

## ACCEPTANCE OF GRANT CERTIFICATE

TO BE COMPLETED BY THE RESEARCH ORGANISATION OF THE PROJECT LEADER AND RETURNED TO THE HANDLING AGENCY WITHIN 30 DAYS AFTER THE START OF THE GRANT

**CRP TITLE:** \_\_\_\_\_

**RESEARCH ORGANISATION:** \_\_\_\_\_

**PROJECT LEADER:** \_\_\_\_\_

***We accept the grant on the stated Terms and Conditions for HERA JRP Grants (ANNEX I)***

**START DATE OF THE GRANT:** \_\_\_\_\_

**END DATE OF THE GRANT:** \_\_\_\_\_

**NAME OF THE AUTHORISED REPRESENTATIVE:** \_\_\_\_\_

**TELEPHONE NUMBER:** \_\_\_\_\_

**EMAIL:** \_\_\_\_\_

**SIGNATURE BY AUTHORISED REPRESENTATIVE:** \_\_\_\_\_

**DATE OF SIGNATURE:** \_\_\_\_\_

**OFFICIAL STAMP OF THE RESEARCH ORGANISATION:**

**Please return this form to:**

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

**Annexes to this form:**

- ANNEX I: Terms and Conditions for the HERA JRP Grants
- ANNEX II: Description of Collaborative Research Project
- ANNEX III: Consortium Agreement
- ANNEX IV: Payment Request Form
- ANNEX V: Guidelines on reporting for HERA JRP Collaborative Research Projects

## **ANNEX I: TERMS AND CONDITIONS FOR THE HERA JRP GRANTS**

These terms and conditions relate to grants awarded by the HERA Joint Research Programme (HERA JRP).

**HERA JRP Collaborative Research Project (CRP)** is a transnational research project, involving at least three eligible researchers each based in a different country, selected for funding in the framework of the HERA Joint Research Programme.

**HERA JRP Handling Agency** is the European Science Foundation which is responsible for the management of the HERA Joint Research Programme.

**Principal Investigator** is a researcher who is involved in a CRP and is responsible for leading CRP-related activities at his/her institute.

**Project Leader** is one of the Principal Investigators acting as the leader of the CRP.

**Research Organisation** is the host institution of the Principal Investigator acting as Project Leader to which the grant is awarded, which distributes the funds to the CRP partners, and which takes responsibility for the completion and management of the HERA-CRP and the accountability of funds provided.

### **Responsibilities of the Project Leader**

- Project Leader is the contact point for the HERA JRP Handling Agency and is responsible for communication with the other Principal Investigators.
- Project Leader is responsible for the research agenda and coherence as well as all reporting duties pertaining to the CRP funded within the context of the HERA JRP.
- The Project Leader is member of the Research Steering Committee (RSC), which comprises Project Leaders of funded projects and possibly external research experts. RSC provides research guidance and coordination and initiates research networking, dissemination and knowledge transfer activities for the HERA JRP.

### **Responsibilities of the Research Organisation**

- The Research Organisation must ensure that the research is organised and undertaken within a framework of best practice that recognises the various factors that may influence or impact on a research project. HERA JRP expects research to be conducted in accordance with the highest standards of scientific integrity and research methodology. Particular requirements are to ensure that all necessary permissions are obtained before the research begins, and that there is clarity of role and responsibility among the research team and with any collaborators. The Research Organisation is required to sign a Consortium Agreement with the partners of the Collaborative Research Project.
- The Research Organisation must ensure that the Project Leader is made aware of his/her responsibilities and that he/she observes the terms and conditions of the HERA JRP research grants.
- The Research Organisation must ensure that the research supported by the grant complies with all relevant national legislation, including that introduced while work is in progress. This requirement includes approval or licence from any regulatory body that may be required before the research can commence.
- The Research Organisation is recommended to adopt the principles, standards and good practice for the management of research staff set out in the 'European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers'.
- The Research Organisation must notify the HERA JRP Handling Agency of any change in its status, or that of any of the investigators, that might affect the eligibility to hold a research grant.
- The Research Organisation is responsible for the transfer of the CRP budget to the host institutions of the other Principal Investigators.
- The Research Organisation is responsible for the proper financial management of the research grant and accountable for the use of public funds in line with national regulations.

### **Duration and start date of the project**

The start date of the CRP will be the date on the *Acceptance of Grant Certificate*.

The CRP must start by **15 June 2010** and are expected to end by **30 June 2013**. Only where national university regulations require (e.g. in case of the Ph.D. programme duration), the CRP may exceptionally end by 1 September 2013.

Submission of the *Acceptance of Grant Certificate* is required **within 30 days after the start date of the grant**. The Acceptance of Grant Certificate includes the following annexes, which form the integral part of this Certificate:

ANNEX I:	Terms and Conditions the HERA JRP Grants
ANNEX II:	Description of Collaborative Research Project
ANNEX III:	Consortium Agreement
ANNEX IV:	Payment Request Form
ANNEX V:	Guidelines on reporting for HERA JRP Collaborative Research Projects

### **Changes in CRP**

The Project Leader must inform the HERA JRP Handling Agency, in writing and without delay, in the event of any major change in the CRP, such as the change of a Project Leader, removal of one or more Principal Investigators, major changes in the budget, or a failure to gain access to research facilities and services, particularly those which make it unlikely that the objectives of the research can be achieved. If appropriate, the Handling Agency may request the Project Leader to submit a written request for the modification and a revised proposal, which would be forwarded to the HERA JRP Board for approval. The HERA JRP Board will approve or reject the request within 45 days of receipt of such a request. In case of major changes affecting the feasibility of the CRP, the HERA JRP Board reserves the right to revise, retain or terminate the existing grant.

- **Delay in the start of the CRP activities**

The start of the CRP activities may for justified reasons be delayed by up to three months from the start date of the grant shown in *Acceptance of Grant Certificate*, the duration of the grant remaining unchanged. The Project Leader must provide a written justification of such delay to the Handling Agency. If the CRP activities do not within the three months from the start date of the grant, the HERA JRP Board may consider terminating the grant.

- **Extension of the total Grant duration**

After the grant has started, its total duration may be extended by a total of up to three months, subject to prior written approval by the HERA JRP Handling Agency. Extensions may cover breaks or delays in the appointment of staff, periods of maternity leave or paid sick leave exceeding three months for staff funded by the grant, or other exceptional circumstances with the agreement of HERA JRP. Requests for extensions should be made as soon as the requirement is identified and confirmed when the period required is known. All requests for extensions must be made before the grant ends and should be directed to the HERA JRP Handling Agency.

Regardless of what is said above, projects cannot under any circumstances be extended beyond 30<sup>th</sup> June 2013.

- **Transfer of Grant**

The HERA JRP acts in accordance with the principle of 'Money Follows researcher'. The Research Organisation must inform the HERA JRP Handling Agency in writing if the Project Leader or any Principal Investigator intends to transfer to a different organisation. If this organisation is eligible to hold research grants according to the HERA JRP eligibility rules, and is able to provide a suitable environment to enable the project to be successfully completed, the grant will be transferred with the Project Leader or the Principal Investigator. Written agreement to this is required from both the relinquishing and receiving organisations as well as approval must be granted by the HERA JRP Board. As with other requests for modifications in CRP, the HERA JRP Board will approve or reject the request within 45 days of the receipt of such a request.

The HERA JRP Board will wish to be assured that satisfactory arrangements have been agreed that will enable the project to be successfully completed, or to continue, in accordance with its research objectives. If suitable arrangements cannot be agreed, the HERA JRP Board will consider terminating the grant.

Where there is a basis for continuing involvement by the relinquishing organisation, agreement should be reached between both organisations on the apportionment of work and the distribution of related funding.

Research Grants will not be re-costed following transfer. The unspent balance of the grant will be transferred to the new Research Organisation. The receiving organisation will be required to confirm, by return of the *Acceptance of Grant Certificate*, that it will provide any balance of resources needed to complete the project.

### Reporting Requirements

A. The Research Organisation must submit **an annual report** following the HERA JRP Guidelines on reporting (ANNEX V) and according to the following schedule:

**1 April 2011: 1<sup>st</sup> Annual Report**

**1 April 2012: 2<sup>nd</sup> 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 must submit **a final report** to the 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 project.
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.

### Approval of Reports

The HERA JRP Handling Agency receives and transmits the reports to the HERA JRP Review Panel for their comments on the overall scientific progress of the CRPs. The financial reports and expenditure statements will be checked by the HERA JRP Handling Agency.

The Handling Agency will then transmit the reports, the Review Panel's comments and the Handling Agency's comments to the HERA JRP Board. The decision of the HERA JRP Board will be communicated to the Project Leader at the latest 45 days after the receipt of the report by the Handling Agency.

The HERA JRP Board may:

- approve the report and proceed with the following payment.
- suspend the approval process and the following payment, if the report is incomplete, if some clarification or additional information is needed or if there are doubts concerning the eligibility of costs claimed in the expenditure statement. The HERA JRP Handling Agency will inform the Project Leader in writing of any such suspension and the conditions to be met for the lifting of the suspension. Suspension will take effect on the date when the notice is sent by the HERA JRP Handling Agency. The suspension will be lifted on the date when the conditions are met, and the HERA JRP Board decision will be communicated to the Project Leader at the latest 45 days after that date.
- reject the report by giving an appropriate justification (e.g. if the work carried out does not comply with the workplan described in Annex II to *Acceptance of Grant Certificate*) and, if appropriate, terminate the grant.

HERA JRP Handling Agency reserves the right to call for periodic information on progress or to visit the Project Leader and/or Principal Investigators as well as the right to request the Research Organisation to submit an expenditure statement at any time during the course of the grant, or to provide supplementary information in support of the annual or final expenditure statement.

### **Payment of Grant**

Any payment is subject to the approval of the reports and the receipt by the HERA JRP Handling Agency of the Payment Request from the Research Organisation sent together with the annual and final reports. The Payment Request for the 1st payment is required within 30 days after the start date of the grant.

Any payment is also subject to the availability of funds provided to the Handling Agency through the HERA JRP Grant Agreement with the European Commission and the Memoranda of Understanding with the HERA JRP Funding Agencies.

The HERA JRP Handling Agency will make annual payments of the grant to the Research Organisation according to the following timetable:

**1st payment** within 60 days of the Start Date: 40 % of the total grant

**2nd payment** on **15 June 2011**: 20 % of the total grant, within 30 days after the approval of the annual report

**3rd payment** on **15 June 2012**: 20 % of the total grant, within 30 days after the approval of the annual report

**Final payment**: 20% of the total grant, within 30 days after the approval of the final report

**All payments will be made in euro.**

### **Sanctions**

The HERA JRP Board may terminate the grant, if the reports are rejected by the HERA JRP Board or are not submitted before the required deadline. The HERA JRP Board will duly notify the Project Leader of any such decision via the HERA JRP Handling Agency.

If the final report is not received within the period allowed, the HERA JRP may withhold 20 % of expenditure incurred on the grant. All payments made by the HERA JRP may be recovered if the final report is not received within six months of the end of the grant.

The recipient of the HERA JRP grant shall without delay return to the HERA JRP Handling Agency any grant, or any portion of the grant, received erroneously, in excess, or evidently without grounds. If the amount to be returned does not exceed 10 euros, it need not be returned.

### **Use of Funds**

The grant may be used to meet research costs that are considered eligible by the respective national funding agencies, and in accordance with the budget of the CRP as described in ANNEX II – Description of Collaborative Research Project. Under no circumstances may the grant be used to meet costs incurred by any other projects or activities.

Expenditure may only be charged to the grant if it was incurred during the lifespan of the grant, i.e. in the time period between the start date of the grant and before the end date of the grant, as noted on the *Acceptance of Grant Certificate*.

### **Procurement, ownership and use of Equipment**

The procurement of equipment, consumables and services, including maintenance, must comply with all relevant national and EU legislation and the Research Organisation's own financial policy and procedures.

Equipment purchased from grant funds is primarily for use on the research project for which the research grant was awarded, and belongs to the Research Organisation. Any proposal to transfer ownership of the equipment during the period of the grant is subject to prior approval by the HERA JRP Board. After the research has ended, the Research Organisation is free to use the equipment without reference to the HERA JRP, but it is nevertheless expected to maintain it for research purposes as long as is practicable.

### **Audits**

HERA JRP Handling Agency, the HERA JRP funding agencies and the European Commission reserve the right to have reasonable access to audit the records and financial procedures associated with research grants or to appoint any other body or individual for the purpose of such audits.

The Research Organisation must, if required by the HERA JRP, provide a statement of accounts for the grant, independently examined by an auditor who is a member of a recognised professional body,

certifying that the expenditure has been incurred in accordance with these terms and conditions and the applicable national funding rules.

### **Participation in the HERA JRP Networking and Knowledge Transfer activities**

The Research Organisation shall ensure that the Project Leader makes all reasonable efforts to participate in the networking and knowledge transfer activities of the HERA JRP. These activities may include attending meetings of the Research Steering Committee, workshops and conferences to exchange information and ideas with other CRPs in the HERA JRP Programme.

The Research Organisation shall ensure that the Project Leader makes all reasonable efforts, if so invited, to attend events or activities organised by HERA JRP concerning the research undertaken, even if such events are held after a grant has finished.

### **Consortium Agreement**

The Research Organisation is required to submit a signed Consortium Agreement to the Handling Agency at least two weeks before the start of the grant. The Consortium Agreement shall form Annex III to the *Acceptance of Grant Certificate* and will define the management structure of the CRP and the roles and responsibilities of the Project Leader and Principal Investigators, financial provisions including the payment structure, as well as the management of the Intellectual Property Rights.

The European Commission's Checklist for a Consortium Agreement for FP7 projects can be consulted for general guidance on the issues to be covered in CA ([ftp://ftp.cordis.europa.eu/pub/fp7/docs/checklist\\_en.pdf](ftp://ftp.cordis.europa.eu/pub/fp7/docs/checklist_en.pdf)).

### **Intellectual Property Rights (IPR)**

The arrangements for the handling of IPR must be in place in the Consortium Agreement (see above). It is expected that the results obtained by the CRPs supported under this Programme will be placed in the public domain.

HERA JRP conditions with respect to IPR are to be considered equal to those for all collaborative projects funded by the European Commission under FP7 ([ftp://ftp.cordis.europa.eu/pub/fp7/docs/ipr\\_en.pdf](ftp://ftp.cordis.europa.eu/pub/fp7/docs/ipr_en.pdf)).

### **Publication and Acknowledgement of Support**

The Project Leader should, subject to the procedures laid down by the Research Organisation, publish the results of the research.

Research Organisation should ensure that an electronic copy of the published version, or the final manuscript accepted for publication of a scientific publication, relating to foreground published before or after the final report, is placed in an institutional or subject-based repository at the moment of publication.

Research Organisation is required to make its best efforts to ensure that this electronic copy becomes freely and electronically available to anyone through this repository

- immediately, if the scientific publication is published "open access", i.e. if an electronic version is also available free of charge via the publisher, or
- within 12 months of publication.

Publications and other forms of media communication, including media appearances, press releases and conferences, must acknowledge the support received from the HERA JRP.

### **Public Engagement**

It is the responsibility of the Research Organisation and the Project Leader to actively communicate the research to the public at both local and national level, and to raise awareness of the role of science and research in any related issues of public interest. Project Leader should encourage other Principal Investigators as well as the Ph.D. students and post-docs involved in the CRP to actively communicate the research to the public.

### **Research Ethics**

The Research Organisation is responsible for ensuring that ethical issues relating to the research project are identified and brought to the attention of the relevant approval or regulatory body. Approval to undertake the research must be granted before any work requiring approval begins. Ethical issues should be interpreted broadly and may encompass, among other things, the involvement of human participants in research, the use of animals, research that may result in damage to the environment and the use of sensitive economic, social or personal data.

## **Health and Safety**

The Research Organisation is responsible for ensuring that a safe working environment is provided for all individuals associated with a research project. Its approach and policy on health and safety matters must meet all regulatory and legislative requirements and be consistent with best practice. The Research Organisation must satisfy itself that all reasonable health and safety factors are addressed.

## **Misconduct and Conflicts of Interest**

The Research Organisation is required to have in place procedures for governing good research practice that meet the requirements of the national guidance on good practice. The Research Organisation must ensure that there are reliable systems and processes in place for the prevention of research misconduct e.g. plagiarism, falsification of data, together with well-defined and clearly-publicised arrangements for investigating and resolving allegations of misconduct. Where an allegation of misconduct arises in respect of a researcher supported by a research grant, the HERA JRP Handling Agency must be informed immediately and notified of the outcome of any investigation.

The Research Organisation must ensure that potential conflicts of interest in research are declared and subsequently managed.

## **Disclaimer**

The HERA JRP accepts no liability, financial or otherwise, for expenditure or liability arising from the research funded by the research grant, except as set out in these terms and conditions, or otherwise agreed in writing.

In case of serious misconduct, the HERA JRP reserves the right to terminate the grant at any time, subject to a notice of six months and to any payment that may be necessary to cover outstanding and unavoidable commitments.

If a grant is terminated, no liability for payment or redundancy or any other compensatory payment for the dismissal of staff funded by the grant will be accepted, but, subject to the provisions of **Expenditure Statements**, negotiations will be held with regard to other contractual commitments and concerning the disposal of assets acquired under the research grant.

## **Status**

These terms and conditions will be governed by the laws of France. All matters relating to the terms and conditions will be subject to the exclusive jurisdiction of the courts of France.

If any provision of these terms and conditions is found by a court or other legitimate body to be illegal, invalid or unreasonable, it will not affect the remaining terms and conditions which will continue in force.



## **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: 1<sup>st</sup> Annual Report**

**1 April 2012: 2<sup>nd</sup> 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](mailto: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](mailto: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
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## 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:** 1<sup>st</sup>  2<sup>nd</sup>  3<sup>rd</sup>

**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 website<sup>1</sup> address:**

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<sup>1</sup> 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](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](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](http://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 deviations<sup>2</sup>;
  - has failed to achieve critical objectives and/or is not at all on schedule<sup>3</sup>.
- 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: .....

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

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

## **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 <sup>4</sup> (if available)	Is/Will open access <sup>5</sup> 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										

<sup>4</sup> 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).

<sup>5</sup> 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**

<b>TABLE 3. MAJOR COST ITEMS FOR PRINCIPAL INVESTIGATOR (INSTERT FULL NAME AND INSTITUTION) FOR THE REPORTING PERIOD</b>		
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€*	
<b>TOTAL COSTS<sup>6</sup></b>	<b>.... €*</b>	

\* The entries in italics are examples and purely for illustration

<sup>6</sup> 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
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## 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:** 1<sup>st</sup>  2<sup>nd</sup>  3<sup>rd</sup>

**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 website<sup>7</sup> address:**

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<sup>7</sup> 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](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](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](http://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 deviations<sup>8</sup>;
  - has failed to achieve critical objectives<sup>9</sup>.
- 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: .....

<sup>8</sup> If either of these boxes is ticked, the report should reflect these and any remedial actions taken.  
<sup>9</sup> 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 3 (please see above).
- 1.6.3 Please fill out the following questionnaire:

CRP Publications and Open Access	
<b>1. How many articles were published/accepted for publication in peer-reviewed journals?</b>	
<b>2. To how many of these is open access<sup>10</sup> provided?</b>	
<b>1. How many of these are published in open access journals?</b>	
<b>2. How many of these are published in open repositories?</b>	
<b>3. To how many of the CRP publications is open access not provided?</b>	
<b>4. Please check all applicable reasons for not providing open access:</b>	
<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: .....	

<sup>10</sup> 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**

<b>TABLE 2. MAJOR COST ITEMS FOR PRINCIPAL INVESTIGATOR (INSERT FULL NAME AND INSTITUTION)</b>		
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€*	
<b>TOTAL COSTS<sup>11</sup></b>	<b>.... €*</b>	

\* The entries in italics are examples and purely for illustration

<sup>11</sup> 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