26.4.2 The Agency may — with the consent of the beneficiary concerned — assume ownership of results to protect them, if a beneficiary intends — up to four years after the period set out in Article 3 — to stop protecting them or not to seek an extension of protection, except in any of the following cases:

- (a) the protection is stopped because of a lack of potential for commercial or industrial exploitation;
- (b) an extension would not be justified given the circumstances.

A beneficiary that intends to stop protecting results or not seek an extension must — unless any of the cases above under Points (a) or (b) applies — formally notify the Agency at least 60 days before the protection lapses or its extension is no longer possible and at the same time inform it of any reasons for refusing consent. The beneficiary may refuse consent only if it can show that its legitimate interests would suffer significant harm.

If the Agency decides to assume ownership, it will formally notify the beneficiary concerned within 45 days of receiving notification.

26.5 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

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

ARTICLE 27 — PROTECTION OF RESULTS — VISIBILITY OF EU FUNDING

27.1 Obligation to protect the results

Each beneficiary must examine the possibility of protecting its results and must adequately protect them — for an appropriate period and with appropriate territorial coverage — if:

- (a) the results can reasonably be expected to be commercially or industrially exploited and
- (b) protecting them is possible, reasonable and justified (given the circumstances).

When deciding on protection, the beneficiary must consider its own legitimate interests and the legitimate interests (especially commercial) of the other beneficiaries.

27.2 Agency ownership, to protect the results

If a beneficiary intends not to protect its results, to stop protecting them or not seek an extension of

protection, the Agency may — under certain conditions (see Article 26.4) — assume ownership to ensure their (continued) protection.

27.3 Information on EU funding

Applications for protection of results (including patent applications) filed by or on behalf of a beneficiary must — unless the Agency requests or agrees otherwise or unless it is impossible — include the following:

“The project leading to this application has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 101006261”.

27.4 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

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

ARTICLE 28 — EXPLOITATION OF RESULTS

28.1 Obligation to exploit the results

Each beneficiary must — up to four years after the period set out in Article 3 — take measures aiming to ensure ‘**exploitation**’ of its results (either directly or indirectly, in particular through transfer or licensing; see Article 30) by:

- (a) using them in further research activities (outside the action);
- (b) developing, creating or marketing a product or process;
- (c) creating and providing a service, or
- (d) using them in standardisation activities.

This does not change the security obligations in Article 37, which still apply.

28.2 Results that could contribute to European or international standards — Information on EU funding

If results are incorporated in a standard, the beneficiary concerned must — unless the Agency requests or agrees otherwise or unless it is impossible — ask the standardisation body to include the following statement in (information related to) the standard:

“Results incorporated in this standard received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 101006261”.

28.3 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced in accordance with Article 43.

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

ARTICLE 29 — DISSEMINATION OF RESULTS — OPEN ACCESS — VISIBILITY OF EU FUNDING

29.1 Obligation to disseminate results

Unless it goes against their legitimate interests, each beneficiary must — as soon as possible — ‘**disseminate**’ its results by disclosing them to the public by appropriate means (other than those resulting from protecting or exploiting the results), including in scientific publications (in any medium).

This does not change the obligation to protect results in Article 27, the confidentiality obligations in Article 36, the security obligations in Article 37 or the obligations to protect personal data in Article 39, all of which still apply.

A beneficiary that intends to disseminate its results must give advance notice to the other beneficiaries of — unless agreed otherwise — at least 45 days, together with sufficient information on the results it will disseminate.

Any other beneficiary may object within — unless agreed otherwise — 30 days of receiving notification, if it can show that its legitimate interests in relation to the results or background would be significantly harmed. In such cases, the dissemination may not take place unless appropriate steps are taken to safeguard these legitimate interests.

If a beneficiary intends not to protect its results, it may — under certain conditions (see Article 26.4.1) — need to formally notify the Agency before dissemination takes place.

29.2 Open access to scientific publications

Each beneficiary must ensure open access (free of charge online access for any user) to all peer-reviewed scientific publications relating to its results.

In particular, it must:

- (a) as soon as possible and at the latest on publication, deposit a machine-readable electronic copy of the published version or final peer-reviewed manuscript accepted for publication in a repository for scientific publications;

Moreover, the beneficiary must aim to deposit at the same time the research data needed to validate the results presented in the deposited scientific publications.

- (b) ensure open access to the deposited publication — via the repository — at the latest:
 - (i) on publication, if an electronic version is available for free via the publisher, or
 - (ii) within six months of publication (twelve months for publications in the social sciences and humanities) in any other case.
- (c) ensure open access — via the repository — to the bibliographic metadata that identify the deposited publication.

The bibliographic metadata must be in a standard format and must include all of the following:

- the terms “European Union (EU)” and “Horizon 2020”;
- the name of the action, acronym and grant number;
- the publication date, and length of embargo period if applicable, and
- a persistent identifier.

29.3 Open access to research data

Regarding the digital research data generated in the action (‘**data**’), the beneficiaries must:

- (a) deposit in a research data repository and take measures to make it possible for third parties to access, mine, exploit, reproduce and disseminate — free of charge for any user — the following:
 - (i) the data, including associated metadata, needed to validate the results presented in scientific publications, as soon as possible;
 - (ii) not applicable;
 - (iii) other data, including associated metadata, as specified and within the deadlines laid down in the ‘data management plan’ (see Annex 1);
- (b) provide information — via the repository — about tools and instruments at the disposal of the beneficiaries and necessary for validating the results (and — where possible — provide the tools and instruments themselves).

This does not change the obligation to protect results in Article 27, the confidentiality obligations in Article 36, the security obligations in Article 37 or the obligations to protect personal data in Article 39, all of which still apply.

As an exception, the beneficiaries do not have to ensure open access to specific parts of their research data under Point (a)(i) and (iii), if the achievement of the action's main objective (as described in Annex 1) would be jeopardised by making those specific parts of the research data openly accessible. In this case, the data management plan must contain the reasons for not giving access.

29.4 Information on EU funding — Obligation and right to use the EU emblem

Unless the Agency requests or agrees otherwise or unless it is impossible, any dissemination of results (in any form, including electronic) must:

- (a) display the EU emblem and
- (b) include the following text:

“This project has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 101006261”.

When displayed together with another logo, the EU emblem must have appropriate prominence.

For the purposes of their obligations under this Article, the beneficiaries may use the EU emblem without first obtaining approval from the Agency.

This does not however give them the right to exclusive use.

Moreover, they may not appropriate the EU emblem or any similar trademark or logo, either by registration or by any other means.

29.5 Disclaimer excluding Agency responsibility

Any dissemination of results must indicate that it reflects only the author's view and that the Agency is not responsible for any use that may be made of the information it contains.

29.6 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

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

ARTICLE 30 — TRANSFER AND LICENSING OF RESULTS

30.1 Transfer of ownership

Each beneficiary may transfer ownership of its results.

It must however ensure that its obligations under Articles 26.2, 26.4, 27, 28, 29, 30 and 31 also apply to the new owner and that this owner has the obligation to pass them on in any subsequent transfer.

This does not change the security obligations in Article 37, which still apply.

Unless agreed otherwise (in writing) for specifically-identified third parties or unless impossible under applicable EU and national laws on mergers and acquisitions, a beneficiary that intends to transfer ownership of results must give at least 45 days advance notice (or less if agreed in writing) to the other beneficiaries that still have (or still may request) access rights to the results. This notification must include sufficient information on the new owner to enable any beneficiary concerned to assess the effects on its access rights.

Unless agreed otherwise (in writing) for specifically-identified third parties, any other beneficiary may object within 30 days of receiving notification (or less if agreed in writing), if it can show that the transfer would adversely affect its access rights. In this case, the transfer may not take place until agreement has been reached between the beneficiaries concerned.

30.2 Granting licenses

Each beneficiary may grant licences to its results (or otherwise give the right to exploit them), if:

- (a) this does not impede the access rights under Article 31 and
- (b) not applicable.

In addition to Points (a) and (b), exclusive licences for results may be granted only if all the other beneficiaries concerned have waived their access rights (see Article 31.1).

This does not change the dissemination obligations in Article 29 or security obligations in Article 37, which still apply.

30.3 Agency right to object to transfers or licensing

The Agency may — up to four years after the period set out in Article 3 — object to a transfer of ownership or the exclusive licensing of results, if:

- (a) it is to a third party established in a non-EU country not associated with Horizon 2020 and
- (b) the Agency considers that the transfer or licence is not in line with EU interests regarding competitiveness or is inconsistent with ethical principles or security considerations.

A beneficiary that intends to transfer ownership or grant an exclusive licence must formally notify the Agency before the intended transfer or licensing takes place and:

- identify the specific results concerned;
- describe in detail the new owner or licensee and the planned or potential exploitation of the results, and
- include a reasoned assessment of the likely impact of the transfer or licence on EU competitiveness and its consistency with ethical principles and security considerations.

The Agency may request additional information.

If the Agency decides to object to a transfer or exclusive licence, it must formally notify the beneficiary concerned within 60 days of receiving notification (or any additional information it has requested).

No transfer or licensing may take place in the following cases:

- pending the Agency decision, within the period set out above;
- if the Agency objects;
- until the conditions are complied with, if the Agency objection comes with conditions.

30.4 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

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

ARTICLE 31 — ACCESS RIGHTS TO RESULTS

31.1 Exercise of access rights — Waiving of access rights — No sub-licensing

The conditions set out in Article 25.1 apply.

The obligations set out in this Article do not change the security obligations in Article 37, which still apply.

31.2 Access rights for other beneficiaries, for implementing their own tasks under the action

The beneficiaries must give each other access — on a royalty-free basis — to results needed for implementing their own tasks under the action.

31.3 Access rights for other beneficiaries, for exploiting their own results

The beneficiaries must give each other — under fair and reasonable conditions (see Article 25.3) — access to results needed for exploiting their own results.

Requests for access may be made — unless agreed otherwise — up to one year after the period set out in Article 3.

31.4 Access rights of affiliated entities

Unless agreed otherwise in the consortium agreement, access to results must also be given — under fair and reasonable conditions (Article 25.3) — to affiliated entities established in an EU Member State or associated country, if this is needed for those entities to exploit the results generated by the beneficiaries to which they are affiliated.

Unless agreed otherwise (see above; Article 31.1), the affiliated entity concerned must make any such request directly to the beneficiary that owns the results.

Requests for access may be made — unless agreed otherwise — up to one year after the period set out in Article 3.

31.5 Access rights for the EU institutions, bodies, offices or agencies and EU Member States

The beneficiaries must give access to their results — on a royalty-free basis — to EU institutions, bodies, offices or agencies, for developing, implementing or monitoring EU policies or programmes.

Such access rights are limited to non-commercial and non-competitive use.

This does not change the right to use any material, document or information received from the beneficiaries for communication and publicising activities (see Article 38.2).

31.6 Access rights for third parties

Not applicable

31.7 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

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

SECTION 4 OTHER RIGHTS AND OBLIGATIONS

ARTICLE 32 — RECRUITMENT AND WORKING CONDITIONS FOR RESEARCHERS

32.1 Obligation to take measures to implement the European Charter for Researchers and Code of Conduct for the Recruitment of Researchers

The beneficiaries must take all measures to implement the principles set out in the Commission Recommendation on the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers²³, in particular regarding:

- working conditions;
- transparent recruitment processes based on merit, and
- career development.

The beneficiaries must ensure that researchers and third parties involved in the action are aware of them.

32.2 Consequences of non-compliance

If a beneficiary breaches its obligations under this Article, the Agency may apply any of the measures described in Chapter 6.

ARTICLE 33 — GENDER EQUALITY

33.1 Obligation to aim for gender equality

The beneficiaries must take all measures to promote equal opportunities between men and women in the implementation of the action. They must aim, to the extent possible, for a gender balance at all levels of personnel assigned to the action, including at supervisory and managerial level.

33.2 Consequences of non-compliance

If a beneficiary breaches its obligations under this Article, the Agency may apply any of the measures described in Chapter 6.

ARTICLE 34 — ETHICS AND RESEARCH INTEGRITY

34.1 Obligation to comply with ethical and research integrity principles

The beneficiaries must carry out the action in compliance with:

- (a) ethical principles (including the highest standards of research integrity)
- and
- (b) applicable international, EU and national law.

Funding will not be granted for activities carried out outside the EU if they are prohibited in all Member States or for activities which destroy human embryos (for example, for obtaining stem cells).

²³ Commission Recommendation 2005/251/EC of 11 March 2005 on the European Charter for Researchers and on a Code of Conduct for the Recruitment of Researchers (OJ L 75, 22.3.2005, p. 67).

The beneficiaries must ensure that the activities under the action have an exclusive focus on civil applications.

The beneficiaries must ensure that the activities under the action do not:

- (a) aim at human cloning for reproductive purposes;
- (b) intend to modify the genetic heritage of human beings which could make such changes heritable (with the exception of research relating to cancer treatment of the gonads, which may be financed), or
- (c) intend to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

In addition, the beneficiaries must respect the fundamental principle of research integrity — as set out, for instance, in the European Code of Conduct for Research Integrity²⁴.

This implies compliance with the following fundamental principles:

- **reliability** in ensuring the quality of research reflected in the design, the methodology, the analysis and the use of resources;
- **honesty** in developing, undertaking, reviewing, reporting and communicating research in a transparent, fair and unbiased way;
- **respect** for colleagues, research participants, society, ecosystems, cultural heritage and the environment;
- **accountability** for the research from idea to publication, for its management and organisation, for training, supervision and mentoring, and for its wider impacts

and means that beneficiaries must ensure that persons carrying out research tasks follow the good research practices and refrain from the research integrity violations described in this Code.

This does not change the other obligations under this Agreement or obligations under applicable international, EU or national law, all of which still apply.

34.2 Activities raising ethical issues

Activities raising ethical issues must comply with the ‘**ethics requirements**’ set out as deliverables in Annex 1.

Before the beginning of an activity raising an ethical issue, each beneficiary must have obtained:

- (a) any ethics committee opinion required under national law and
- (b) any notification or authorisation for activities raising ethical issues required under national and/or European law

needed for implementing the action tasks in question.

²⁴ European Code of Conduct for Research Integrity of ALLEA (All European Academies)
http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-ethics_code-of-conduct_en.pdf

The documents must be kept on file and be submitted upon request by the coordinator to the Agency (see Article 52). If they are not in English, they must be submitted together with an English summary, which shows that the action tasks in question are covered and includes the conclusions of the committee or authority concerned (if available).

34.3 Activities involving human embryos or human embryonic stem cells

Activities involving research on human embryos or human embryonic stem cells may be carried out, in addition to Article 34.1, only if:

- they are set out in Annex 1 or
- the coordinator has obtained explicit approval (in writing) from the Agency (see Article 52).

34.4 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43) and the Agreement or participation of the beneficiary may be terminated (see Article 50).

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

ARTICLE 35 — CONFLICT OF INTERESTS

35.1 Obligation to avoid a conflict of interests

The beneficiaries must take all measures to prevent any situation where the impartial and objective implementation of the action is compromised for reasons involving economic interest, political or national affinity, family or emotional ties or any other shared interest (**‘conflict of interests’**).

They must formally notify to the Agency without delay any situation constituting or likely to lead to a conflict of interests and immediately take all the necessary steps to rectify this situation.

The Agency may verify that the measures taken are appropriate and may require additional measures to be taken by a specified deadline.

35.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43) and the Agreement or participation of the beneficiary may be terminated (see Article 50).

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

ARTICLE 36 — CONFIDENTIALITY

36.1 General obligation to maintain confidentiality

During implementation of the action and for four years after the period set out in Article 3, the parties must keep confidential any data, documents or other material (in any form) that is identified as confidential at the time it is disclosed (**‘confidential information’**).

If a beneficiary requests, the Agency may agree to keep such information confidential for an additional period beyond the initial four years.

If information has been identified as confidential only orally, it will be considered to be confidential only if this is confirmed in writing within 15 days of the oral disclosure.

Unless otherwise agreed between the parties, they may use confidential information only to implement the Agreement.

The beneficiaries may disclose confidential information to their personnel or third parties involved in the action only if they:

- (a) need to know to implement the Agreement and
- (b) are bound by an obligation of confidentiality.

This does not change the security obligations in Article 37, which still apply.

The Agency may disclose confidential information to its staff, other EU institutions and bodies. It may disclose confidential information to third parties, if:

- (a) this is necessary to implement the Agreement or safeguard the EU's financial interests and
- (b) the recipients of the information are bound by an obligation of confidentiality.

Under the conditions set out in Article 4 of the Rules for Participation Regulation No 1290/2013²⁵, the Commission must moreover make available information on the results to other EU institutions, bodies, offices or agencies as well as Member States or associated countries.

The confidentiality obligations no longer apply if:

- (a) the disclosing party agrees to release the other party;
- (b) the information was already known by the recipient or is given to him without obligation of confidentiality by a third party that was not bound by any obligation of confidentiality;
- (c) the recipient proves that the information was developed without the use of confidential information;
- (d) the information becomes generally and publicly available, without breaching any confidentiality obligation, or
- (e) the disclosure of the information is required by EU or national law.

36.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

²⁵ Regulation (EU) No 1290/2013 of the European Parliament and of the Council of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)" (OJ L 347, 20.12.2013 p.81).

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

ARTICLE 37 — SECURITY-RELATED OBLIGATIONS

37.1 Results with a security recommendation

Not applicable

37.2 Classified information

Not applicable

37.3 Activities involving dual-use goods or dangerous materials and substances

Not applicable

37.4 Consequences of non-compliance

Not applicable

ARTICLE 38 — PROMOTING THE ACTION — VISIBILITY OF EU FUNDING

38.1 Communication activities by beneficiaries

38.1.1 Obligation to promote the action and its results

The beneficiaries must promote the action and its results, by providing targeted information to multiple audiences (including the media and the public) in a strategic and effective manner.

This does not change the dissemination obligations in Article 29, the confidentiality obligations in Article 36 or the security obligations in Article 37, all of which still apply.

Before engaging in a communication activity expected to have a major media impact, the beneficiaries must inform the Agency (see Article 52).

38.1.2 Information on EU funding — Obligation and right to use the EU emblem

Unless the Agency requests or agrees otherwise or unless it is impossible, any communication activity related to the action (including in electronic form, via social media, etc.) and any infrastructure, equipment and major results funded by the grant must:

(a) display the EU emblem and

(b) include the following text:

For communication activities:

“This project has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 101006261”.

For infrastructure, equipment and major results:

“This *[infrastructure][equipment][insert type of result]* is part of a project that has received funding

from the European Union's Horizon 2020 research and innovation programme under grant agreement No 101006261".

When displayed together with another logo, the EU emblem must have appropriate prominence.

For the purposes of their obligations under this Article, the beneficiaries may use the EU emblem without first obtaining approval from the Agency.

This does not, however, give them the right to exclusive use.

Moreover, they may not appropriate the EU emblem or any similar trademark or logo, either by registration or by any other means.

38.1.3 Disclaimer excluding Agency and Commission responsibility

Any communication activity related to the action must indicate that it reflects only the author's view and that the Agency and the Commission are not responsible for any use that may be made of the information it contains.

38.2 Communication activities by the Agency and the Commission

38.2.1 Right to use beneficiaries' materials, documents or information

The Agency and the Commission may use, for its communication and publicising activities, information relating to the action, documents notably summaries for publication and public deliverables as well as any other material, such as pictures or audio-visual material received from any beneficiary (including in electronic form).

This does not change the confidentiality obligations in Article 36 and the security obligations in Article 37, all of which still apply.

If the Agency's or the Commission's use of these materials, documents or information would risk compromising legitimate interests, the beneficiary concerned may request the Agency or the Commission not to use it (see Article 52).

The right to use a beneficiary's materials, documents and information includes:

- (a) **use for its own purposes** (in particular, making them available to persons working for the Agency, the Commission or any other EU institution, body, office or agency or body or institutions in EU Member States; and copying or reproducing them in whole or in part, in unlimited numbers);
- (b) **distribution to the public** (in particular, publication as hard copies and in electronic or digital format, publication on the internet, as a downloadable or non-downloadable file, broadcasting by any channel, public display or presentation, communicating through press information services, or inclusion in widely accessible databases or indexes);
- (c) **editing or redrafting** for communication and publicising activities (including shortening, summarising, inserting other elements (such as meta-data, legends, other graphic, visual, audio or text elements), extracting parts (e.g. audio or video files), dividing into parts, use in a compilation);
- (d) translation;

- (e) giving **access in response to individual requests** under Regulation No 1049/2001²⁷, without the right to reproduce or exploit;
- (f) **storage** in paper, electronic or other form;
- (g) **archiving**, in line with applicable document-management rules, and
- (h) the right to authorise **third parties** to act on its behalf or sub-license the modes of use set out in Points (b), (c), (d) and (f) to third parties if needed for the communication and publicising activities of the Agency or the Commission.

If the right of use is subject to rights of a third party (including personnel of the beneficiary), the beneficiary must ensure that it complies with its obligations under this Agreement (in particular, by obtaining the necessary approval from the third parties concerned).

Where applicable (and if provided by the beneficiaries), the Agency or the Commission will insert the following information:

“© – [year] – [name of the copyright owner]. All rights reserved. Licensed to the Research Executive Agency (REA) and the European Union (EU) under conditions.”

38.3 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

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

ARTICLE 39 — PROCESSING OF PERSONAL DATA

39.1 Processing of personal data by the Agency and the Commission

Any personal data under the Agreement will be processed by the Agency or the Commission under Regulation No 45/2001²⁸ and according to the ‘notifications of the processing operations’ to the Data Protection Officer (DPO) of the Agency or the Commission (publicly accessible in the DPO register).

Such data will be processed by the ‘**data controller**’ of the Agency or the Commission for the purposes of implementing, managing and monitoring the Agreement or protecting the financial interests of the EU or Euratom (including checks, reviews, audits and investigations; see Article 22).

The persons whose personal data are processed have the right to access and correct their own personal data. For this purpose, they must send any queries about the processing of their personal data to the data controller, via the contact point indicated in the privacy statement(s) that are published on the Agency and the Commission websites.

²⁷ Regulation (EC) No 1049/2001 of the European Parliament and of the Council of 30 May 2001 regarding public access to European Parliament, Council and Commission documents, OJ L 145, 31.5.2001, p. 43.

²⁸ Regulation (EC) No 45/2001 of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data (OJ L 8, 12.01.2001, p. 1).

They also have the right to have recourse at any time to the European Data Protection Supervisor (EDPS).

39.2 Processing of personal data by the beneficiaries

The beneficiaries must process personal data under the Agreement in compliance with applicable EU and national law on data protection (including authorisations or notification requirements).

The beneficiaries may grant their personnel access only to data that is strictly necessary for implementing, managing and monitoring the Agreement.

The beneficiaries must inform the personnel whose personal data are collected and processed by the Agency or the Commission. For this purpose, they must provide them with the privacy statement(s) (see above), before transmitting their data to the Agency or the Commission.

39.3 Consequences of non-compliance

If a beneficiary breaches any of its obligations under Article 39.2, the Agency may apply any of the measures described in Chapter 6.

ARTICLE 40 — ASSIGNMENTS OF CLAIMS FOR PAYMENT AGAINST THE AGENCY

The beneficiaries may not assign any of their claims for payment against the Agency to any third party, except if approved by the Agency on the basis of a reasoned, written request by the coordinator (on behalf of the beneficiary concerned).

If the Agency has not accepted the assignment or the terms of it are not observed, the assignment will have no effect on it.

In no circumstances will an assignment release the beneficiaries from their obligations towards the Agency.

CHAPTER 5 DIVISION OF BENEFICIARIES' ROLES AND RESPONSIBILITIES **— RELATIONSHIP WITH COMPLEMENTARY BENEFICIARIES —** **RELATIONSHIP WITH PARTNERS OF A JOINT ACTION**

ARTICLE 41 — DIVISION OF BENEFICIARIES' ROLES AND RESPONSIBILITIES **— RELATIONSHIP WITH COMPLEMENTARY BENEFICIARIES —** **RELATIONSHIP WITH PARTNERS OF A JOINT ACTION**

41.1 Roles and responsibility towards the Agency

The beneficiaries have full responsibility for implementing the action and complying with the Agreement.

The beneficiaries are jointly and severally liable for the **technical implementation** of the action as described in Annex 1. If a beneficiary fails to implement its part of the action, the other beneficiaries become responsible for implementing this part (without being entitled to any additional EU funding for doing so), unless the Agency expressly relieves them of this obligation.

The **financial responsibility** of each beneficiary is governed by Article 44.

41.2 Internal division of roles and responsibilities

The internal roles and responsibilities of the beneficiaries are divided as follows:

(a) Each **beneficiary** must:

- (i) keep information stored in the Participant Portal Beneficiary Register (via the electronic exchange system) up to date (see Article 17);
- (ii) inform the coordinator immediately of any events or circumstances likely to affect significantly or delay the implementation of the action (see Article 17);
- (iii) submit to the coordinator in good time:
 - individual financial statements for itself and, if required, certificates on the financial statements (see Article 20);
 - the data needed to draw up the technical reports (see Article 20);
 - ethics committee opinions and notifications or authorisations for activities raising ethical issues (see Article 34);
 - any other documents or information required by the Agency or the Commission under the Agreement, unless the Agreement requires the beneficiary to submit this information directly to the Agency or the Commission.

(b) The **coordinator** must:

- (i) monitor that the action is implemented properly (see Article 7);
- (ii) act as the intermediary for all communications between the beneficiaries and the Agency (in particular, providing the Agency with the information described in Article 17), unless the Agreement specifies otherwise;
- (iii) request and review any documents or information required by the Agency and verify their completeness and correctness before passing them on to the Agency;
- (iv) submit the deliverables and reports to the Agency (see Articles 19 and 20);
- (v) ensure that all payments are made to the other beneficiaries without unjustified delay (see Article 21);
- (vi) inform the Agency of the amounts paid to each beneficiary, when required under the Agreement (see Articles 44 and 50) or requested by the Agency.

The coordinator may not delegate or subcontract the above-mentioned tasks to any other beneficiary or third party (including linked third parties).

41.3 Internal arrangements between beneficiaries — Consortium agreement

The beneficiaries must have internal arrangements regarding their operation and co-ordination to

ensure that the action is implemented properly. These internal arrangements must be set out in a written ‘**consortium agreement**’ between the beneficiaries, which may cover:

- internal organisation of the consortium;
- management of access to the electronic exchange system;
- distribution of EU funding;
- additional rules on rights and obligations related to background and results (including whether access rights remain or not, if a beneficiary is in breach of its obligations) (see Section 3 of Chapter 4);
- settlement of internal disputes;
- liability, indemnification and confidentiality arrangements between the beneficiaries.

The consortium agreement must not contain any provision contrary to the Agreement.

41.4 Relationship with complementary beneficiaries — Collaboration agreement

Not applicable

41.5 Relationship with partners of a joint action — Coordination agreement

Not applicable

CHAPTER 6 REJECTION OF COSTS — REDUCTION OF THE GRANT — RECOVERY — SANCTIONS — DAMAGES — SUSPENSION — TERMINATION — FORCE MAJEURE

SECTION 1 REJECTION OF COSTS — REDUCTION OF THE GRANT — RECOVERY — SANCTIONS

ARTICLE 42 — REJECTION OF INELIGIBLE COSTS

42.1 Conditions

The Agency will — after **termination of the participation of a beneficiary**, at the time of an **interim payment, at the payment of the balance or afterwards** — reject any costs which are ineligible (see Article 6), in particular following checks, reviews, audits or investigations (see Article 22).

The rejection may also be based on the **extension of findings from other grants to this grant** (see Article 22.5.2).

42.2 Ineligible costs to be rejected — Calculation — Procedure

Ineligible costs will be rejected in full.

If the rejection of costs does not lead to a recovery (see Article 44), the Agency will formally notify

the coordinator or beneficiary concerned of the rejection of costs, the amounts and the reasons why (if applicable, together with the notification of amounts due; see Article 21.5). The coordinator or beneficiary concerned may — within 30 days of receiving notification — formally notify the Agency of its disagreement and the reasons why.

If the rejection of costs leads to a recovery, the Agency will follow the contradictory procedure with pre-information letter set out in Article 44.

42.3 Effects

If the Agency rejects costs at the time of an **interim payment** or **the payment of the balance**, it will deduct them from the total eligible costs declared, for the action, in the periodic or final summary financial statement (see Articles 20.3 and 20.4). It will then calculate the interim payment or payment of the balance as set out in Articles 21.3 or 21.4.

If the Agency rejects costs **after termination of the participation of a beneficiary**, it will deduct them from the costs declared by the beneficiary in the termination report and include the rejection in the calculation after termination (see Article 50.2 and 50.3).

If the Agency — **after an interim payment but before the payment of the balance** — rejects costs declared in a periodic summary financial statement, it will deduct them from the total eligible costs declared, for the action, in the next periodic summary financial statement or in the final summary financial statement. It will then calculate the interim payment or payment of the balance as set out in Articles 21.3 or 21.4.

If the Agency rejects costs **after the payment of the balance**, it will deduct the amount rejected from the total eligible costs declared, by the beneficiary, in the final summary financial statement. It will then calculate the revised final grant amount as set out in Article 5.4.

ARTICLE 43 — REDUCTION OF THE GRANT

43.1 Conditions

The Agency may — **after termination of the participation of a beneficiary, at the payment of the balance or afterwards** — reduce the grant amount (see Article 5.1), if :

- (a) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) has committed:
 - (i) substantial errors, irregularities or fraud or
 - (ii) serious breach of obligations under the Agreement or during the award procedure (including improper implementation of the action, submission of false information, failure to provide required information, breach of ethical principles) or
- (b) a beneficiary (or a natural person who has the power to represent or take decision on its behalf) has committed — in other EU or Euratom grants awarded to it under similar conditions — systemic or recurrent errors, irregularities, fraud or serious breach of obligations that have a material impact on this grant (**extension of findings from other grants to this grant**; see Article 22.5.2).

43.2 Amount to be reduced — Calculation — Procedure

The amount of the reduction will be proportionate to the seriousness of the errors, irregularities or fraud or breach of obligations.

Before reduction of the grant, the Agency will formally notify a ‘**pre-information letter**’ to the coordinator or beneficiary concerned:

- informing it of its intention to reduce the grant, the amount it intends to reduce and the reasons why and
- inviting it to submit observations within 30 days of receiving notification.

If the Agency does not receive any observations or decides to pursue reduction despite the observations it has received, it will formally notify **confirmation** of the reduction (if applicable, together with the notification of amounts due; see Article 21).

43.3 Effects

If the Agency reduces the grant **after termination of the participation of a beneficiary**, it will calculate the reduced grant amount for that beneficiary and then determine the amount due to that beneficiary (see Article 50.2 and 50.3).

If the Agency reduces the grant **at the payment of the balance**, it will calculate the reduced grant amount for the action and then determine the amount due as payment of the balance (see Articles 5.3.4 and 21.4).

If the Agency reduces the grant **after the payment of the balance**, it will calculate the revised final grant amount for the beneficiary concerned (see Article 5.4). If the revised final grant amount for the beneficiary concerned is lower than its share of the final grant amount, the Agency will recover the difference (see Article 44).

ARTICLE 44 — RECOVERY OF UNDUE AMOUNTS

44.1 Amount to be recovered — Calculation — Procedure

The Agency will — after **termination of the participation of a beneficiary, at the payment of the balance or afterwards** — claim back any amount that was paid, but is not due under the Agreement.

Each beneficiary’s financial responsibility in case of recovery is limited to its own debt, except for the amount retained for the Guarantee Fund (see Article 21.4).

44.1.1 Recovery after termination of a beneficiary’s participation

If recovery takes place after termination of a beneficiary’s participation (including the coordinator), the Agency will claim back the undue amount from the beneficiary concerned, by formally notifying it a debit note (see Article 50.2 and 50.3). This note will specify the amount to be recovered, the terms and the date for payment.

If payment is not made by the date specified in the debit note, the Agency or the Commission will **recover** the amount:

- (a) by ‘**offsetting**’ it — without the beneficiary’s consent — against any amounts owed to the beneficiary concerned by the Agency, the Commission or another executive agency (from the EU or Euratom budget).

In exceptional circumstances, to safeguard the EU’s financial interests, the Agency or the Commission may offset before the payment date specified in the debit note;

- (b) not applicable;

- (c) by **taking legal action** (see Article 57) or by **adopting an enforceable decision** under Article 299 of the Treaty on the Functioning of the EU (TFEU) and Article 79(2) of the Financial Regulation No 966/2012.

If payment is not made by the date specified in the debit note, the amount to be recovered (see above) will be increased by **late-payment interest** at the rate set out in Article 21.11, from the day following the payment date in the debit note, up to and including the date the Agency or the Commission receives full payment of the amount.

Partial payments will be first credited against expenses, charges and late-payment interest and then against the principal.

Bank charges incurred in the recovery process will be borne by the beneficiary, unless Directive 2007/64/EC²⁹ applies.

44.1.2 Recovery at payment of the balance

If the payment of the balance takes the form of a recovery (see Article 21.4), the Agency will formally notify a ‘**pre-information letter**’ to the coordinator:

- informing it of its intention to recover, the amount due as the balance and the reasons why;
- specifying that it intends to deduct the amount to be recovered from the amount retained for the Guarantee Fund;
- requesting the coordinator to submit a report on the distribution of payments to the beneficiaries within 30 days of receiving notification, and
- inviting the coordinator to submit observations within 30 days of receiving notification.

If no observations are submitted or the Agency decides to pursue recovery despite the observations it has received, it will **confirm recovery** (together with the notification of amounts due; see Article 21.5) and:

- pay the difference between the amount to be recovered and the amount retained for the Guarantee Fund, **if the difference is positive** or
- formally notify to the coordinator a **debit note** for the difference between the amount to be recovered and the amount retained for the Guarantee Fund, **if the difference is negative**. This note will also specify the terms and the date for payment.

²⁹ Directive 2007/64/EC of the European Parliament and of the Council of 13 November 2007 on payment services in the internal market amending Directives 97/7/EC, 2002/65/EC, 2005/60/EC and 2006/48/EC and repealing Directive 97/5/EC (OJ L 319, 05.12.2007, p. 1).

If the coordinator does not repay the Agency by the date in the debit note and has not submitted the report on the distribution of payments: the Agency or the Commission will **recover** the amount set out in the debit note from the coordinator (see below).

If the coordinator does not repay the Agency by the date in the debit note, but has submitted the report on the distribution of payments: the Agency will:

(a) identify the beneficiaries for which the amount calculated as follows is negative:

$\{ \{ \{ \text{beneficiary's costs declared in the final summary financial statement and approved by the Agency multiplied by the reimbursement rate set out in Article 5.2 for the beneficiary concerned} \}$

divided by

$\text{the EU contribution for the action calculated according to Article 5.3.1} \}$

multiplied by

$\text{the final grant amount (see Article 5.3)} \}$,

minus

$\{ \text{pre-financing and interim payments received by the beneficiary} \} \}$.

(b) formally notify to each beneficiary identified according to point (a) a **debit note** specifying the terms and date for payment. The amount of the debit note is calculated as follows:

$\{ \{ \text{amount calculated according to point (a) for the beneficiary concerned} \}$

divided by

$\text{the sum of the amounts calculated according to point (a) for all the beneficiaries identified according to point (a)} \}$

multiplied by

$\text{the amount set out in the debit note formally notified to the coordinator} \}$.

If payment is not made by the date specified in the debit note, the Agency or the Commission will **recover** the amount:

(a) by **offsetting** it — without the beneficiary's consent — against any amounts owed to the beneficiary concerned by the Agency, the Commission or another executive agency (from the EU or Euratom budget).

In exceptional circumstances, to safeguard the EU's financial interests, the Agency or the Commission may offset before the payment date specified in the debit note;

(b) by **drawing on the Guarantee Fund**. The Agency or the Commission will formally notify the beneficiary concerned the debit note on behalf of the Guarantee Fund and recover the amount:

(i) not applicable;

(ii) by **taking legal action** (see Article 57) or by **adopting an enforceable decision** under Article 299 of the Treaty on the Functioning of the EU (TFEU) and Article 79(2) of the Financial Regulation No 966/2012.

If payment is not made by the date in the debit note, the amount to be recovered (see above) will be increased by **late-payment interest** at the rate set out in Article 21.11, from the day following the payment date in the debit note, up to and including the date the Agency or the Commission receives full payment of the amount.

Partial payments will be first credited against expenses, charges and late-payment interest and then against the principal.

Bank charges incurred in the recovery process will be borne by the beneficiary, unless Directive 2007/64/EC applies.

44.1.3 Recovery of amounts after payment of the balance

If, for a beneficiary, the revised final grant amount (see Article 5.4) is lower than its share of the final grant amount, it must repay the difference to the Agency.

The beneficiary's share of the final grant amount is calculated as follows:

$$\left\{ \left\{ \begin{array}{l} \text{beneficiary's costs declared in the final summary financial statement and approved by the Agency} \\ \text{multiplied by the reimbursement rate set out in Article 5.2 for the beneficiary concerned} \end{array} \right\} \right.$$

divided by

$$\left. \left\{ \begin{array}{l} \text{the EU contribution for the action calculated according to Article 5.3.1} \end{array} \right\} \right.$$

multiplied by

$$\left. \left\{ \begin{array}{l} \text{the final grant amount (see Article 5.3)} \end{array} \right\} \right.$$

If the coordinator has not distributed amounts received (see Article 21.7), the Agency will also recover these amounts.

The Agency will formally notify a **pre-information letter** to the beneficiary concerned:

- informing it of its intention to recover, the due amount and the reasons why and
- inviting it to submit observations within 30 days of receiving notification.

If no observations are submitted or the Agency decides to pursue recovery despite the observations it has received, it will **confirm** the amount to be recovered and formally notify to the beneficiary concerned a **debit note**. This note will also specify the terms and the date for payment.

If payment is not made by the date specified in the debit note, the Agency or the Commission will **recover** the amount:

- (a) by **offsetting** it — without the beneficiary's consent — against any amounts owed to the beneficiary concerned by the Agency, the Commission or another executive agency (from the EU or Euratom budget).

In exceptional circumstances, to safeguard the EU's financial interests, the Agency or the Commission may offset before the payment date specified in the debit note;

- (b) by **drawing on the Guarantee Fund**. The Agency or the Commission will formally notify the beneficiary concerned the debit note on behalf of the Guarantee Fund and recover the amount:

- (i) not applicable;
- (ii) by **taking legal action** (see Article 57) or by **adopting an enforceable decision** under Article 299 of the Treaty on the Functioning of the EU (TFEU) and Article 79(2) of the Financial Regulation No 966/2012.

If payment is not made by the date in the debit note, the amount to be recovered (see above) will be increased by **late-payment interest** at the rate set out in Article 21.11, from the day following the date for payment in the debit note, up to and including the date the Agency or the Commission receives full payment of the amount.

Partial payments will be first credited against expenses, charges and late-payment interest and then against the principal.

Bank charges incurred in the recovery process will be borne by the beneficiary, unless Directive 2007/64/EC applies.

ARTICLE 45 — ADMINISTRATIVE SANCTIONS

In addition to contractual measures, the Agency or the Commission may also adopt administrative sanctions under Articles 106 and 131(4) of the Financial Regulation No 966/2012 (i.e. exclusion from future procurement contracts, grants, prizes and expert contracts and/or financial penalties).

SECTION 2 LIABILITY FOR DAMAGES

ARTICLE 46 — LIABILITY FOR DAMAGES

46.1 Liability of the Agency

The Agency cannot be held liable for any damage caused to the beneficiaries or to third parties as a consequence of implementing the Agreement, including for gross negligence.

The Agency cannot be held liable for any damage caused by any of the beneficiaries or third parties involved in the action, as a consequence of implementing the Agreement.

46.2 Liability of the beneficiaries

Except in case of force majeure (see Article 51), the beneficiaries must compensate the Agency for any damage it sustains as a result of the implementation of the action or because the action was not implemented in full compliance with the Agreement.

SECTION 3 SUSPENSION AND TERMINATION

ARTICLE 47 — SUSPENSION OF PAYMENT DEADLINE

47.1 Conditions

The Agency may — at any moment — suspend the payment deadline (see Article 21.2 to 21.4) if a request for payment (see Article 20) cannot be approved because:

- (a) it does not comply with the provisions of the Agreement (see Article 20);
- (b) the technical or financial reports have not been submitted or are not complete or additional information is needed, or
- (c) there is doubt about the eligibility of the costs declared in the financial statements and additional checks, reviews, audits or investigations are necessary.

47.2 Procedure

The Agency will formally notify the coordinator of the suspension and the reasons why.

The suspension will **take effect** the day notification is sent by the Agency (see Article 52).

If the conditions for suspending the payment deadline are no longer met, the suspension will be **lifted** — and the remaining period will resume.

If the suspension exceeds two months, the coordinator may request the Agency if the suspension will continue.

If the payment deadline has been suspended due to the non-compliance of the technical or financial reports (see Article 20) and the revised report or statement is not submitted or was submitted but is also rejected, the Agency may also terminate the Agreement or the participation of the beneficiary (see Article 50.3.1(l)).

ARTICLE 48 — SUSPENSION OF PAYMENTS

48.1 Conditions

The Agency may — at any moment — suspend payments, in whole or in part and interim payments or the payment of the balance for one or more beneficiaries, if:

- (a) a beneficiary (or a natural person who has the power to represent or take decision on its behalf) has committed or is suspected of having committed:
 - (i) substantial errors, irregularities or fraud or
 - (ii) serious breach of obligations under the Agreement or during the award procedure (including improper implementation of the action, submission of false information, failure to provide required information, breach of ethical principles) or
- (b) a beneficiary (or a natural person who has the power to represent or take decision on its behalf) has committed — in other EU or Euratom grants awarded to it under similar conditions — systemic or recurrent errors, irregularities, fraud or serious breach of obligations that have a material impact on this grant (**extension of findings from other grants to this grant**; see Article 22.5.2).

If payments are suspended for one or more beneficiaries, the Agency will make partial payment(s) for the part(s) not suspended. If suspension concerns the payment of the balance, — once suspension is lifted — the payment or the recovery of the amount(s) concerned will be considered the payment of the balance that closes the action.

48.2 Procedure

Before suspending payments, the Agency will formally notify the coordinator or beneficiary concerned:

- informing it of its intention to suspend payments and the reasons why and
- inviting it to submit observations within 30 days of receiving notification.

If the Agency does not receive observations or decides to pursue the procedure despite the observations it has received, it will formally notify **confirmation** of the suspension. Otherwise, it will formally notify that the suspension procedure is not continued.

The suspension will **take effect** the day the confirmation notification is sent by the Agency.

If the conditions for resuming payments are met, the suspension will be **lifted**. The Agency will formally notify the coordinator or beneficiary concerned.

During the suspension, the periodic report(s) for all reporting periods except the last one (see Article 20.3), must not contain any individual financial statements from the beneficiary concerned. The coordinator must include them in the next periodic report after the suspension is lifted or — if suspension is not lifted before the end of the action — in the last periodic report.

The beneficiaries may suspend implementation of the action (see Article 49.1) or terminate the Agreement or the participation of the beneficiary concerned (see Article 50.1 and 50.2).

ARTICLE 49 — SUSPENSION OF THE ACTION IMPLEMENTATION

49.1 Suspension of the action implementation, by the beneficiaries

49.1.1 Conditions

The beneficiaries may suspend implementation of the action or any part of it, if exceptional circumstances — in particular *force majeure* (see Article 51) — make implementation impossible or excessively difficult.

49.1.2 Procedure

The coordinator must immediately formally notify to the Agency the suspension (see Article 52), stating:

- the reasons why and
- the expected date of resumption.

The suspension will **take effect** the day this notification is received by the Agency.

Once circumstances allow for implementation to resume, the coordinator must immediately formally notify the Agency and request an **amendment** of the Agreement to set the date on which the action will be resumed, extend the duration of the action and make other changes necessary to adapt the action to the new situation (see Article 55) — unless the Agreement or the participation of a beneficiary has been terminated (see Article 50).

The suspension will be **lifted** with effect from the resumption date set out in the amendment. This date may be before the date on which the amendment enters into force.

Costs incurred during suspension of the action implementation are not eligible (see Article 6).

49.2 Suspension of the action implementation, by the Agency

49.2.1 Conditions

The Agency may suspend implementation of the action or any part of it, if:

- (a) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) has committed or is suspected of having committed:
 - (i) substantial errors, irregularities or fraud or
 - (ii) serious breach of obligations under the Agreement or during the award procedure (including improper implementation of the action, submission of false information, failure to provide required information, breach of ethical principles);
- (b) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) has committed — in other EU or Euratom grants awarded to it under similar conditions — systemic or recurrent errors, irregularities, fraud or serious breach of obligations that have a material impact on this grant (**extension of findings from other grants to this grant**; see Article 22.5.2), or
- (c) the action is suspected of having lost its scientific or technological relevance.

49.2.2 Procedure

Before suspending implementation of the action, the Agency will formally notify the coordinator or beneficiary concerned:

- informing it of its intention to suspend the implementation and the reasons why and
- inviting it to submit observations within 30 days of receiving notification.

If the Agency does not receive observations or decides to pursue the procedure despite the observations it has received, it will formally notify **confirmation** of the suspension. Otherwise, it will formally notify that the procedure is not continued.

The suspension will **take effect** five days after confirmation notification is received (or on a later date specified in the notification).

It will be **lifted** if the conditions for resuming implementation of the action are met.

The coordinator or beneficiary concerned will be formally notified of the lifting and the Agreement will be **amended** to set the date on which the action will be resumed, extend the duration of the action and make other changes necessary to adapt the action to the new situation (see Article 55) — unless the Agreement has already been terminated (see Article 50).

The suspension will be lifted with effect from the resumption date set out in the amendment. This date may be before the date on which the amendment enters into force.

Costs incurred during suspension are not eligible (see Article 6).

The beneficiaries may not claim damages due to suspension by the Agency (see Article 46).

Suspension of the action implementation does not affect the Agency's right to terminate the Agreement or participation of a beneficiary (see Article 50), reduce the grant or recover amounts unduly paid (see Articles 43 and 44).

ARTICLE 50 — TERMINATION OF THE AGREEMENT OR OF THE PARTICIPATION OF ONE OR MORE BENEFICIARIES

50.1 Termination of the Agreement, by the beneficiaries

50.1.1 Conditions and procedure

The beneficiaries may terminate the Agreement.

The coordinator must formally notify termination to the Agency (see Article 52), stating:

- the reasons why and
- the date the termination will take effect. This date must be after the notification.

If no reasons are given or if the Agency considers the reasons do not justify termination, the Agreement will be considered to have been '**terminated improperly**'.

The termination will **take effect** on the day specified in the notification.

50.1.2 Effects

The coordinator must — within 60 days from when termination takes effect — submit:

- (i) a periodic report (for the open reporting period until termination; see Article 20.3) and
- (ii) the final report (see Article 20.4).

If the Agency does not receive the reports within the deadline (see above), only costs which are included in an approved periodic report will be taken into account.

The Agency will **calculate** the final grant amount (see Article 5.3) and the balance (see Article 21.4) on the basis of the reports submitted. Only costs incurred until termination are eligible (see Article 6). Costs relating to contracts due for execution only after termination are not eligible.

Improper termination may lead to a reduction of the grant (see Article 43).

After termination, the beneficiaries' obligations (in particular Articles 20, 22, 23, Section 3 of Chapter 4, 36, 37, 38, 40, 42, 43 and 44) continue to apply.

50.2 Termination of the participation of one or more beneficiaries, by the beneficiaries

50.2.1 Conditions and procedure

The participation of one or more beneficiaries may be terminated by the coordinator, on request of the beneficiary concerned or on behalf of the other beneficiaries.

The coordinator must formally notify termination to the Agency (see Article 52) and inform the beneficiary concerned.

If the coordinator's participation is terminated without its agreement, the formal notification must be done by another beneficiary (acting on behalf of the other beneficiaries).

The notification must include:

- the reasons why;
- the opinion of the beneficiary concerned (or proof that this opinion has been requested in writing);
- the date the termination takes effect. This date must be after the notification, and
- a request for amendment (see Article 55), with a proposal for reallocation of the tasks and the estimated budget of the beneficiary concerned (see Annexes 1 and 2) and, if necessary, the addition of one or more new beneficiaries (see Article 56). If termination takes effect after the period set out in Article 3, no request for amendment must be included unless the beneficiary concerned is the coordinator. In this case, the request for amendment must propose a new coordinator.

If this information is not given or if the Agency considers that the reasons do not justify termination, the participation will be considered to have been **terminated improperly**.

The termination will **take effect** on the day specified in the notification.

50.2.2 Effects

The coordinator must — within 30 days from when termination takes effect — submit:

- (i) a report on the distribution of payments to the beneficiary concerned and
- (ii) if termination takes effect during the period set out in Article 3, a '**termination report**' from the beneficiary concerned, for the open reporting period until termination, containing an overview of the progress of the work, an overview of the use of resources, the individual financial statement and, if applicable, the certificate on the financial statement (see Articles 20.3 and 20.4).

The information in the termination report must also be included in the periodic report for the next reporting period (see Article 20.3).

If the request for amendment is rejected by the Agency (because it calls into question the decision awarding the grant or breaches the principle of equal treatment of applicants), the Agreement may be terminated according to Article 50.3.1(c).

If the request for amendment is accepted by the Agency, the Agreement is **amended** to introduce the necessary changes (see Article 55).

The Agency will — on the basis of the periodic reports, the termination report and the report on

the distribution of payments — **calculate** the amount which is due to the beneficiary and if the (pre-financing and interim) payments received by the beneficiary exceed this amount.

The **amount which is due** is calculated in the following steps:

Step 1 — Application of the reimbursement rate to the eligible costs

The grant amount for the beneficiary is calculated by applying the reimbursement rate(s) to the total eligible costs declared by the beneficiary in the termination report and approved by the Agency.

Only costs incurred by the beneficiary concerned until termination takes effect are eligible (see Article 6). Costs relating to contracts due for execution only after termination are not eligible.

Step 2 — Reduction due to substantial errors, irregularities or fraud or serious breach of obligations

In case of a reduction (see Article 43), the Agency will calculate the reduced grant amount for the beneficiary by deducting the amount of the reduction (calculated in proportion to the seriousness of the errors, irregularities or fraud or breach of obligations, in accordance with Article 43.2) from the grant amount for the beneficiary.

If the payments received **exceed the amounts due**:

- if termination takes effect during the period set out in Article 3 and the request for amendment is accepted, the beneficiary concerned must repay to the coordinator the amount unduly received. The Agency will formally notify the amount unduly received and request the beneficiary concerned to repay it to the coordinator within 30 days of receiving notification. If it does not repay the coordinator, the Agency will draw upon the Guarantee Fund to pay the coordinator and then notify a **debit note** on behalf of the Guarantee Fund to the beneficiary concerned (see Article 44);
- in all other cases, in particular if termination takes effect after the period set out in Article 3, the Agency will formally notify a **debit note** to the beneficiary concerned. If payment is not made by the date in the debit note, the Guarantee Fund will pay to the Agency the amount due and the Agency will notify a debit note on behalf of the Guarantee Fund to the beneficiary concerned (see Article 44);
- if the beneficiary concerned is the former coordinator, it must repay the new coordinator according to the procedure above, unless:
 - termination takes effect after an interim payment and
 - the former coordinator has not distributed amounts received as pre-financing or interim payments (see Article 21.7).

In this case, the Agency will formally notify a **debit note** to the former coordinator. If payment is not made by the date in the debit note, the Guarantee Fund will pay to the Agency the amount due. The Agency will then pay the new coordinator and notify a debit note on behalf of the Guarantee Fund to the former coordinator (see Article 44).

If the payments received **do not exceed the amounts due**: amounts owed to the beneficiary concerned will be included in the next interim or final payment.

If the Agency does not receive the termination report within the deadline (see above), only costs included in an approved periodic report will be taken into account.

If the Agency does not receive the report on the distribution of payments within the deadline (see above), it will consider that:

- the coordinator did not distribute any payment to the beneficiary concerned and that
- the beneficiary concerned must not repay any amount to the coordinator.

Improper termination may lead to a reduction of the grant (see Article 43) or termination of the Agreement (see Article 50).

After termination, the concerned beneficiary's obligations (in particular Articles 20, 22, 23, Section 3 of Chapter 4, 36, 37, 38, 40, 42, 43 and 44) continue to apply.

50.3 Termination of the Agreement or the participation of one or more beneficiaries, by the Agency

50.3.1 Conditions

The Agency may terminate the Agreement or the participation of one or more beneficiaries, if:

- (a) one or more beneficiaries do not accede to the Agreement (see Article 56);
- (b) a change to their legal, financial, technical, organisational or ownership situation is likely to substantially affect or delay the implementation of the action or calls into question the decision to award the grant;
- (c) following termination of participation for one or more beneficiaries (see above), the necessary changes to the Agreement would call into question the decision awarding the grant or breach the principle of equal treatment of applicants (see Article 55);
- (d) implementation of the action is prevented by force majeure (see Article 51) or suspended by the coordinator (see Article 49.1) and either:
 - (i) resumption is impossible, or
 - (ii) the necessary changes to the Agreement would call into question the decision awarding the grant or breach the principle of equal treatment of applicants;
- (e) a beneficiary is declared bankrupt, being wound up, having its affairs administered by the courts, has entered into an arrangement with creditors, has suspended business activities, or is subject to any other similar proceedings or procedures under national law;
- (f) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) has been found guilty of professional misconduct, proven by any means;
- (g) a beneficiary does not comply with the applicable national law on taxes and social security;

- (h) the action has lost scientific or technological relevance;
- (i) not applicable;
- (j) not applicable;
- (k) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) has committed fraud, corruption, or is involved in a criminal organisation, money laundering or any other illegal activity;
- (l) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) has committed:
 - (i) substantial errors, irregularities or fraud or
 - (ii) serious breach of obligations under the Agreement or during the award procedure (including improper implementation of the action, submission of false information, failure to provide required information, breach of ethical principles);
- (m) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) has committed — in other EU or Euratom grants awarded to it under similar conditions — systemic or recurrent errors, irregularities, fraud or serious breach of obligations that have a material impact on this grant (**extension of findings from other grants to this grant**; see Article 22.5.2);
- (n) not applicable.

50.3.2 Procedure

Before terminating the Agreement or participation of one or more beneficiaries, the Agency will formally notify the coordinator or beneficiary concerned:

- informing it of its intention to terminate and the reasons why and
- inviting it, within 30 days of receiving notification, to submit observations and — in case of Point (l.ii) above — to inform the Agency of the measures to ensure compliance with the obligations under the Agreement.

If the Agency does not receive observations or decides to pursue the procedure despite the observations it has received, it will formally notify to the coordinator or beneficiary concerned **confirmation** of the termination and the date it will take effect. Otherwise, it will formally notify that the procedure is not continued.

The termination will **take effect**:

- for terminations under Points (b), (c), (e), (g), (h), (j), (l.ii) and (n) above: on the day specified in the notification of the confirmation (see above);
- for terminations under Points (a), (d), (f), (i), (k), (l.i) and (m) above: on the day after the notification of the confirmation is received.

50.3.3 Effects

(a) for **termination of the Agreement**:

The coordinator must — within 60 days from when termination takes effect — submit:

- (i) a periodic report (for the last open reporting period until termination; see Article 20.3) and
- (ii) a final report (see Article 20.4).

If the Agreement is terminated for breach of the obligation to submit reports (see Articles 20.8 and 50.3.1(l)), the coordinator may not submit any reports after termination.

If the Agency does not receive the reports within the deadline (see above), only costs which are included in an approved periodic report will be taken into account.

The Agency will **calculate** the final grant amount (see Article 5.3) and the balance (see Article 21.4) on the basis of the reports submitted. Only costs incurred until termination takes effect are eligible (see Article 6). Costs relating to contracts due for execution only after termination are not eligible.

This does not affect the Agency's right to reduce the grant (see Article 43) or to impose administrative sanctions (Article 45).

The beneficiaries may not claim damages due to termination by the Agency (see Article 46).

After termination, the beneficiaries' obligations (in particular Articles 20, 22, 23, Section 3 of Chapter 4, 36, 37, 38, 40, 42, 43 and 44) continue to apply.

(b) for **termination of the participation of one or more beneficiaries**:

The coordinator must — within 60 days from when termination takes effect — submit:

- (i) a report on the distribution of payments to the beneficiary concerned;
- (ii) a request for amendment (see Article 55), with a proposal for reallocation of the tasks and estimated budget of the beneficiary concerned (see Annexes 1 and 2) and, if necessary, the addition of one or more new beneficiaries (see Article 56). If termination is notified after the period set out in Article 3, no request for amendment must be submitted unless the beneficiary concerned is the coordinator. In this case the request for amendment must propose a new coordinator, and
- (iii) if termination takes effect during the period set out in Article 3, a **termination report** from the beneficiary concerned, for the open reporting period until termination, containing an overview of the progress of the work, an overview of the use of resources, the individual financial statement and, if applicable, the certificate on the financial statement (see Article 20).

The information in the termination report must also be included in the periodic report for the next reporting period (see Article 20.3).

If the request for amendment is rejected by the Agency (because it calls into question the decision awarding the grant or breaches the principle of equal treatment of applicants), the Agreement may be terminated according to Article 50.3.1(c).

If the request for amendment is accepted by the Agency, the Agreement is **amended** to introduce the necessary changes (see Article 55).

The Agency will — on the basis of the periodic reports, the termination report and the report on the distribution of payments — **calculate** the amount which is due to the beneficiary and if the (pre-financing and interim) payments received by the beneficiary exceed this amount.

The **amount which is due** is calculated in the following steps:

Step 1 — Application of the reimbursement rate to the eligible costs

The grant amount for the beneficiary is calculated by applying the reimbursement rate(s) to the total eligible costs declared by the beneficiary in the termination report and approved by the Agency.

Only costs incurred by the beneficiary concerned until termination takes effect are eligible (see Article 6). Costs relating to contracts due for execution only after termination are not eligible.

Step 2 — Reduction due to substantial errors, irregularities or fraud or serious breach of obligations

In case of a reduction (see Article 43), the Agency will calculate the reduced grant amount for the beneficiary by deducting the amount of the reduction (calculated in proportion to the seriousness of the errors, irregularities or fraud or breach of obligations, in accordance with Article 43.2) from the grant amount for the beneficiary.

If the payments received **exceed the amounts due**:

- if termination takes effect during the period set out in Article 3 and the request for amendment is accepted, the beneficiary concerned must repay to the coordinator the amount unduly received. The Agency will formally notify the amount unduly received and request the beneficiary concerned to repay it to the coordinator within 30 days of receiving notification. If it does not repay the coordinator, the Agency will draw upon the Guarantee Fund to pay the coordinator and then notify a **debit note** on behalf of the Guarantee Fund to the beneficiary concerned (see Article 44);
- in all other cases, in particular if termination takes effect after the period set out in Article 3, the Agency will formally notify a **debit note** to the beneficiary concerned. If payment is not made by the date in the debit note, the Guarantee Fund will pay to the Agency the amount due and the Agency will notify a debit note on behalf of the Guarantee Fund to the beneficiary concerned (see Article 44);
- if the beneficiary concerned is the former coordinator, it must repay the new coordinator according to the procedure above, unless:
 - termination takes effect after an interim payment and
 - the former coordinator has not distributed amounts received as pre-financing or interim payments (see Article 21.7).

In this case, the Agency will formally notify a **debit note** to the former coordinator. If payment is not made by the date in the debit note, the Guarantee Fund will pay to the Agency the amount due. The Agency will then pay the new coordinator and notify a debit note on behalf of the Guarantee Fund to the former coordinator (see Article 44).

If the payments received **do not exceed the amounts due**: amounts owed to the beneficiary concerned will be included in the next interim or final payment.

If the Agency does not receive the termination report within the deadline (see above), only costs included in an approved periodic report will be taken into account.

If the Agency does not receive the report on the distribution of payments within the deadline (see above), it will consider that:

- the coordinator did not distribute any payment to the beneficiary concerned and that
- the beneficiary concerned must not repay any amount to the coordinator.

After termination, the concerned beneficiary's obligations (in particular Articles 20, 22, 23, Section 3 of Chapter 4, 36, 37, 38, 40, 42, 43 and 44) continue to apply.

SECTION 4 FORCE MAJEURE

ARTICLE 51 — FORCE MAJEURE

'Force majeure' means any situation or event that:

- prevents either party from fulfilling their obligations under the Agreement,
- was unforeseeable, exceptional situation and beyond the parties' control,
- was not due to error or negligence on their part (or on the part of third parties involved in the action), and
- proves to be inevitable in spite of exercising all due diligence.

The following cannot be invoked as force majeure:

- any default of a service, defect in equipment or material or delays in making them available, unless they stem directly from a relevant case of force majeure,
- labour disputes or strikes, or
- financial difficulties.

Any situation constituting force majeure must be formally notified to the other party without delay, stating the nature, likely duration and foreseeable effects.

The parties must immediately take all the necessary steps to limit any damage due to force majeure and do their best to resume implementation of the action as soon as possible.

The party prevented by force majeure from fulfilling its obligations under the Agreement cannot be considered in breach of them.

CHAPTER 7 FINAL PROVISIONS

ARTICLE 52 — COMMUNICATION BETWEEN THE PARTIES

52.1 Form and means of communication

Communication under the Agreement (information, requests, submissions, ‘formal notifications’, etc.) must:

- be made in writing and
- bear the number of the Agreement.

All communication must be made through the Participant Portal **electronic** exchange system and using the forms and templates provided there.

If— after the payment of the balance — the Agency finds that a formal notification was not accessed, a second formal notification will be made by registered post with proof of delivery (‘formal notification on **paper**’). Deadlines will be calculated from the moment of the second notification.

Communications in the electronic exchange system must be made by persons authorised according to the Participant Portal Terms & Conditions. For naming the authorised persons, each beneficiary must have designated — before the signature of this Agreement — a ‘legal entity appointed representative (LEAR)’. The role and tasks of the LEAR are stipulated in his/her appointment letter (see Participant Portal Terms & Conditions).

If the electronic exchange system is temporarily unavailable, instructions will be given on the Agency and Commission websites.

52.2 Date of communication

Communications are considered to have been made when they are sent by the sending party (i.e. on the date and time they are sent through the electronic exchange system).

Formal notifications through the **electronic** exchange system are considered to have been made when they are received by the receiving party (i.e. on the date and time of acceptance by the receiving party, as indicated by the time stamp). A formal notification that has not been accepted within 10 days after sending is considered to have been accepted.

Formal notifications **on paper** sent by **registered post** with proof of delivery (only after the payment of the balance) are considered to have been made on either:

- the delivery date registered by the postal service or
- the deadline for collection at the post office.

If the electronic exchange system is temporarily unavailable, the sending party cannot be considered in breach of its obligation to send a communication within a specified deadline.

52.3 Addresses for communication

The **electronic** exchange system must be accessed via the following URL:

<https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/myarea/projects>

The Agency will formally notify the coordinator and beneficiaries in advance any changes to this URL.

Formal notifications on paper (only after the payment of the balance) addressed **to the Agency** must be sent to the official mailing address indicated on the Agency's website.

Formal notifications on paper (only after the payment of the balance) addressed **to the beneficiaries** must be sent to their legal address as specified in the Participant Portal Beneficiary Register.

ARTICLE 53 — INTERPRETATION OF THE AGREEMENT

53.1 Precedence of the Terms and Conditions over the Annexes

The provisions in the Terms and Conditions of the Agreement take precedence over its Annexes.

Annex 2 takes precedence over Annex 1.

53.2 Privileges and immunities

Not applicable

ARTICLE 54 — CALCULATION OF PERIODS, DATES AND DEADLINES

In accordance with Regulation No 1182/71³⁰, periods expressed in days, months or years are calculated from the moment the triggering event occurs.

The day during which that event occurs is not considered as falling within the period.

ARTICLE 55 — AMENDMENTS TO THE AGREEMENT

55.1 Conditions

The Agreement may be amended, unless the amendment entails changes to the Agreement which would call into question the decision awarding the grant or breach the principle of equal treatment of applicants.

Amendments may be requested by any of the parties.

55.2 Procedure

The party requesting an amendment must submit a request for amendment signed in the electronic exchange system (see Article 52).

³⁰ Regulation (EEC, Euratom) No 1182/71 of the Council of 3 June 1971 determining the rules applicable to periods, dates and time-limits (OJ L 124, 8.6.1971, p. 1).

The coordinator submits and receives requests for amendment on behalf of the beneficiaries (see Annex 3).

If a change of coordinator is requested without its agreement, the submission must be done by another beneficiary (acting on behalf of the other beneficiaries).

The request for amendment must include:

- the reasons why;
- the appropriate supporting documents, and
- for a change of coordinator without its agreement: the opinion of the coordinator (or proof that this opinion has been requested in writing).

The Agency may request additional information.

If the party receiving the request agrees, it must sign the amendment in the electronic exchange system within 45 days of receiving notification (or any additional information the Agency has requested). If it does not agree, it must formally notify its disagreement within the same deadline. The deadline may be extended, if necessary for the assessment of the request. If no notification is received within the deadline, the request is considered to have been rejected.

An amendment **enters into force** on the day of the signature of the receiving party.

An amendment **takes effect** on the date agreed by the parties or, in the absence of such an agreement, on the date on which the amendment enters into force.

ARTICLE 56 — ACCESSION TO THE AGREEMENT

56.1 Accession of the beneficiaries mentioned in the Preamble

The other beneficiaries must accede to the Agreement by signing the Accession Form (see Annex 3) in the electronic exchange system (see Article 52) within 30 days after its entry into force (see Article 58).

They will assume the rights and obligations under the Agreement with effect from the date of its entry into force (see Article 58).

If a beneficiary does not accede to the Agreement within the above deadline, the coordinator must — within 30 days — request an amendment to make any changes necessary to ensure proper implementation of the action. This does not affect the Agency's right to terminate the Agreement (see Article 50).

56.2 Addition of new beneficiaries

In justified cases, the beneficiaries may request the addition of a new beneficiary.

For this purpose, the coordinator must submit a request for amendment in accordance with Article 55. It must include an Accession Form (see Annex 3) signed by the new beneficiary in the electronic exchange system (see Article 52).

New beneficiaries must assume the rights and obligations under the Agreement with effect from the date of their accession specified in the Accession Form (see Annex 3).

ARTICLE 57 — APPLICABLE LAW AND SETTLEMENT OF DISPUTES

57.1 Applicable law

The Agreement is governed by the applicable EU law, supplemented if necessary by the law of Belgium.

57.2 Dispute settlement

If a dispute concerning the interpretation, application or validity of the Agreement cannot be settled amicably, the General Court — or, on appeal, the Court of Justice of the European Union — has sole jurisdiction. Such actions must be brought under Article 272 of the Treaty on the Functioning of the EU (TFEU).

If a dispute concerns administrative sanctions, offsetting or an enforceable decision under Article 299 TFEU (see Articles 44, 45 and 46), the beneficiaries must bring action before the General Court — or, on appeal, the Court of Justice of the European Union — under Article 263 TFEU. Actions against offsetting and enforceable decisions must be brought against the Commission (not against the Agency).

ARTICLE 58 — ENTRY INTO FORCE OF THE AGREEMENT

The Agreement will enter into force on the day of signature by the Agency or the coordinator, depending on which is later.

SIGNATURES

For the coordinator


Nicolas WALTER with ECAS id nwalteni signed in the Participant Portal on 28/10/2020 at 09:47:12 (transaction id SigId-15806-oj5PrUlbWi2vLdfiPx1oNEZ5Yulxu5578mJWJ51ayQ0quQG5ovyIKZhlcPiLMKi1HzMTKrsa6FqE8DdndI22ey-jpJZscgsw0KmycuECXQOLy-S14bEsPZbd17Wzfxh7owgmXzMurTrg6O5SyW5WPI5IAQ602vQM5bsRwbwyCiGbVGNvOoSxjY6ouAopFfzIzZpO0). Timestamp by third party at 2020.10.28 09:47:18 CET

For the Agency

Signed by Ales FIALA with ECAS id fialaal as an authorised representative on 28-10-2020 10:44:02 (transaction id SigId-16928-GBaUI7rQbzmSCo9zinLE00TaSBtWCv8QS0Zkzli275XZn8GP4TMj7K8r7zfvBGiUSBaLzmg56jPs3enFuw1054-jpJZscgsw0KmycuECXQOLy-3gFKXgfWgW52ZS4jzl6s34wN8ukUizWCXdalVKHYEI44aHBowf94jA8HIWWbIaWe8vY6zUhk4yKcwjy36Y45JIW) 2020.10.28 10:44:05 CET

4. Members of the consortium

4.1. Participants (applicants)

European Science Foundation (ESF)	
France	
Legal entity description	
<p>European Science Foundation (ESF) was established in 1974 to create a common European platform for cross-border collaborative research cooperation and to act as a coordinating body for Europe’s main research funding and performing organisations. In its 42 years of experience, ESF has supported over 2,000 programmes and networks, gathering more than 300,000 scientists from 186 countries, through funding from 80 Member Organisations in 30 countries.</p> <p>Now ESF and its new expert services division, Science Connect, still support the conduct of scientific research across Europe, but more as a service provider, rather than a member-owned organisation. Via Science Connect ESF has launched a series of services to the scientific and academic communities: peer review, project management, programme evaluation and career tracking, and aims to support the future of a globally competitive European Research Area while maintaining the strong track-record of successful research programmes for its members.</p> <p>ESF has a considerable background in acting as ‘Project Office’ for EC projects, having coordinated a wide range of pan-European scientific initiatives, numerous scientific programmes (Research Networking/ Collaborative Research Programmes EUROCORES, COST Office management), and participating in several FP7 (THESEUS, MEGAHIT, CAREX, ASTROMAP, MASE, MERIL, Europlanet) and H2020 projects (DEMOCRITOS, BIOWYSE, PPOSS, GRAPHENE Flagship, SCOPE and MERIL-2, RI PATHs, GoJelly, CATRIS, PRO-RES, GRACE, TeRRItoria, CASPER and DOCENHANCE).</p> <p>From January 2020 ESF will be the host of the Coalition S office.</p> <p>A key pillar of ESF’s success has been its strong scientific network spanning across disciplines. This, together with the intimate knowledge of the European scientific landscape, has contributed to the success of the consultation exercises it has pursued, and helped to arrive to coherent scientific targets and recommendations to support European decision making.</p> <p>ESF has been gradually addressing key issues of the ‘Science with and for Society’ (SwafS) programme via dedicated policy briefs, ‘Forward Looks’ and reports that are now instrumental in facing European societal challenges, building capacities and developing innovative ways of connecting science to society. As a key boundary organization of the ERA, ESF has become a key stakeholder of the Responsible Research and Innovation action of the SwafS objective in H2020. Within its RRI cluster, ESF takes an active role in various tasks and coordination of H2020 SwafS projects: PRO-RES, GRACE, TeRRItoria, CASPER and DOCENHANCE.</p>	
Main tasks and how the profile fits the project	
<p>Benefiting from its vast experience in coordinating scientific programmes, initiatives and EC-funded projects, ESF is UniSAFE coordinator with the following specific involvements.</p> <p>Lead of WP1 Project Management and Coordination. ESF as coordinator will be responsible for the smooth management of all the administrative and financial issue, will monitor the work done in all of the work packages both to ensure that 1, it conforms to the work plan and 2, is delivered with respect to budget and time; moreover, ensures that consortium partners are utilizing the correct communication channels and interferes where and when necessary.</p>	

ESF has been leading communication, dissemination and outreach activities in several EC-funded SwafS projects during the last 4 years and will utilize this experience in UniSAFE as lead of WP8 Impact: policy recommendations, communication, dissemination; specifically, being responsible for delivering the project communication strategy and the project communication toolkit. ESF will also contribute to the WP2, on the basis of its experience in research ethics international initiatives (PRO-RES, development of the European Code of Conduct).

Key personnel

Dr Ildiko Maria Ipolyi (female), coordinator, Science Officer of the European Science Foundation. She is leading the Science with and for Society Programme of ESF, coordinator of EC funded projects GRACE, TeRRItoria and CASPER, and with specific interest and responsibility for the development of new (EC) activities at the organization. She is an experienced scientist with interdisciplinary background: MSC in food technology, PhD in analytical chemistry, extensive work experience in international network and data management (field of environmental analytical chemistry, QA/QC of analytical / monitoring data / emerging substances / implementation of the EC WFD), science-policy interfacing and policy support. She is bringing the special experience of TeRRItoria and GRACE projects on institutional change in the context of RRI into the project.

Dr Adam Brandstetter-Kunc (male), team member, is a Junior Science Officer and a part of RRI cluster team. He is involved in the SwafS projects of the organization. Owner of a PhD in Condensed Matter Theory he is a specialist in quantum theory and data science. After obtaining his PhD he started his career in ESF aiding the organization in its Grant Evaluation activities. Adam also used his analytical skills in helping the Graphene flagship team of ESF in the task of funding monitoring. He is currently an active team member of the TeRRItoria project engaging in various activities and tasks assigned to ESF in the project and the transversal activities of the SwafS Cluster.

Maria Karatzia (female), team member, is a marketing communications expert, with longstanding experience in corporate communication, event management and media relations, currently serving ESF as a Communication Officer. Maria is skilled in developing communication strategies across print and digital channels to engage stakeholders and build brand presence as well as excellent at directing media relations and PR initiatives through public speaking, presentations, press releases, and media kits. Her previous appointment was with the Foundation for Research & Technology – Hellas, where she led several technology transfer, research and innovation projects, on international scale, winning awards and recognition for her planning skills and results. Her background includes studies in journalism (B.A.), leading to a former career with prominent national media in Greece, followed by an MBA in Services Management that gave her a strategic edge, looking at marketing operations as a whole.

Dr. Antti Tahvanainen (male), Junior Science Officer at the European Science Foundation with a background in research, science management and research-administration projects. He is engaged in the management tasks of various H2020 projects and lends his expertise to peer review missions. His main responsibilities concern work related to Ethics and Integrity issues. Previously worked in fields ranging from Open Access publishing to research management and government information services. He has a PhD in History from the University of Helsinki and is also a certified technical writer. He has research training from stays at University College London, Warburg Institute, and the European University Institute.

Selection of relevant publications

- 2017 Career Tracking Survey of Doctorate Holders – http://www.esf.org/fileadmin/user_upload/esf/Career_Tracking_Survey_2017_Final_Project_Report-FINAL.pdf;
- Career Tracking of Doctorate Holders 2015 – http://www.esf.org/fileadmin/user_upload/esf/Career_Tracking_Pilot_Report_2015-05-28.pdf;

- Technological Breakthroughs for Scientific Progress (TECHBREAK), ESF Forward Look, June 2014; http://archives.esf.org/fileadmin/Public_documents/Publications/techbreak.pdf;
- Science in Society: caring for our futures in turbulent times, ESF Science Policy Briefing 50, June 2013; http://archives.esf.org/fileadmin/Public_documents/Publications/spb50_ScienceInSociety.pdf;
- Responses to Environmental and Societal Challenges for Our Unstable Earth (RESCUE), ESF Forward Look – ESF-COST ‘Frontier of Science’ joint initiative, Dec 2011; http://archives.esf.org/fileadmin/Public_documents/Publications/rescue.pdf;

Selection of relevant previous projects or activities


- **CASPER** (GA nr.: 872113) – Certification-Awards Systems to Promote gender Equality in Research
- **GRACE** (GA nr.: 824521) - Grounding RRI Actions to Achieve Institutional Change in European Research Funding and Performing Organisations
- **DocEnhance** (GA nr.: 872483) – Enhancing skills intelligence and integration into existing PhD programmes by providing transferable skills training through an open online platform
- **PRO-RES** (GA nr.:788352) - PROMoting integrity in the use of RESearch results in evidence based policy: a focus on non-medical research
- **TeRRitoria** (GA nr.: 824565) - Territorial Responsible Research and Innovation Through the involvement of local R&I Actors

Description of significant infrastructure and/or major items of technical equipment, relevant to the proposed work

N/A

Other supporting documents specified in the work programme for this call

N/A

Örebro University (ORU)	 ÖREBRO UNIVERSITET
Sweden	
Legal entity description	
<p>Örebro University (ORU) is a comprehensive multi-faculty university, ranked among the top 500 universities globally by Times Higher Education 2019, with strong and internationally connected research activities and a range of attractive educational programmes. It comprises three faculties: Social Sciences and Humanities, Medicine and Health, and Business, Science and Engineering. ORU is one of Sweden’s most rapidly growing universities with 15,200 students, 400 doctoral students and 1,500 staff. ORU offers 82 undergraduate and masters level programmes, with over 950 courses, at its three campuses. Strong research areas include: Environmental Sciences, Medical Sciences, Robotics, Youth and Developmental Studies, as well as Gender Studies. ORU has a diverse portfolio of H2020 projects; projects that cut across multiple disciplines in areas connected to ICTs, Medicine, Health, and Social Sciences; to date, ORU has 21 approved projects, of which five are coordinated by ORU. Consortia projects that ORU coordinates include Newbreed (754285), ILIAD (732737), and SmokeBot (754285).</p> <p>Underpinned by a robust research support structure, ORU has extensive experience of participating in consortia-based projects. From financial and activity reporting through to research communication & outreach activities ORU has a team of experts on hand to support researchers throughout the project delivery</p>	

phase. ORUs researchers also have access to dedicated teams who can provide support on the execution of Data Management Plans and Exploitation strategies. Its equality activities include a **cross-university Community of Practice (CoP) on gender mainstreaming**, an equal opportunities and a gender mainstreaming plan, an equality coordinator and a steering committee led by the pro-vice chancellor. Gender Studies – both research and education – at ORU has been conducted since the 1970s, and is an established discipline offering doctoral training. **The Centre for Feminist Social Studies (CFS)**, where the ORU partnership would be located, is a multidisciplinary Gender Studies research environment within the School of Humanities, Education and Social Science, comprises of over twenty senior researchers and five doctoral students who work within a research programme framework entitled "Gender, Society and Change". In addition, CFS has some 30 affiliated international and national scholars. Gender Studies and CFS co-founded the three-university **Centre of Gender Excellence (GEXcel)**, funded by Swedish Research Council 2007-2012, and later funded by the respective universities. GEXcel has initiated and ORU currently **co-chairs the International Research Association of Institutions of Advanced Gender Studies, RINGS**, with over 60 institutional members worldwide.

Main tasks and how the profile fits the project

ORU is the scientific coordinator and leader of WP6: to integrate qualitative and quantitative datasets, synthesise analysis of the policy and legal frameworks (WP3), quantitative prevalence survey (WP4), and qualitative case studies and interviews (WP5), and produce the overall analysis of gender-based violence in academia. Team member Dr. Bondestam has a substantial role in WP3, the policy and legal mapping (lead by ISAS CR), and WP4, the quantitative survey (lead by GESIS), and is currently leading the Swedish national prevalence study on GBV in higher education. The ORU team members, Hearn and Husu, have worked on gender-based violence in organisations and gender inequality in academia since the 1980s. Jointly, the team has substantial expertise in the design, implementation, analysis, evaluation and administration of large EU collaborative qualitative and quantitative projects and collaboration, and specific expertise in both gender-based violence (including sexual harassment), and knowledge production in research organisations. The team has carried out extensive research on a) knowledge production with a focus on gender paradoxes and persistent gender inequalities in research organisations, and their relation to gender dynamics of national, regional and international research policy (Bondestam, Husu, Hearn), including a quantitative survey on gender-based violence in academia (Bondestam); and b) the production and politics of gender-based violence, with a focus on conceptualizing, measuring, analysing and preventing gender based violence, and the interconnectedness of multiple forms of violence, including the relationship between theorizing, activism and policy of violence (Hearn, Strid, Humbert).

Key personnel – ORU team

Associate Professor/Senior Lecturer [docent] Sofia Strid (female), team leader, Director of the Research Centre on Violence and Society, ORU and Co-Director of the GEXcel International Collegium for Advanced Transdisciplinary Gender Studies. Strid contributes to the project as an expert on the theory, concept, measurement of gender-based violence, and policy. She holds a PhD in Gender Studies (2010, ORU) with a focus on gender equality politics in the EU. As a research fellow at Lancaster University, UK and a researcher at the Center for Feminist Studies at Örebro University, Strid and colleagues have developed new gender and intersectional perspectives and frameworks for theorizing, analyzing, measuring and combating GBV in projects funded e.g. by the Swedish Research Council (*Violence Regimes*, PI Strid; *The Strength of Feminist Civil Society*, PI Strid); EIGE (Terminology and indicators of gender-based violence, PI Professor Sylvia Walby; Gender based violence in Sport, PI Lut Mergaert); European Commission (QUING, PI Mieke Verloo; Study on the Estimation of girls at risk of FGM in the EU, PI Dr Lut Mergaert) and the **DAPHNE**-funded **FATIMA**; the European Parliament (**Worldwide Overview of Rape** Prevention, PI Professor Sylvia Walby). She has held positions in Sociology at Lancaster University, UK, in Political Science and Gender Studies, Örebro University, in Political Science at Linköping University, and in Comparative Inequality Issues at the Institute for Human and social Science (IWM), Vienna, Austria. She has produced over 100 articles, books, book chapters, and reports (incl. 22 deliverables to the EC), published in e.g. *Social Politics: International Studies in Gender, State and Society*, *Current Sociology*, *Sociology*, the *Nordic Sociological*

Research, the Nordic Journal for Gender Studies, Health Care for Women International, The Journal of Poverty and Social Justice, Feminist Theory.

Senior Professor Jeff Hearn (male), Senior Professor, Gender Studies, Örebro University, Sweden; Professor of Sociology, University of Huddersfield, UK; Professor Emeritus, Hanken School of Economics, Finland; and honorary doctor, Social Sciences, Lund University, Sweden. He has been involved in activism, policy development and research around men, masculinities, gender relations and gender politics over many years, in Nordic countries, Europe and beyond, including long associations with South Africa. His work focuses on gender, sexuality, violence, work, organizations, management (including academia), policy, and transnational processes. He has been involved with research on organizations since the mid-1970s and research on sexuality, violence and violation since the late 1970s, and has been part of many national, EU and international research projects. His many books include *'Sex' at 'Work'*, with Wendy Parkin, 1987/1995; *The Violences of Men*, 1998, Sage; *Gender, Sexuality and Violence in Organizations*, with Wendy Parkin, 2001, Sage; *Men and Masculinities Around the World*, co-ed., 2011, both Palgrave Macmillan; *The Limits of Gendered Citizenship*, 2011; *Rethinking Transnational Men*, co-ed., Routledge, 2013, both Routledge. He is: co-managing editor, *Routledge Advances in Feminist Studies and Intersectionality* book series; senior co-editor, *NORMA: the International Journal for Masculinity Studies*; and Co-chair, RINGS: the International Research Association of Institutions of Advanced Gender Studies. Recent books include *Men of the World: Genders, Globalizations, Transnational Times*, 2015, Sage; *Revenge Pornography*, with Matthew Hall, 2017; *Engaging Youth in Activism, Research and Pedagogical Praxis*, co-ed., 2018; *Unsustainable Institutions of Men*, co-ed., 2019; all three Routledge. The book, *Age at Work*, with Wendy Parkin, is in production, Sage, 2020.

Professor Liisa Husu (female), is a Finnish sociologist and gender expert, actively engaged in gender and science issues in research, policy and civil society since the early 1980s. She is Professor of Gender Studies at Örebro University, Sweden, Co-Director of *GEXcel International Collegium for Advanced Transdisciplinary Gender Studies*, and affiliated researcher at the Department of Management and Organisation at Hanken School of Economics, Helsinki, Finland. She contributes to the project a broad expertise on gender inequalities in academia and related interventions, and her extensive **stakeholder networks**. As a Senior Adviser and National Co-ordinator of Women's Studies, she was engaged in gender equality policy-making, specifically in the fields of higher education and research, in the Finnish governmental gender equality machinery in the **Prime Minister's Office and the Ministry of Social Affairs**, from the early 1980s to the mid-1990s. Her research and publications focus on gender in science, academia and knowledge production, especially gender dynamics and inequalities in scientific careers, organisations and science policy, including sexism and sexual harassment in academia. She has contributed extensively as a gender expert/adviser for R&D stakeholders in Europe and internationally and played an active role in European research development and actions on gender and science in EC expert groups, EC research projects and international networks. She was a founding member of the **European Platform of Women Scientists EPWS**, and, as the moderator of the **European Network on Gender Equality in Higher Education**, has contributed to organising ten European Conferences on Gender Equality in Higher Education, in which sexual harassment in academia has been a topic regularly addressed. She is: scientific adviser of the **European Women Rectors' Association, EWORA** and member of the advisory board of GENIE – **Chalmers University of Technology ten-year Gender Initiative for Excellence**.

Selection of relevant publications – ORU team

- **Hearn, J.**, Strid, S., Humbert, A.L. & Balkmar, D. (2020). From gender regimes to violence regimes. Revised and resubmitted to *Social Politics*. [as this paper is not yet published, and if this is therefore inadmissible, we suggest this alternative: Hearn, J. and Husu, L. (2019) 'Age-gender relations in the academic profession: putting the challenges of entry and early career into context', in T. Adams and M. Choroszewicz (eds.) *Gender, Age and Inequality in the Professions; Exploring the Disordering, Disruptive and Chaotic Properties of Communication*, Routledge, London, 2019, pp. 193-212.]
- **Hearn, J.**, **Strid, S.**, **Husu, L.** & Verloo, M. (2016). Interrogating violence against women and state violence policy: Gendered intersectionalities and the quality of policy in The Netherlands, Sweden and the UK. *Current Sociology*, 64 (4), 551-567.

- **Hearn, J. & Parkin, W.** (2001). *Gender, Sexuality and Violence in Organizations: The Unspoken Forces of Organization Violations*, Sage, London.
- **Husu, L.** (2001). *Sexism, Support and Survival in Academia. Academic Women and Hidden Discrimination in Finland*. University of Helsinki, Social Psychological Studies 6.
- Walby, S., Towers, J., Mergaert, L. ... & **Strid, S.** (2017). *The Concept and Measurement of Violence Against Women and Men*. Bristol: Policy Press.

Selection of relevant previous projects or activities – ORU team

- **Regimes of Violence: Theorising and Explaining Variations in the Production of Violence in Welfare State Regimes** (2018-2020). **Strid**: Principal Investigator, team members, **Hearn** and **Humbert**. Funded by the Swedish Research Council (VR). Total: 3 700 000 SEK.
- **GenPORT Gender and STI Portal** (2013-2017). **Husu**: Principal Investigator, Sweden, **Hearn**, team member, EU FP7. Gender Studies, Örebro University, Sweden.
- **GenSET Gender equality in science and technology** (2009-2012). **Hearn**: Principal Investigator, Sweden, **Husu**, team member, EU FP7 Linköping University and Örebro University, Gender Studies.
- **QUING: The Quality in Gender+ Equality Policy in Europe** (2006-2011). **Strid**: Member of EU FP6 funded Activity Co-manager of WHY Deliverable 41; Co-responsibility for producing research guidelines and a manual for Activity 3: Structural Inequality (STRIQ), together with Sylvia Walby (lead) and Jo Armstrong, Lancaster University; Co-responsibility for producing Methodology for Activity 2: WHY. **Strid**, together with Professor Sylvia Walby (lead) and Dr Jo Armstrong, Lancaster University.
- **CAHRV: Coordination Action on Human Rights Violation** (2004-2007). **Hearn**: PI (Finland) and Deputy sub-network coordinator, EU FP6, coordinated by Professor Carol Hagemann-White.

Key personnel

Dr Fredrik Bondestam (male), Director for The Swedish Secretariat for Gender Research, University of Gothenburg. Contributes as a senior researcher and expert on sexual harassment and gender-based violence in academia. He holds a PhD in Sociology (2004, Uppsala University) with a focus on gender equality and gender mainstreaming in academia. His research focus is on higher education in various respects, primarily organizational change, feminist pedagogy, sexual harassment, and gender mainstreaming in theory and practice. As research leader at the Center for Gender Research, Uppsala University during 2008-2012, he developed new gender perspectives on the management, governance and organisation of higher education within the framework of an excellence program financed by the Swedish Research Council. Since 2013, Bondestam works at the University of Gothenburg, for example with managing the government assignment on gender mainstreaming of Swedish universities 2016-2017. He has long experience from various expert assignments within research and higher education policy, with a special focus on gender equality and gender-based violence in academia and is involved in several EU networks on gender in research and education.

Selection of relevant publications – Fredrik Bondestam

- **Bondestam, F. & Lundqvist, M.** 2020. Sexual Harassment in Global Higher Education. A Systematic Review. *European Journal of Higher Education*. DOI: 10.1080/21568235.2020.1729833.
- Magnusson Hanson, L., Nyberg, A., Mittendorfer-Rutz, E. & **Bondestam, F.** 2020 (review). Work-related sexual harassment and risk of suicide and suicide attempts. *BMJ*.
- **Bondestam, F. & Lundqvist, M.** 2020. Efforts to Prevent Sexual Harassment in Academia. An International Research Review. Stockholm: The Swedish Council for Higher Education.
- **Bondestam, F. & Lundqvist, M.** 2019. Sexual Harassment in Academia. An International Research Review. Stockholm: The Swedish Research Council.
- **Bondestam, F.** 2004. Signing Up for the Status Quo? Sociological Analyses of Sexual Harassment in Higher Education – A Swedish Example. *Higher Education in Europe, vol 29, no 1*, pp. 133-145.

Selection of relevant previous projects or activities - Fredrik Bondestam


- 2019-2021 Co-applicant, “Gender based harassment and vulnerability in the Swedish workplace: Longitudinal associations with mental ill-health in survey and register data.” PI Anna Nyberg. Swedish Research Council for Health, Working Life and Welfare (FORTE), grant #2018-00544, 2 730 000 SEK.
- 2019-2020 Expert, sub-group on Gender-Based Violence and Harassment in Academia, ERAC SWG GRI.
- 2017-2020 Co-applicant, ”GenderAction”, advisory group, EU (H2020, SwafS), 850 000 EUR.
- 2016-2018 Commissioner, Expert Group on Gender Equality in Higher Education, appointed by The Swedish Minister of Higher Education and Research
- 2016-2019 Advisory board member “GEECCO”, advisory group, EU (H2020, SwafS)

Description of significant infrastructure and/or major items of technical equipment, relevant to the proposed work

N/A

Other supporting documents specified in the work programme for this call

N/A

GESIS - LEIBNIZ INSTITUT FUR SOZIALWISSENSCHAFTEN e.V. (GESIS)	
Germany	
Legal entity description	
<p>GESIS – Leibniz-Institute for the Social Sciences is the largest infrastructure institution for the social sciences in Germany whose purpose is to promote social science research. GESIS has more than 300 employees located in Mannheim and Cologne. The institute provides nationally and internationally research-based infrastructure services in all phases of the research data cycle. The focus of our services is on collecting research data and making them available and on associated activities that enable the social sciences to conduct research on socially relevant issues. GESIS is committed to the principle of open science. GESIS is member to the Leibniz Association that links 92 independent research institutions in Germany.</p> <p>GESIS’ department Monitoring Society and Social Change (DBG) monitors societal developments, which is a central objective of the social sciences. The department supports social research in this endeavour by providing various resources suitable to describe and analyse social change. DBG encompasses 5 research and service teams working together: team International Survey Programs; team Center of Excellence Women and Science CEWS; team German Microdata Lab; Team Survey Synergies; team National Survey Programs. The Center of Excellence Women and Science CEWS of GESIS is the national hub for the realization of gender equality in science and research in Germany. The center conducts research and provides services to researchers, policy stakeholders, universities, research institutions, and political committees. CEWS implements large-scale EU and national-level projects concerned with evaluations, gender equality policies and good practice measures. CEWS research focusses on gender inequalities in public research including higher education policies and research careers, as well as monitoring and impact assessments of gender programmes, policies, and measures.</p> <p>The department Data Archive for the Social Sciences (DAS) is Germany’s central infrastructure for the registration, documentation and digital archiving of quantitative research data which can be used to analyze societal developments from a national, internationally comparative or historical perspective. The team International Surveys is responsible for data integration, data processing and data documentation for a set of important international comparative survey programs to which GESIS contributes continuously. Currently, these programs are: The Comparative Survey of Electoral Systems (CSES), the Eurobarometer, the European Values Study (EVS), the International Social Survey Programme (ISSP) and the PIREDEU/European Election Study.</p>	

Main tasks and how the profile fits the project

GESIS leads the development and implementation of WP4, specifically designing the quantitative, cross-national online survey in research performing organisations and among visiting staff and students. GESIS has substantial expertise in the design, administration, evaluation and scientific use of cross national surveys like the European Values Study, in data linking, data protection, archiving tools and metadata standards (all relating to tasks in WP1, WP2 and WP4), and in the development and provision of training courses and international scientific networking events. Regards qualitative and quantitative social science research on gender and inequalities in society, and in research and innovation specifically, Lipinsky, Schredl and Lomazzi established remarkable expertise in policy mappings (WP3), qualitative interviewing (WP5), data modelling and analysis (WP6), as well as in the development of tools and recommendations in the field of gender knowledge transfer (WP7 & WP8).

Key personnel

Dr. Anke Lipinsky, (female), **team leader**, is a senior researcher in **team CEWS** and works on gender equality in higher education since 2006. She holds a PhD in Comparative Cultural Studies, is trained in quantitative and qualitative social science methods, and holds a Certificate in Logic Chart Modelling from the University of Maryland. Her focus is on policy research, qualitative empirical methods, and she complemented her expertise with several courses on cross-cultural comparative surveys (quantitative) at GESIS. She is also an expert in research ethics and evaluation research with a focus on gender. Anke developed the information hub on gender-based violence, which is part of the [CEWS information portal](#); she also implemented three online surveys in universities on sexism, sexual harassment and experiences with gender bias amongst university staff and students. Anke assisted the European Commission in several expert groups, e.g. Gendered Innovations 2.0, Horizon 2020 advisory group on Gender, and collaborated in several European projects on gender equality, e.g. INTEGER, [GenPORT](#), GEECCO.

Dr. Vera Lomazzi (female) is a senior researcher at **team International Surveys** in GESIS' department DAS. Vera received her PhD from Università Cattolica del Sacro Cuore di Milano, in 2015. In her thesis she compared gender role attitudes across 22 European countries and analyzed their change over time. Her substantive research mainly focuses on the cross-cultural study of gender equality and gender role attitudes, youth engagement, and collective identities. She has a specific interest in the quality of the instruments adopted by large cross-sectional survey programs and on their measurement equivalence. In 2016 she joined GESIS as Research Fellow of the PROMISE project (PROMoting youth Involvement and Social Engagement: Opportunities and challenges for 'conflicted' young people across Europe). Vera is member of the Executive Committee and secretariat of the [European Values Study](#), and board member of the European Survey Research Association.

Claudia Schredl M.Sc. (female) studied Sociology at the University of Vienna (B.A.) and International Business Administration at the Vienna University of Economics and Business (B.Sc.), including a term abroad at the University of Western Australia. In 2017 she graduated with a Master's degree in Socio-Ecological Economics and Policy from the Vienna University of Economics and Business. She wrote her Master's thesis about "Gender Differences in Paid and Unpaid Work in Austria". During her studies she worked as tutor and student assistant at the Institute of Sociology (University of Vienna) and the Department of Socioeconomics (Vienna University of Economics and Business). Since April 2018 she is a scientific associate at GESIS Leibniz Institute for the Social Sciences, **team CEWS**, working in the Horizon 2020-funded [project GEECCO](#).

Selection of relevant publications

- **Lipinsky**, Ayal, Mauer, Mense, Petrini, Brouder. 2020. Who rocks the boat? Policy Responses to Gender-Based Violence and Sexual Harassment in Academia, CEWSJournal 121, 38-45.

- **Lipinsky**, Farneti, Pantelmann. 2019. Gender-based violence in academia - from practical interventions to research and back. CEWSJournal 120, 31-37.
- Crespi, Isabella, and **Vera Lomazzi**. 2018. "Gender Mainstreaming Policies and Gender Equality in Europe: Policies, Legislation and Eurobarometer Surveys." Studi di Sociologia 56 (1): 23-40.
- **Lipinsky**, Anke. 2014. *Gender Equality Policies in Public Research*. European Union Publications Office. doi: <http://dx.doi.org/10.2777/65956>.
- **Lomazzi, Vera**. 2018. "Using Alignment Optimization to Test the Measurement Invariance of Gender Role Attitudes in 59 Countries." mda : methods, data, analyses 1 (12): 77-104.

Selection of relevant previous projects or activities


- Lipinsky: CEWS’ information hub on Gender-based violence in academia (online as of March 2020) <https://www.gesis.org/cews/themen>
- Lipinsky: Co-Applicant: **GEECCO** - Gender Equality in Engineering through Communication and Commitment , <http://www.geecco-project.eu/home/>
- Lipinsky: Co-Applicant: **INTEGER** Institutional Transformation for Effecting Gender Equality in Research , <http://www.integer-tools-for-action.eu/en>
- Lomazzi: **European Values Study**, large-scale, cross-national, repeated cross-sectional survey research programme on basic human values <https://europeanvaluesstudy.eu/>
- Lipinsky: Co-Applicant: **GenPORT** is a community sourced internet portal for sharing knowledge and inspiring collaborative action on gender and science, <http://www.genderportal.eu/>

Description of significant infrastructure and/or major items of technical equipment, relevant to the proposed work

N/A

Other supporting documents specified in the work programme for this call

N/A

Yellow Window (YW)	 YELLOW WINDOW
Belgium	
Description of the legal entity and its main tasks	
<p>Yellow Window is a multi-disciplinary consultancy specializing in product, service and policy design, and with particular expertise in the fields of gender equality, mobility (public transport) and social innovation. Our team is multicultural and is accustomed to working in different countries. Office staff is capable of working in seven of the official EU languages (English, French, German, Spanish, Dutch, Czech and Portuguese). As far as the disciplinary profile of Yellow Window staff is concerned, we have in our team economists, political scientists, lawyers, psychologists, as well as persons with creative and technical backgrounds, like industrial designers.</p> <p>The basis of a significant part of our activities is qualitative, social and policy-driven research. We have extensive experience in designing research methodologies, reviewing academic and grey literature, collecting (often difficult to retrieve) data, and analysing complex and comprehensive data sets, at national and/or European level, drafting thorough (but jargon-free) reports communicating the research findings, and translating them into concrete (policy) recommendations. We are also experienced in assessing policies, programmes and organisations.</p>	

Our team has know-how on surveying and understanding the needs of different types of stakeholders through the use of participatory methodologies. For instance, the use of transformation design techniques allows to understand the users' needs and co-creating and/or re-designing new products, policies and services. Beyond the execution of political, economic and social studies, Yellow Window develops methodological tools, designs and facilitates consultation processes and advises public bodies in the context of expert groups. We are experienced in identifying and mobilising relevant stakeholders, including experts, for consultation processes.

The company is management-owned, 9 of the 26 staff are partners.

Main tasks and how the profile fits the project

Yellow Window will lead WP 7 of UniSAFE. Building upon the extensive and in-depth research developed on WPs 3, 4 and 5, Yellow Window will develop operational insights: concrete policy recommendations and tailored tools for each stakeholder involved in tackling GBV in higher education and research organisations. Yellow Window has a track record both in creating this type of tools (physical and online) and designing capacity-building programmes. Examples are the development of a toolkit for gender in EU-funded research (under FP7), training programmes for researchers to integrate gender in research content under FP7 (<https://www.yellowwindow.com/genderinresearch>), the development of the GEAR tool (<https://eige.europa.eu/gender-mainstreaming/toolkits/gear>) as an instrument for RPOs involved in designing and implementing Gender Equality Plans (H2020). Yellow Window also uses co-creation techniques daily and mobilises this expertise to support the creation and implementation of gender equality plans in three different structural change projects, mainly through the training of change agents. These techniques will be applied throughout the project with special emphasis on WP7.

Yellow Window will also be involved in WP 3, having successfully managed and conducted similar research approaches and studies in the past. E.g. Study on Female Genital Mutilations in Europe (for the European Institute for Gender Equality) and on Gender-Based Violence in Sports (for the European Commission). Moreover, Yellow Window will be involved in the fieldwork of WP5 through its experienced team of qualitative researchers.

Yellow Window has as well a key expertise in design which will be put at the service of the dissemination and impact activities envisioned in WP 8. Furthermore, our vast experience mobilising stakeholders (E.g. a task conducted in CASPER project) will be used for establishing a community of RPOs under WP8.

Key personnel

Lut Mergaert (female) Partner and Research Director at Yellow Window, is Belgian, holds a PhD in Management Sciences (2012, Radboud University Nijmegen; dissertation entitled 'The Reality of Gender Mainstreaming Implementation – the Case of the EU Research Policy'), a MSc. degree in Applied Economics and obtained a Certificate of Women's Studies. Lut has **over 20 years' experience managing pan-European studies of which many for the European Commission**, is an experienced qualitative social researcher, evaluation specialist and a **gender consultant**. She has been the project leader in a significant number of policy support studies, in which position she facilitated numerous focus group discussions, consultations, (online) forums, etc. **She was project leader and/or author of several assignments for the European Commission**, including "Monitoring progress towards Gender Equality in the Sixth Framework Programme – Science and Society" and "Gender in EU-funded Research – Toolkit and Training" (DG RTD, 2009-2010 and 2011-2012), **and for the European Institute for Gender Equality**, coordinating studies and assignments covering all EU Member States among which the development of the **GEAR tool**. Currently, Lut is Yellow Window's team leader in several H2020 structural change projects: GEECCO, SUPERA, gender-SMART and GEARING-roles, as well as the scientific coordinator of GE Academy. She authored many reports, academic articles and book chapters about gender equality in research and science. Lut was Management Committee member in the COST-funded action GenderSTE (Gender in Science, Technology, Environment). She was a Member of the Advisory Board of the EU-funded projects 'RRI Tools' as well as Equal-IST. She is fluent in English and Dutch and has working knowledge of French.

Philip De Wulf (male), Managing Director (co-CEO) and Senior Strategy Consultant at Yellow Window, Belgian, holds a MSc in Psychological and Educational Sciences. He has been project director, senior consultant and/or moderator/trainer in numerous pan-European or international projects geared at understanding core user motivations & patterns in purchasing, use and social behaviour. He has been servicing both private and public organisations with participative product-, service- and policy design projects where intercultural sensitivity and inclusion are key success factors. Philip is fluent in English, Dutch and French.

Alain Denis (male), is Managing Director (Co-CEO) and Senior Consultant at Yellow Window. Alain is Belgian and holds a MSc in Applied Economics. He is an expert in decision-support studies and has been project director, senior consultant or trainer in numerous pan-European or international projects, focusing or covering gender equality topics. He has been providing gender training in the context of various projects mentioned below. He is part of the core teams of on-going institutional change projects in which Yellow Window is involved, particularly SUPERA and Gender Smart. He is also part of the core team in the Gender Equality academy project. Alain is fluent in English, French and Dutch and has working knowledge of German, Portuguese and Spanish.

Nathalie Wuiame (female) is Associate Trainer and consultant for Yellow Window and lecturer at Rennes University (teaching gender on the work floor). Trained in European and Belgian law, Nathalie has developed her expertise on gender equality for 25 years. She gained specific expertise on institutional change for gender equality and ‘gender in research’ through her involvement in evaluation and monitoring of the integration of gender in research policies since 2000. She contributed to the gender impact assessment study of the Human Potential and Socio-Economic Knowledge of the 5th Framework Programme, in the Gender Monitoring study of the Mobility actions under FP6, and the feasibility study for the creation of the European Platform of Women Scientists. She took part in the research conducted by Yellow Window on the review of institutional capacity for gender mainstreaming as a core team member and a national researcher. She has also delivered training and coaching since 2008 on gender mainstreaming, gender budgeting and gender equality to diverse audiences: legal practitioners, civil servants in different regions of Belgium, researchers, police officers, social workers, local authorities.

Agostina Allori (female), is a Gender Equality Consultant at Yellow Window. She is Argentinean-Italian. She holds a JD from Universidad de San Andrés, a Master of Laws (LL.M) from Michigan Law School and an LL.M in International Human Rights Law from Central European University. She is a specialist in women’s rights, particularly in the laws and policies of combatting gender-based violence and in reproductive rights. She is involved in several Yellow Window projects on institutional change in research and higher education and is a core member for Yellow Window’s team in CASPER. Spanish is her native language; she is also fluent in English and has working knowledge of French and Italian.

Selection of relevant publications

- Minto R, **Mergaert L** and Bustelo M (2019) “Policy evaluation and gender mainstreaming in the European Union: the perfect (mis) match?”. European Journal of Politics and Gender, Bristol University Press (paper version, forthcoming)
- Forest, M., Arnaut, C. and **Mergaert, L.** (2016) Integrating gender equality into research and higher education institutions – analytical paper. European Institute for Gender Equality
- **Mergaert, L.** and Forest, M. (2015) “Incorporating Gender and Diversity” In Dingwall, R. and McDonnell, M. (Eds.) The SAGE Handbook of Research Management, Sage Publications.
- Lombardo, E. and **Mergaert, L.** (2015) “Resistance in gender training and mainstreaming processes,” in Bustelo, M., Ferguson, L. and Forest, M. (Eds.) The Politics of Feminist Knowledge Transfer: A Critical Reflection on Gender Training and Gender Expertise
- **Mergaert L**, Demuyneck K. (2011) “The ups and downs of gender mainstreaming in the EU research policy – the gender toolkit and training activities in FP7”, in Motmans J. et al. (Eds.) Equal is not enough: challenging differences and inequalities in contemporary societies. Conference Proceedings.

Antwerp: Policy Research Centre on Equal opportunities, University of Antwerp – Hasselt University, pp. 216-233

Selection of relevant previous projects or activities

YW has worked on gender equality in EU research and innovation in FP6 (Gender Monitoring study on ‘Science and Society’ and ‘Social and Economic Sciences and Humanities), FP7 (development and implementation of ‘Gender in EU-funded research’ Toolkit and Training programme), H2020 (development of the GEAR tool, and facilitator in four ‘structural change’ projects to support the setting-up and implementation of Gender Equality Plans) and in several projects of structural change in gender equality (GEECO, SUPERA, GEARING-Roles and GENDER-Smart). YW applied its expertise on capacity-building for gender equality in a wide variety of subject fields (from agriculture in Africa, over transport & mobility, ICT, sport, health, to aeronautics), various types of audiences (civil servants, students, researchers, trainers) and formats (face-to-face trainings, webinars, communities, toolkits, best practice exchanges, helpdesks, coaching). The following projects and studies closely relate to the topics addressed at UniSAFE:

- **Gender Equality Academy Project (G.A. 763912) European Commission - H2020, 2019-2021:** Develops and implements a coherent and high-quality capacity-building programme on gender equality in research and innovation as well as in Higher Education. Yellow Window acts as scientific coordinator in the consortium and is in charge of the physical trainings format
- **Integrating Gender Equality into research and higher education institutions (European Institute for Gender Equality (2015-2016):** This project (1) mapped and analysed legal and policy frameworks and other stimulatory initiatives promoting gender equality in research, (2) identified good practices for integrating gender equality in research and higher education institutions, and (3) an online tool to assist these organisations in setting up, implementing, monitoring and evaluating gender equality plans. The GEAR tool (Gender Equality in Academia and Research) was developed based on national initiatives and projects funded by the EU Framework Programmes for Research and Technological Development, and in consultation with experts and stakeholders. (<http://eige.europa.eu/gender-mainstreaming/toolkits/gear>)
- **Gender-Based Violence in Sport Study:** Following an invitation from the Council of the European Union in 2015, the Directorate-General for Education and Culture (DG-EAC) asked the Education, Audio-visual and Culture Executive Agency (EACEA) to launch a study to assess the nature and extent of gender-based violence in sport in the EU. This study aimed specifically at: describing the situation regarding gender-based violence in sport at elite and amateur level by mapping and collecting secondary data in all EU Member States; providing an overview of existing and recommend measures and legal frameworks on this topic identifying best practices in combating gender-based violence in sporting environments and providing recommendations for policy-makers and relevant (sport) stakeholders to combat gender-based violence in sport. This study was the first attempt to better define and measure the scope of gender-based violence in professional and grassroots sports across the 28 EU Member States. The overall analysis of the collected data allowed for an assessment of the state-of-play in the EU Member States, considering the six Ps framework, which comprises Prevalence, Prevention, Protection, Prosecution, Provision of services and partnerships. Thirteen best-practices in the field of prevention of gender-based violence in sport were selected against a set of qualitative criteria defined during the timeframe. An online consultation and an expert consultation meeting were organised to discuss and agree on a final set of qualitative criteria to assess best practices in the field of gender-based violence in sports. These included effectiveness, transferability, resilience, visibility of actions and informed design
- **Estimation of Girls at Risk of Female Genital Mutilation in the European Union Study:** In 2012 the European Institute for Gender Equality (EIGE) commissioned this study to a consortium of researchers from Yellow Window and the International Centre for Reproductive Rights. To disseminate the final results of the study both a step-by-step guide and a report were created. The step by step guide sets out the minimum requirements for estimating FGM risk, as well as suggestions to enhance the quality and accuracy of the assessment. On the one hand, the guide aims to be a practical support for those appointed in the task to estimate the risk of FGM in a region or a country within the EU. On the other, the report aims to support policy makers and relevant institutions by providing them with reliable and comparable data for evidence-based actions and policy improvement in the area of FGM. It also provides

recommendations on how to protect girls and women from this harmful practice and to give sufficient support to the victims


- CASPER (2020-2022)** aims at examining the feasibility of establishing a European Award or certification system for gender equality in research organisations. On the basis of an in-depth assessment of existing relevant systems, the project proposes to devise and validate four scenarios, including a non-action scenario, in co-creation with national and international stakeholders. Each scenario will be examined via a walk-through methodology to understand their respective strengths/weakness, costs/benefits, and subsequently validated with stakeholders. The project focuses predominantly on gender-related inequalities in research and innovation, and will incorporate an intersectional perspective where possible

Description of significant infrastructure and/or major items of technical equipment, relevant to the proposed work

N/A

Other supporting documents specified in the work programme for this call

N/A

Institute of Sociology of the Czech Academy of Sciences (ISAS CR)	
Czech Republic	
Legal entity description	
<p>The Institute of Sociology of the Academy of Sciences of the Czech Republic is a leading centre for sociological research and training in the Czech Republic. The scholarship at the Institute covers various fields from sociology and economics, to political science, demography, and gender studies, and ranges from latest statistical models to cutting-edge qualitative research. The Institute participates in multi-national and international scientific programmes (ESS, ISSP), and organises major international scientific symposia, including the 4S/EASST conference in 2020.</p> <p>An independent research department at the Institute, the Centre for Gender and Science is the only specialized centre focused on basic and applied research and policy analysis and development in the field of gender and research in the country. It uses interdisciplinary approaches spanning sociology, science and technology studies, gender studies and public policy to study changes in research governance post-1989, research careers, attribution of merit and excellence, academic mobility, work life balance and gender-based violence and sexual harassment. It provides expert studies, analyses and consultation to bodies of the state administration (Office of the Government, Ministry of Education, Youth and Sports, Czech Science Foundation) and research institutions and universities in the country. Its members serve as experts on expert groups and advisory bodies in the Czech Republic and at the EU level. The Centre runs a dedicated service for Czech research performing and funding organizations focused on the structural change for gender equality through gender action plans.</p>	

Main tasks and how the profile fits the project
<p>ISAS CR has long-standing experience in sociological research and policy analysis. In the project, ISAS CR will be WP3 leader, mapping national legislation, policy frameworks and initiatives to combat gender-based violence. Marcela Linkova was a principal investigator on one of the first studies into gender-based violence in higher education in the country in 2008-2009. She is also the chair of the Standing Working Group on Gender in Research and Innovation which, in its Work Programme 2019-2020, is performing an assessment of national policies and initiatives to combat gender-based violence. Blanka Nyklova has long-standing experience researching gender-based violence in the Czech Republic, and has been involved with civil society organizations in studying the prevalence of violence and development of measures. Both Marcela Linkova and Blanka Nyklova specialise primarily in qualitative research methodology, and as such will contribute as a task leader to Work Package 5 where the qualitative part of the research will be carried out.</p>

Key personnel

Dr Marcela Linková (female), team leader, is a researcher at the Institute of Sociology of the Czech Academy of Sciences where she directs the Centre for Gender and Science. She has a doctorate in sociology from Charles University in Prague. Her research focuses on sociology of gendered organizations, research careers, governance of research and research assessment from a gender perspective. Marcela also examines the material-discursive practices through which gender equality policies and initiatives are adopted and implemented at the European and Czech country levels. In 2008-2009 she was the principal investigator on a project that studied the prevalence and perceptions of gender-based violence among university students. Marcela is also active in developing policy solutions for gender equality in research at the Czech and EU levels. She is the chair of the ERAC Standing Working Group on Gender in Research and Innovation. She has been involved in several EU funded projects; most recently, she is the coordinator of Horizon 2020 GENDERACTION project and participates in GE Academy and Gender-SMART. She has served on expert and advisory bodies of the European Commission and in the Czech Republic.

Dr Blanka Nyklová (female), team researcher, has worked at the Centre for Gender and Research since 2014. She holds an MA in media studies and PhD in sociology from Charles University in Prague. Her research interests span several areas: the Czech feminist scene, its changes and theoretical starting points; sexual violence in higher education with particular focus on study abroad programmes, and the intersection of geopolitics and epistemology with emphasis on transformation processes in the Czech Republic and Central Eastern Europe around 1989. She took part in organising and contributing to a series of debates on sexual violence in early 2017 around the artistic project on SV by Alma Lily Rayner. She published popularising articles and gave interviews on the issue of SV in local media and also collaborated with the Office of the Government on the issue. She is currently editing a monograph based on a qualitative and quantitative research into different types of SV in the Czech Republic.

Selection of relevant publications

- **Nyklová, Blanka**, Cidlinská, Kateřina, Fárová, Nina. 2019. “International Relations in the Czech Republic: Where Have All the Women Gone?” *Mezinárodní vztahy* 54 (2): 5-23. <https://doi.org/10.32422/mv.1616>
- **Linková, M.**, Cidlinská, K., Fárová, N., Maříková, H., Tenglerová, H., Vohlídalová, M. 2018. *Academics 2018: Proposals for Measures to Support Equality in Research and Higher Education*. Prague: Institute of Sociology of the Czech Academy of Sciences.
- Marta Vohlídalová, **Marcela Linková** (eds.). 2017. *Gender and Neoliberalism in Czech Academia*. Prague: Institute of Sociology of the Czech Academy of Sciences.
- Fox, Mary Frank, Whittington, Kjersten Bunker, **Linková, M.** 2017. Gender, In(equity), and the Scientific Workforce. In *Handbook of Science and Technology Studies* (4th edition) edited by Ulrike Felt, Rayvon Fouché, Clark Miller, Laurel Smith-Doerr. MIT Press.
- Vohlídalová, Marta (ed.), Kateřina Šaldová, Barbora Tupá. 2010. *Sexuální obtěžování ve vysokoškolském prostředí: analýza, souvislosti, řešení (Sexual harassment in higher education: Analysis, factors, solutions)*. Praha: Sociologický ústav AV ČR, v.v.i. 127 s. ISBN 978-80-7330-184-2.

Selection of relevant previous projects or activities

- Analysis of barriers and strategy for supporting gender equality (Ministry of Labour and Social Affairs, 2017-2018).
- Equal opportunities in research and science: Analysis of gender barriers and development of talents (Ministry of Education, Youth and Sports of the Czech Republic, 2008-2009)


- Knowledge, Institutions and Gender: An East-West Comparative Study (**KNOWING**, European Commission, Framework Programme 6, 2006-2008)
- Linková M. 2017-2021. GENDER equality in the ERA Community To Innovate policy implementation (**GENDERACTION**). European Commission, Horizon 2020, grant no.741466
- Linková, M. 2014-2017. TRansforming Institutions by Gendering contents and Gaining Equality in Research (**TRIGGER**), European Commission, FP7, contract no. 611034 (Czech partner)

Description of significant infrastructure and/or major items of technical equipment, relevant to the proposed work

N/A

Other supporting documents specified in the work programme for this call

N/A

Universidad Complutense de Madrid (UCM)	
Spain	
Legal entity description	
<p>Founded in 1499, the Complutense University of Madrid (UCM) is one of the oldest universities in the world, which currently enrolls over 80,000 students, 6,000 faculties and more than 3,000 administration and service staff. It ranks as one of the top universities in Spain, with a third place nationwide for the quality of the academic training offer and its research excellence. According to the QS World University Ranking, the UCM is one of the 100 best universities in the world in employability and academic prestige. As a broad-scoped university, almost every field of knowledge is envisaged. It offers 70 Bachelor’s Degrees, 16 double Bachelor’s Degrees, 152 Master’s Degrees, 58 Doctoral Programs, and 11 International degrees. Research at UCM is developed through its 26 faculties, 9 associated centres, 37 university institutes and research centres, 7 schools for professional specialization, 14 university clinics and hospitals and 9 research assistance centres and ICTS.</p> <p>The UCM is committed to improving its Human Resources policies in line with the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers. In this sense, the UCM endorsed the Charter & Code (C&C) in December 2015. In May 2017, the UCM started its Gap Analysis and the development of its Action Plan to align its practices and policies to the principles of the Charter and Code. Finally, in March 2018, the UCM finished this first process and published the Action Plan (https://www.ucm.es/hrs4r/) and in August 2018 obtained the distinction "HR Excellence in Research" (known as HRS4R).</p> <p>The UCM counts on the European Office for R&D (http://oficinaeuropea.ucm.es/) for dealing with all the aspects related to grant proposals preparation and the management of international Fellowships and Grants. This unit provides advice and support throughout the proposal preparation and the negotiation process of the Contracts and Agreements and the following management of the projects. A smooth financial management of the grants is guaranteed by the Economic Management Unit of the FGUCM which deals regularly with more than 100 active international grants.</p> <p>Added to this, the UCM has a strong trajectory in feminist and gender studies. Approved by the University board council in 1988, the Feminist Research Institute is an interdisciplinary centre which involves different Faculties and collaborates with other Universities in Spain. Its main goal is spreading feminist thinking and gendered creation, and for more than 30 years it has carried out its social and scientific work through the creation and preservation of interdisciplinary research teams on feminist criticism and Women’s studies. It also offers official studies, as the Specialist Degree ‘Agent in gender-based violence detection and prevention’ and a Master’s degree in Gender Studies, and another one on LGBTBIQ studies. The Institute also publishes an online academic magazine called Feminist Research Review.</p>	

Main tasks and how the profile fits the project

The UCM will lead WP5, the qualitative study at the meso and micro level to analyse the institutional responses to gender-based violence in RPOs and the interactions of those responses with the individuals involved in different gender-based violence/harassment cases. The UCM team has a long experience in social and policy analysis research, and in the elaboration of the qualitative frameworks of other EU projects (MAGEEQ, QUING). This is reinforced by the specialisation in evaluation of programmes and public policies. In this regard, the Master on Evaluation of Programmes and Public Policies, under the direction of the UCM team since its inception in 2002, is a long standing and internationally recognised master programme, where both quantitative and qualitative approaches and the use of mixed methods for evaluation and research are constantly updated. This evaluative research approach gives a solid background for the qualitative research, but also for contributing to WP6 in synthesising and integrating research results and to WP7 in transferring those research results into policy recommendations. Besides its solid records in social research, the UCM team holds a strong substantial experience in this specific field, as the UCM Protocol against sexual and sexist Harassment was developed during the mandate of Dr. Bustelo as Delegate of the Rector for Equality, under which she commissioned a study and survey on sexual and sexist harassment at the UCM in 2018. This profile also contributes to the development of the theoretical and conceptual framework under WP3.

Key personnel

Dr. María Bustelo (female), Team Leader. Associate Professor of Political Science and Public Administration, member of the Institute of Feminist Research, and Director of the Master on Evaluation of Programmes and Public Policies at UCM. She has been leader at UCM of several European research projects, as MAGEEQ (FP5), QUING (FP6) and GENOVATE (FP7), and she currently coordinates SUPERA (H2020). She is also co-directing the Spanish project UNIGUAL on Equality Policies in Spanish Universities, and the UCM excellent research group Gender and Politics (GEYPO), both with Emanuela Lombardo. She was Delegate of the Rector for Equality at UCM (2015-2019). President of the European Evaluation Society 2012-2013 and Member of the Executive Board of the Spanish National Agency for the Evaluation of Public Policies (AEVAL). She has also been a member of the UNWomen Global Evaluation Committee (2014-2019), the High Level Expert Group in charge of the FP7 ex-post evaluation (2014-2015), and the Expert Group in charge of the Interim Evaluation as a crosscutting issue in Horizon 2020, at DG Research (European Commission). She took part of the Expert Advisory Board of the EGERA (Effective Gender Equality in Research and the Academia, 2014-2027, FP7) project, and acted also as expert in the “Online tool for developing & implementing gender equality plans in research institutions” (GEAR online tool) commissioned by the EC’s D.G Research and the European Institute for Gender Equality (EIGE). Member of the Editorial Advisory Boards of the journals “Evaluation”, “Evaluation and Program Planning”, “European Journal of Politics and Gender” and ‘Revista de Investigaciones Feministas’, she acted as co-editor of the “Ethics and Professionalization” section of the “American Journal of Evaluation” (2014-2017).

Dr Emanuela Lombardo (female), team member. Associate professor in the Department of Politics and Administration at the UCM, PhD in Politics at the *University of Reading* (UK). She has enjoyed several postdoctoral research contracts (Ramón y Cajal 2006-2011; Postdoctoral researcher Radboud University Nijmegen 2006; Senior researcher EC grant 2003-2005; Spanish Ministry of Education postdoctoral researcher 2002-2003) and has been visiting professor at the universities of Antwerp, Helsinki, Aalborg and Institute for Human Sciences in Vienna. She was PI of the research project funded by the EC TARGET and is currently co-directing as PI the Spanish research Project UNIGUAL with María Bustelo. She has participated in four research projects funded by the EC (QUING, MAGEEQ, CIDEL, EURCIT) and three Spanish national research projects on gender equality policies and European citizenship. With over a hundred academic works, she has received the recognition of ‘outstanding research career’ by the Spanish national agency of evaluation of academic excellence. Since 2018 she is coordinator of the evaluation of gender research projects in the area of social science for the Spanish Ministry of research. Member of editorial boards of international journals and book series such as Routledge *Gender and Comparative Politics*; *Journal of*

Women, Politics and Policy; European Journal of Politics & Gender, she coordinates the research group on Gender and Politics at UCM.

Prof. Cecilia Castaño, female, team member. PhD in Political Science (1983), she is Full Professor (1992) at the Department of Applied Economics. Director of the Research Program Generate and ICT in the Internet Interdisciplinary Institute (IN3, UOC) (2006-2011), she is Co-Director of the Official Master of the UCM on Gender Studies since 2006. She was member of the Expert Group "Gender in Research Impact Assessment", European Commission, DG Research and Innovation (2012- 2013), and Visiting Researcher at Harvard University (Grant Real Colegio Complutense at Harvard University, 2007), Massachusetts Institute of Technology (Fulbright Scholarship, 1985-1986), and University of California, Berkeley (1987). Since 1996, her research interest unfolded from a gender perspective, firstly focusing on gender segregation on Spanish labour market, later on the digital gender gap and the differences in access, use and skills in relation to information technology, lately in the difficulty for women to access and remain in ICT-related jobs. Since 2008, her analysis has extended to the field of gender and science. At present, her work concentrates on diagnosing gender inequalities in higher education and the effectiveness of gender equality policies.

Juan Andrés Ligeró (male), team member. Sociologist in the specialty of social psychology, Masters in Social science research methodologies and postgraduate on methods and techniques applied to social research and data quantitative analysis. He is co-director of the Master's Degree in Public Policies and Program Evaluation with María Bustelo since 2002. He works as a professor at the Carlos III University of Madrid since 2004. He complements his academic work with program evaluations and social researches, and he led the assessment on sexual and sexist harassment conducted at the UCM in 2017. He has received several awards and recognitions for his work as researcher and evaluator and has published different articles and books related to evaluation and methodology. He is also member of the European Evaluation Society, the American Evaluation Association and of Aproveal, Spanish Association of Evaluation, as well as Vocal of the Plan Nacional Sobre Drogas de España.

Lorena Pajares (female), team member. Gender international consultant, with 20 years of professional experience combined with a strong academic grounding in Social Sciences and feminist methodologies. Master's Degrees in Social Anthropology and in Participatory research and local development, and Postgraduate Diploma in Gender and Development relations, she is currently engaged with the Horizon2020 project SUPERA as a researcher of the UCM team and has collaborated with other universities (Open University of Spain, UAM, UCO) in projects aimed at mainstreaming gender in training programs and curricula or developing gender training materials for the university staff, as well as facilitating trainings herself. As an international consultant, she is specialised in gender and development and has collaborated with a wide range of institutions, Public Administrations and Third Sector organisations in research, technical assistances and training projects aimed at gender transformative action. She has experience on the topic of gender-based violence, specifically on sexual violence and trafficking, acquired as a worker of the development sector.

Selection of relevant publications

- **Bustelo, María, Ferguson, Lucy & Forest, Maxime (eds.), (2016), *The Politics of Feminist Knowledge Transfer: Gender Training and Gender Expertise*, Basingtoke, Palgrave, Gender and Politics Series.**
- **Minto, R, Mergaert, L & Bustelo, M. (2020) Policy evaluation and gender mainstreaming in the European Union: the perfect (mis)match? *European Journal of Politics and Gender*.**
- **Walby, S., P. Olive, J. Towers, B. Francis, S. Strid, A. Krizsán, E. Lombardo, C. May-Chahal, S. Franzway, D. Sugarman, B. Agarwal, J. Armstrong (2015) *Stopping rape. Towards a comprehensive policy*. Bristol: Policy press.**
- **Lombardo, E. & L. Rolandsen (2016). Intersectionality in European Union policymaking: the case of gender-based violence. *Politics* 36(4): 364-373 DOI: 10.1177/0263395716635184**

- **Castaño, C.** (2016). The new public management and gender equality policies in universities. *Investigaciones feministas*, ISSN 2171-6080, Vol. 7, N°. 2, (Journal of Feminist research. Special issue on Gender inequalities at universities: challenges and opportunities) p. 225-245

Selection of relevant previous projects or activities


- 2018-2022: Coordination of **SUPERA** - Supporting the Promotion of Equality in Research and Academia. Horizon 2020 project within the Science with and for Society –SwafS- 03-2015-16 *Support to research organizations to implement gender equality plans* program, GA N° 787829.
- 2018-2021: **UNIGUAL** - Políticas de Igualdad en la Universidad Española (Equality Policies at the Spanish University). Proyectos de I+D+I Programa Estatal de Investigación, Desarrollo e Innovación orientada a los Retos de la Sociedad (National Program for research, development and innovation) Ref.FEM2017-84004-R.
- 2013-2016: **GENOVATE** (Transforming organisational culture for gender equality in research and innovation) FP7 project, GA N°. 321378.
- 2013-2016: **GenPORT**: internet portal for sharing knowledge and inspiring collaborative action on gender and science (FP7).
- 2006-2011: **QUING** (Quality in Gender + Equality Policies), FP6 project, GA N°. 028545-2.

Description of significant infrastructure and/or major items of technical equipment, relevant to the proposed work

N/A

Other supporting documents specified in the work programme for this call

N/A

The Lithuanian Social Research Centre (LSRC)	
Lithuania	
Legal entity description	
<p>The Lithuanian Social Research Centre (LSRC, the Centre) is a state research institute, a public entity functioning as a budgetary establishment and carrying out long-term research and experimental (social, cultural) development important for the State, the general public, international cooperation or economic entities. The Centre conducts research in five main fields such as human social development, social welfare, socio-demography, ethnicity and society, employment and labor market</p> <p>The Centre has adequate human and technical capacity to implement high level R&D projects. The LSRC is functioning as the national center of competences in theoretical and applied social research; the Centre employs about 60 staff members, including about 40 doctorate holders. The Centre regularly admits researchers from foreign universities and research centers for short-term and long-term fellowships. The Centre delivers doctoral studies in sociology and economics. Today, the Centre has 22 doctoral students. The Centre is currently implementing 3 long-term research programs and conducts 5-10 national and international research projects on average per year. Lately the Centre carries out the H2020 project “The Future of European Social Citizenship – EUSOCIALCIT”. Recently number of research was conducted in the field of women’s choices to have or not have children, prevalence in teenage pregnancies, gender discrimination and policies of equal opportunities in Lithuania. In 2011-2014 and since 2018 LRSC conducts research on various fundamental rights issues including topics of combating discrimination, inequalities and harassment at work and public life. Additionally, to the LSRC academic focus on the issues of equal opportunities, it is</p>	

also active in practical implementation of the principles of equal opportunities in its institutional setting. Since early 2018 the LSRC has approved and carried out the policy of equal opportunities.

Main tasks and how the profile fits the project

The Lithuanian Social Research Center conducts qualitative and quantitative research in the field of social (in)equalities, inclusion and exclusion, sociology of gender, intersectionality of ethnicity and age and gender, research on well-being of older people etc. In this project LSRC will coordinate together with the UCM the qualitative part of the project to inquire into the institutional response to gender-based violence and its impact for victims and organizational culture. Several researchers of the Lithuanian Social Research Center who specializes in the field of domestic violence, violence against women and gender-based violence will be working in this project. Dr. Vilana Pilinkaite Sotirovic conducts independent research in the field of gender-based violence and sexual harassment, provides expertise in legal reform on domestic violence in Lithuania and actively participates in various debates on protection, prevention and prosecution of domestic violence and sexual harassment. Dr. Giedre Blazyte's scientific interests cover issues on intersection of gender and ethnicity, migration and trafficking in human beings. Her expert's knowledge she applies to completes monitoring and assessing state policies in the field of social adaptation and integration and provide recommendations for stakeholders.

Key personnel

Dr. Vilana Pilinkaite Sotirovic (female), team leader, has fifteen years of experience in doing research and advocacy work on issues of gender equality and in particular gender-based violence. Since her employment at the Centre for Equality Advancement (from 2005) she participated in many international projects and contributed to the developing policies and legal reforms in the field of violence against women in Lithuania. She was a national research in the the project *Quality in Gender+Equality Policies in the EU*, funded within the Sixth Framework Programme of the European Commission (2006-2011) (www.quing.eu). Since 2011 as a research fellow at the Lithuanian Social Research Centre she has conducted number of research for European Agency for Fundamental Rights (FRA) and European Institute for Gender Equality (EIGE) on equal opportunities and gender equality policies, including research on administrative data collection and good practices in the field of violence against women, gender based violence in sport, gender equality policies in research performing organizations and other. In her research Vilana has applied desk research and qualitative interview methods with experts, policy makers and implementers, victims of domestic violence and provided interview analysis in reports and scientific publications. In 2019 Vilana contributed to the analysis of population poll about attitudes of society to the victims of sexual harassment and presented its results in the international conference of the European Network on Gender and Violence at the Protestant University of Freiburg in July 17-19, 2019 (http://www.soffi-f.de/files/ENGV%202019_Program.pdf). Since 2019, Vilana Pilinkaite Sotirovic is the member of the working group on improvement of national legislation and policies in the field of domestic violence under the Ministry of Social Security and Labour of the Republic of Lithuania

Dr. Giedre Blazyte (female), research team member. holds PhD in Social Sciences (Sociology). In her thesis "Immigration for family reunification to Lithuania: the role of gender and ethnicity in the process of social adaptation" a special focus was on intersections of gender, ethnicity and social context influence the process of social adaptation. As a research fellow at Lithuanian Social Research Centre (LSRC) and NGO "Diversity Development Group" she further analyses contemporary migration processes related to the topics of family migration, migration and gender; irregular migration and trafficking in human beings, as well as equal opportunities and gender equality. As a national researcher and independent expert Giedre Blazyte has been involved in different projects and research on national and international level: FRANET (a multidisciplinary research network of the EU Agency for Fundamental Rights); "Municipalities' Success Code – Gender Equality" (Coordinator: Office of the Equal Opportunities Ombudsperson); "Study on Reviewing the Functioning of Member States' National and Transnational Referral Mechanisms"

(Coordinator: ECORYS Poland in consortium with ICMPD and the Human Trafficking Studies Centre of the Warsaw University (HTSC)); "Information on the measures taken by the EU Member States to promote gender equality" (European Institute for Gender Equality (EIGE)), etc. In her research Giedre Blazyte has applied desk research and quantitative research methods in analysis of data of population surveys and public attitudes. She is also well experienced in doing qualitative interviews with employers, national policy makers, law-enforcement, victims of trafficking and provided research findings in reports and scientific publications.

Selection of relevant publications

- European Institute for Gender Equality. 2019. Gender Equality in National Parliaments across the EU and the European Parliament. **Vilana Pilinkaite Sotirovic** co-author of this report. <https://eige.europa.eu/gender-mainstreaming/toolkits/gender-sensitive-parliaments>
- **Pilinkaite Sotirovic V.** 2018. "Lyčių lygybė švietime: vaikų galimybės rinktis netipines profesijas" (Gender equality in education: opportunities for boys careers in atypical professions). *Informacijos mokslai*, 2018, T.1: 78-91 DOI: <https://doi.org/10.15388/Im.2018.0.11941>
- **Pilinkaite Sotirovic V.**, Vaige L. "Challenges for preventing violence against women in Lithuania". *Filosofija/Sociologija*, 2017 (4) : 268-276 <http://mokslozurnalai.lmaleidykla.lt/filosofijasociologija/2017/4/7431>
- Zuzana Ocnasova, **Vilana Pilinkaite Sotirovic**, Europeanization of Family Policies: Comparative Analysis of Policy Discourses on Gender Equality in Care Policies in Czech Republic, Lithuania and Slovakia, *Analele Universitatii Bucuresti*, Anul XVII-2015, No. 1, pp. 73-98
- **Pilinkaite-Sotirovic, V.** 2014. L'égalité des genres dans la politique familiale de la Lituanie. L'influence des discours conservateurs sur la famille, le congé parental, la conciliation vie familiale-professionnelle *Politiques sociales et familiales* No.115, March 2014 pp. 25-36 https://www.persee.fr/doc/caf_2101-8081_2014_num_115_1_2964

Selection of relevant previous projects or activities


- Pilinkaite Sotirovic, Vilana - National researcher on **gender equality in high education**, H2020 CASPER project (G.A. n 872113)
- Blażyte, Giedre. National report for the "**Study on Reviewing the Functioning of Member States' National and Transnational Referral Mechanisms**" (2019) (Coordinators: ECORYS Poland in consortium with ICMPD and the Human Trafficking Studies Centre of the Warsaw University (HTSC) for the European Commission's DG Migration and Home Affairs)
- Lithuanian Social Research Center - *Democracy and Equal Opportunities: Public Attitudes and Social Practices*, Lithuanian Science Council No. GER-012/2017)
- Vilana Pilinkaite Sotirovic National researcher on **gender-based violence in sport**, subcontractor under EACEA 2015-2704/001/001
- Vilana Pilinkaite Sotirovic - national researcher on **integrating gender equality in research performing organizations**, subcontractor under EIGE/2012/OPER/07

Description of significant infrastructure and/or major items of technical equipment, relevant to the proposed work

N/A

Other supporting documents specified in the work programme for this call

N/A

Uniwersytet Jagielloński (UJ)	 JAGIELLONIAN UNIVERSITY IN KRAKÓW
Poland	

Legal entity description

Uniwersytet Jagielloński in Kraków is the oldest higher education institution in Poland and one of the oldest in Europe. Nowadays, UJ comprises 13 faculties and three research units, where 4 thousand academic staff conduct research and provides education to almost 41 thousand students and over 2 thousand doctoral candidates, within the framework of more than 80 different fields of study. The UJ is one of the leading Polish scientific institutions with well-developed collaboration with major academic centres from all over the world. In 2006, the UJ was granted the Crystal Brussels Prize, a prestigious award given in recognition of the most active and successful participation in the 6th Framework Programmes of the EU. Since then, the UJ managed over 400 international research and educational projects within different programmes. UJ's scientists have won 53 grants from 7th Framework Programme (24 out of them as MSCA – two coordinated by the UJ) and 38 from the Horizon 2020 (15 out of them as MSCA – two coordinated by the UJ). In 2018 two young scientists from UJ had been awarded with the most prestigious grants in Europe – the European Research Council Starting Grants (ERC). One year later another young scientist from UJ has been awarded with ERC Starting Grant. Presently, UJ implements three ERC Starting Grants and one ERC Consolidator Grant. Apart from above-mentioned funding programmes, there are also several grants from other international sources, e.g. International Visegrad Found, European Science Foundation, The Volkswagen Foundation, NORFACE, Rothschild Foundation Europe etc. In case of domestic fundings, the UJ is at the top of the list of beneficiaries of the National Science Centre. The overall value of grants from the National Science Centre in 2018: 238 projects / over 126 237 607 PLN. Apart from the NSC, scientists from the UJ carry out projects funded by The National Centre for Research and Development, Ministry of Science and Higher Education, Foundation for Polish Science etc.

On 6 December 2017, Uniwersytet Jagielloński gained permission to use the Human Resources Excellence in Research logo, which is awarded by the European Commission within the framework of the Human Resources Strategy for Researchers, aimed to improve the quality of working life of researchers. The goal is to increase the number of staff in European research institutions.

Main tasks and how the profile fits the project

Researchers from the Uniwersytet Jagielloński involved in the project represent the Department of Sociology of Law of the Faculty of Law and Administration. This unit of the university has ample experience with conducting quantitative and qualitative social research both in Poland and abroad. Due to the fact that researchers from UJ are both lawyers and social scientist, they can not only contribute to empirical research conducted within the project but also offer their legal expertise. In the project, work of the UJ will be mainly focused on leading the WP2: Ethics and Research Integrity, participating in the mapping activities of WP3 and qualitative research of WP5, as well as supporting the work of other work packages.

Key personnel

Dr Janina Czapska (female), Polish research team leader. Janina is a professor at the Faculty of Law and Administration of the Uniwersytet Jagielloński and a Humboldt Foundation fellow. In years 2010–2013, she was Head of the Department of Criminalists and Public Security at the Faculty of Law and Administration of the Uniwersytet Jagielloński. Since October 2014, she is the Head of the Department of Sociology of Law at the same Faculty. Janina specializes in the research on the social aspects of legislative, application and compliance with the law with particular emphasis on local security, fear of crime and police, and has taken part in three European projects relating to the issue. Among her main topics of research also penal populism and alternative dispute resolutions play a significant role. She has edited books in Polish on crime prevention (for example CPTED), national and municipal police, and mediation. Currently, she is preparing the book *The thin line? The future of policing* considering three proactive policing strategies. She is a member of the Equal Treatment Council of the City of Kraków and a chairperson of the Programme Committee for the Security Improvement Program for the City of Krakow “Safe Krakow”.

Ms Katarzyna Struzińska (female), research team member. Katarzyna is a research associate at the Department of Sociology of Law of the Faculty of Law and Administration of the Uniwersytet Jagielloński

in Kraków. Her research interests revolve around social psychology, victimology, gender mainstreaming, police science and sociology of law. Her current projects focus on the relation between law and literature. She holds a Bachelor's degree in Russian Studies and three Master's degrees in Law, Russian Studies (focus area: the culture of Russia and neighbouring nations) and Linguistics (languages: English and Russian) from the Uniwersytet Jagielloński. In October 2011, she received from the Polish Academy of Sciences and Foundation Gender Center first award in the competition for the best thesis about gender for her Master Thesis in Law – *The situation of rape victim in Poland. Stereotypes about raped people, their rights and possible ways of supporting them*. Katarzyna also completed postgraduate studies in Gender Mainstreaming at the Institute of Literary Research of the Polish Academy of Sciences. Since 2015, she works for the international research project *Community-Based Policing and Post-Conflict Police Reform*, in which she is a member of *WP10: Regional Focus South-Eastern Europe*, as a researcher responsible for case country Bosnia and Herzegovina, and *WP6: Gender Issues*.

Selection of relevant publications

- Nyborg, I. and **Struzińska, K.** (2019). Downloading Trust: Can information and communication technology (ICT) help police and communities better address gender-based violence? Policy brief 5 (ICT4COP project). Available at: <https://ict4copmagazine.files.wordpress.com/2020/02/5.-downloading-trust-policy-brief-1.pdf>.
- **Czapska, J.**, Mączyński, P. and **Struzińska, K.**, eds. (2017). *Bezpieczne miasto. W poszukiwaniu wiedzy przydatnej praktykom* [safe city: in search of knowledge useful for practitioners]. Kraków: Wydawnictwo JAK.
- Araszkiwicz, M., **Czapska, J.**, Pękala, M. and Pleszka K., eds. (2015). *Mediation in Poland. Theory and practice*. Kraków: Wydawnictwo JAK.
- Jurzak-Mączka, K., **Struzińska, K.** and Szafrńska, M. (2013). Bezpieczeństwo w krakowskich szkołach wyższych ze szczególnym uwzględnieniem Uniwersytetu Jagiellońskiego – perspektywa empiryczna [safety at the universities of Kraków, with particular focus on Jagiellonian University – empirical perspective]. *Przegląd Naukowo-Metodyczny Edukacja dla Bezpieczeństwa*, 2, pp. 85–114.
- Kłosa, M. and **Struzińska, K.** (2012). Stereotypy dotyczące przemocy seksualnej i ich wpływ na sytuację ofiar [stereotypes about sexual violence, and their influence on the victims' situation]. In: K. Kowalczyńska and J. Uchańska, eds., *Kobieta w prawie*. Kraków: AT Wydawnictwo, pp. 169–180

Selection of relevant previous projects or activities


- Since June 2015: International research project **Community-Based Policing and Post Conflict Police Reform (ICT4COP)** coordinated by Norwegian University of Life Sciences and financed from the European Union's Horizon 2020 research and innovation programme. J. Czapska is the coordinator of the Polish research team, K. Struzińska is a member of the research team.
- 2011–2014: Research project **Coordination of Local Action for Security, with Particular Focus on Crime Prevention** financed by the Polish National Centre for Research and Development. J. Czapska was the coordinator of the research team, K. Struzińska was a member of the research team.
- 2011–2014: Research project **Mediation and Other Dispute Resolution in Polish Legal System** coordinated by professor Krzysztof Pleszka (Law and Administration of the Jagiellonian University) of and funded by National Science Centre of Poland. J. Czapska was a member of the research team.
- 2011–2012: Research project **Students' safety at the Jagiellonian University**, coordinated by Michalina Szafrńska, and financed by Faculty of Law and Administration of the Jagiellonian University. K. Struzińska was a member of the research team.
- 2009–2011: International research project **Gender-Based Violence, Stalking and Fear of Crime** coordinated by Ruhr University Bochum and funded by the EU Commission on General Justice, Freedom and Security through the programme Prevention of and Fight Against Crime. J. Czapska was the coordinator of the Polish research team.

Description of significant infrastructure and/or major items of technical equipment, relevant to the proposed work

N/A

Other supporting documents specified in the work programme for this call

N/A

Oxford Brookes University (OBU)	
United Kingdom	
Legal entity description	
<p>Oxford Brookes University was set up over 150 years ago. Originally, it started out as a small School of Art and over the years has evolved into one of the UK's top universities. Oxford Brookes University is engaging with excellent teaching and research, and has built a strong reputation at local, national and international level. It is based in the city of Oxford, a city renowned for its rich social and cultural environment.</p> <p>There are approximately 18,000 students at Brookes University (78% UK, 6% EU and 16% rest of the world). Oxford Brookes University sees widening participation in higher education as key to their activities and actively engage with students who may be under-represented in higher education. The current Chancellor of Oxford Brookes University is Dame Dr Katherine Grainger, and its Vice-Chancellor (with responsibilities for the running of the university) is Professor Alistair Fitt. Oxford Brookes University is composed of four academic faculties (Oxford Brookes Business School, Faculty of Health and Life Sciences, Faculty of Humanities and Social Sciences, and Faculty of Technology, Design and Environment) and eight professional services directorates.</p> <p>Oxford Brookes has adopted equality, diversity and inclusion as core values. It places all policy developments in the context of three objectives: treating all in contact with the university with dignity and respect; providing learning, personal-development and employment on a non-discriminatory basis; and providing a safe, supportive and welcoming environment for students, staff and visitors.</p> <p>Oxford Brookes was one of the first UK universities to receive an Athena SWAN award under the new Charter in 2016, and has held a Bronze Award since 2013 under the old Charter. In 2015, the Faculty of Health and Life Sciences was awarded a Silver Award. The Faculty of Technology Design and Environment also received a Bronze Award. Currently, the Faculty of Humanities and Social Sciences as well as the Business School are applying for an Award.</p>	

Main tasks and how the profile fits the project
<p>The expertise for the project at Oxford Brookes University will come from the Centre for Diversity Policy Research and Practice. This research centre has developed a body of work related to gender and diversity in the economy, society and the environment. This includes comparative international/EU level studies of gender in relation to higher education as well as work on gender-based violence. In the project OBU will have a significant input into the design and implementation of the quantitative survey (WP4), as well as the conceptualisation, synthesis and analysis of models and data gathered from different WPs. This will be done by ensuring close collaboration with partners, most notably ORU and GESIS. Dr Anne Laure Humbert will be the main researcher involved, and has significant experience on gender statistics. Her previous work (with Strid and colleagues at ORU) focused on conducting multi-level analyses of gender-based violence in Europe based on data collected by the EU agency for fundamental rights (FRA) EU-wide survey on violence against women. Expertise on gender in the context of higher education, through previous projects funded by Horizon</p>

2020 (GEDII, GEARING-Roles, CASPER), also add to analysis of gender-based violence specifically in the context of research performing organisations.

Key personnel

Dr Anne Laure Humbert (female) is a Reader and Director of the Centre for Diversity Policy Research and Practice at Oxford Brookes University. Contributes as an expert in statistics, organisation and work, and gender-based violence. She holds visiting positions at Orebro University and King's College London. Education: B.A. in Statistics and Mathematical Studies, Maynooth University, Ireland; Ph.D., Trinity College Dublin, Ireland; Post-graduate Certificate in Higher Education, Middlesex University London; Past affiliations: Middlesex University, European Institute for Gender Equality, Cranfield University. Anne's work focuses on measuring various aspects of measuring gender and diversity at national, EU and international level. She has worked on several gender-related EU funded projects (GEM, GEDII, GEARING-Roles, CASPER). In addition, she has research experience at specifically on the topic of gender-based violence in the EU through having co-authored a report on victim support for the European Institute for Gender Equality and her involvement in a Swedish national research project where she has analysed the EU Agency for Fundamental Rights' EU-wide Survey on Violence against Women.

Selection of relevant publications

1. Reingardè, J., **Humbert, A. L.**, Borza, I., Burkevica, I. and Paats, M. (2012), *Violence against women and victim support*, report to the Cypriot Presidency of the Council of the EU, www.eige.europa.eu/content/document/violence-against-women-victim-support-report.
2. Hearn, J., Strid, S., **Humbert, A. L.**, Delaney, M. and Balkmar, D. (submitted 2019) From Gender Regimes to Violence Regimes: Re-thinking the Position of Violence. Revised and re-submitted *Social Politics* April 2020.
3. **Humbert, A.L.**, Strid, S., Hearn, J. & Balkmar, D. (submitted 2020) Explaining the Nordic gender equality paradox: factors affecting rates of disclosed gender-based violence across the EU. Submitted to *PLOS One* February 2020.
4. Strid, S., **Humbert, A. L.**, Hearn, J., and Balkmar, D. (submitted 2019) States of Violence: From Welfare Regimes to Violence Regimes. Under revision for *Journal for European Social Policy*.
5. Balkmar, D., Strid, S., **Humbert, A. L.**, Hearn, J. (submitted 2020) On violence policy and "women friendly" welfare regimes: from gender regimes to (gender) violence regimes? Submitted to *Journal of Critical Social Policy*, April 2020.

Selection of relevant previous projects or activities

1. 2018-20 Co-applicant for VR-funded **Regimes of Violence: Theorising and Explaining Variations in the Production of Violence in Welfare State Regimes**. Funded by the Swedish Research Council (VR). Total: 3 700 000 SEK.
2. 2020-21 Co-applicant and scientific coordinator for **CASPER**, "Certification-Award Systems to Promote gender Equality in Research", Work Package 4 Leader on the assessment of existing models. Funded by the Horizon 2020 EU programme. Total: €1.5 million.
3. 2019-22 Co-applicant for **GEARING-Roles**, (design, implement, and evaluate 6 Gender Equality Plans (GEPs) following the steps described in the GEAR tool (define, plan, act and check) with the firm objective of challenging and transforming gender roles and identities linked to professional careers, and work towards real institutional change). Work Package 6 Leader on Research, Education and Innovation. Funded by the Horizon 2020 EU programme. Total: €3 million.
4. 2015-18 Co-applicant for **GEDII**, "Gender Diversity Impact", Work Package 3 Leader on the development of a Gender Diversity Index. Funded by the Horizon 2020 EU programme. Total: €1 million.

5. 2014-16 Partner on **GEM**, “Gender Equality in decision-Making”, development of a training programme to address stereotypes and unconscious bias. Funded by the European Commission’s PROGRESS programme. Total: €250,000.

Description of significant infrastructure and/or major items of technical equipment, relevant to the proposed work

N/A

Other supporting documents specified in the work programme for this call

N/A

4.2. Third parties involved in the project (including use of third party resources)

Please complete, for each participant, the following table (or simply state "No third parties involved", if applicable)

For the UNISAFE Consortium as a whole (except for GESIS)

Does the participant plan to subcontract certain tasks (please note that core tasks of the project should not be sub-contracted)	N
<i>If yes, please describe and justify the tasks to be subcontracted</i>	
Does the participant envisage that part of its work is performed by linked third parties ³	N
<i>If yes, please describe the third party, the link of the participant to the third party, and describe and justify the foreseen tasks to be performed by the third party</i>	
Does the participant envisage the use of contributions in kind provided by third parties (Articles 11 and 12 of the General Model Grant Agreement)	N
<i>If yes, please describe the third party and their contributions</i>	
Does the participant envisage that part of the work is performed by International Partners ⁴ (Article 14a of the General Model Grant Agreement)?	N
<i>If yes, please describe the International Partner(s) and their contributions</i>	

GESIS – Leibniz-Institute for the Social Sciences

Does the participant plan to subcontract certain tasks (please note that core tasks of the project should not be sub-contracted)	Y
--	---

³ A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action. (Article 14 of the [Model Grant Agreement](#)).

⁴ ‘International Partner’ is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

If yes, please describe and justify the tasks to be subcontracted : Y

The programming and technical roll-out of the quantitative survey will be subcontracted to an international research firm.

The two main tasks to be handled within the subcontract are

- a) the programming and testing of the questionnaire in all relevant languages, and
- b) the implementation of the survey online, including tasks of quality assurance of the technical performance during the data collection, collecting response data, checking data quality and preparing the complete dataset for data evaluation, further processing and potential data sharing.

Reasons are the following:

- The research firm will apply a uniform methodology to sampling, data collection, data cleaning incl. treatment of unfinished questionnaires, and first level data organization to assure harmonized data presentation across the full dataset.
- Subcontracting this work is expected to increase cost efficiency: the work specified under this subcontracting will be implemented in 5 months only. Hiring the equivalent workforce for the same period would be challenging as of the short-term contracts and would cost more.
- The number of countries that need to be covered in this project (15+n) and the number of institutions in which the survey will be rolled out (45+n) in light of the limited time available for the research require the availability of the empirical data in a very short timeframe. Subcontracting is expected to significantly improve the time efficiency of this work.

The technical implementation tasks to be performed in WP4 /T 4.4. represent two related, but distinct work units (action tasks), as mentioned above a) the programming and testing of the questionnaire in all relevant languages and b) implementation of the fieldwork of the online survey, including technical quality assurance, data checking and data preparation. These action tasks, therefore, assure the implementation of specific tasks which are part of the action and are described in Annex 1.

The subcontractor will be selected by using a standard procedure according to the legally binding procedures that apply to GESIS. The procedure foresees the drawing up of a set of specifications describing the services to be supplied, the requirements to be met by the contractor, delivery date and the selection criteria, etc.. In the periodic project reports, GESIS will include a precise description of the service, selection process and contribution of the subcontracted services to the overall achievements in WP4, so that after the contract has been awarded to a research firm, it is coherent and comprehensible why the subcontractor in question was chosen. The subcontractor shall issue an invoice for the service rendered.

The subcontracting procedure will follow the rules set out in Article 13 of the Grant Agreement, in particular with regard to the principle of best value for money. The estimated gross budget for subcontracting is €140,000.

4.3. Financial support to third parties

N/A

5. Ethics and Security

5.1 Ethics

Ethical dimensions as well as national and international regulations regarding European data privacy management will be considered at all stages of the UniSAFE project. UniSAFE will have a specific work package, WP2, to ensure that the conducted research follows all relevant ethical principles, such as the principle of non-maleficence (minimising the harm), the principle of beneficence (maximising benefits), the principle of respect for individuals and the principle of justice (balancing risks and benefits).

The UniSAFE Data Management Plan (DMP) will define policy for the organisation of data management and describe the infrastructures the project will use. The DMP will specify who can access data and who owns it, where data will be stored and how long it must be stored, moreover, define standards for data collection, data evaluation and sharing.

The project will make sure that experts involved in specific tasks in the frame of WP3 – WP5 will be contracted under the explicit stipulation that their national expert reports with attribution of their authorship will be made publicly available on the project website and may be used by third parties in line with standard authorship attribution rules for scientific publications.

In total, 15 European countries and associated countries will take part in the web-survey and interviews in WP4 and WP5. The implementation of the survey will be subcontracted to an international research firm, specialised in cross-national data collections. It will be ensured that the same standards apply to all parties involved in the implementation of empirical research tasks, including the subcontractor. The UniSAFE project does not involve data collection or transfer from Third Countries, which are only present in the policy mapping implemented by the network of national experts in WP3.

Due to specific ethics concerns related to participation of Humans (Section 2), and Protection of Personal Data (Section 4), the UniSAFE consortium proposes the following measures:

Ethics issues: human participants

UniSAFE will include research activities involving a survey to create new quantitative evidence on gender-based violence in European higher education and research. The data on the situation of research staff, students, research support staff and geographically mobile people will be collected from various countries. Since the topic is personal and can be sensitive, the following measures are proposed to address ethics issues associated with the involvement of human participants in the research.

(general)

- The project will implement a survivor-centred approach in research ethics and make the empirical data accessible only in an anonymised form for further analysis by other researchers. Risks such as violation of data privacy and re-identification of individuals will be handled in line with the principle of Statistical Disclosure Controls (SDCs).
- UniSAFE partners involved in data collection will submit their individual research plans to their institutions' Ethics Committee for further review and approval; when applicable and/or necessary, national Ethics Committees approvals will also be sought.
- Participation will be entirely voluntary and will respect the articles 3, 8 and 13 of the European Charter of Fundamental Rights relative to the 'right to the integrity of the person', 'protection of personal data', and 'freedom of the arts and sciences'.
- UniSAFE will provide clear and intelligible information, in relevant languages, to participants on the purpose of the research, the voluntary nature of their participation, their rights as research participants, the research format, the identity of the project consortium and the identity of the researchers involved.
- The project coordinator together with the consortium will prepare a Data Management Plan which will detail the required actions for ethically sound research within the project. The monitoring of the data quality will be handled by GESIS and OBU, which includes monitoring the ethically sound quality of the data gathering.

Ethics obligation to be completed ‘before grant agreement signature’
EthSR – Pre-Grant requirement – Humans, Protection of Personal Data

The applicant must clarify whether vulnerable individuals/groups will be involved, and the measures to protect them and minimise the risk of their stigmatisation must be included in the grant agreement before signature.

To clarify, UniSAFE research activities do not involve vulnerable groups or individuals directly. However, since the project does involve research activities with *potentially* vulnerable groups, such as researchers at higher risk of gender-based violence due to, e.g., precarious work situation, lack of support network researchers at higher risk of gender-based violence, the UniSAFE project has prepared measures to deal with any incidental findings. Measures to assist individuals in question, to provide them with resources and links to appropriate services to support them, and to minimise the risk of their stigmatisation will be detailed in the protocol for handling incidental findings (part of the Ethics Guidance Package), implemented via WP 2 and its Ethics Helpdesk, and included in the DMP of UniSAFE.

Details on incidental/accidental findings policy must be included in the grant agreement before signature.

UniSAFE will have a specific work package, WP2, to ensure that the conducted research follows all relevant ethical principles. It will provide an Ethics Guidance Package that includes the protocol of handling incidental findings, e.g., cases of crime and other severe abuse, as well as any abuse causing distress and upset which might be discovered during the research, reporting and the response mechanism for serious ethical incidents (e.g. the confidentiality of research participant being at risk), standards of directing survivors to the assistance, templates providing research participants with referrals for service of care and support. This protocol will be duly applied in WPs 4, 5, and 6, where research activities are also supported by the Ethics Helpdesk that will provide research team members with advice in case of incidental findings. In addition, the DMP of the project will include the provisions used for handling incidental findings.

Copies of opinions/approvals by ethics committees and/or competent authorities for the research with humans must be kept on file (to be specified in the grant agreement).

AND

Templates of the informed consent/assent forms and information sheets (in language and terms intelligible to the participants) regarding humans and data must be kept on file (to be specified in the grant agreement before signature).

All UniSAFE partners are able to take responsibility for the security of the data they will generate, in terms of both physical infrastructure and access policy, and for providing adequate level of secure storage and transfer of data. These measures ensure that all copies of opinions/approvals by ethics committees and/or competent authorities for the research with humans, as well as all templates of the informed consent/assent forms and information sheets (in language and terms intelligible to the participants) can and will be kept securely on file.

The host institution must confirm that it has appointed a Data Protection Officer (DPO) and the contact details of the DPO are made available to all data subjects involved in the research. For host institutions not required to appoint a DPO under the GDPR a detailed data protection policy for the project must be kept on file (to be specified in the grant agreement).

All UniSAFE partners that have a DPO will make the DPO's contact details available to all data subjects involved in the research, and partners without DPO will provide a detailed data protection policy. All this information will be kept on file and included in the DMP of UniSAFE.

Ethics issues: protection of personal data

In addition to research involving human participants above, activities involving consultation with stakeholders will require the collection and processing of minimal personal data. These activities will aim at gathering knowledge on individual and group experiences without collecting sensitive data.

The following measures are proposed to address ethics issues associated to dealing with personal data.

(general)

- UniSAFE will comply with applicable data protection legislation. All partners in the consortium will comply with the General Data Protection Regulation (GDPR) and national legislations, and will keep abreast with current proposed changes to the regulatory framework.
- The project will ensure compliance with guidelines on data protection, personal information and consent issues set out by the Article 29 Working Party and data protection authorities in Europe.

(collection of personal data)

- UniSAFE will ensure that the amount of personal data collected is kept at the minimum that is necessary to achieve the project objectives.

(informed consent)

- The project will provide sufficient information to participants on a) the identity of the organisations and individuals handling the personal data provided by participants, b) the legal basis for collecting and using the data, c) the purposes for which that data will be used and the period for which it will be kept in an identifiable form.
- The project will ensure that, where personal data is processed on the basis of the participants' consent, that consent is 'freely given, specific, informed and unambiguous' (Article 4(11) of the GDPR), and can be withdrawn at any time during the project. It will put in place measures that will allow it to exclude individual data records from the project and delete them, should a participant decide that they wish to leave the project.

(confidentiality and anonymity)

- UniSAFE will keep all personal data confidential and will only disclose it to those individuals working on the project on a need-to-know basis. Personal data will not be disclosed to any person or party unrelated to the project.
- Personal data needed for research will be adequately anonymised by default, and no respondent may be identified based on published findings or in the OA datasets which will be stored at the end of the project. Principles of Statistical Disclosure Controls (SDC) will be applied at all stages.

(secondary use of data)

- In instances where the UniSAFE activities, such as stakeholder outreach, involve the further processing of previously collected personal data, consent from data subjects will be explicitly sought, and adequate information on the purpose of the project and the use of their personal data will be provided. No processing of previously collected personal data is foreseen for the research activities.

(data protection and data security)

- Personal data will be kept secure using all necessary technical and organisational measures. Research data will be kept securely in password-coded files that only the researchers have access to, and other personal data

gathering among consortium members will be organised via a password-secured exchange platform, with access rights controlled by the project coordinator.

- The project will not keep personal data for longer than necessary for the purposes for which it was collected and will destroy or delete any personal data which is no longer required for the purposes of the project.
- There may be instances in the project where personal data may have been collected by other sources for purposes other than this project. Apart from ethical issues concerned, the researchers will endeavour to ensure that necessary data protection and privacy safeguards are put in place.
- All empirical data will be saved on password-protected server in order to ensure that only members of the UniSAFE research team can access the data.

Ethics obligation to be completed ‘before grant agreement signature’

EthSR – Pre-Grant requirement– Protection of Personal Data

A clarification regarding all the type(s) of sensitive personal data to be collected must be provided and a justification for the processing of sensitive personal data must be included in the grant agreement before signature.

The project will collect and/or process potentially sensitive personal data concerning race, ethnic origin, religious or philosophical beliefs, or sexual orientation among others for the purpose of analysis, and to provide an intersectional analysis of the data.

The quantitative data will be collected anonymously. The qualitative data will be anonymised at the time of transcription or immediately afterwards, and only reported using pseudonyms. The anonymity of responses to interviews will be preserved by not linking the transcripts to the respondent. Statistical Disclosure Controls will be applied to ensure that research participant can be personally identified from the resulting datasets.

Any incidental findings will be dealt with in conjunction with the project’s Ethics Guidance Package and the Ethics Helpdesk set up in the frame of WP2. WP2 will also produce the templates of informed consent forms for the project that will ensure the voluntary participation and understanding of the purpose of the research for research participants.

5.2 Security⁵

Please indicate if your project will involve:

- activities or results raising security issues: NO
- 'EU-classified information' as background or results: NO

⁵ See article 37 of the [Model Grant Agreement](#). . For more information on the classification of Information, please refer to the Horizon 2020 guidance: https://ec.europa.eu/research/participants/data/ref/h2020/other/hi/secur/h2020-hi-guide-classif_en.pdf.

ESTIMATED BUDGET FOR THE ACTION

Estimated eligible ¹ costs (per budget category)										EU contribution			Additional information				
A. Direct personnel costs				B. Direct costs of subcontracting	[C. Direct costs of fin. support]	D. Other direct costs		E. Indirect costs ²	Total costs	Reimbursement rate %	Maximum EU contribution ³	Maximum grant amount ⁴	Information for indirect costs	Information for auditors	Other information:		
A.1 Employees (or equivalent)	A.4 SME owners without salary					D.1 Travel	D.5 Costs of internally invoiced goods and services						Estimated costs of in-kind contributions not used on premises	Declaration of costs under Point D.4	Estimated costs of beneficiaries/linked third parties not receiving funding/international partners		
A.2 Natural persons under direct contract	A.5 Beneficiaries that are natural persons without salary					D.2 Equipment											
A.3 Seconded persons						D.3 Other goods and services											
[A.6 Personnel for providing access to research infrastructure]						[D.4 Costs of large research infrastructure]											
Form of costs ⁶	Actual	Unit ⁷	Unit ⁸		Actual	Actual	Actual	Unit ⁹	Flat-rate ¹⁰	j = a+b+c+d +[e]+f+g+h +[i] ¹³ + ¹² ¹³ -n	k	l	m	n	Yes/No		
	a	Total b	No hours	Total c	d	[e]	f	Total g	25%								
1. ESF													0.00	No	n/a		
2. ORU													0.00	No	n/a		
3. GESIS													0.00	No	n/a		
4. YW													0.00	No	n/a		
5. ISAS CR	167 500.00	0.00	0.00	0.00	0.00	0.00	41 600.00	0.00	52 275.00	261 375.00	100.00	261 375.00	261 375.00	0.00	No	n/a	
6. UCM													0.00	No	n/a		
7. LSTC													0.00	No	n/a		
8. JU													0.00	No	n/a		
9. OBU													0.00	No	n/a		
Total consortium	1 884 632.00	0.00		0.00	140 000.00	0.00	562 200.00	0.00	611 708.00	3 198 540.00		3 198 540.00	3 198 540.00			0.00	

¹ See Article 6 for the eligibility conditions.

² Indirect costs already covered by an operating grant (received under any EU or Euratom funding programme; see Article 6.5.(b)) are ineligible under the GA. Therefore, a beneficiary/linked third party that receives an operating grant during the action's duration cannot declare indirect costs for the year(s)/reporting period(s) covered by the operating grant, unless it can demonstrate that the operating grant does not cover any costs of the action (see Article 6.2.E).

³ This is the theoretical amount of EU contribution that the system calculates automatically (by multiplying all the budgeted costs by the reimbursement rate). This theoretical amount is capped by the 'maximum grant amount' (that the Agency decided to grant for the action) (see Article 5.1).

⁴ The 'maximum grant amount' is the maximum grant amount decided by the Agency. It normally corresponds to the requested grant, but may be lower.

⁵ Depending on its type, this specific cost category will or will not cover indirect costs. Specific unit costs that include indirect costs are: costs for energy efficiency measures in buildings, access costs for providing trans-national access to research infrastructure and costs for clinical studies.

⁶ See Article 5 for the forms of costs.

⁷ Unit : hours worked on the action; costs per unit (hourly rate) : calculated according to the beneficiary's usual accounting practice.

⁸ See Annex 2a 'Additional information on the estimated budget' for the details (costs per hour (hourly rate)).

⁹ Unit and costs per unit : calculated according to the beneficiary's usual accounting practices.

¹⁰ 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).

¹¹ See Annex 2a 'Additional information on the estimated budget' for the details (units, costs per unit).

¹² See Annex 2a 'Additional information on the estimated budget' for the details (units, costs per unit, estimated number of units, etc).

¹³ Only specific unit costs that do not include indirect costs.

¹⁴ See Article 9 for beneficiaries not receiving funding.

¹⁵ Only for linked third parties that receive funding.

ANNEX 2a

ADDITIONAL INFORMATION ON THE ESTIMATED BUDGET

- Instructions and footnotes in blue will not appear in the text generated by the IT system (since they are internal instructions only).
- For options [in square brackets]: the applicable option will be chosen by the IT system. Options not chosen will automatically not appear.
- For fields in [grey in square brackets] (even if they are part of an option as specified in the previous item): IT system will enter the appropriate data.

⚠ Transitory period: Until SyGMA fully supports Annex 2a, you must prepare it manually (using this template by choosing and deleting the options/entering the appropriate data). For the 'unit cost tables': either fill them out manually or use currently existing tables from Annex 1 or the proposal. The document can then be uploaded in SyGMA and attached to the grant agreement.

Unit cost for SME owners/natural beneficiaries without salary

1. Costs for a [SME owner]/[beneficiary that is a natural person] not receiving a salary

Units: hours worked on the action

Amount per unit ('hourly rate'): calculated according to the following formula:

{the monthly living allowance for researchers in MSCA-IF actions / 143 hours}
multiplied by
{country-specific correction coefficient of the country where the beneficiary is established}

The monthly living allowance and the country-specific correction coefficients are set out in the Work Programme (section 3 MSCA) in force at the time of the call:

- for calls *before* Work Programme 2018-2020:
 - for the monthly living allowance: **EUR 4 650**
 - for the country-specific correction coefficients: see Work Programme 2014-2015 and Work Programme 2016-2017 (available on the [Participant Portal Reference Documents](#) page)
- for calls *under* Work Programme 2018-2020:
 - for the monthly living allowance: **EUR 4 880**
 - for the country-specific correction coefficients: see Work Programme 2018-2020 (available on the [Participant Portal Reference Documents](#) page)

[additional OPTION for beneficiaries/linked third parties that have opted to use the unit cost (in the proposal/with an amendment): For the following beneficiaries/linked third parties, the amounts per unit (hourly rate) are fixed as follows:

- beneficiary/linked third party [short name]: EUR [insert amount]
 - beneficiary/linked third party [short name]: EUR [insert amount]
- [same for other beneficiaries/linked third parties, if necessary]]

Estimated number of units: see Annex 2

Energy efficiency measures unit cost

2. Costs for energy efficiency measures in buildings

Unit: m² of eligible 'conditioned' (i.e. built or refurbished) floor area

Amount per unit*: see (for each beneficiary/linked third party and BEST table) the 'unit cost table' attached

* Amount calculated as follows:
{EUR 0.1 x estimated total kWh saved per m² per year x 10}

Estimated number of units: see (for each beneficiary/linked third party and BEST table) the 'unit cost table' attached

Unit cost table (energy efficiency measures unit cost)¹

Short name beneficiary/linked third party	BEST No	Amount per unit	Estimated No of units	Total unit cost (cost per unit x estimated no of units)

¹ Data from the 'building energy specification table (BEST)' that is part of the proposal and Annex 1.

H2020 Templates: Annex 2a (Additional information on the estimated budget)

Research infrastructure unit cost

3. Access costs for providing trans-national access to research infrastructure

Units²: see (for each access provider and installation) the ‘unit cost table’ attached

Amount per unit*: see (for each access provider and installation) the ‘unit cost table’ attached

* Amount calculated as follows:

$$\frac{\text{average annual total access cost to the installation (over past two years}^3)}{\text{average annual total quantity of access to the installation (over past two years}^4)}$$

Estimated number of units: see (for each access provider and installation) the ‘unit cost table’ attached

Unit cost table (access to research infrastructure unit cost)⁵

Short name access provider	Short name infrastructure	Installation		Unit of access	Amount per unit	Estimated No of units	Total unit cost (cost per unit x estimated no of units)
		No	Short name				

Clinical studies unit cost

4. Costs for clinical studies

Units: patients/subjects that participate in the clinical study

Amount per unit*: see (for each sequence (if any), clinical study and beneficiary/linked third party) the ‘unit cost table’ attached

* Amount calculated, for the cost components of each task, as follows:

For **personnel costs**:

For personnel costs of doctors: ‘average hourly cost for doctors’, i.e.:

$$\frac{\{\text{certified or auditable total personnel costs for doctors for year N-1}\}}{\{1720 * \text{number of full-time-equivalent for doctors for year N-1}\}} \text{ multiplied by estimated number of hours to be worked by doctors for the task (per participant)}$$

For personnel costs of other medical personnel: ‘average hourly cost for other medical personnel’, i.e.:

$$\frac{\{\text{certified or auditable total personnel costs for other medical personnel for year N-1}\}}{\{1720 * \text{number of full-time-equivalent for other medical personnel for year N-1}\}}$$

² Unit of access (e.g. beam hours, weeks of access, sample analysis) fixed by the access provider in proposal.

³ In exceptional and duly justified cases, the Commission/Agency may agree to a different reference period.

⁴ In exceptional and duly justified cases, the Commission/Agency may agree to a different reference period.

⁵ Data from the ‘table on estimated costs/quantity of access to be provided’ that is part of the proposal and Annex 1.

H2020 Templates: Annex 2a (Additional information on the estimated budget)

multiplied by
estimated number of hours to be worked by other medical personnel for the task (per participant)}

For personnel costs of technical personnel: 'average hourly cost for technical personnel', i.e.:

$$\frac{\{\text{certified or auditable total personnel costs for technical personnel for year N-1}\}}{\{1720 * \text{number of full-time-equivalent for technical personnel for year N-1}\}}$$

multiplied by
estimated number of hours to be worked by technical personnel for the task (per participant)}

'total personnel costs' means actual salaries + actual social security contributions + actual taxes and other costs included in the remuneration, provided they arise from national law or the employment contract/equivalent appointing act

For **consumables**:

For each cost item: 'average price of the consumable', i.e.:

$$\frac{\{\{\text{certified or auditable total costs of purchase of the consumable in year N-1}\}\}}{\text{total number of items purchased in year N-1}}$$

multiplied by
estimated number of items to be used for the task (per participant)}

'total costs of purchase of the consumable' means total value of the supply contracts (including related duties, taxes and charges such as non-deductible VAT) concluded by the beneficiary for the consumable delivered in year N-1, provided the contracts were awarded according to the principle of best value- for-money and without any conflict of interests

For **medical equipment**:

For each cost item: 'average cost of depreciation and directly related services per unit of use', i.e.:

$$\frac{\{\{\text{certified or auditable total depreciation costs in year N-1} + \text{certified or auditable total costs of purchase of services in year N-1 for the category of equipment concerned}\}\}}{\text{total capacity in year N-1}}$$

multiplied by
estimated number of units of use of the equipment for the task (per participant)}

'total depreciation costs' means total depreciation allowances as recorded in the beneficiary's accounts of year N-1 for the category of equipment concerned, provided the equipment was purchased according to the principle of best value for money and without any conflict of interests + total costs of renting or leasing contracts (including related duties, taxes and charges such as non-deductible VAT) in year N-1 for the category of equipment concerned, provided they do not exceed the depreciation costs of similar equipment and do not include finance fees

For **services**:

For each cost item: 'average cost of the service per study participant', i.e.:

$$\frac{\{\text{certified or auditable total costs of purchase of the service in year N-1}\}}{\text{total number of patients or subjects included in the clinical studies for which the service was delivered in year N-1}}$$

'total costs of purchase of the service' means total value of the contracts concluded by the beneficiary (including related duties, taxes and charges such as non-deductible VAT) for the specific service delivered in year N-1 for the conduct of clinical studies, provided the contracts were awarded according to the principle of best value for money and without any conflict of interests

For **indirect costs**:

$$\{\{\{\text{cost component 'personnel costs' + cost component 'consumables' + cost component 'medical equipment'}\}\}$$

minus

$$\{\text{costs of in-kind contributions provided by third parties which are not used on the beneficiary's premises} + \text{costs of providing financial support to third parties (if any)}\}$$

multiplied by

$$25\%$$

H2020 Templates: Annex 2a (Additional information on the estimated budget)

The estimation of the resources to be used must be done on the basis of the study protocol and must be the same for all beneficiaries/linked third parties/third parties involved.

The year N-1 to be used is the last closed financial year at the time of submission of the grant application.

Estimated number of units: see (for each clinical study and beneficiary/linked third party) the ‘unit cost table’ attached

Unit cost table: clinical studies unit cost⁶

Task, Direct cost categories	Resource per patient	Costs year N-1 Beneficiary 1 [short name]	Costs year N-1 Linked third party 1a [short name]	Costs year N-1 Beneficiary 2 [short name]	Costs year N-1 Linked third party 2a [short name]	Costs year N-1 Third party giving in-kind contributions 1 [short name]
Sequence No. 1						
Task No. 1 Blood sample						
(a) Personnel costs: - Doctors	n/a					
- Other Medical Personnel	Phlebotomy (nurse), 10 minutes	8,33 EUR	11,59 EUR	10,30 EUR	11,00 EUR	9,49 EUR
- Technical Personnel	Sample Processing (lab technician), 15 minutes	9,51 EUR	15,68 EUR	14,60 EUR	15,23 EUR	10,78 EUR
(b) Costs of consumables:	Syringe	XX EUR	XX EUR	XX EUR	XX EUR	XX EUR
	Cannula	XX EUR	XX EUR	XX EUR	XX EUR	XX EUR
	Blood container	XX EUR	XX EUR	XX EUR	XX EUR	XX EUR
(c) Costs of medical equipment:	Use of -80° deep freezer, 60 days	XX EUR	XX EUR	XX EUR	XX EUR	XX EUR
	Use of centrifuge, 15 minutes	XX EUR	XX EUR	XX EUR	XX EUR	XX EUR
(d) Costs of services	Cleaning of XXX	XX EUR	XX EUR	XX EUR	XX EUR	XX EUR
(e) Indirect costs (25% flat-rate)		XX EUR	XX EUR	XX EUR	XX EUR	XX EUR
Task No. 2						
...						
Amount per unit (unit cost sequence 1):		XX EUR	XX EUR	XX EUR	XX EUR	XX EUR
Sequence No. 2						
Task No. 1						

⁶ Same table as in proposal and Annex 1.

H2020 Templates: Annex 2a (Additional information on the estimated budget)

XXX						
(a) Personnel costs:						
- Doctors	XXX	XX EUR	XX EUR	XX EUR	XX EUR	XX EUR
- Other Medical Personnel	XXX	XX EUR	XX EUR	XX EUR	XX EUR	XX EUR
- Technical Personnel	XXX	XX EUR	XX EUR	XX EUR	XX EUR	XX EUR
(b) Costs of consumables:	XXX	XX EUR	XX EUR	XX EUR	XX EUR	XX EUR
	XXX	XX EUR	XX EUR	XX EUR	XX EUR	XX EUR
	XXX	XX EUR	XX EUR	XX EUR	XX EUR	XX EUR
(c) Costs of medical equipment:	XXX	XX EUR	XX EUR	XX EUR	XX EUR	XX EUR
	XXX	XX EUR	XX EUR	XX EUR	XX EUR	XX EUR
(d) Costs of services	XXX	XX EUR	XX EUR	XX EUR	XX EUR	XX EUR
(e) Indirect costs (25% flat-rate)		XX EUR	XX EUR	XX EUR	XX EUR	XX EUR
Task No. 2						
...						
Amount per unit (unit cost sequence 2):		XX EUR	XX EUR	XX EUR	XX EUR	XX EUR
...						
Amount per unit (unit cost entire study):		XX EUR	XX EUR	XX EUR	XX EUR	XX EUR

ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

OREBRO UNIVERSITY (ORU), established in FAKULTETSGATAN 1, OREBRO 70182, Sweden, VAT number: SE202100292401, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become beneficiary No ('2')

in Grant Agreement No 101006261 ('the Agreement')

between FONDATION EUROPEENNE DE LA SCIENCE **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

for the action entitled 'Gender-based violence and institutional responses: Building a knowledge base and operational tools to make universities and research organisations safe (UniSAFE)'.

and mandates

the coordinator to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

Johan Åkerman with ECAS id n001ywan signed in the Participant Portal on 28/10/2020 at 10:49:44 (transaction id Sigld-17053-mdzo ZFhIbpVuUDHLasFkhZF2PhTHqEpljMi3RiHDlcYbZDbamOrkHlrI5tx7AXsLLzMCa5ATm0VltU8IU09GzW-jpjZscgsw0KmycuECXQOLy-rS7Aa4IDP1eBObfVzP58Pjdo0bEbzxGHidPYqi6MYlyMGNVH8PxfyKtpfjHzwTJUirPVwqj7HPuNzh4ycyxcxS). Timestamp by third party at 2020.10.28 10:49:50 CET

ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

GESIS-LEIBNIZ-INSTITUT FUR SOZIALWISSENSCHAFTEN EV (GESIS), established in B2 1, MANNHEIM 68159, Germany, VAT number: DE814839735, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become beneficiary No ('3')

in Grant Agreement No 101006261 ('the Agreement')

between FONDATION EUROPEENNE DE LA SCIENCE **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

for the action entitled 'Gender-based violence and institutional responses: Building a knowledge base and operational tools to make universities and research organisations safe (UniSAFE)'.

and mandates

the coordinator to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

YELLOW WINDOW (YW), established in MECHELSESTEENWEG 64 BUS 701, ANTWERPEN 2018, Belgium, VAT number: BE0829117792, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become beneficiary No ('4')

in Grant Agreement No 101006261 ('the Agreement')

between FONDATION EUROPEENNE DE LA SCIENCE **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

for the action entitled 'Gender-based violence and institutional responses: Building a knowledge base and operational tools to make universities and research organisations safe (UniSAFE)'.

and mandates

the coordinator to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

Alain DENIS with ECAS id ndenisa signed in the Participant Portal on 28/10/2020 at 12:41:03 (transaction id SigId-19294-gQEklzKy8kX7TNc65mkehMaaVLSzmcoTkzRc1AG5UaDbM2eAm1qFeEfXnYmWEzo9r3Im6MdeWzcwnlzzR5LT1Pf-jpJzscgsw0KmycuECXQOLy-28b94Ccw5AhYnp9hxFwnenozaYFU1wEo389M2ACZyumUmGQSMhKv7DdChtOrTHm8WRahr6Cwd3BwSzizlpg5kJW). Timestamp by third party at 2020.10.28 12:41:10 CET

ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

INSTITUTE OF SOCIOLOGY OF THE ACADEMY OF SCIENCES OF THE CZECH REPUBLIC PUBLIC RESEARCH INSTITUTION (ISAS CR), established in JILSKA 1, PRAHA 1 11000, Czech Republic, VAT number: CZ68378025, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become beneficiary No ('5')

in Grant Agreement No 101006261 ('the Agreement')

between FONDATION EUROPEENNE DE LA SCIENCE **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

for the action entitled 'Gender-based violence and institutional responses: Building a knowledge base and operational tools to make universities and research organisations safe (UniSAFE)'.

and mandates

the coordinator to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

Tomas KOSTELECKY with ECAS id nkosteto signed in the Participant Portal on 29/10/2020 at 08:51:09 (transaction id SigId-27226-Jyuqlh LXzZO7TvHUBD6kE9rXuGziNKKAD39G5zNPs5mbe7VbYIMXRtSTL44 IPWJhnttAsXAa6fXeztYzs9ZpF2w-jpJZscgsw0KmycuECXQOLy-IZjTZO y6BKFInuTaM0EuYgG8oFzviDFVNSmGTGVuP1S9PisbGQYA7zNx1W Lsi1S3X1IAH7NErDFx7m3RzOMJ380). Timestamp by third party at 2020.10.29 08:51:16 CET

ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

UNIVERSIDAD COMPLUTENSE DE MADRID (UCM), established in AVENIDA DE SENECA 2, MADRID 28040, Spain, VAT number: ESQ2818014I, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become beneficiary No ('6')

in Grant Agreement No 101006261 ('the Agreement')

between FONDATION EUROPEENNE DE LA SCIENCE **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

for the action entitled 'Gender-based violence and institutional responses: Building a knowledge base and operational tools to make universities and research organisations safe (UniSAFE)'.

and mandates

the coordinator to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

Margarita San Andrés Moya with ECAS id n00293tc signed in the Participant Portal on 29/10/2020 at 12:28:07 (transaction id SigId-31082-fpSEqHbvCfzzVmP3LwhG5JwmtwHs1tzaB3tZZ3zWCjpNQZh7DVAtzzmKtmzenk8kuTsXxNMI6GH2CAqoxHotXNiS-jpJZscgsw0KmycuECXQOLy-gqzgz1pn3Jo7tvGnTNQsKZQbf6l8h4OfIbdWILjIuzi8WhPRgQyuwnrrwONGM8PpzXNzHmBRMYDjIzN7KqPza0).
Timestamp by third party at
2020.10.29 12:28:13 CET

ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

LIETUVOS SOCIALINIŲ TYRIMŲ CENTRAS (LSTC), established in GOSTAUTO G 11, Vilnius LT-01108, Lithuania, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become beneficiary No ('7')

in Grant Agreement No 101006261 ('the Agreement')

between FONDATION EUROPEENNE DE LA SCIENCE **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

for the action entitled 'Gender-based violence and institutional responses: Building a knowledge base and operational tools to make universities and research organisations safe (UniSAFE)'.

and mandates

the coordinator to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

UNIWERSYTET JAGIELLONSKI (JU), established in Ul. Golebia 24, KRAKOW 31007, Poland, VAT number: PL6750002236, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become beneficiary No ('8')

in Grant Agreement No 101006261 ('the Agreement')

between FONDATION EUROPEENNE DE LA SCIENCE **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

for the action entitled 'Gender-based violence and institutional responses: Building a knowledge base and operational tools to make universities and research organisations safe (UniSAFE)'.

and mandates

the coordinator to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

Piotr Kustrowski with ECAS id n003ay1m signed in the Participant Portal on 28/10/2020 at 11:10:12 (transaction id SigId-17513-cadFb bluST2XxT3AZTdw6NallQ5iHRCYouMv2npvQZMQLMJJelgyzYkwbN AzevtmvPKalkzOFqIblHnLQ1qzQdm-jpJZscgsw0KmycuECXQOLy-w CtwZ4G4fVtfzTGsD2nXdZjs5f4lshAFPmreaWwmqrqjvDPzMYxSSFL 2T6R7fKL1xnXTEronSvByjsY4itNRDZ). Timestamp by third party at 2020.10.28 11:10:19 CET

ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

OXFORD BROOKES UNIVERSITY (OBU), established in HEADINGTON CAMPUS GIPSY LANE, OXFORD OX3 OBP, United Kingdom, VAT number: GB685414514, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become beneficiary No ('9')

in Grant Agreement No 101006261 ('the Agreement')

between FONDATION EUROPEENNE DE LA SCIENCE **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

for the action entitled 'Gender-based violence and institutional responses: Building a knowledge base and operational tools to make universities and research organisations safe (UniSAFE)'.

and mandates

the coordinator to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

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

Eligible ¹ costs (per budget category)														Receipts	EU contribution			Additional information			
A. Direct personnel costs				B. Direct costs of subcontracting		[C. Direct costs of fin. support]		D. Other direct costs			E. Indirect costs ²		[F. Costs of ...]		Total costs	Receipts	Reimbursement rate %	Maximum EU contribution ³	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				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 ⁴				Unit		Unit		Flat-rate ⁵		Unit		[Unit][Lump sum]									
Actual		Unit		Actual		Actual		Unit		25%											
a		Total b		d		f		Total h		No units		Total [j1]		Total [j2]		k =		p			
		No hours		[e]		[g]		i=0,25 x (a+b+c+f+[g] + h+ [j1] ⁶ +[j2] ⁶ -p)						a+b+c+d+[e]+f+[g]+h+i+[j1]+[j2]		m		n		o	
[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).

① 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 lateron, in order to replace other costs that are found to be ineligible.

¹ See Article 6 for the eligibility conditions

² 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.

³ 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,

⁴ See Article 5 for the forms of costs

⁵ 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)

⁶ Only specific unit costs that do not include indirect costs

ANNEX 5

MODEL FOR THE CERTIFICATE ON THE FINANCIAL STATEMENTS

- For options [*in italics in square brackets*]: choose the applicable option. Options not chosen should be deleted.
- For fields in [grey in square brackets]: enter the appropriate data

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TERMS OF REFERENCE FOR AN INDEPENDENT REPORT OF FACTUAL FINDINGS ON COSTS DECLARED UNDER A GRANT AGREEMENT FINANCED UNDER THE HORIZON 2020 RESEARCH FRAMEWORK PROGRAMME

INDEPENDENT REPORT OF FACTUAL FINDINGS ON COSTS DECLARED UNDER A GRANT AGREEMENT FINANCED UNDER THE HORIZON 2020 RESEARCH FRAMEWORK PROGRAMME

Terms of Reference for an Independent Report of Factual Findings on costs declared under a Grant Agreement financed under the Horizon 2020 Research and Innovation Framework Programme

This document sets out the ‘**Terms of Reference (ToR)**’ under which

[*OPTION 1: [insert name of the beneficiary] (‘the Beneficiary’) [OPTION 2: [insert name of the linked third party] (‘the Linked Third Party’), third party linked to the Beneficiary [insert name of the beneficiary] (‘the Beneficiary’)]*]

agrees to engage

[insert legal name of the auditor] (‘the Auditor’)

to produce an independent report of factual findings (‘the Report’) concerning the Financial Statement(s)¹ drawn up by the [Beneficiary] [Linked Third Party] for the Horizon 2020 grant agreement [insert number of the grant agreement, title of the action, acronym and duration from/to] (‘the Agreement’), and

to issue a Certificate on the Financial Statements’ (‘CFS’) referred to in Article 20.4 of the Agreement based on the compulsory reporting template stipulated by the Commission.

The Agreement has been concluded under the Horizon 2020 Research and Innovation Framework Programme (H2020) between the Beneficiary and [*OPTION 1: the European Union, represented by the European Commission (‘the Commission’)] [OPTION 2: the European Atomic Energy Community (Euratom,) represented by the European Commission (‘the Commission’)] [OPTION 3: the [Research Executive Agency (REA)] [European Research Council Executive Agency (ERCEA)] [Innovation and Networks Executive Agency (INEA)] [Executive Agency for Small and Medium-sized Enterprises (EASME)] (‘the Agency’), under the powers delegated by the European Commission (‘the Commission’).]*

The [Commission] [Agency] is mentioned as a signatory of the Agreement with the Beneficiary only. The [European Union][Euratom][Agency] is not a party to this engagement.

1.1 Subject of the engagement

The coordinator must submit to the [Commission][Agency] the final report within 60 days following the end of the last reporting period which should include, amongst other documents, a CFS for each beneficiary and for each linked third party that requests a total contribution of EUR 325 000 or more, as reimbursement of actual costs and unit costs calculated on the basis of its usual cost accounting practices (see Article 20.4 of the Agreement). The CFS must cover all reporting periods of the beneficiary or linked third party indicated above.

The Beneficiary must submit to the coordinator the CFS for itself and for its linked third party(ies), if the CFS must be included in the final report according to Article 20.4 of the Agreement.

The CFS is composed of two separate documents:

- The Terms of Reference (‘the ToR’) to be signed by the [Beneficiary] [Linked Third Party] and the Auditor;

¹ By which costs under the Agreement are declared (see template ‘Model Financial Statements’ in Annex 4 to the Grant Agreement).

- The Auditor's Independent Report of Factual Findings ('the Report') to be issued on the Auditor's letterhead, dated, stamped and signed by the Auditor (or the competent public officer) which includes the agreed-upon procedures ('the Procedures') to be performed by the Auditor, and the standard factual findings ('the Findings') to be confirmed by the Auditor.

If the CFS must be included in the final report according to Article 20.4 of the Agreement, the request for payment of the balance relating to the Agreement cannot be made without the CFS. However, the payment for reimbursement of costs covered by the CFS does not preclude the Commission [Agency,] the European Anti-Fraud Office and the European Court of Auditors from carrying out checks, reviews, audits and investigations in accordance with Article 22 of the Agreement.

1.2 Responsibilities

The [Beneficiary] [Linked Third Party]:

- must draw up the Financial Statement(s) for the action financed by the Agreement in compliance with the obligations under the Agreement. The Financial Statement(s) must be drawn up according to the [Beneficiary's] [Linked Third Party's] accounting and book-keeping system and the underlying accounts and records;
- must send the Financial Statement(s) to the Auditor;
- is responsible and liable for the accuracy of the Financial Statement(s);
- is responsible for the completeness and accuracy of the information provided to enable the Auditor to carry out the Procedures. It must provide the Auditor with a written representation letter supporting these statements. The written representation letter must state the period covered by the statements and must be dated;
- accepts that the Auditor cannot carry out the Procedures unless it is given full access to the [Beneficiary's] [Linked Third Party's] staff and accounting as well as any other relevant records and documentation.

The Auditor:

- [Option 1 by default: is qualified to carry out statutory audits of accounting documents in accordance with Directive 2006/43/EC of the European Parliament and of the Council of 17 May 2006 on statutory audits of annual accounts and consolidated accounts, amending Council Directives 78/660/EEC and 83/349/EEC and repealing Council Directive 84/253/EEC or similar national regulations].
- [Option 2 if the Beneficiary or Linked Third Party has an independent Public Officer: is a competent and independent Public Officer for which the relevant national authorities have established the legal capacity to audit the Beneficiary].
- [Option 3 if the Beneficiary or Linked Third Party is an international organisation: is an [internal] [external] auditor in accordance with the internal financial regulations and procedures of the international organisation].

The Auditor:

- must be independent from the Beneficiary [and the Linked Third Party], in particular, it must not have been involved in preparing the [Beneficiary's] [Linked Third Party's] Financial Statement(s);
- must plan work so that the Procedures may be carried out and the Findings may be assessed;
- must adhere to the Procedures laid down and the compulsory report format;
- must carry out the engagement in accordance with this ToR;
- must document matters which are important to support the Report;
- must base its Report on the evidence gathered;
- must submit the Report to the [Beneficiary] [Linked Third Party].

H2020 Model Grant Agreements: H2020 General MGA — Multi: v5.0 – dd.mm.2017

The Commission sets out the Procedures to be carried out by the Auditor. The Auditor is not responsible for their suitability or pertinence. As this engagement is not an assurance engagement, the Auditor does not provide an audit opinion or a statement of assurance.

1.3 Applicable Standards

The Auditor must comply with these Terms of Reference and with²:

- the International Standard on Related Services ('ISRS') 4400 *Engagements to perform Agreed-upon Procedures regarding Financial Information* as issued by the International Auditing and Assurance Standards Board (IAASB);
- the *Code of Ethics for Professional Accountants* issued by the International Ethics Standards Board for Accountants (IESBA). Although ISRS 4400 states that independence is not a requirement for engagements to carry out agreed-upon procedures, the [Commission]/[Agency] requires that the Auditor also complies with the Code's independence requirements.

The Auditor's Report must state that there is no conflict of interests in establishing this Report between the Auditor and the Beneficiary [and the Linked Third Party], and must specify - if the service is invoiced - the total fee paid to the Auditor for providing the Report.

1.4 Reporting

The Report must be written in the language of the Agreement (see Article 20.7).

Under Article 22 of the Agreement, the Commission[, the Agency], the European Anti-Fraud Office and the Court of Auditors have the right to audit any work that is carried out under the action and for which costs are declared from [the European Union] [Euratom] budget. This includes work related to this engagement. The Auditor must provide access to all working papers (e.g. recalculation of hourly rates, verification of the time declared for the action) related to this assignment if the Commission [, the Agency], the European Anti-Fraud Office or the European Court of Auditors requests them.

1.5 Timing

The Report must be provided by [dd Month yyyy].

1.6 Other terms

[The [Beneficiary] [Linked Third Party] and the Auditor can use this section to agree other specific terms, such as the Auditor's fees, liability, applicable law, etc. Those specific terms must not contradict the terms specified above.]

[legal name of the Auditor]

[name & function of authorised representative]

[dd Month yyyy]

Signature of the Auditor

[legal name of the [Beneficiary]/[Linked Third Party]]

[name & function of authorised representative]

[dd Month yyyy]

Signature of the [Beneficiary]/[Linked Third Party]

² Supreme Audit Institutions applying INTOSAI-standards may carry out the Procedures according to the corresponding International Standards of Supreme Audit Institutions and code of ethics issued by INTOSAI instead of the International Standard on Related Services ('ISRS') 4400 and the Code of Ethics for Professional Accountants issued by the IAASB and the IESBA.

**Independent Report of Factual Findings on costs declared
under Horizon 2020 Research and Innovation Framework Programme**

(To be printed on the Auditor's letterhead)

To
[name of contact person(s)], [Position]
[[Beneficiary's] [Linked Third Party's] name]
[Address]
[dd Month yyyy]

Dear [Name of contact person(s)],

As agreed under the terms of reference dated [dd Month yyyy]

with [OPTION 1: [insert name of the beneficiary] ('the Beneficiary')] [OPTION 2: [insert name of the linked third party] ('the Linked Third Party'), third party linked to the Beneficiary [insert name of the beneficiary] ('the Beneficiary')],

we

[name of the auditor] ('the Auditor'),
established at
[full address/city/state/province/country],
represented by
[name and function of an authorised representative],

have carried out the procedures agreed with you regarding the costs declared in the Financial Statement(s)³ of the [Beneficiary] [Linked Third Party] concerning the grant agreement [insert grant agreement reference: number, title of the action and acronym] ('the Agreement'),

with a total cost declared of
[total amount] EUR,

and a total of actual costs and unit costs calculated in accordance with the [Beneficiary's] [Linked Third Party's] usual cost accounting practices' declared of

[sum of total actual costs and total direct personnel costs declared as unit costs calculated in accordance with the [Beneficiary's] [Linked Third Party's] usual cost accounting practices] EUR

and **hereby provide our Independent Report of Factual Findings ('the Report')** using the compulsory report format agreed with you.

The Report

Our engagement was carried out in accordance with the terms of reference ('the ToR') appended to this Report. The Report includes the agreed-upon procedures ('the Procedures') carried out and the standard factual findings ('the Findings') examined.

³ By which the Beneficiary declares costs under the Agreement (see template 'Model Financial Statement' in Annex 4 to the Agreement).

H2020 Model Grant Agreements: H2020 General MGA — Multi: v5.0 – dd.mm.2017

The Procedures were carried out solely to assist the [Commission] [Agency] in evaluating whether the [Beneficiary's] [Linked Third Party's] costs in the accompanying Financial Statement(s) were declared in accordance with the Agreement. The [Commission] [Agency] draws its own conclusions from the Report and any additional information it may require.

The scope of the Procedures was defined by the Commission. Therefore, the Auditor is not responsible for their suitability or pertinence. Since the Procedures carried out constitute neither an audit nor a review made in accordance with International Standards on Auditing or International Standards on Review Engagements, the Auditor does not give a statement of assurance on the Financial Statements.

Had the Auditor carried out additional procedures or an audit of the [Beneficiary's] [Linked Third Party's] Financial Statements in accordance with International Standards on Auditing or International Standards on Review Engagements, other matters might have come to its attention and would have been included in the Report.

Not applicable Findings

We examined the Financial Statement(s) stated above and considered the following Findings not applicable:

Explanation (to be removed from the Report):

If a Finding was not applicable, it must be marked as 'N.A.' ('Not applicable') in the corresponding row on the right-hand column of the table and means that the Finding did not have to be corroborated by the Auditor and the related Procedure(s) did not have to be carried out.

The reasons of the non-application of a certain Finding must be obvious i.e.

- i) if no cost was declared under a certain category then the related Finding(s) and Procedure(s) are not applicable;*
- ii) if the condition set to apply certain Procedure(s) are not met the related Finding(s) and those Procedure(s) are not applicable. For instance, for 'beneficiaries with accounts established in a currency other than euro' the Procedure and Finding related to 'beneficiaries with accounts established in euro' are not applicable. Similarly, if no additional remuneration is paid, the related Finding(s) and Procedure(s) for additional remuneration are not applicable.*

List here all Findings considered not applicable for the present engagement and explain the reasons of the non-applicability.

....

Exceptions

Apart from the exceptions listed below, the [Beneficiary] [Linked Third Party] provided the Auditor all the documentation and accounting information needed by the Auditor to carry out the requested Procedures and evaluate the Findings.

Explanation (to be removed from the Report):

- If the Auditor was not able to successfully complete a procedure requested, it must be marked as 'E' ('Exception') in the corresponding row on the right-hand column of the table. The reason such as the inability to reconcile key information or the unavailability of data that prevents the Auditor from carrying out the Procedure must be indicated below.*
- If the Auditor cannot corroborate a standard finding after having carried out the corresponding procedure, it must also be marked as 'E' ('Exception') and, where possible, the reasons why the Finding was not fulfilled and its possible impact must be explained here below.*

List here any exceptions and add any information on the cause and possible consequences of each exception, if known. If the exception is quantifiable, include the corresponding amount.

....

Example (to be removed from the Report):

1. *The Beneficiary was unable to substantiate the Finding number 1 on ... because*
2. *Finding number 30 was not fulfilled because the methodology used by the Beneficiary to calculate unit costs was different from the one approved by the Commission. The differences were as follows: ...*
3. *After carrying out the agreed procedures to confirm the Finding number 31, the Auditor found a difference of _____ EUR. The difference can be explained by ...*

Further Remarks

In addition to reporting on the results of the specific procedures carried out, the Auditor would like to make the following general remarks:

Example (to be removed from the Report):

1. *Regarding Finding number 8 the conditions for additional remuneration were considered as fulfilled because ...*
2. *In order to be able to confirm the Finding number 15 we carried out the following additional procedures:*

Use of this Report

This Report may be used only for the purpose described in the above objective. It was prepared solely for the confidential use of the [Beneficiary] [Linked Third Party] and the [Commission] [Agency], and only to be submitted to the [Commission] [Agency] in connection with the requirements set out in Article 20.4 of the Agreement. The Report may not be used by the [Beneficiary] [Linked Third Party] or by the [Commission] [Agency] for any other purpose, nor may it be distributed to any other parties. The [Commission] [Agency] may only disclose the Report to authorised parties, in particular to the European Anti-Fraud Office (OLAF) and the European Court of Auditors.

This Report relates only to the Financial Statement(s) submitted to the [Commission] [Agency] by the [Beneficiary] [Linked Third Party] for the Agreement. Therefore, it does not extend to any other of the [Beneficiary's] [Linked Third Party's] Financial Statement(s).

There was no conflict of interest⁴ between the Auditor and the Beneficiary [and Linked Third Party] in establishing this Report. The total fee paid to the Auditor for providing the Report was EUR [] (including EUR [] of deductible VAT).

We look forward to discussing our Report with you and would be pleased to provide any further information or assistance.

[legal name of the Auditor]

[name and function of an authorised representative]

[dd Month yyyy]

Signature of the Auditor

⁴ A conflict of interest arises when the Auditor's objectivity to establish the certificate is compromised in fact or in appearance when the Auditor for instance:

- was involved in the preparation of the Financial Statements;
- stands to benefit directly should the certificate be accepted;
- has a close relationship with any person representing the beneficiary;
- is a director, trustee or partner of the beneficiary; or
- is in any other situation that compromises his or her independence or ability to establish the certificate impartially.

Agreed-upon procedures to be performed and standard factual findings to be confirmed by the Auditor

The European Commission reserves the right to i) provide the auditor with additional guidance regarding the procedures to be followed or the facts to be ascertained and the way in which to present them (this may include sample coverage and findings) or to ii) change the procedures, by notifying the Beneficiary in writing. The procedures carried out by the auditor to confirm the standard factual finding are listed in the table below.

If this certificate relates to a Linked Third Party, any reference here below to ‘the Beneficiary’ is to be considered as a reference to ‘the Linked Third Party’.

The ‘result’ column has three different options: ‘C’, ‘E’ and ‘N.A.’:

- ‘C’ stands for ‘confirmed’ and means that the auditor can confirm the ‘standard factual finding’ and, therefore, there is no exception to be reported.
- ‘E’ stands for ‘exception’ and means that the Auditor carried out the procedures but cannot confirm the ‘standard factual finding’, or that the Auditor was not able to carry out a specific procedure (e.g. because it was impossible to reconcile key information or data were unavailable),
- ‘N.A.’ stands for ‘not applicable’ and means that the Finding did not have to be examined by the Auditor and the related Procedure(s) did not have to be carried out. The reasons of the non-application of a certain Finding must be obvious i.e. i) if no cost was declared under a certain category then the related Finding(s) and Procedure(s) are not applicable; ii) if the condition set to apply certain Procedure(s) are not met then the related Finding(s) and Procedure(s) are not applicable. For instance, for ‘beneficiaries with accounts established in a currency other than the euro’ the Procedure related to ‘beneficiaries with accounts established in euro’ is not applicable. Similarly, if no additional remuneration is paid, the related Finding(s) and Procedure(s) for additional remuneration are not applicable.

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
A	ACTUAL PERSONNEL COSTS AND UNIT COSTS CALCULATED BY THE BENEFICIARY IN ACCORDANCE WITH ITS USUAL COST ACCOUNTING PRACTICE		
	<p>The Auditor draws a sample of persons whose costs were declared in the Financial Statement(s) to carry out the procedures indicated in the consecutive points of this section A.</p> <p><i>(The sample should be selected randomly so that it is representative. Full coverage is required if there are fewer than 10 people (including employees, natural persons working under a direct contract and personnel seconded by a third party), otherwise the sample should have a minimum of 10 people, or 10% of the total, whichever number is the highest)</i></p> <p>The Auditor sampled [] people out of the total of [] people.</p>		

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
A.1	<p>PERSONNEL COSTS</p> <p><u>For the persons included in the sample and working under an employment contract or equivalent act (general procedures for individual actual personnel costs and personnel costs declared as unit costs)</u></p> <p>To confirm standard factual findings 1-5 listed in the next column, the Auditor reviewed following information/documents provided by the Beneficiary:</p> <ul style="list-style-type: none"> ○ a list of the persons included in the sample indicating the period(s) during which they worked for the action, their position (classification or category) and type of contract; ○ the payslips of the employees included in the sample; ○ reconciliation of the personnel costs declared in the Financial Statement(s) with the accounting system (project accounting and general ledger) and payroll system; ○ information concerning the employment status and employment conditions of personnel included in the sample, in particular their employment contracts or equivalent; ○ the Beneficiary’s usual policy regarding payroll matters (e.g. salary policy, overtime policy, variable pay); ○ applicable national law on taxes, labour and social security and ○ any other document that supports the personnel costs declared. <p>The Auditor also verified the eligibility of all components of the retribution (see Article 6 GA) and recalculated the personnel costs for employees included in the sample.</p>	<p>1) The employees were i) directly hired by the Beneficiary in accordance with its national legislation, ii) under the Beneficiary’s sole technical supervision and responsibility and iii) remunerated in accordance with the Beneficiary’s usual practices.</p> <p>2) Personnel costs were recorded in the Beneficiary's accounts/payroll system.</p> <p>3) Costs were adequately supported and reconciled with the accounts and payroll records.</p> <p>4) Personnel costs did not contain any ineligible elements.</p> <p>5) There were no discrepancies between the personnel costs charged to the action and the costs recalculated by the Auditor.</p>	
	<p><i>Further procedures if ‘additional remuneration’ is paid</i></p> <p>To confirm standard factual findings 6-9 listed in the next column, the Auditor:</p> <ul style="list-style-type: none"> ○ reviewed relevant documents provided by the Beneficiary (legal form, legal/statutory 	<p>6) The Beneficiary paying “additional remuneration” was a non-profit legal entity.</p>	

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>obligations, the Beneficiary’s usual policy on additional remuneration, criteria used for its calculation, the Beneficiary's usual remuneration practice for projects funded under national funding schemes...);</p> <ul style="list-style-type: none"> ○ recalculated the amount of additional remuneration eligible for the action based on the supporting documents received (full-time or part-time work, exclusive or non-exclusive dedication to the action, usual remuneration paid for projects funded by national schemes) to arrive at the applicable FTE/year and pro-rata rate (see data collected in the course of carrying out the procedures under A.2 ‘Productive hours’ and A.4 ‘Time recording system’). <p><i>‘ADDITIONAL REMUNERATION’ MEANS ANY PART OF THE REMUNERATION WHICH EXCEEDS WHAT THE PERSON WOULD BE PAID FOR TIME WORKED IN PROJECTS FUNDED BY NATIONAL SCHEMES.</i></p> <p><i>IF ANY PART OF THE REMUNERATION PAID TO THE EMPLOYEE QUALIFIES AS "ADDITIONAL REMUNERATION" AND IS ELIGIBLE UNDER THE PROVISIONS OF ARTICLE 6.2.A.1, THIS CAN BE CHARGED AS ELIGIBLE COST TO THE ACTION UP TO THE FOLLOWING AMOUNT:</i></p> <p><i>(A) IF THE PERSON WORKS FULL TIME AND EXCLUSIVELY ON THE ACTION DURING THE FULL YEAR: UP TO EUR 8 000/YEAR;</i></p> <p><i>(B) IF THE PERSON WORKS EXCLUSIVELY ON THE ACTION BUT NOT FULL-TIME OR NOT FOR THE FULL YEAR: UP TO THE CORRESPONDING PRO-RATA AMOUNT OF EUR 8 000, OR</i></p> <p><i>(C) IF THE PERSON DOES NOT WORK EXCLUSIVELY ON THE ACTION: UP TO A PRO-RATA AMOUNT CALCULATED IN ACCORDANCE TO ARTICLE 6.2.A.1.</i></p>	<p>7) The amount of additional remuneration paid corresponded to the Beneficiary’s usual remuneration practices and was consistently paid whenever the same kind of work or expertise was required.</p> <p>8) The criteria used to calculate the additional remuneration were objective and generally applied by the Beneficiary regardless of the source of funding used.</p> <p>9) The amount of additional remuneration included in the personnel costs charged to the action was capped at EUR 8,000 per FTE/year (up to the equivalent pro-rata amount if the person did not work on the action full-time during the year or did not work exclusively on the action).</p>	
	<p><i>Additional procedures in case “unit costs calculated by the Beneficiary in accordance with its usual cost accounting practices” is applied:</i></p> <p>Apart from carrying out the procedures indicated above to confirm standard factual findings 1-5 and, if applicable, also 6-9, the Auditor carried out following procedures to confirm standard</p>	<p>10) The personnel costs included in the Financial Statement were calculated in accordance with the Beneficiary's usual cost accounting practice. This methodology was consistently</p>	

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>factual findings 10-13 listed in the next column:</p> <ul style="list-style-type: none"> ○ obtained a description of the Beneficiary's usual cost accounting practice to calculate unit costs; ○ reviewed whether the Beneficiary's usual cost accounting practice was applied for the Financial Statements subject of the present CFS; ○ verified the employees included in the sample were charged under the correct category (in accordance with the criteria used by the Beneficiary to establish personnel categories) by reviewing the contract/HR-record or analytical accounting records; ○ verified that there is no difference between the total amount of personnel costs used in calculating the cost per unit and the total amount of personnel costs recorded in the statutory accounts; ○ verified whether actual personnel costs were adjusted on the basis of budgeted or estimated elements and, if so, verified whether those elements used are actually relevant for the calculation, objective and supported by documents. 	<p>used in all H2020 actions.</p> <p>11) The employees were charged under the correct category.</p> <p>12) Total personnel costs used in calculating the unit costs were consistent with the expenses recorded in the statutory accounts.</p> <p>13) Any estimated or budgeted element used by the Beneficiary in its unit-cost calculation were relevant for calculating personnel costs and corresponded to objective and verifiable information.</p>	
	<p><u>For natural persons included in the sample and working with the Beneficiary under a direct contract other than an employment contract, such as consultants (no subcontractors).</u></p> <p>To confirm standard factual findings 14-17 listed in the next column the Auditor reviewed following information/documents provided by the Beneficiary:</p> <ul style="list-style-type: none"> ○ the contracts, especially the cost, contract duration, work description, place of work, ownership of the results and reporting obligations to the Beneficiary; ○ the employment conditions of staff in the same category to compare costs and; ○ any other document that supports the costs declared and its registration (e.g. invoices, accounting records, etc.). 	<p>14) The natural persons worked under conditions similar to those of an employee, in particular regarding the way the work is organised, the tasks that are performed and the premises where they are performed.</p> <p>15) The results of work carried out belong to the Beneficiary, or, if not, the Beneficiary has obtained all necessary rights to fulfil its obligations as if those</p>	

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
		results were generated by itself.	
		16) Their costs were not significantly different from those for staff who performed similar tasks under an employment contract with the Beneficiary.	
		17) The costs were supported by audit evidence and registered in the accounts.	
	<p><u>For personnel seconded by a third party and included in the sample (not subcontractors)</u></p> <p>To confirm standard factual findings 18-21 listed in the next column, the Auditor reviewed following information/documents provided by the Beneficiary:</p> <ul style="list-style-type: none"> ○ their secondment contract(s) notably regarding costs, duration, work description, place of work and ownership of the results; ○ if there is reimbursement by the Beneficiary to the third party for the resource made available (in-kind contribution against payment): any documentation that supports the costs declared (e.g. contract, invoice, bank payment, and proof of registration in its accounting/payroll, etc.) and reconciliation of the Financial Statement(s) with the accounting system (project accounting and general ledger) as well as any proof that the amount invoiced by the third party did not include any profit; ○ if there is no reimbursement by the Beneficiary to the third party for the resource made available (in-kind contribution free of charge): a proof of the actual cost borne by the Third Party for the resource made available free of charge to the Beneficiary such as a statement of costs incurred by the Third Party and proof of the registration in the Third Party's accounting/payroll; 	18) Seconded personnel reported to the Beneficiary and worked on the Beneficiary's premises (unless otherwise agreed with the Beneficiary).	
		19) The results of work carried out belong to the Beneficiary, or, if not, the Beneficiary has obtained all necessary rights to fulfil its obligations as if those results were generated by itself..	
		<p><i>If personnel is seconded against payment:</i></p> <p>20) The costs declared were supported with documentation and recorded in the</p>	

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> ○ any other document that supports the costs declared (e.g. invoices, etc.). 	Beneficiary's accounts. The third party did not include any profit.	
		<p><i>If personnel is seconded free of charge:</i></p> <p>21) The costs declared did not exceed the third party's cost as recorded in the accounts of the third party and were supported with documentation.</p>	
A.2	<p>PRODUCTIVE HOURS</p> <p>To confirm standard factual findings 22-27 listed in the next column, the Auditor reviewed relevant documents, especially national legislation, labour agreements and contracts and time records of the persons included in the sample, to verify that:</p> <ul style="list-style-type: none"> ○ the annual productive hours applied were calculated in accordance with one of the methods described below, ○ the full-time equivalent (FTEs) ratios for employees not working full-time were correctly calculated. <p>If the Beneficiary applied method B, the auditor verified that the correctness in which the total number of hours worked was calculated and that the contracts specified the annual workable hours.</p> <p>If the Beneficiary applied method C, the auditor verified that the 'annual productive hours' applied when calculating the hourly rate were equivalent to at least 90 % of the 'standard annual workable hours'. The Auditor can only do this if the calculation of the standard annual workable</p>	<p>22) The Beneficiary applied method [<i>choose one option and delete the others</i>]</p> <p>[A: 1720 hours]</p> <p>[B: the 'total number of hours worked']</p> <p>[C: 'standard annual productive hours' used correspond to usual accounting practices]</p> <p>23) Productive hours were calculated annually.</p> <p>24) For employees not working full-time the full-time equivalent (FTE) ratio was correctly applied.</p>	

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>hours can be supported by records, such as national legislation, labour agreements, and contracts.</p> <p><i>BENEFICIARY'S PRODUCTIVE HOURS' FOR PERSONS WORKING FULL TIME SHALL BE ONE OF THE FOLLOWING METHODS:</i></p> <p><i>A. 1720 ANNUAL PRODUCTIVE HOURS (PRO-RATA FOR PERSONS NOT WORKING FULL-TIME)</i></p> <p><i>B. THE TOTAL NUMBER OF HOURS WORKED BY THE PERSON FOR THE BENEFICIARY IN THE YEAR (THIS METHOD IS ALSO REFERRED TO AS 'TOTAL NUMBER OF HOURS WORKED' IN THE NEXT COLUMN). THE CALCULATION OF THE TOTAL NUMBER OF HOURS WORKED WAS DONE AS FOLLOWS: ANNUAL WORKABLE HOURS OF THE PERSON ACCORDING TO THE EMPLOYMENT CONTRACT, APPLICABLE LABOUR AGREEMENT OR NATIONAL LAW PLUS OVERTIME WORKED MINUS ABSENCES (SUCH AS SICK LEAVE OR SPECIAL LEAVE).</i></p> <p><i>C. THE STANDARD NUMBER OF ANNUAL HOURS GENERALLY APPLIED BY THE BENEFICIARY FOR ITS PERSONNEL IN ACCORDANCE WITH ITS USUAL COST ACCOUNTING PRACTICES (THIS METHOD IS ALSO REFERRED TO AS 'STANDARD ANNUAL PRODUCTIVE HOURS' IN THE NEXT COLUMN). THIS NUMBER MUST BE AT LEAST 90% OF THE STANDARD ANNUAL WORKABLE HOURS.</i></p> <p><i>'ANNUAL WORKABLE HOURS' MEANS THE PERIOD DURING WHICH THE PERSONNEL MUST BE WORKING, AT THE EMPLOYER'S DISPOSAL AND CARRYING OUT HIS/HER ACTIVITY OR DUTIES UNDER THE EMPLOYMENT CONTRACT, APPLICABLE COLLECTIVE LABOUR AGREEMENT OR NATIONAL WORKING TIME LEGISLATION.</i></p>	<p><i>If the Beneficiary applied method B.</i></p> <p>25) The calculation of the number of 'annual workable hours', overtime and absences was verifiable based on the documents provided by the Beneficiary.</p> <p>25.1) The Beneficiary calculates the hourly rates per full financial year following procedure A.3 (method B is not allowed for beneficiaries calculating hourly rates per month).</p> <p><i>If the Beneficiary applied method C.</i></p> <p>26) The calculation of the number of 'standard annual workable hours' was verifiable based on the documents provided by the Beneficiary.</p>	

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
		27) The ‘annual productive hours’ used for calculating the hourly rate were consistent with the usual cost accounting practices of the Beneficiary and were equivalent to at least 90 % of the ‘annual workable hours’.	
A.3	<p>HOURLY PERSONNEL RATES</p> <p><u>D) For unit costs calculated in accordance to the Beneficiary's usual cost accounting practice (unit costs):</u></p> <p>If the Beneficiary has a "Certificate on Methodology to calculate unit costs " (CoMUC) approved by the Commission, the Beneficiary provides the Auditor with a description of the approved methodology and the Commission’s letter of acceptance. The Auditor verified that the Beneficiary has indeed used the methodology approved. If so, no further verification is necessary.</p> <p>If the Beneficiary does not have a "Certificate on Methodology" (CoMUC) approved by the Commission, or if the methodology approved was not applied, then the Auditor:</p> <ul style="list-style-type: none"> ○ reviewed the documentation provided by the Beneficiary, including manuals and internal guidelines that explain how to calculate hourly rates; ○ recalculated the unit costs (hourly rates) of staff included in the sample following the results of the procedures carried out in A.1 and A.2. <p><u>II) For individual hourly rates:</u></p> <p>The Auditor:</p> <ul style="list-style-type: none"> ○ reviewed the documentation provided by the Beneficiary, including manuals and internal guidelines that explain how to calculate hourly rates; 	<p>28) The Beneficiary applied [<i>choose one option and delete the other</i>]:</p> <p>[Option I: “Unit costs (hourly rates) were calculated in accordance with the Beneficiary’s usual cost accounting practices”]</p> <p>[Option II: Individual hourly rates were applied]</p> <p><i>For option I concerning unit costs and if the Beneficiary applies the methodology approved by the Commission (CoMUC):</i></p> <p>29) The Beneficiary used the Commission-approved methodology to calculate hourly rates. It corresponded to the organisation's usual cost accounting practices and was applied consistently for all</p>	

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> ○ recalculated the hourly rates of staff included in the sample (recalculation of all hourly rates if the Beneficiary uses annual rates, recalculation of three months selected randomly for every year and person if the Beneficiary uses monthly rates) following the results of the procedures carried out in A.1 and A.2; ○ (only in case of monthly rates) confirmed that the time spent on parental leave is not deducted, and that, if parts of the basic remuneration are generated over a period longer than a month, the Beneficiary has included only the share which is generated in the month. <p><u>“UNIT COSTS CALCULATED BY THE BENEFICIARY IN ACCORDANCE WITH ITS USUAL COST ACCOUNTING PRACTICES”:</u> <i>IT IS CALCULATED BY DIVIDING THE TOTAL AMOUNT OF PERSONNEL COSTS OF THE CATEGORY TO WHICH THE EMPLOYEE BELONGS VERIFIED IN LINE WITH PROCEDURE A.1 BY THE NUMBER OF FTE AND THE ANNUAL TOTAL PRODUCTIVE HOURS OF THE SAME CATEGORY CALCULATED BY THE BENEFICIARY IN ACCORDANCE WITH PROCEDURE A.2.</i></p> <p><u>HOURLY RATE FOR INDIVIDUAL ACTUAL PERSONAL COSTS:</u> <i>IT IS CALCULATED FOLLOWING ONE OF THE TWO OPTIONS BELOW:</i></p> <p><i>A) [OPTION BY DEFAULT] BY DIVIDING THE ACTUAL ANNUAL AMOUNT OF PERSONNEL COSTS OF AN EMPLOYEE VERIFIED IN LINE WITH PROCEDURE A.1 BY THE NUMBER OF ANNUAL PRODUCTIVE HOURS VERIFIED IN LINE WITH PROCEDURE A.2 (FULL FINANCIAL YEAR HOURLY RATE);</i></p> <p><i>B) BY DIVIDING THE ACTUAL MONTHLY AMOUNT OF PERSONNEL COSTS OF AN EMPLOYEE VERIFIED IN LINE WITH PROCEDURE A.1 BY 1/12 OF THE NUMBER OF ANNUAL PRODUCTIVE HOURS VERIFIED IN LINE WITH PROCEDURE A.2.(MONTHLY HOURLY RATE).</i></p>	<p>activities irrespective of the source of funding.</p> <p><i>For option I concerning unit costs and if the Beneficiary applies a methodology not approved by the Commission:</i></p> <p>30) The unit costs re-calculated by the Auditor were the same as the rates applied by the Beneficiary.</p> <p><i>For option II concerning individual hourly rates:</i></p> <p>31) The individual rates re-calculated by the Auditor were the same as the rates applied by the Beneficiary.</p> <p>31.1) The Beneficiary used only one option (per full financial year or per month) throughout each financial year examined.</p> <p>31.2) The hourly rates do not include additional remuneration.</p>	

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
A.4	<p>TIME RECORDING SYSTEM</p> <p>To verify that the time recording system ensures the fulfilment of all minimum requirements and that the hours declared for the action were correct, accurate and properly authorised and supported by documentation, the Auditor made the following checks for the persons included in the sample that declare time as worked for the action on the basis of time records:</p> <ul style="list-style-type: none"> ○ description of the time recording system provided by the Beneficiary (registration, authorisation, processing in the HR-system); ○ its actual implementation; ○ time records were signed at least monthly by the employees (on paper or electronically) and authorised by the project manager or another manager; ○ the hours declared were worked within the project period; ○ there were no hours declared as worked for the action if HR-records showed absence due to holidays or sickness (further cross-checks with travels are carried out in B.1 below) ; ○ the hours charged to the action matched those in the time recording system. <p><i>ONLY THE HOURS WORKED ON THE ACTION CAN BE CHARGED. ALL WORKING TIME TO BE CHARGED SHOULD BE RECORDED THROUGHOUT THE DURATION OF THE PROJECT, ADEQUATELY SUPPORTED BY EVIDENCE OF THEIR REALITY AND RELIABILITY (SEE SPECIFIC PROVISIONS BELOW FOR PERSONS WORKING EXCLUSIVELY FOR THE ACTION WITHOUT TIME RECORDS).</i></p>	32) All persons recorded their time dedicated to the action on a daily/ weekly/ monthly basis using a paper/computer-based system. <i>(delete the answers that are not applicable)</i>	
		33) Their time-records were authorised at least monthly by the project manager or other superior.	
		34) Hours declared were worked within the project period and were consistent with the presences/absences recorded in HR-records.	
		35) There were no discrepancies between the number of hours charged to the action and the number of hours recorded.	
	<p><u>If the persons are working exclusively for the action and without time records</u></p> <p>For the persons selected that worked exclusively for the action without time records, the Auditor verified evidence available demonstrating that they were in reality exclusively dedicated to the action and that the Beneficiary signed a declaration confirming that they have worked exclusively for the action.</p>	36) The exclusive dedication is supported by a declaration signed by the Beneficiary and by any other evidence gathered.	

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
B	COSTS OF SUBCONTRACTING		
B.1	<p>The Auditor obtained the detail/breakdown of subcontracting costs and sampled [redacted] cost items selected randomly (full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest).</p> <p>To confirm standard factual findings 37-41 listed in the next column, the Auditor reviewed the following for the items included in the sample:</p> <ul style="list-style-type: none"> ○ the use of subcontractors was foreseen in Annex 1; ○ subcontracting costs were declared in the subcontracting category of the Financial Statement; ○ supporting documents on the selection and award procedure were followed; ○ the Beneficiary ensured best value for money (key elements to appreciate the respect of this principle are the award of the subcontract to the bid offering best price-quality ratio, under conditions of transparency and equal treatment. In case an existing framework contract was used the Beneficiary ensured it was established on the basis of the principle of best value for money under conditions of transparency and equal treatment). <p>In particular,</p> <ol style="list-style-type: none"> i. if the Beneficiary acted as a contracting authority within the meaning of Directive 2004/18/EC (or 2014/24/EU) or of Directive 2004/17/EC (or 2014/25/EU), the Auditor verified that the applicable national law on public procurement was followed and that the subcontracting complied with the Terms and Conditions of the Agreement. ii. if the Beneficiary did not fall under the above-mentioned category the Auditor verified that the Beneficiary followed their usual procurement rules and respected the Terms and Conditions of the Agreement.. 	<p>37) The use of claimed subcontracting costs was foreseen in Annex 1 and costs were declared in the Financial Statements under the subcontracting category.</p> <p>38) There were documents of requests to different providers, different offers and assessment of the offers before selection of the provider in line with internal procedures and procurement rules. Subcontracts were awarded in accordance with the principle of best value for money.</p> <p><i>(When different offers were not collected the Auditor explains the reasons provided by the Beneficiary under the caption “Exceptions” of the Report. The Commission will analyse this information to evaluate whether these costs might be accepted as eligible)</i></p> <p>39) The subcontracts were not awarded to other Beneficiaries</p>	

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>For the items included in the sample the Auditor also verified that:</p> <ul style="list-style-type: none"> ○ the subcontracts were not awarded to other Beneficiaries in the consortium; ○ there were signed agreements between the Beneficiary and the subcontractor; ○ there was evidence that the services were provided by subcontractor; 	<p>of the consortium.</p> <p>40) All subcontracts were supported by signed agreements between the Beneficiary and the subcontractor.</p> <p>41) There was evidence that the services were provided by the subcontractors.</p>	
C	COSTS OF PROVIDING FINANCIAL SUPPORT TO THIRD PARTIES		
C.1	<p>The Auditor obtained the detail/breakdown of the costs of providing financial support to third parties and sampled [] cost items selected randomly <i>(full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest).</i></p> <p>The Auditor verified that the following minimum conditions were met:</p> <ul style="list-style-type: none"> a) the maximum amount of financial support for each third party did not exceed EUR 60 000, unless explicitly mentioned in Annex 1; b) the financial support to third parties was agreed in Annex 1 of the Agreement and the other provisions on financial support to third parties included in Annex 1 were respected. 	<p>42) All minimum conditions were met</p>	

D	OTHER ACTUAL DIRECT COSTS		
D.1	<p>COSTS OF TRAVEL AND RELATED SUBSISTENCE ALLOWANCES</p> <p>The Auditor sampled [] cost items selected randomly (<i>full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is the highest</i>).</p> <p>The Auditor inspected the sample and verified that:</p> <ul style="list-style-type: none"> ○ travel and subsistence costs were consistent with the Beneficiary's usual policy for travel. In this context, the Beneficiary provided evidence of its normal policy for travel costs (e.g. use of first class tickets, reimbursement by the Beneficiary on the basis of actual costs, a lump sum or per diem) to enable the Auditor to compare the travel costs charged with this policy; ○ travel costs are correctly identified and allocated to the action (e.g. trips are directly linked to the action) by reviewing relevant supporting documents such as minutes of meetings, workshops or conferences, their registration in the correct project account, their consistency with time records or with the dates/duration of the workshop/conference; ○ no ineligible costs or excessive or reckless expenditure was declared (see Article 6.5 MGA). 	43) Costs were incurred, approved and reimbursed in line with the Beneficiary's usual policy for travels.	
		44) There was a link between the trip and the action.	
		45) The supporting documents were consistent with each other regarding subject of the trip, dates, duration and reconciled with time records and accounting.	
		46) No ineligible costs or excessive or reckless expenditure was declared.	
D.2	<p>DEPRECIATION COSTS FOR EQUIPMENT, INFRASTRUCTURE OR OTHER ASSETS</p> <p>The Auditor sampled [] cost items selected randomly (<i>full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is the highest</i>).</p> <p>For “equipment, infrastructure or other assets” [from now on called “asset(s)”] selected in the sample the Auditor verified that:</p> <ul style="list-style-type: none"> ○ the assets were acquired in conformity with the Beneficiary's internal guidelines and procedures; 	47) Procurement rules, principles and guides were followed.	
		48) There was a link between the grant agreement and the asset charged to the action.	
		49) The asset charged to the action was traceable to the accounting records and the underlying documents.	

	<ul style="list-style-type: none"> ○ they were correctly allocated to the action (with supporting documents such as delivery note invoice or any other proof demonstrating the link to the action) ○ they were entered in the accounting system; ○ the extent to which the assets were used for the action (as a percentage) was supported by reliable documentation (e.g. usage overview table); <p>The Auditor recalculated the depreciation costs and verified that they were in line with the applicable rules in the Beneficiary’s country and with the Beneficiary’s usual accounting policy (e.g. depreciation calculated on the acquisition value).</p> <p>The Auditor verified that no ineligible costs such as deductible VAT, exchange rate losses, excessive or reckless expenditure were declared (see Article 6.5 GA).</p>	50) The depreciation method used to charge the asset to the action was in line with the applicable rules of the Beneficiary's country and the Beneficiary's usual accounting policy.	
		51) The amount charged corresponded to the actual usage for the action.	
		52) No ineligible costs or excessive or reckless expenditure were declared.	
D.3	<p>COSTS OF OTHER GOODS AND SERVICES</p> <p>The Auditor sampled [redacted] cost items selected randomly (<i>full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest</i>).</p> <p>For the purchase of goods, works or services included in the sample the Auditor verified that:</p> <ul style="list-style-type: none"> ○ the contracts did not cover tasks described in Annex 1; ○ they were correctly identified, allocated to the proper action, entered in the accounting system (traceable to underlying documents such as purchase orders, invoices and accounting); ○ the goods were not placed in the inventory of durable equipment; ○ the costs charged to the action were accounted in line with the Beneficiary’s usual accounting practices; ○ no ineligible costs or excessive or reckless expenditure were declared (see Article 6 GA). <p>In addition, the Auditor verified that these goods and services were acquired in conformity with</p>	53) Contracts for works or services did not cover tasks described in Annex 1.	
		54) Costs were allocated to the correct action and the goods were not placed in the inventory of durable equipment.	
		55) The costs were charged in line with the Beneficiary’s accounting policy and were adequately supported.	
		56) No ineligible costs or excessive or reckless expenditure were declared. For internal invoices/charges only the cost element was charged, without any mark-ups.	

	<p>the Beneficiary's internal guidelines and procedures, in particular:</p> <ul style="list-style-type: none"> ○ if Beneficiary acted as a contracting authority within the meaning of Directive 2004/18/EC (or 2014/24/EU) or of Directive 2004/17/EC (or 2014/25/EU), the Auditor verified that the applicable national law on public procurement was followed and that the procurement contract complied with the Terms and Conditions of the Agreement. ○ if the Beneficiary did not fall into the category above, the Auditor verified that the Beneficiary followed their usual procurement rules and respected the Terms and Conditions of the Agreement. <p>For the items included in the sample the Auditor also verified that:</p> <ul style="list-style-type: none"> ○ the Beneficiary ensured best value for money (key elements to appreciate the respect of this principle are the award of the contract to the bid offering best price-quality ratio, under conditions of transparency and equal treatment. In case an existing framework contract was used the Auditor also verified that the Beneficiary ensured it was established on the basis of the principle of best value for money under conditions of transparency and equal treatment); <p><i>SUCH GOODS AND SERVICES INCLUDE, FOR INSTANCE, CONSUMABLES AND SUPPLIES, DISSEMINATION (INCLUDING OPEN ACCESS), PROTECTION OF RESULTS, SPECIFIC EVALUATION OF THE ACTION IF IT IS REQUIRED BY THE AGREEMENT, CERTIFICATES ON THE FINANCIAL STATEMENTS IF THEY ARE REQUIRED BY THE AGREEMENT AND CERTIFICATES ON THE METHODOLOGY, TRANSLATIONS, REPRODUCTION.</i></p>	<p>57) Procurement rules, principles and guides were followed. There were documents of requests to different providers, different offers and assessment of the offers before selection of the provider in line with internal procedures and procurement rules. The purchases were made in accordance with the principle of best value for money.</p> <p><i>(When different offers were not collected the Auditor explains the reasons provided by the Beneficiary under the caption “Exceptions” of the Report. The Commission will analyse this information to evaluate whether these costs might be accepted as eligible)</i></p>	
<p>D.4</p>	<p>AGGREGATED CAPITALISED AND OPERATING COSTS OF RESEARCH INFRASTRUCTURE</p> <p>The Auditor ensured the existence of a positive ex-ante assessment (issued by the EC Services) of the cost accounting methodology of the Beneficiary allowing it to apply the guidelines on direct costing for large research infrastructures in Horizon 2020.</p>	<p>58) The costs declared as direct costs for Large Research Infrastructures (in the appropriate line of the Financial Statement) comply with the methodology described in the positive ex-ante assessment report.</p>	

	<p><i>In the cases that a positive ex-ante assessment has been issued (see the standard factual findings 58-59 on the next column),</i> The Auditor ensured that the beneficiary has applied consistently the methodology that is explained and approved in the positive ex ante assessment;</p> <p><i>In the cases that a positive ex-ante assessment has NOT been issued (see the standard factual findings 60 on the next column),</i> The Auditor verified that no costs of Large Research Infrastructure have been charged as direct costs in any costs category;</p> <p><i>In the cases that a draft ex-ante assessment report has been issued with recommendation for further changes (see the standard factual findings 60 on the next column),</i></p> <ul style="list-style-type: none"> • The Auditor followed the same procedure as above (when a positive ex-ante assessment has NOT yet been issued) and paid particular attention (testing reinforced) to the cost items for which the draft ex-ante assessment either rejected the inclusion as direct costs for Large Research Infrastructures or issued recommendations. 	<p>59) Any difference between the methodology applied and the one positively assessed was extensively described and adjusted accordingly.</p>	
<p>D.5</p>	<p>Costs of internally invoiced goods and services</p> <p>The Auditor sampled cost items selected randomly (<i>full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest</i>).</p> <p>To confirm standard factual findings 61-65 listed in the next column, the Auditor:</p> <ul style="list-style-type: none"> ○ obtained a description of the Beneficiary's usual cost accounting practice to calculate costs of internally invoiced goods and services (unit costs); ○ reviewed whether the Beneficiary's usual cost accounting practice was applied for the Financial Statements subject of the present CFS; ○ ensured that the methodology to calculate unit costs is being used in a consistent manner, based on objective criteria, regardless of the source of funding; ○ verified that any ineligible items or any costs claimed under other budget categories, in particular indirect costs, have not been taken into account when calculating the costs of 	<p>61) The costs of internally invoiced goods and services included in the Financial Statement were calculated in accordance with the Beneficiary's usual cost accounting practice.</p>	
		<p>62) The cost accounting practices used to calculate the costs of internally invoiced goods and services were applied by the Beneficiary in a consistent manner based on objective criteria regardless of the source of funding.</p>	
		<p>63) The unit cost is calculated using the actual costs for the good or service recorded in the Beneficiary's accounts, excluding any ineligible cost or costs included in other</p>	

	<p>internally invoiced goods and services (see Article 6 GA);</p> <ul style="list-style-type: none"> ○ verified whether actual costs of internally invoiced goods and services were adjusted on the basis of budgeted or estimated elements and, if so, verified whether those elements used are actually relevant for the calculation, and correspond to objective and verifiable information. ○ verified that any costs of items which are not directly linked to the production of the invoiced goods or service (e.g. supporting services like cleaning, general accountancy, administrative support, etc. not directly used for production of the good or service) have not been taken into account when calculating the costs of internally invoiced goods and services. ○ verified that any costs of items used for calculating the costs internally invoiced goods and services are supported by audit evidence and registered in the accounts. 	<p>budget categories.</p>	
		<p>64) The unit cost excludes any costs of items which are not directly linked to the production of the invoiced goods or service.</p>	
		<p>65) The costs items used for calculating the actual costs of internally invoiced goods and services were relevant, reasonable and correspond to objective and verifiable information.</p>	
E	USE OF EXCHANGE RATES		
E.1	<p><u>a) For Beneficiaries with accounts established in a currency other than euros</u></p> <p>The Auditor sampled [redacted] cost items selected randomly and verified that the exchange rates used for converting other currencies into euros were in accordance with the following rules established in the Agreement (full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest):</p> <p><i>COSTS RECORDED IN THE ACCOUNTS IN A CURRENCY OTHER THAN EURO SHALL BE CONVERTED INTO EURO AT THE AVERAGE OF THE DAILY EXCHANGE RATES PUBLISHED IN THE C SERIES OF OFFICIAL JOURNAL OF THE EUROPEAN UNION (https://www.ecb.int/stats/exchange/eurofxref/html/index.en.html), DETERMINED OVER THE CORRESPONDING REPORTING PERIOD.</i></p> <p><i>IF NO DAILY EURO EXCHANGE RATE IS PUBLISHED IN THE OFFICIAL JOURNAL OF THE EUROPEAN UNION FOR THE CURRENCY IN QUESTION, CONVERSION SHALL BE MADE AT THE AVERAGE OF THE MONTHLY ACCOUNTING RATES ESTABLISHED BY THE COMMISSION AND PUBLISHED ON ITS WEBSITE (http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/inforeuro_en.cfm),</i></p>	<p>66) The exchange rates used to convert other currencies into Euros were in accordance with the rules established of the Grant Agreement and there was no difference in the final figures.</p>	

	<i>DETERMINED OVER THE CORRESPONDING REPORTING PERIOD.</i>		
	<p>b) <u>For Beneficiaries with accounts established in euros</u></p> <p>The Auditor sampled [] cost items selected randomly and verified that the exchange rates used for converting other currencies into euros were in accordance with the following rules established in the Agreement (<i>full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest</i>):</p> <p><i>COSTS INCURRED IN ANOTHER CURRENCY SHALL BE CONVERTED INTO EURO BY APPLYING THE BENEFICIARY'S USUAL ACCOUNTING PRACTICES.</i></p>	<p>67) The Beneficiary applied its usual accounting practices.</p>	

[legal name of the audit firm]

[name and function of an authorised representative]

[dd Month yyyy]

<Signature of the Auditor>

ANNEX 6

MODEL FOR THE CERTIFICATE ON THE METHODOLOGY

- For options [*in italics in square brackets*]: choose the applicable option. Options not chosen should be deleted.
- For fields in [grey in square brackets]: enter the appropriate data.

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TERMS OF REFERENCE FOR AN AUDIT ENGAGEMENT FOR A METHODOLOGY CERTIFICATE IN CONNECTION WITH ONE OR MORE GRANT AGREEMENTS FINANCED UNDER THE HORIZON 2020 RESEARCH AND INNOVATION FRAMEWORK PROGRAMME

INDEPENDENT REPORT OF FACTUAL FINDINGS ON THE METHODOLOGY CONCERNING GRANT AGREEMENTS FINANCED UNDER THE HORIZON 2020 RESEARCH AND INNOVATION FRAMEWORK PROGRAMME

Terms of reference for an audit engagement for a methodology certificate in connection with one or more grant agreements financed under the Horizon 2020 Research and Innovation Framework Programme

This document sets out the ‘**Terms of Reference (ToR)**’ under which

[OPTION 1: *[insert name of the beneficiary]* (*‘the Beneficiary’*)] [OPTION 2: *[insert name of the linked third party]* (*‘the Linked Third Party’*), *third party linked to the Beneficiary* *[insert name of the beneficiary]* (*‘the Beneficiary’*)]

agrees to engage

[insert legal name of the auditor] (*‘the Auditor’*)

to produce an independent report of factual findings (*‘the Report’*) concerning the *[Beneficiary’s]* *[Linked Third Party’s]* usual accounting practices for calculating and claiming direct personnel costs declared as unit costs (*‘the Methodology’*) in connection with grant agreements financed under the Horizon 2020 Research and Innovation Framework Programme.

The procedures to be carried out for the assessment of the methodology will be based on the grant agreement(s) detailed below:

[title and number of the grant agreement(s)] (*‘the Agreement(s)’*)

The Agreement(s) has(have) been concluded between the Beneficiary and [OPTION 1: *the European Union, represented by the European Commission* (*‘the Commission’*)] [OPTION 2: *the European Atomic Energy Community (Euratom), represented by the European Commission* (*‘the Commission’*)] [OPTION 3: *the [Research Executive Agency (REA)] [European Research Council Executive Agency (ERCEA)] [Innovation and Networks Executive Agency (INEA)] [Executive Agency for Small and Medium-sized Enterprises (EASME)]* (*‘the Agency’*), under the powers delegated by the European Commission (*‘the Commission’*)].

The *[Commission]* *[Agency]* is mentioned as a signatory of the Agreement with the Beneficiary only. The *[European Union]* *[Euratom]* *[Agency]* is not a party to this engagement.

1.1 Subject of the engagement

According to Article 18.1.2 of the Agreement, beneficiaries *[and linked third parties]* that declare direct personnel costs as unit costs calculated in accordance with their usual cost accounting practices may submit to the *[Commission]* *[Agency]*, for approval, a certificate on the methodology (*‘CoMUC’*) stating that there are adequate records and documentation to prove that their cost accounting practices used comply with the conditions set out in Point A of Article 6.2.

The subject of this engagement is the CoMUC which is composed of two separate documents:

- the Terms of Reference (*‘the ToR’*) to be signed by the *[Beneficiary]* *[Linked Third Party]* and the Auditor;
- the Auditor’s Independent Report of Factual Findings (*‘the Report’*) issued on the Auditor’s letterhead, dated, stamped and signed by the Auditor which includes; the standard statements (*‘the Statements’*) evaluated and signed by the *[Beneficiary]* *[Linked Third Party]*, the agreed-upon procedures (*‘the Procedures’*) performed by the Auditor and the standard factual findings

(‘the Findings’) assessed by the Auditor. The Statements, Procedures and Findings are summarised in the table that forms part of the Report.

The information provided through the Statements, the Procedures and the Findings will enable the Commission to draw conclusions regarding the existence of the *[Beneficiary’s] [Linked Third Party’s]* usual cost accounting practice and its suitability to ensure that direct personnel costs claimed on that basis comply with the provisions of the Agreement. The Commission draws its own conclusions from the Report and any additional information it may require.

1.2 Responsibilities

The parties to this agreement are the *[Beneficiary] [Linked Third Party]* and the Auditor.

The *[Beneficiary] [Linked Third Party]*:

- is responsible for preparing financial statements for the Agreement(s) (‘the Financial Statements’) in compliance with those Agreements;
- is responsible for providing the Financial Statement(s) to the Auditor and enabling the Auditor to reconcile them with the *[Beneficiary’s] [Linked Third Party’s]* accounting and bookkeeping system and the underlying accounts and records. The Financial Statement(s) will be used as a basis for the procedures which the Auditor will carry out under this ToR;
- is responsible for its Methodology and liable for the accuracy of the Financial Statement(s);
- is responsible for endorsing or refuting the Statements indicated under the heading ‘Statements to be made by the Beneficiary/ Linked Third Party’ in the first column of the table that forms part of the Report;
- must provide the Auditor with a signed and dated representation letter;
- accepts that the ability of the Auditor to carry out the Procedures effectively depends upon the *[Beneficiary] [Linked Third Party]* providing full and free access to the *[Beneficiary’s] [Linked Third Party’s]* staff and to its accounting and other relevant records.

The Auditor:

- *[Option 1 by default: is qualified to carry out statutory audits of accounting documents in accordance with Directive 2006/43/EC of the European Parliament and of the Council of 17 May 2006 on statutory audits of annual accounts and consolidated accounts, amending Council Directives 78/660/EEC and 83/349/EEC and repealing Council Directive 84/253/EEC or similar national regulations].*
- *[Option 2 if the Beneficiary or Linked Third Party has an independent Public Officer: is a competent and independent Public Officer for which the relevant national authorities have established the legal capacity to audit the Beneficiary].*
- *[Option 3 if the Beneficiary or Linked Third Party is an international organisation: is an [internal] [external] auditor in accordance with the internal financial regulations and procedures of the international organisation].*

The Auditor:

- must be independent from the Beneficiary *[and the Linked Third Party]*, in particular, it must not have been involved in preparing the Beneficiary’s *[and Linked Third Party’s]* Financial Statement(s);
- must plan work so that the Procedures may be carried out and the Findings may be assessed;
- must adhere to the Procedures laid down and the compulsory report format;
- must carry out the engagement in accordance with these ToR;
- must document matters which are important to support the Report;
- must base its Report on the evidence gathered;
- must submit the Report to the *[Beneficiary] [Linked Third Party]*.

The Commission sets out the Procedures to be carried out and the Findings to be endorsed by the Auditor. The Auditor is not responsible for their suitability or pertinence. As this engagement is not an assurance engagement the Auditor does not provide an audit opinion or a statement of assurance.

1.3 Applicable Standards

The Auditor must comply with these Terms of Reference and with¹:

- the International Standard on Related Services ('ISRS') 4400 *Engagements to perform Agreed-upon Procedures regarding Financial Information* as issued by the International Auditing and Assurance Standards Board (IAASB);
- the *Code of Ethics for Professional Accountants* issued by the International Ethics Standards Board for Accountants (IESBA). Although ISRS 4400 states that independence is not a requirement for engagements to carry out agreed-upon procedures, the Commission requires that the Auditor also complies with the Code's independence requirements.

The Auditor's Report must state that there was no conflict of interests in establishing this Report between the Auditor and the Beneficiary [*and the Linked Third Party*] that could have a bearing on the Report, and must specify – if the service is invoiced - the total fee paid to the Auditor for providing the Report.

1.4 Reporting

The Report must be written in the language of the Agreement (see Article 20.7 of the Agreement).

Under Article 22 of the Agreement, the Commission, [*the Agency*], the European Anti-Fraud Office and the Court of Auditors have the right to audit any work that is carried out under the action and for which costs are declared from [*the European Union*] [*Euratom*] budget. This includes work related to this engagement. The Auditor must provide access to all working papers related to this assignment if the Commission[, *the Agency*], the European Anti-Fraud Office or the European Court of Auditors requests them.

1.5 Timing

The Report must be provided by [dd Month yyyy].

1.6 Other Terms

[*The [Beneficiary] [Linked Third Party] and the Auditor can use this section to agree other specific terms, such as the Auditor's fees, liability, applicable law, etc. Those specific terms must not contradict the terms specified above.*]

[legal name of the Auditor]
[name & title of authorised representative]
[dd Month yyyy]
Signature of the Auditor

[legal name of the [Beneficiary] [Linked Third Party]]
[name & title of authorised representative]
[dd Month yyyy]
Signature of the [*Beneficiary*] [*Linked Third Party*]

¹ Supreme Audit Institutions applying INTOSAI-standards may carry out the Procedures according to the corresponding International Standards of Supreme Audit Institutions and code of ethics issued by INTOSAI instead of the International Standard on Related Services ('ISRS') 4400 and the Code of Ethics for Professional Accountants issued by the IAASB and the IESBA.

Independent report of factual findings on the methodology concerning grant agreements financed under the Horizon 2020 Research and Innovation Framework Programme

(To be printed on letterhead paper of the auditor)

To

[name of contact person(s)], [Position]
[[Beneficiary's] [Linked Third Party's] name]
[Address]
[dd Month yyyy]

Dear [Name of contact person(s)],

As agreed under the terms of reference dated [dd Month yyyy]

with [OPTION 1: [insert name of the beneficiary] ('the Beneficiary')] [OPTION 2: [insert name of the linked third party] ('the Linked Third Party'), third party linked to the Beneficiary [insert name of the beneficiary] ('the Beneficiary')],

we

[name of the auditor] ('the Auditor'),

established at

[full address/city/state/province/country],

represented by

[name and function of an authorised representative],

have carried out the agreed-upon procedures ('the Procedures') and provide hereby our Independent Report of Factual Findings ('the Report'), concerning the [Beneficiary's] [Linked Third Party's] usual accounting practices for calculating and declaring direct personnel costs declared as unit costs ('the Methodology').

You requested certain procedures to be carried out in connection with the grant(s)

[title and number of the grant agreement(s)] ('the Agreement(s)').

The Report

Our engagement was carried out in accordance with the terms of reference ('the ToR') appended to this Report. The Report includes: the standard statements ('the Statements') made by the [Beneficiary] [Linked Third Party], the agreed-upon procedures ('the Procedures') carried out and the standard factual findings ('the Findings') confirmed by us.

The engagement involved carrying out the Procedures and assessing the Findings and the documentation requested appended to this Report, the results of which the Commission uses to draw conclusions regarding the acceptability of the Methodology applied by the [Beneficiary] [Linked Third Party].

H2020 Model Grant Agreements: H2020 General MGA — Multi: v5.0 – dd.mm.2017

The Report covers the methodology used from [dd Month yyyy]. In the event that the [Beneficiary] [Linked Third Party] changes this methodology, the Report will not be applicable to any Financial Statement¹ submitted thereafter.

The scope of the Procedures and the definition of the standard statements and findings were determined solely by the Commission. Therefore, the Auditor is not responsible for their suitability or pertinence.

Since the Procedures carried out constitute neither an audit nor a review made in accordance with International Standards on Auditing or International Standards on Review Engagements, we do not give a statement of assurance on the costs declared on the basis of the [Beneficiary's] [Linked Third Party's] Methodology. Had we carried out additional procedures or had we performed an audit or review in accordance with these standards, other matters might have come to its attention and would have been included in the Report.

Exceptions

Apart from the exceptions listed below, the [Beneficiary] [Linked Third Party] agreed with the standard Statements and provided the Auditor all the documentation and accounting information needed by the Auditor to carry out the requested Procedures and corroborate the standard Findings.

List here any exception and add any information on the cause and possible consequences of each exception, if known. If the exception is quantifiable, also indicate the corresponding amount.

.....

Explanation of possible exceptions in the form of examples (to be removed from the Report):

- i. the [Beneficiary] [Linked Third Party] did not agree with the standard Statement number ... because...;*
- ii. the Auditor could not carry out the procedure ... established because (e.g. due to the inability to reconcile key information or the unavailability or inconsistency of data);*
- iii. the Auditor could not confirm or corroborate the standard Finding number ... because*

Remarks

We would like to add the following remarks relevant for the proper understanding of the Methodology applied by the [Beneficiary] [Linked Third Party] or the results reported:

Example (to be removed from the Report):

Regarding the methodology applied to calculate hourly rates ...
Regarding standard Finding 15 it has to be noted that ...
The [Beneficiary] [Linked Third Party] explained the deviation from the benchmark statement XXIV concerning time recording for personnel with no exclusive dedication to the action in the following manner:
 ...

Annexes

Please provide the following documents to the auditor and annex them to the report when submitting this CoMUC to the Commission:

¹ Financial Statement in this context refers solely to Annex 4 of the Agreement by which the Beneficiary declares costs under the Agreement.

1. Brief description of the methodology for calculating personnel costs, productive hours and hourly rates;
2. Brief description of the time recording system in place;
3. An example of the time records used by the [Beneficiary] [Linked Third Party];
4. Description of any budgeted or estimated elements applied, together with an explanation as to why they are relevant for calculating the personnel costs and how they are based on objective and verifiable information;
5. A summary sheet with the hourly rate for direct personnel declared by the [Beneficiary] [Linked Third Party] and recalculated by the Auditor for each staff member included in the sample (the names do not need to be reported);
6. A comparative table summarising for each person selected in the sample a) the time claimed by the [Beneficiary] [Linked Third Party] in the Financial Statement(s) and b) the time according to the time record verified by the Auditor;
7. A copy of the letter of representation provided to the Auditor.

Use of this Report

This Report has been drawn up solely for the purpose given under Point 1.1 Reasons for the engagement.

The Report:

- is confidential and is intended to be submitted to the Commission by the [Beneficiary] [Linked Third Party] in connection with Article 18.1.2 of the Agreement;
- may not be used by the [Beneficiary] [Linked Third Party] or by the Commission for any other purpose, nor distributed to any other parties;
- may be disclosed by the Commission only to authorised parties, in particular the European Anti-Fraud Office (OLAF) and the European Court of Auditors.
- relates only to the usual cost accounting practices specified above and does not constitute a report on the Financial Statements of the [Beneficiary] [Linked Third Party].

No conflict of interest² exists between the Auditor and the Beneficiary [and the Linked Third Party] that could have a bearing on the Report. The total fee paid to the Auditor for producing the Report was EUR [] (including EUR [] of deductible VAT).

We look forward to discussing our Report with you and would be pleased to provide any further information or assistance which may be required.

Yours sincerely

[legal name of the Auditor]
[name and title of the authorised representative]
[dd Month yyyy]
Signature of the Auditor

² A conflict of interest arises when the Auditor's objectivity to establish the certificate is compromised in fact or in appearance when the Auditor for instance:

- was involved in the preparation of the Financial Statements;
- stands to benefit directly should the certificate be accepted;
- has a close relationship with any person representing the beneficiary;
- is a director, trustee or partner of the beneficiary; or
- is in any other situation that compromises his or her independence or ability to establish the certificate impartially.

Statements to be made by the Beneficiary/Linked Third Party (‘the Statements’) and Procedures to be carried out by the Auditor (‘the Procedures’) and standard factual findings (‘the Findings’) to be confirmed by the Auditor

The Commission reserves the right to provide the auditor with guidance regarding the Statements to be made, the Procedures to be carried out or the Findings to be ascertained and the way in which to present them. The Commission reserves the right to vary the Statements, Procedures or Findings by written notification to the Beneficiary/Linked Third Party to adapt the procedures to changes in the grant agreement(s) or to any other circumstances.

If this methodology certificate relates to the Linked Third Party’s usual accounting practices for calculating and claiming direct personnel costs declared as unit costs any reference here below to ‘the Beneficiary’ is to be considered as a reference to ‘the Linked Third Party’.

<i>Please explain any discrepancies in the body of the Report.</i>	
Statements to be made by Beneficiary	Procedures to be carried out and Findings to be confirmed by the Auditor
<p>A. Use of the Methodology</p> <p>I. The cost accounting practice described below has been in use since /dd Month yyyy/.</p> <p>II. The next planned alteration to the methodology used by the Beneficiary will be from [dd Month yyyy/.</p>	<p>Procedure:</p> <p>✓ The Auditor checked these dates against the documentation the Beneficiary has provided.</p> <p>Factual finding:</p> <p>1. The dates provided by the Beneficiary were consistent with the documentation.</p>
<p>B. Description of the Methodology</p> <p>III. The methodology to calculate unit costs is being used in a consistent manner and is reflected in the relevant procedures.</p> <p><i>[Please describe the methodology your entity uses to calculate <u>personnel</u> costs, productive hours and hourly rates, present your description to the Auditor and annex it to this certificate]</i></p> <p><i>[If the statement of section “B. Description of the methodology” cannot be endorsed by the Beneficiary or there is no written methodology to calculate unit costs it should be listed here below and reported as exception by the Auditor in the main Report of Factual Findings:</i> - ...]</p>	<p>Procedure:</p> <p>✓ The Auditor reviewed the description, the relevant manuals and/or internal guidance documents describing the methodology.</p> <p>Factual finding:</p> <p>2. The brief description was consistent with the relevant manuals, internal guidance and/or other documentary evidence the Auditor has reviewed.</p> <p>3. The methodology was generally applied by the Beneficiary as part of its usual costs accounting practices.</p>

<i>Please explain any discrepancies in the body of the Report.</i>	
Statements to be made by Beneficiary	Procedures to be carried out and Findings to be confirmed by the Auditor
<p>C. Personnel costs</p> <p><u>General</u></p> <p>IV. The unit costs (hourly rates) are limited to salaries including during parental leave, social security contributions, taxes and other costs included in the remuneration required under national law and the employment contract or equivalent appointing act;</p> <p>V. Employees are hired directly by the Beneficiary in accordance with national law, and work under its sole supervision and responsibility;</p> <p>VI. The Beneficiary remunerates its employees in accordance with its usual practices. This means that personnel costs are charged in line with the Beneficiary’s usual payroll policy (e.g. salary policy, overtime policy, variable pay) and no special conditions exist for employees assigned to tasks relating to the European Union or Euratom, unless explicitly provided for in the grant agreement(s);</p> <p>VII. The Beneficiary allocates its employees to the relevant group/category/cost centre for the purpose of the unit cost calculation in line with the usual cost accounting practice;</p> <p>VIII. Personnel costs are based on the payroll system and accounting system.</p> <p>IX. Any exceptional adjustments of actual personnel costs resulted from relevant budgeted or estimated elements and were based on objective and verifiable information. <i>[Please describe the ‘budgeted or estimated elements’ and their relevance to personnel costs, and explain how they were reasonable and based on objective and verifiable information, present your explanation to the Auditor and annex it to this certificate].</i></p> <p>X. Personnel costs claimed do not contain any of the following ineligible costs: costs related to return on capital; debt and debt service charges; provisions for future losses or debts; interest owed; doubtful debts; currency exchange losses; bank costs charged by the Beneficiary’s bank for transfers from the Commission/Agency; excessive or reckless expenditure; deductible VAT or costs incurred during suspension of the implementation of the action.</p> <p>XI. Personnel costs were not declared under another EU or Euratom grant</p>	<p>Procedure:</p> <p><i>The Auditor draws a sample of employees to carry out the procedures indicated in this section C and the following sections D to F.</i> <i>[The Auditor has drawn a random sample of 10 employees assigned to Horizon 2020 action(s). If fewer than 10 employees are assigned to the Horizon 2020 action(s), the Auditor has selected all employees assigned to the Horizon 2020 action(s) complemented by other employees irrespective of their assignments until he has reached 10 employees.].</i> For this sample:</p> <ul style="list-style-type: none"> ✓ the Auditor reviewed all documents relating to personnel costs such as employment contracts, payslips, payroll policy (e.g. salary policy, overtime policy, variable pay policy), accounting and payroll records, applicable national tax , labour and social security law and any other documents corroborating the personnel costs claimed; ✓ in particular, the Auditor reviewed the employment contracts of the employees in the sample to verify that: <ul style="list-style-type: none"> i. they were employed directly by the Beneficiary in accordance with applicable national legislation; ii. they were working under the sole technical supervision and responsibility of the latter; iii. they were remunerated in accordance with the Beneficiary’s usual practices; iv. they were allocated to the correct group/category/cost centre for the purposes of calculating the unit cost in line with the Beneficiary’s usual cost accounting practices; ✓ the Auditor verified that any ineligible items or any costs claimed under other costs categories or costs covered by other types of grant or by other grants financed from the European Union budget have not been taken into account when calculating the personnel costs; ✓ the Auditor numerically reconciled the total amount of personnel costs used to calculate the unit cost with the total amount of personnel costs recorded in the statutory accounts and the payroll system.

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<p>(including grants awarded by a Member State and financed by the EU budget and grants awarded by bodies other than the Commission/Agency for the purpose of implementing the EU or Euratom budget in the same period, unless the Beneficiary can demonstrate that the operating grant does not cover any costs of the action).</p> <p><u>If additional remuneration as referred to in the grant agreement(s) is paid</u></p> <p>XII. The Beneficiary is a non-profit legal entity;</p> <p>XIII. The additional remuneration is part of the beneficiary’s usual remuneration practices and paid consistently whenever the relevant work or expertise is required;</p> <p>XIV. The criteria used to calculate the additional remuneration are objective and generally applied regardless of the source of funding;</p> <p>XV. The additional remuneration included in the personnel costs used to calculate the hourly rates for the grant agreement(s) is capped at EUR 8 000 per full-time equivalent (reduced proportionately if the employee is not assigned exclusively to the action).</p> <p><i>[If certain statement(s) of section “C. Personnel costs” cannot be endorsed by the Beneficiary they should be listed here below and reported as exception by the Auditor in the main Report of Factual Findings:</i> - ...]</p>	<ul style="list-style-type: none"> ✓ to the extent that actual personnel costs were adjusted on the basis of budgeted or estimated elements, the Auditor carefully examined those elements and checked the information source to confirm that they correspond to objective and verifiable information; ✓ if additional remuneration has been claimed, the Auditor verified that the Beneficiary was a non-profit legal entity, that the amount was capped at EUR 8 000 per full-time equivalent and that it was reduced proportionately for employees not assigned exclusively to the action(s). ✓ the Auditor recalculated the personnel costs for the employees in the sample. <p>Factual finding:</p> <ol style="list-style-type: none"> 4. All the components of the remuneration that have been claimed as personnel costs are supported by underlying documentation. 5. The employees in the sample were employed directly by the Beneficiary in accordance with applicable national law and were working under its sole supervision and responsibility. 6. Their employment contracts were in line with the Beneficiary’s usual policy; 7. Personnel costs were duly documented and consisted solely of salaries, social security contributions (pension contributions, health insurance, unemployment fund contributions, etc.), taxes and other statutory costs included in the remuneration (holiday pay, thirteenth month’s pay, etc.); 8. The totals used to calculate the personnel unit costs are consistent with those registered in the payroll and accounting records; 9. To the extent that actual personnel costs were adjusted on the basis of budgeted or estimated elements, those elements were relevant for calculating the personnel costs and correspond to objective and verifiable information. The budgeted or estimated elements used are: — (indicate the elements and their values). 10. Personnel costs contained no ineligible elements; 11. Specific conditions for eligibility were fulfilled when additional

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	remuneration was paid: a) the Beneficiary is registered in the grant agreements as a non-profit legal entity; b) it was paid according to objective criteria generally applied regardless of the source of funding used and c) remuneration was capped at EUR 8000 per full-time equivalent (or up to up to the equivalent pro-rata amount if the person did not work on the action full-time during the year or did not work exclusively on the action).
<p>D. Productive hours</p> <p>XVI. The number of productive hours per full-time employee applied is <i>[delete as appropriate]</i>:</p> <p>A. 1720 productive hours per year for a person working full-time (corresponding pro-rata for persons not working full time).</p> <p>B. the total number of hours worked in the year by a person for the Beneficiary</p> <p>C. the standard number of annual hours generally applied by the beneficiary for its personnel in accordance with its usual cost accounting practices. This number must be at least 90% of the standard annual workable hours.</p> <p><u>If method B is applied</u></p> <p>XVII. The calculation of the total number of hours worked was done as follows: annual workable hours of the person according to the employment contract, applicable labour agreement or national law plus overtime worked minus absences (such as sick leave and special leave).</p> <p>XVIII. ‘Annual workable hours’ are hours during which the personnel must be working, at the employer’s disposal and carrying out his/her activity or duties under the employment contract, applicable collective labour agreement or national working time legislation.</p> <p>XIX. The contract (applicable collective labour agreement or national working time legislation) do specify the working time enabling to calculate the annual workable hours.</p>	<p>Procedure (same sample basis as for Section C: Personnel costs):</p> <ul style="list-style-type: none"> ✓ The Auditor verified that the number of productive hours applied is in accordance with method A, B or C. ✓ The Auditor checked that the number of productive hours per full-time employee is correct. ✓ If method B is applied the Auditor verified i) the manner in which the total number of hours worked was done and ii) that the contract specified the annual workable hours by inspecting all the relevant documents, national legislation, labour agreements and contracts. ✓ If method C is applied the Auditor reviewed the manner in which the standard number of working hours per year has been calculated by inspecting all the relevant documents, national legislation, labour agreements and contracts and verified that the number of productive hours per year used for these calculations was at least 90% of the standard number of working hours per year. <p>Factual finding:</p> <p><u>General</u></p> <p>12. The Beneficiary applied a number of productive hours consistent with method A, B or C detailed in the left-hand column.</p> <p>13. The number of productive hours per year per full-time employee was accurate.</p> <p><u>If method B is applied</u></p> <p>14. The number of ‘annual workable hours’, overtime and absences was</p>

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<p><u>If method C is applied</u></p> <p>XX. The standard number of productive hours per year is that of a full-time equivalent.</p> <p>XXI. The number of productive hours per year on which the hourly rate is based i) corresponds to the Beneficiary’s usual accounting practices; ii) is at least 90% of the standard number of workable (working) hours per year.</p> <p>XXII. Standard workable (working) hours are hours during which personnel are at the Beneficiary’s disposal performing the duties described in the relevant employment contract, collective labour agreement or national labour legislation. The number of standard annual workable (working) hours that the Beneficiary claims is supported by labour contracts, national legislation and other documentary evidence.</p> <p><i>[If certain statement(s) of section “D. Productive hours” cannot be endorsed by the Beneficiary they should be listed here below and reported as exception by the Auditor: - ...]</i></p>	<p>verifiable based on the documents provided by the Beneficiary and the calculation of the total number of hours worked was accurate.</p> <p>15. The contract specified the working time enabling to calculate the annual workable hours.</p> <p><u>If method C is applied</u></p> <p>16. The calculation of the number of productive hours per year corresponded to the usual costs accounting practice of the Beneficiary.</p> <p>17. The calculation of the standard number of workable (working) hours per year was corroborated by the documents presented by the Beneficiary.</p> <p>18. The number of productive hours per year used for the calculation of the hourly rate was at least 90% of the number of workable (working) hours per year.</p>
<p>E. Hourly rates</p> <p>The hourly rates are correct because:</p> <p>XXIII. Hourly rates are correctly calculated since they result from dividing annual personnel costs by the productive hours of a given year and group (e.g. staff category or department or cost centre depending on the methodology applied) and they are in line with the statements made in section C. and D. above.</p> <p><i>[If the statement of section ‘E. Hourly rates’ cannot be endorsed by the Beneficiary they should be listed here below and reported as exception by the Auditor: - ...]</i></p>	<p>Procedure</p> <ul style="list-style-type: none"> ✓ The Auditor has obtained a list of all personnel rates calculated by the Beneficiary in accordance with the methodology used. ✓ The Auditor has obtained a list of all the relevant employees, based on which the personnel rate(s) are calculated. <p>For 10 employees selected at random (same sample basis as Section C: Personnel costs):</p> <ul style="list-style-type: none"> ✓ The Auditor recalculated the hourly rates. ✓ The Auditor verified that the methodology applied corresponds to the usual accounting practices of the organisation and is applied consistently for all activities of the organisation on the basis of objective criteria irrespective of the source of funding. <p>Factual finding:</p>

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	19. No differences arose from the recalculation of the hourly rate for the employees included in the sample.
<p>F. Time recording</p> <p>XXIV. Time recording is in place for all persons with no exclusive dedication to one Horizon 2020 action. At least all hours worked in connection with the grant agreement(s) are registered on a daily/weekly/monthly basis <i>[delete as appropriate]</i> using a paper/computer-based system <i>[delete as appropriate]</i>;</p> <p>XXV. For persons exclusively assigned to one Horizon 2020 activity the Beneficiary has either signed a declaration to that effect or has put arrangements in place to record their working time;</p> <p>XXVI. Records of time worked have been signed by the person concerned (on paper or electronically) and approved by the action manager or line manager at least monthly;</p> <p>XXVII. Measures are in place to prevent staff from:</p> <ul style="list-style-type: none"> i. recording the same hours twice, ii. recording working hours during absence periods (e.g. holidays, sick leave), iii. recording more than the number of productive hours per year used to calculate the hourly rates, and iv. recording hours worked outside the action period. <p>XXVIII. No working time was recorded outside the action period;</p> <p>XXIX. No more hours were claimed than the productive hours used to calculate the hourly personnel rates.</p> <p><i>[Please provide a brief description of the <u>time recording system</u> in place together with the measures applied to ensure its reliability to the Auditor and annex it to the</i></p>	<p>Procedure</p> <ul style="list-style-type: none"> ✓ The Auditor reviewed the brief description, all relevant manuals and/or internal guidance describing the methodology used to record time. <p>The Auditor reviewed the time records of the random sample of 10 employees referred to under Section C: Personnel costs, and verified in particular:</p> <ul style="list-style-type: none"> ✓ that time records were available for all persons with not exclusive assignment to the action; ✓ that time records were available for persons working exclusively for a Horizon 2020 action, or, alternatively, that a declaration signed by the Beneficiary was available for them certifying that they were working exclusively for a Horizon 2020 action; ✓ that time records were signed and approved in due time and that all minimum requirements were fulfilled; ✓ that the persons worked for the action in the periods claimed; ✓ that no more hours were claimed than the productive hours used to calculate the hourly personnel rates; ✓ that internal controls were in place to prevent that time is recorded twice, during absences for holidays or sick leave; that more hours are claimed per person per year for Horizon 2020 actions than the number of productive hours per year used to calculate the hourly rates; that working time is recorded outside the action period; ✓ the Auditor cross-checked the information with human-resources records to verify consistency and to ensure that the internal controls have been effective. In addition, the Auditor has verified that no more hours were charged to Horizon 2020 actions per person per year than the number of productive hours per year used to calculate the hourly rates, and verified that

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<p><i>present certificate¹].</i></p> <p><i>[If certain statement(s) of section “F. Time recording” cannot be endorsed by the Beneficiary they should be listed here below and reported as exception by the Auditor: - ...]</i></p>	<p>no time worked outside the action period was charged to the action.</p> <p>Factual finding:</p> <ol style="list-style-type: none"> 20. The brief description, manuals and/or internal guidance on time recording provided by the Beneficiary were consistent with management reports/records and other documents reviewed and were generally applied by the Beneficiary to produce the financial statements. 21. For the random sample time was recorded or, in the case of employees working exclusively for the action, either a signed declaration or time records were available; 22. For the random sample the time records were signed by the employee and the action manager/line manager, at least monthly. 23. Working time claimed for the action occurred in the periods claimed; 24. No more hours were claimed than the number productive hours used to calculate the hourly personnel rates; 25. There is proof that the Beneficiary has checked that working time has not been claimed twice, that it is consistent with absence records and the number of productive hours per year, and that no working time has been claimed outside the action period. 26. Working time claimed is consistent with that on record at the human-resources department.

¹ The description of the time recording system must state among others information on the content of the time records, its coverage (full or action time-recording, for all personnel or only for personnel involved in H2020 actions), its degree of detail (whether there is a reference to the particular tasks accomplished), its form, periodicity of the time registration and authorisation (paper or a computer-based system; on a daily, weekly or monthly basis; signed and countersigned by whom), controls applied to prevent double-charging of time or ensure consistency with HR-records such as absences and travels as well as its information flow up to its use for the preparation of the Financial Statements.

Grant Agreement number: [insert number] [insert acronym] [insert call identifier]

H2020 Model Grant Agreements: H2020 General MGA — Multi: v5.0 – dd.mm.2017

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<i>[official name of the [Beneficiary] [Linked Third Party]]</i>	<i>[official name of the Auditor]</i>
<i>[name and title of authorised representative]</i>	<i>[name and title of authorised representative]</i>
<i>[dd Month yyyy]</i>	<i>[dd Month yyyy]</i>
<i><Signature of the [Beneficiary] [Linked Third Party]></i>	<i><Signature of the Auditor></i>



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