

ANNEX V: GUIDELINES ON REPORTING FOR HERA JRP COLLABORATIVE PROJECTS

Introduction

This Annex is the guidance note to help the Project Leaders of the HERA JRP Collaborative Research Projects (CRP) to prepare the annual and final reports requested in the Terms and Conditions of the HERA JRP Grants. This is a contractual obligation.

The evaluation of the reports will be carried out in accordance with the procedures described in the Terms and Conditions for the HERA JRP Grants. Payments shall be made after the HERA JRP Board's approval of the reports.

Reporting Requirements

A. The Research Organisation of the Project Leader must submit **an annual report** following the HERA JRP Guidelines on reporting outlined in this document and according to the following schedule:

1 April 2011: 1st Annual Report

1 April 2012: 2nd Annual Report

The reporting shall comprise:

1. **A progress report**, with a publishable summary, describing the progress of work towards the goals of the CRP. The progress report should include the differences between work expected to be carried out in accordance with the CRP description and that actually carried out.
 2. **A financial report from each Principal Investigator** explaining the use of resources and the major CRP costs during the reporting period. The financial reports shall highlight and explain any deviations from the Individual Project budgets as presented in Annex II of the Acceptance of Grant Certificate (Description of Collaborative Research Project).
 3. **An expenditure statement from each Principal Investigator** together with a summary financial report consolidating the claimed HERA JRP contribution of all the Principal Investigators in an aggregate form based on the information provided by each Principal Investigator.
- B.** The Research Organisation of the Project Leader must submit **a final report** to the HERA JRP Handling Agency within 30 days after the end of the grant. The final report shall comprise:
1. **A final publishable report** covering the results, conclusions and impact of the CRP.
 2. **A final financial report from each Principal Investigator** explaining the use of resources during the total duration of the grant.
 3. **A final expenditure statement from each Principal Investigator** together with a summary financial report consolidating the claimed HERA JRP contribution of all the Principal Investigators in an aggregate form based on the information provided by each Principal Investigator.

Format of the reports and transmission modalities

Each report shall be in the form of **ONE** single report in electronic format (PDF) and include, where applicable, a copy (properly scanned) of the signed pages. All publishable parts of the reports should also be sent separately in Word format. The Project Leader shall transmit all reports and other deliverables by electronic means to the HERA JRP Handling Agency at hera@esf.org.

The declaration signed by the Project Leader and the expenditure statements signed by the authorised persons from the research organisations of each Principal Investigator must be sent in parallel by post to the HERA JRP Handling Agency at the following address:

**HERA JRP Handling Agency
European Science Foundation
1, quai Lezay-Marnesia
67000 Strasbourg
FRANCE**

The reports submitted to the HERA JRP Handling Agency, in particular their publishable parts, shall be of a suitable quality to enable direct publication on the HERA website or in the HERA JRP leaflets and brochures without any additional editing. By submitting the publishable reports to the HERA JRP Handling Agency, you are also certifying that they include no confidential material.

Please follow the reporting structure in the templates and forms below and complete all of the sections. Please ensure that any acronyms are clearly explained.

The HERA JRP Handling Agency is available for any questions concerning reporting at hera@esf.org.

The guidelines and templates for the Annual and Final reports are included below.

A. GUIDANCE ON THE PREPARATION OF THE ANNUAL REPORTS

The annual report shall regroup in one single report both the progress report, describing the progress of work towards the goals of the CRP, and financial reporting.

It shall consist of sections described as follows:

- FRONT PAGE
- DECLARATION by the Project Leader regarding the authenticity of the information included in the annual report (Scanned copy of the declaration duly filled in and signed by the Project Leader, the original being sent separately by post)
- TABLE OF CONTENT with pagination

1. Progress report

- 1.1 Publishable summary
- 1.2 CRP objectives for the period
- 1.3 Work progress and achievements of the Individual Projects during the reporting period
- 1.4 Work progress and achievements of the CRP during the reporting period
- 1.5 CRP Management
- 1.6 CRP Impact: Dissemination, Networking and Knowledge Transfer

2. Financial reports from each Principal Investigator explaining of the use of resources for the reporting period

3. Expenditure Statements from each Principal Investigator together with a summary Expenditure statement consolidating the claimed HERA JRP contribution of all the Principal Investigators in an aggregate form based on the information provided by each Principal Investigator.

The content of each of these sections is described as follows

FRONT PAGE TEMPLATE

ANNUAL REPORT

CRP number:

CRP acronym:

CRP title:

Date of latest version of the Description of CRP against which the assessment will be made:

Annual report: 1st 2nd 3rd

Period covered: from _____ to _____

Name, title and organisation of the Project Leader:

Tel:

Fax:

E-mail:

Names, titles and organisations of the Principal Investigators:

CRP website¹ address:

¹ The home page of the website should contain the generic European flag and the FP7 logo which are available in electronic format at the Europa website (logo of the European flag: http://europa.eu/abc/symbols/emblem/index_en.htm ; logo of the 7th FP: http://ec.europa.eu/research/fp7/index_en.cfm?pg=logos). The home page of the website should also contain the HERA logo available in electronic format at the HERA website at www.heranet.info

Declaration by the Project Leader

I, as the Project Leader of this CRP and in line with the Terms and Conditions for the HERA JRP grants, declare that:

- The attached annual report represents an accurate description of the work carried out in this CRP for this reporting period;
- The CRP (tick as appropriate):
 - has fully achieved its objectives for the period;
 - has achieved most of its objectives for the period with relatively minor deviations²;
 - has failed to achieve critical objectives and/or is not at all on schedule³.
- The public website is up to date, if applicable.
- To my best knowledge, the expenditure statements which are being submitted as part of this report are in line with the actual work carried out and are consistent with the report on the resources used for the CRP.
- All partners, in particular non-profit public bodies, secondary and higher education establishments, research organisations and SMEs, have declared to have verified their legal status. Any changes have been reported under section on CRP management.

Name of the Project Leader:

Date://

Signature of the Project Leader:

² If either of these boxes is ticked, the report should reflect these and any remedial actions taken.
³ If either of these boxes is ticked, the report should reflect these and any remedial actions taken.

1. Progress Report

1.1 Publishable summary

*This section should be of suitable quality to enable direct publication by the HERA JRP Handling Agency. Please ensure that it is set out and formatted so that it can be printed as a stand-alone paper document **not exceeding four pages**. It shall also reflect the website of the CRP (if applicable).*

Please include a summary description of the CRP objectives, a description of the work performed since the beginning of the CRP, a description of the main results achieved so far, the expected final results and their potential impact and use. You should update this publishable summary at the end of each reporting period.

Please include also, as appropriate, diagrams or photographs illustrating and promoting the work of the CRP, the CRP logo and relevant contact details.

The address of the CRP public website should also be indicated, if applicable.

1.2 CRP objectives for the period

Please provide an overview of the CRP objectives for the reporting period in question, as included in Annex II of the Acceptance of Grant Certificate (Description of Collaborative Research Project). These objectives are required so that this report is a stand-alone document. This section should not exceed one page.

Please include a summary of the recommendations from the previous reviews (if any) and indicate how these have been taken into account.

1.3 Work progress and achievements of the Individual Projects during the reporting period

*Please provide an overview of the progress of the work and significant results of each **Individual Project** (1 page max. per IP).*

1.4 Work progress and achievements of the CRP during the reporting period

Explain how the work undertaken in each Individual Project contributed to the CRP objectives and the completion of the CRP workplan.

If applicable, please explain of any deviations from the proposed timetable and workplan as well as the proposed remedial action to be taken.

Please explain any changes either in the research design or methodology.

Please add list of all completed outputs using the Table 1 below.

Table 1: CRP Outputs

Please list all the outputs due in this reporting period, as indicated in Annex II of the Acceptance of Grant Certificate (Description of Collaborative Research Project).

If an output has been cancelled or regrouped with another one, please indicate this in the column "Comments".

If a new output is proposed, please indicate this in the column "Comments".

This table is cumulative, that is, it should always show all outputs from the beginning of the CRP.

TABLE 1. CRP OUTPUTS						
Output no.	Output name	Lead partner	Delivery date	Delivered Yes/No	Actual / Forecast delivery date	Comments

1.5 CRP management

Please use this section to summarise management of the CRP activities during the reporting period (5 pages max.).

This section should include the following:

- 1.5.1 List of scientific & technical personnel involved in each Individual Project (Name, position, contract start/end dates; estimated percentage of work time dedicated to the programme. For PhD candidates please indicate whether they achieved their PhD within the reporting period). Please note changes in the consortium, if any. Please note any changes to the legal status of any of the partners.
- 1.5.2 Evaluation of collaboration and communication among the partners in this CRP and examples of the kind of exchanges among CRP members (ideas, technologies, tools, students), including joint publications (if any).
- 1.5.3 Problems which have occurred and how they were solved or envisaged solutions.
- 1.5.4 CRP consortium management tasks and achievements.
- 1.5.5 List of internal CRP meetings, dates and venues.
- 1.5.6 CRP planning and status.
- 1.5.7 Impact of possible foreseeable deviations from the planned timetable and work plan, if any.

1.6 CRP Impact: Dissemination, Networking and Knowledge Transfer

Please use this section to describe how the results of the CRP have been exploited and disseminated so far (5 pages max., excluding the tables).

- 1.6.1 Please provide a concise description of the **networking activities** (different from internal CRP networking) highlighting the most important ones for this CRP (in terms of outcome, impact, opportunities for trans-national collaborations and synergy with other European and international initiatives).
- 1.6.2 Please provide a list of **all publications** (peer reviewed articles, books, news articles, etc.) in the Table 2 below.

- 1.6.3 Please provide a list of all **dissemination** and **knowledge transfer activities** (appearances in media, exhibitions, websites, etc) undertaken by the CRP.
- 1.6.4 Please highlight the most useful **training activities** (workshops, courses or summer schools) undertaken in the framework of this CRP.
- 1.6.5 Please provide a concise description of **CRP contribution to the HERA JRP visibility**: What has this CRP done so far to promote the programme more actively and widely? Please, indicate the outcome and impact of the dissemination activities developed during this period.

Table 2: The list of scientific (peer reviewed) publications, starting with the most important ones

Please provide a list of all scientific (peer reviewed) publications relating to the foreground of the CRP, starting with the most important ones, in the table below.

TABLE 2: LIST OF SCIENTIFIC (PEER REVIEWED) PUBLICATIONS, STARTING WITH THE MOST IMPORTANT ONES										
NO.	Title	Main author	Title of the periodical or the series	Number, date or frequency	Publisher	Place of publication	Year of publication	Relevant pages	Permanent identifiers ⁴ (if available)	Is/Will open access ⁵ provided to this publication?
1	<i>Economic transformation in Hungary and Poland'</i>		<i>European Economy</i>	<i>No 43, March 1990</i>	<i>Office for Official Publications of the European Communities</i>	<i>Luxembourg</i>	<i>1990</i>	<i>pp. 151 - 167</i>		yes/no
2										
3										

⁴ A permanent identifier should be a persistent link to the published version (full text if open access or abstract if article is pay per view) or to the final manuscript accepted for publication (link to article in repository).

⁵ Open Access is defined as free of charge access for anyone via the internet. Please answer "yes" if the open access to the publication is already established and also if the embargo period for open access is not yet over but you intend to establish open access afterwards.

2. Financial report

In this section, please include a financial report of each Principal Investigator. The financial report should explain the use of resources, in particular highlighting and explaining any deviations from the CRP budget as presented in Annex II of the Acceptance of Grant Certificate (Description of Collaborative Research Project)

Please provide an explanation of employment costs, subcontracting, travel costs and any major costs incurred by each Principal Investigator, such as the purchase of important equipment or large consumable items.

There is no standard definition of "major direct cost items". CRP partners may specify these, according to the relative importance of the item compared to the total budget of the CRP, or as regards the individual value of the item. These costs can be listed in Table 3 below (one table per Principal Investigator):

Table 3: Major cost items for the reporting period

TABLE 3. MAJOR COST ITEMS FOR PRINCIPAL INVESTIGATOR (INSTERT FULL NAME AND INSTITUTION) FOR THE REPORTING PERIOD		
Item description	Amount	Explanations
Employment costs	235000 €*	<i>Salaries of 2 postdoctoral students for 18 months each*</i>
Dissemination	11000 €*	<i>Maintenance of the web site and printing of brochure*</i>
Travel	2550 €*	<i>Travel to the HERA JRP Launch Conference, 3 Principal Investigators*</i>
Major cost item 'Y'€*	
Remaining costs	15000€*	
TOTAL COSTS⁶ €*	

* The entries in italics are examples and purely for illustration

⁶ Total costs have to be coherent with the costs claimed in the expenditure statement

3. Expenditure statements and Summary Expenditure Statement

This section should include:

- 3.1 **A separate expenditure statement** from each Principal Investigator; and
- 3.2 **A summary expenditure statement** which consolidates the claimed HERA JRP contribution of all the CRP partners in an aggregate form, based on the information provided in expenditure statement by each Principal Investigator. This statement should be prepared by the Research Organisation of the Project Leader.

A scanned copy of each duly signed expenditure statement should be included in this section (signed originals to be sent in parallel by post).

TEMPLATES TO BE PROVIDED ON THE HERA JRP WEBSITE

B. GUIDANCE ON THE PREPARATION OF THE FINAL REPORT

The final report shall regroup in one single report both the final publishable report, describing the accomplishment of the goals of the CRP and its impact, and financial reporting.

It shall consist of sections described as follows:

- FRONT PAGE
- DECLARATION by the Project Leader regarding the authenticity of the information included in the annual report (Scanned copy of the declaration duly filled in and signed by the Project Leader, the original being sent separately by post)
- TABLE OF CONTENT with pagination

1. Final publishable report

- 1.7 Summary
- 1.8 CRP objectives
- 1.9 Achievements of the CRP
- 1.10 Achievements of the Individual Projects
- 1.11 CRP Management
- 1.12 CRP Impact: Dissemination, Networking and Knowledge Transfer

2. Financial reports from each Principal Investigator explaining the use of resources for the total duration of the CRP

3. Expenditure Statements from each Principal Investigator together with a summary Expenditure Statement consolidating the claimed HERA JRP contribution of all the Principal Investigators in an aggregate form based on the information provided by each Principal Investigator.

The content of each of these sections is described as follows

FRONT PAGE TEMPLATE

FINAL REPORT

CRP number:

CRP acronym:

CRP title:

Date of latest version of the Description of CRP against which the assessment will be made:

Annual report: 1st 2nd 3rd

Period covered: from _____ to _____

Name, title and organisation of the Project Leader:

Tel:

Fax:

E-mail:

Names, titles and organisations of the Principal Investigators:

CRP website⁷ address:

⁷ The home page of the website should contain the generic European flag and the FP7 logo which are available in electronic format at the Europa website (logo of the European flag: http://europa.eu/abc/symbols/emblem/index_en.htm ; logo of the 7th FP: http://ec.europa.eu/research/fp7/index_en.cfm?pg=logos). The home page of the website should also contain the HERA logo available in electronic format at the HERA website at www.heranet.info

Declaration by the Project Leader

I, as the Project Leader of this CRP and in line with the Terms and Conditions for the HERA JRP grants, declare that:

- The attached annual report represents an accurate description of the work carried out in this CRP for this reporting period;
- The CRP (tick as appropriate):
 - has fully achieved its objectives;
 - has achieved most of its objectives with relatively minor deviations⁸;
 - has failed to achieve critical objectives⁹.
- The public website is up to date, if applicable.
- To my best knowledge, the expenditure statements which are being submitted as part of this report are in line with the actual work carried out and are consistent with the report on the resources used for the CRP.
- All partners, in particular non-profit public bodies, secondary and higher education establishments, research organisations and SMEs, have declared to have verified their legal status. Any changes have been reported under section on CRP management.

Name of the Project Leader:

Date://

Signature of the Project Leader:

⁸ If either of these boxes is ticked, the report should reflect these and any remedial actions taken.
⁹ If either of these boxes is ticked, the report should reflect these and any remedial actions taken.

1. Final Publishable Report

This is a comprehensive summary of results, conclusions and the impacts of the CRP. The publishable report shall be formatted to be printed as a stand alone paper document and also to be put on the HERA JRP website. This report should address a wide audience, including the general public.

Please ensure that it:

- *Is of suitable quality to enable direct publication by the HERA JRP.*
- *Is comprehensive, and describes the work carried out to achieve the CRP objectives; the main results, conclusions and their potential impact and use (including the wider impact of the CRP). Please mention any target groups such as policy makers or civil society for whom the research could be relevant.*
- *Includes where appropriate, diagrams or photographs and the CRP logo, illustrating and promoting the work of the CRP.*
- *Provides the the address of the public Website of the CRP as well as relevant contact details.*

Please follow the structure outlined below.

1.1 Summary

*This section should be of suitable quality to enable direct publication by the HERA JRP Handling Agency. Please ensure that it is set out and formatted so that it can be printed as a stand-alone paper document **not exceeding 4 pages**.*

Please include a summary description of the CRP objectives, a description of the work performed, a description of the main results achieved and their potential impact and use (including the wider implications of the CRP).

Please include also, as appropriate, diagrams or photographs illustrating and promoting the work of the CRP, the CRP logo and relevant contact details.

The address of the CRP public website should also be indicated, if applicable.

1.2 CRP objectives

Please provide an overview of the main CRP objectives, as included in Annex II of the Acceptance of Grant Certificate (Description of Collaborative Research Project). These objectives are required so that this report is a stand-alone document. This section should not exceed one page.

1.3 Achievements of the CRP

Please provide a concise and clear description of the achievements obtained at CRP level, addressing the following issues (4-5 pages max.):

- 1.3.1 *Progress beyond the state-of-the-art: What would you highlight as the most innovative/original scientific contribution(s) of this CRP to the field of research?*
- 1.3.2 *Relevance to the Call: Among the achievements of this CRP, what is in your opinion the most relevant to the HERA JRP Programme Call for Proposals?*
- 1.3.3 *Please add list of all completed outputs using the Table 1 above.*

1.4 Achievements of the Individual Projects

*Please provide an overview of the main achievements of each **Individual Project** and their contribution to the CRP (2 pages max. per IP).*

1.5 CRP management

Please use this section to summarise management of the CRP activities during the reporting period (5 pages max.).

This section should include the following:

- 1.5.1 List of scientific & technical personnel involved in each Individual Project (Name, position, contract start/end dates; estimated percentage of work time dedicated to the programme. For PhD candidates please indicate whether they achieved their PhD within the CRP duration). Please note changes in the consortium, if any. Please note any changes to the legal status of any of the partners.
- 1.5.2 Evaluation of collaboration and communication among the partners in this CRP: How have the partners in this CRP been working together? Please, describe the kind of exchanges among CRP members (ideas, technologies, tools, students), including joint publications (if any).
- 1.5.3 European-added value: explain the added value of trans-national collaboration within your CRP (e. g. in terms of critical mass of expertise, scale and scope).
- 1.5.4 CRP consortium management tasks and achievements.
- 1.5.5 List of internal CRP meetings, dates and venues.

1.6 CRP Impact: Dissemination, Networking and Knowledge Transfer

Please use this section to describe how the results of the CRP have been exploited and disseminated so far (5 pages max., excluding the tables).

- 1.6.1 Please provide a concise description of the all **networking activities** (different from internal CRP networking) highlighting the most important ones for this CRP (in terms of outcome, impact, opportunities for trans-national collaborations and synergy with other European and international initiatives).
- 1.6.2 Please provide a list of **all publications** (peer reviewed articles, books, news articles, etc.) using Table 2 (please see above).
- 1.6.3 Please fill out the following questionnaire:

CRP Publications and Open Access	
1. How many articles were published/accepted for publication in peer-reviewed journals?	
2. To how many of these is open access ¹⁰ provided?	
1. How many of these are published in open access journals?	
2. How many of these are published in open repositories?	
3. To how many of the CRP publications is open access not provided?	
4. Please check all applicable reasons for not providing open access:	
<input type="checkbox"/> publisher's licensing agreement would not permit publishing in a repository <input type="checkbox"/> no suitable repository available <input type="checkbox"/> no suitable open access journal available <input type="checkbox"/> no funds available to publish in an open access journal <input type="checkbox"/> lack of time and resources <input type="checkbox"/> lack of information on open access <input type="checkbox"/> other:	

¹⁰ Open Access is defined as free of charge access for anyone via the internet.

- 1.6.4 Please provide a list of the main **dissemination** and **knowledge transfer activities** (appearances in media, exhibitions, websites, etc) undertaken by the CRP.
- 1.6.5 Please highlight the most useful **training activities** (workshops, courses or summer schools) undertaken in the framework of this CRP.
- 1.6.6 Please provide a concise description of **CRP contribution to the HERA JRP visibility**: What has this CRP done so far to promote the programme more actively and widely? Please, indicate the outcome and impact of the dissemination activities developed during this period.
- 1.6.7 Key contribution of this CRP to the HERA JRP Programme: How has the Programme benefited from this CRP? Please, provide one example that clearly illustrates your valuable input (whether scientific, networking, training and/or dissemination input).
- 1.6.8 Key contribution of the Programme to this CRP: How has your participation in the programme influenced your research (in terms of visibility, collaborations, opportunities, ideas)
- 1.6.9 Please provide details of the most important new initiatives (either within a national or an international context) that have been or will be developed as a result of the collaboration of this CRP and the HERA JRP.

2. Financial report

In this section, please include a financial report of each Principal Investigator for the total duration of the CRP. The financial report should explain the use of resources, in particular highlighting and explaining any deviations from the CRP budget as presented in Annex II of the Acceptance of Grant Certificate (Description of Collaborative Research Project)

Please provide an explanation of employment costs, subcontracting, travel costs and any major costs incurred by each Principal Investigator, such as the purchase of important equipment or large consumable items.

There is no standard definition of "major direct cost items". CRP partners may specify these, according to the relative importance of the item compared to the total budget of the CRP, or as regards the individual value of the item. These costs can be listed in Table 4 below (one table per Principal Investigator):

Table 4: Major cost items for the total duration of the CRP

TABLE 4. MAJOR COST ITEMS FOR PRINCIPAL INVESTIGATOR (INSERT FULL NAME AND INSTITUTION) FOR THE TOTAL DURATION OF THE CRP		
Item description	Amount	Explanations
Employment costs	235000 €*	<i>Salaries of 2 postdoctoral students for 18 months each*</i>
Dissemination	11000 €*	<i>Maintenance of the web site and printing of brochure*</i>
Travel	2550 €*	<i>Travel to the HERA JRP Launch Conference, 3 Principal Investigators*</i>
Major cost item 'Y'€*	
Remaining costs	15000€*	
TOTAL COSTS¹¹ €*	

* The entries in italics are examples and purely for illustration

¹¹ Total costs have to be coherent with the costs claimed in the expenditure statement

3. Expenditure statements and Summary Expenditure Statement

This section should include:

- 3.1 **A separate expenditure statement** from each Principal Investigator; and
- 3.2 **A summary expenditure statement** which consolidates the claimed HERA JRP contribution of all the CRP partners in an aggregate form, based on the information provided in expenditure statement by each Principal Investigator.

A scanned copy of each duly signed expenditure statement should be included in this section (signed originals to be sent in parallel by post).

TEMPLATES TO BE PROVIDED ON THE HERA JRP WEBSITE