UNIVERSITY OF CAMBRIDGE

ERC reporting in FP7

June 2014

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Research Operations

ERC Reporting Requirements

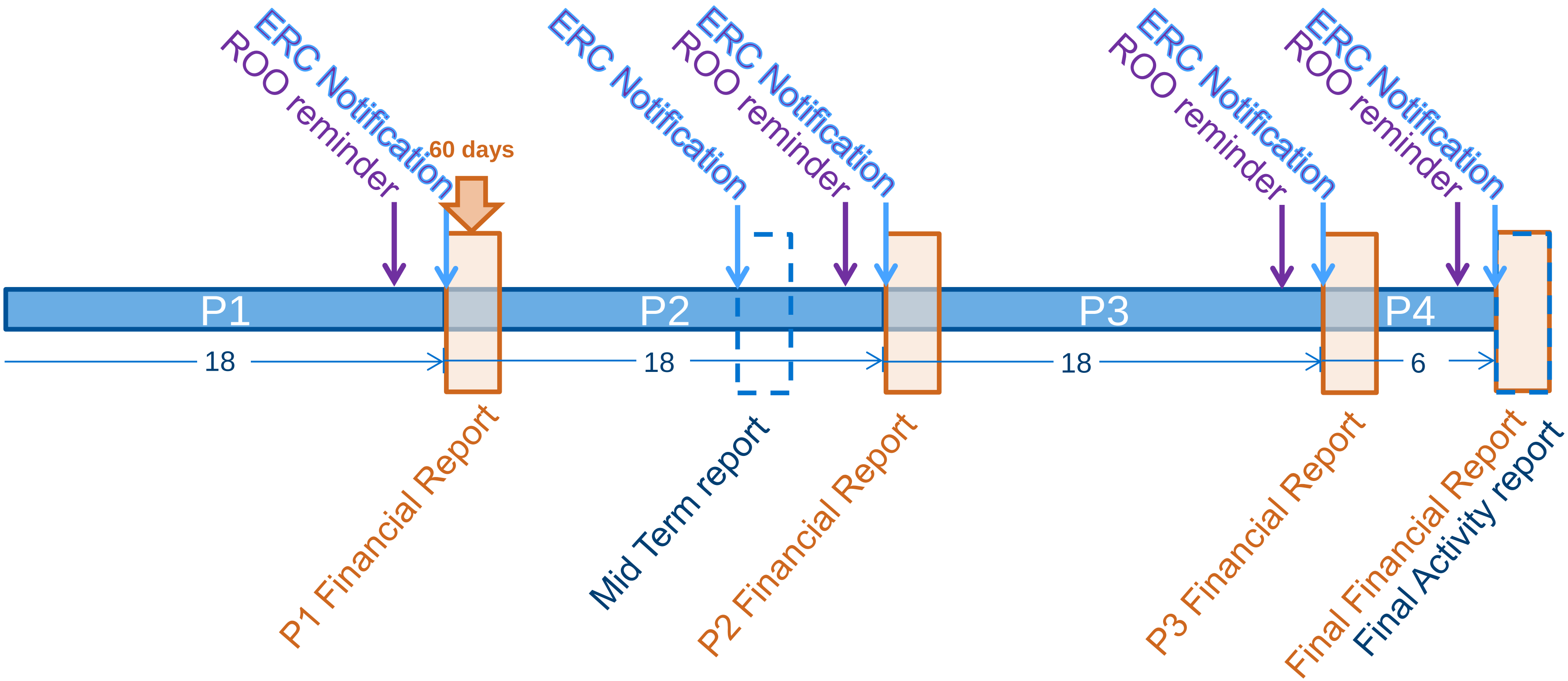
Activity reports

- Completed at the mid-way and end point of the grant (usually months 30 and 60)

Financial reports

- Completed at the end of each financial period (usually every 18 months).
- Financial report includes:-
  - ***Form C*** *– one Form C is completed by each institution on the project for each reporting period. Produced by ROO using information provided by Department.*
  - ***Budget Breakdown Tables*** *– based on template provided by ERC. Completed by PI and Department, with assistance from ROO as needed.*
  - ***Financial Report*** *– compiled by PI/Research team in collaboration with Department and ROO as necessary.*
  - ***Certificate on Financial Statements*** *– only required if expenditure reaches a minimum of €375,000. Produced by Auditors following completion of audit.*

ERC Reporting – timeline



* 60 day deadline for submitting reports to ERC

ERC Reporting - schedule

Day 1

PI preparing report narrative

Day 60

Notification	• Reminder sent to PI by Bethan in the ROO 15 days before end of period • Official notification from ERC around 1st working day after end of period
Form C Prep	• ROO asks Department to confirm costs and then produces billing report detailing costs to be included in Form C draft within 1 working week of the period ending.
Audit	• Files passed to Auditors on 20th working day after the period ends. • **Auditors review finances, liaising with Department on any queries.**
Budget Finalisation	• Once audit queries have been resolved, ROO finalises Form Cs and confirms final figures to be used in the Budget Breakdown Tables for the period. • Department and PI complete Budget Breakdown and Forecast Tables.
Submission	• ROO liaises with ERC on final draft and seeks approval from ERC to submit • Report narrative and budget breakdown tables submitted through Participant Portal

ERC Reporting – Responsibilities

Research Office

- Producing Form C draft and finalisation
- Preparing documentation for Auditors
- Assisting Department and PI with Budget Breakdown Tables if needed
- Liaise with ERC on final report submission

Department

- Ensuring all costs are on grant in good time and in correct categories – particularly staff/PI time.
- Liaising with Auditors during audit and respond to any queries
- Working with PI on Budget Breakdown Tables

PI

- Ensuring time sheets and other financial details are provided to Department in good time
- Preparing the narrative for the Financial report
- Liaising with Department on the Budget Breakdown Tables or the ROO directly

Information needed by the ROO

Information required from the Department	Information source
• Staff effort – time commitments • Equipment costs • Travel costs • Consumables costs • Other costs • Publication costs • Subcontracting costs • Details about facilities costs	• Time sheets • Travel Claims • UFS comments • PI/Research Team

ERC Reporting – FORM C

- Form Cs are completed by the ROO once the figures are confirmed by Department and following Audit (as necessary).
- Submitted through Participant Portal by ROO.
- Figures reported in Budget Breakdown Tables should match Form Cs *exactly* (to the last cent!)
- When completing Budget Breakdown Tables remember to use the precise exchange rate provided by the ROO as this will be the rate used to calculate the figures for the Form C.
- Remember to use the Billing Report/Cognos Report provided by the ROO to calculate the figures which should be used to complete the Budget Breakdown Tables – running other billing/expenditure reports from CUFS may use different parameters and will therefore introduce errors.
- An adjustment Form C for costs incurred in a previous period may be required. These costs will be calculated using the exchange rate from the period in question, not the current period.

FP7 - Grant Agreement - Annex IV - Support for frontier research (ERC)

Financial Statement (to be filled in by each beneficiary)

Project nr.	341137	Funding scheme	Support for frontier research (ERC)
Project Acronym	DISCSIM		
Period from	01/02/2014	Is this an adjustment to a previous statement?	No
To	31/07/2015		
Legal Name	THE CHANCELLOR, MASTERS AND SCHOLARS OF THE UNIVERSITY OF CAMBRIDGE	Participant Identity Code	999977172
Organisation short Name	UCAM	Beneficiary nr.	1
Funding % for RTD activities (A)	N/A	If flat rate for indirect costs, specify %	

1. Declaration of eligible costs/lump sum/flat rate/scale of unit (in €)

	Total
Personnel costs	0.00
Subcontracting	0.00
Other direct costs	0.00
Indirect costs	
Lump sums/flat rate/scale of unit declared	0.00
Total	0.00
Maximum EU contribution	0.00
Requested EU contribution	0.00

2. Declaration of receipts

Did you receive any financial transfers or contributions in kind, free of charge from third parties or did the project generate any income which could be considered a receipt according to Art.II.17 of the grant agreement? No

If yes, please mention the amount (in €)

3. Declaration of interest yielded by the pre-financing *(to be completed only by the coordinator)*

Did the pre-financing you received generate any interest until 31/12/2012 according to Art.II.19? No

If yes, please mention the amount (in €)

4. Certificate on the methodology

Do you declare average personnel costs according to Art.II.14.1? No

Is there a certificate on the methodology provided by an independent auditor and accepted by the Commission according to Art.II.4.4? No

Name of the auditor		Cost of the certificate (in €), if charged under this project	

5. Certificate on the financial statements

Is there a certificate on the financial statements provided by an independent auditor attached to this financial statement according to Art.II.4.4? No

Name of the auditor		Cost of the certificate (in €)	

6. Beneficiary's declaration on their honour

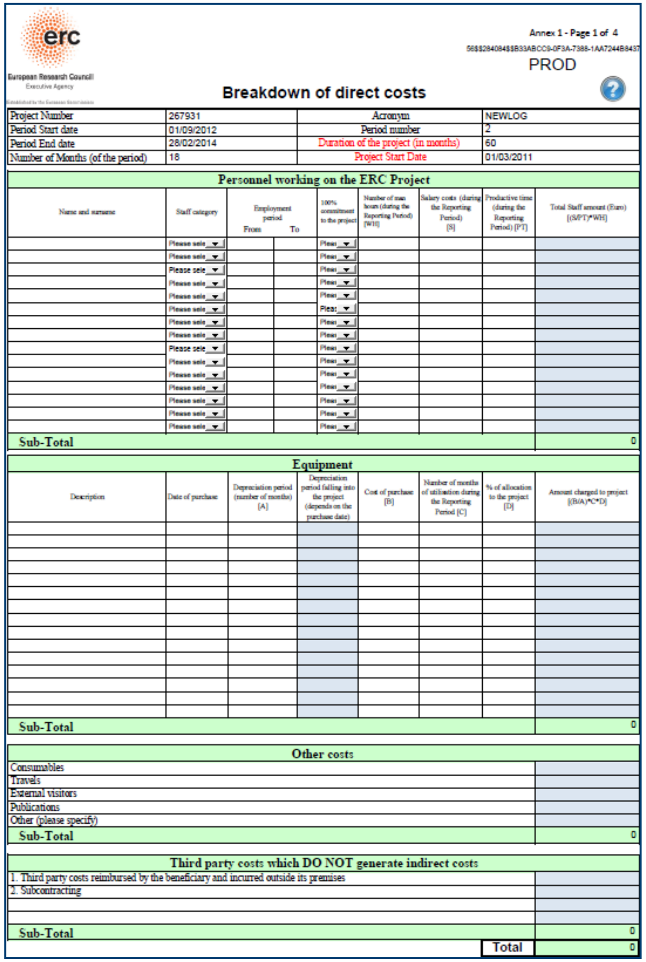
We declare on our honour that:

- the costs declared above are directly related to the resources used to attain the objectives of the project and fall within the definition of eligible costs specified in Articles II.14 and II.15 of the grant agreement, and, if relevant, Annex III and article 7 (special clauses) of the grant agreement;
- the receipts declared above are the only financial transfers or contributions in kind, free of charge, from third parties and the only income generated by the project which could be considered as receipts according to Art.II.17 of the grant agreement;
- the interest declared above is the only interest yielded by the pre-financing until 31/12/2012 which falls within the definition of Art.II.19 of the grant agreement;
- there is full supporting documentation to justify the information hereby declared. It will be made available at the request of the European Union and in the event of an audit by the European Union and/or by the Court of Auditors and/or their authorised representatives.

Beneficiary's Stamp	Name of the Person(s) Authorised to sign this Financial Statement
	Date & signature

DRAFT

ERC Reporting – Budget Breakdown Tables (1)



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PROD

Breakdown of direct costs

Project Number	267931	Acronym	NEWLOG
Period Start date	01/09/2012	Period number	2
Period End date	28/02/2014	Duration of the project (in months)	60
Number of Months (of the period)	18	Project Start Date	01/03/2011

Personnel working on the ERC Project

Name and surname	Staff category	Employment period From	Employment period To	100% commitment to the project	Number of man hours (during the Reporting Period) [WH]	Salary costs (during the Reporting Period) [S]	Productive time (during the Reporting Period) [PT]	Total Staff amount (Euro) [(S/PT)*WH]
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	Please sele			Pleas				
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	Please sele			Pleas				
	Please sele			Pleas				
	Please sele			Pleas				
Sub-Total								0

Equipment

Description	Date of purchase	Depreciation period (number of months) [A]	Depreciation period falling into the project (depends on the purchase date)	Cost of purchase [B]	Number of months of utilisation during the Reporting Period [C]	% of allocation to the project [D]	Amount charged to project [(B/A)*C*D]
Sub-Total							0

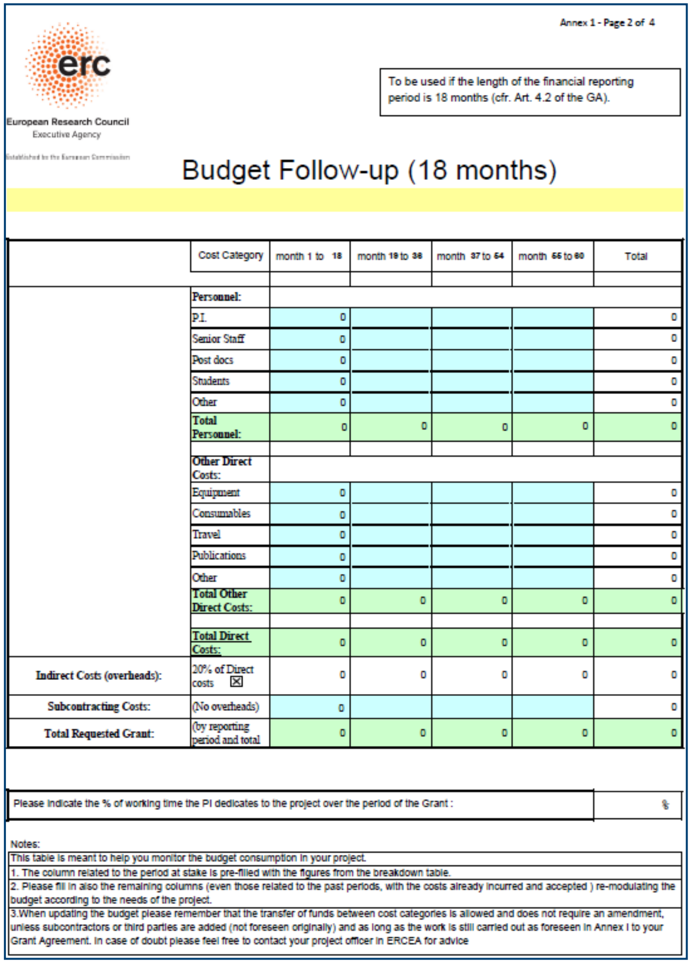
Other costs

Consumables	
Travels	
External visitors	
Publications	
Other (please specify)	
Sub-Total	0

Third party costs which DO NOT generate indirect costs

1. Third party costs reimbursed by the beneficiary and incurred outside its premises	
2. Subcontracting	
Sub-Total	0
Total	0

- Editable PDF sent to PI by ERC Project Officer
- First two pages are usually all that is required (other pages include space for extra staff members and equipment)
- Tables include cells that need final figures to be manually entered along with cells that automatically complete based on calculations using data entered in to other cells.



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To be used if the length of the financial reporting period is 18 months (cfr. Art. 4.2 of the GA).

Budget Follow-up (18 months)

	Cost Category	month 1 to 18	month 19 to 36	month 37 to 54	month 55 to 60	Total
	Personnel:					
	P.I.	0				0
	Senior Staff	0				0
	Post docs	0				0
	Students	0				0
	Other	0				0
	Total Personnel:	0	0	0	0	0
	Other Direct Costs:					
	Equipment	0				0
	Consumables	0				0
	Travel	0				0
	Publications	0				0
	Other	0				0
	Total Other Direct Costs:	0	0	0	0	0
	Total Direct Costs:	0	0	0	0	0
Indirect Costs (overheads):	20% of Direct costs ☒	0	0	0	0	0
Subcontracting Costs:	(No overheads)	0				0
Total Requested Grant:	(by reporting period and total	0	0	0	0	0

Please indicate the % of working time the PI dedicates to the project over the period of the Grant :	%

Notes:
This table is meant to help you monitor the budget consumption in your project.
1. The column related to the period at stake is pre-filled with the figures from the breakdown table.
2. Please fill in also the remaining columns (even those related to the past periods, with the costs already incurred and accepted) re-modulating the budget according to the needs of the project.
3.When updating the budget please remember that the transfer of funds between cost categories is allowed and does not require an amendment, unless subcontractors or third parties are added (not foreseen originally) and as long as the work is still carried out as foreseen in Annex I to your Grant Agreement. In case of doubt please feel free to contact your project officer in ERCEA for advice

ERC Reporting – Budget Breakdown Tables (2)

Personnel

If Team Member works 100% on grant then you can enter their total staff costs in the end column **

If Team Member works less than 100% on grant you need to complete the following columns and their total staff amount will be automatically calculated in end column

Enter Staff Names

Select Staff Category e.g. PI, Post Doc, Senior Staff, Student, Other

Enter dates of employment –only costs incurred in the current period can be claimed, these dates should only be within the Period Start/End date (shown in red boxes above) ,even if person is employed for longer

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Breakdown of direct costs

Project Number	267931	Acronym	NEWLOG
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Period End date	28/02/2014	Duration of the project (in months)	60
Number of Months (of the period)	18	Project Start Date	01/03/2011

Personnel working on the ERC Project

Name and surname	Staff category	Employment period From	Employment period To	100% commitment to the project	Number of man hours (during the Reporting Period) [WH]	Salary costs (during the Reporting Period) [S]	Productive time (during the Reporting Period) [PT]	Total Staff amount (Euro) [(S/PT)*WH]
	Please select			Yes				
	Please select			Yes				
	Please select			Yes				
	Please select			Yes				
	Please select			Yes				
	Please select			Yes				
	Please select			Yes				
	Please select			Yes				
	Please select			No				
	Please select			Yes				
	Please select			Yes				
	Please select			Yes				
	Please select			Yes				
	Please select			Yes				
	Please select			Yes				
Sub-Total								0.00 €

Total Personnel costs should match the Form C *exactly*

If completing the staff time columns, use time sheets to get following information:-

- Column 1 - Number of **hours dedicated to the project** [WH]
- Column 2 – **Total cost of person's employment** (salary + on-costs) for the period, irrespective of where this was paid from [S]
- Column 3 –**Total number of hours worked** in the period, irrespective of whether this was on the project or on other things [PT]

This should then calculate total staff cost charged to the project

**Note: if a staff member is only employed part-time but spends all of their time on the project then they are considered as being '100% committed to the project', even though they're employed only part-time.

ERC Reporting – Budget Breakdown Tables (3)

Equipment

Enter the total number of months over which the item is being depreciated (normally 48)

Convert original purchase price using **current exchange rate** – while this suggests the purchase price is fluctuating, it's the only way we can handle exchange rate differences

If item is used solely by the project, enter 100%. If cost of item is to be partially covered from elsewhere, indicate % to be charged to this grant.

Make sure the description clearly links to the narrative in the report

Date of purchase is normally within reporting period. When an item is being depreciated this should be the first day of the financial year during which the item was purchased.

Equipment							
Description	Date of purchase	Depreciation period (number of months) [A]	Depreciation period falling into the project (depends on the purchase date)	Cost of purchase [B]	Number of months of utilisation during the Reporting Period [C]	% of allocation to the project [D]	Amount charged to project [(B/A)*C*D]
Sub-Total							0.00 €

If depreciation is not being applied, enter full cost of item in final column.

If depreciation is being applied, this column will complete automatically based on details entered in other columns.

This column completes available automatically based on purchase date and total depreciation period – gives number of months within project duration available for depreciation

Enter the number of months over which the item is being **depreciated within this period** (normally 18)

**Note: Depreciation only applies to equipment costing >£30,000 and can be back-dated to the start of the financial year in which the piece of equipment was purchased or the start date of the project, as appropriate.

ERC Reporting – Budget Breakdown Tables (4)

Other costs and subcontracting

Please include brief description of what is included in the 'Other' category

Enter total figures for other cost categories. Remember, you may need to go through the billing report to extract these figures from Other/Misc or Other/Consumable categories in CUFS

Other costs	
Consumables	
Travels	
External visitors	
Publications	
Other (please specify)	
Sub-Total	0.00 €

Third party costs which DO NOT generate indirect costs	
1. Third party costs reimbursed by the beneficiary and incurred outside its premises	
2. Subcontracting	
Sub-Total	0.00 €
Total	0.00 €

Include Audit costs and any other 'Subcontracting' costs in this field. Please note: If you wish to include 'Subcontracting' costs that were not envisaged in the original Description of Work, a full amendment to the Grant Agreement will be required and you will need to speak to your Project Officer before submitting the report.

Total costs should match the total for 'Personnel', 'Other Direct Costs' and 'Subcontracting' as shown in the Form C.

ERC Reporting – Budget Follow-up Table (1)

- Costs for current period pull through automatically from Budget Breakdown Tables on previous page.
- Enter costs for previous periods as lump sums in the relevant column(s). Remember:
  - If you're submitting an adjustment Form C for a previous period, these costs should be included in the column relating to the period being adjusted (not the current period).
  - Take any rejected costs in to account when completing the columns relating to previous periods.
- Complete remaining columns with forecast of expenditure in remaining periods.

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To be used if the length of the financial reporting period is 18 months (cfr. Art. 4.2 of the GA).

Budget Follow-up (18 months)

	Cost Category	month 1 to 18	month 19 to 36	month 37 to 54	month 55 to 60	Total
	Personnel:					
	P.I.	0				0
	Senior Staff	0				0
	Post docs	0				0
	Students	0				0
	Other	0				0
	Total Personnel:	0	0	0	0	0
	Other Direct Costs:					
	Equipment	0				0
	Consumables	0				0
	Travel	0				0
	Publications	0				0
	Other	0				0
	Total Other Direct Costs:	0	0	0	0	0
	Total Direct Costs:	0	0	0	0	0
Indirect Costs (overheads):	20% of Direct costs ☒	0	0	0	0	0
Subcontracting Costs:	(No overheads)	0				0
Total Requested Grant:	(by reporting period and total	0	0	0	0	0

Please indicate the % of working time the PI dedicates to the project over the period of the Grant :	%

Notes:

This table is meant to help you monitor the budget consumption in your project.

1. The column related to the period at stake is pre-filled with the figures from the breakdown table.
2. Please fill in also the remaining columns (even those related to the past periods, with the costs already incurred and accepted) re-modulating the budget according to the needs of the project.
3. When updating the budget please remember that the transfer of funds between cost categories is allowed and does not require an amendment, unless subcontractors or third parties are added (not foreseen originally) and as long as the work is still carried out as foreseen in Annex I to your Grant Agreement. In case of doubt please feel free to contact your project officer in ERCEA for advice

- If you are proposing reallocating budget between headings or are submitting an adjustment to a previous period, include a brief justification in the report narrative.**
- If you have significant under/over spend compared to the budget you originally included in the GPFs/DoW then remember to explain this in the report narrative.
- Remember – the total requested grant can not exceed the amount originally awarded (to the last cent). However, do plan to use the full amount awarded even if you expect there may ultimately be some underspend.
- Remember to include *actual* % time spent on the project (from PI's timesheet) – not the expected % commitment from the application.

**Note: any changes to the subcontracting budget may require a formal amendment to the Grant Agreement and should be discussed with the ROO before being mentioned in the report.

ERC Reporting – Report Narrative

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Call Reference: ERC-2011-StG_20101014
Project No: 279973
Project Acronym: DEBRIS
Project Full Name: Debris in extrasolar planetary systems

Financial Report

Period covered: from 01/01/2012 **to** 30/06/2013
Period number: 1st
Start date of project: 01/01/2012
Principal Investigator name:
Dr. Mark Charles Wyatt
Contact person of the host institution:
Renata Schaeffer / Gudrun Pebody
Tel:
+441223761648 / 766097
E-mail:
Renata.Schaeffer@admin.cam.ac.uk /
gpebody@ast.cam.ac.uk

Date of preparation: 20/09/2013
Date of submission (SESAM): 23/09/2013
Duration: 60
Report submitted by:
THE CHANCELLOR, MASTERS AND SCHOLARS OF THE UNIVERSITY OF CAMBRIDGE
Fax:
Project website address:

1. Project Management

- Describe start up phase (1st report only)
- Describe relations between PI and Institution
- Describe how expenses have been incurred, compared with plan outlined in Grant Agreement
- Describe any proposed reallocations between budget categories
- Justification for any adjustment to previous periods
- Summary of recommendations from audits

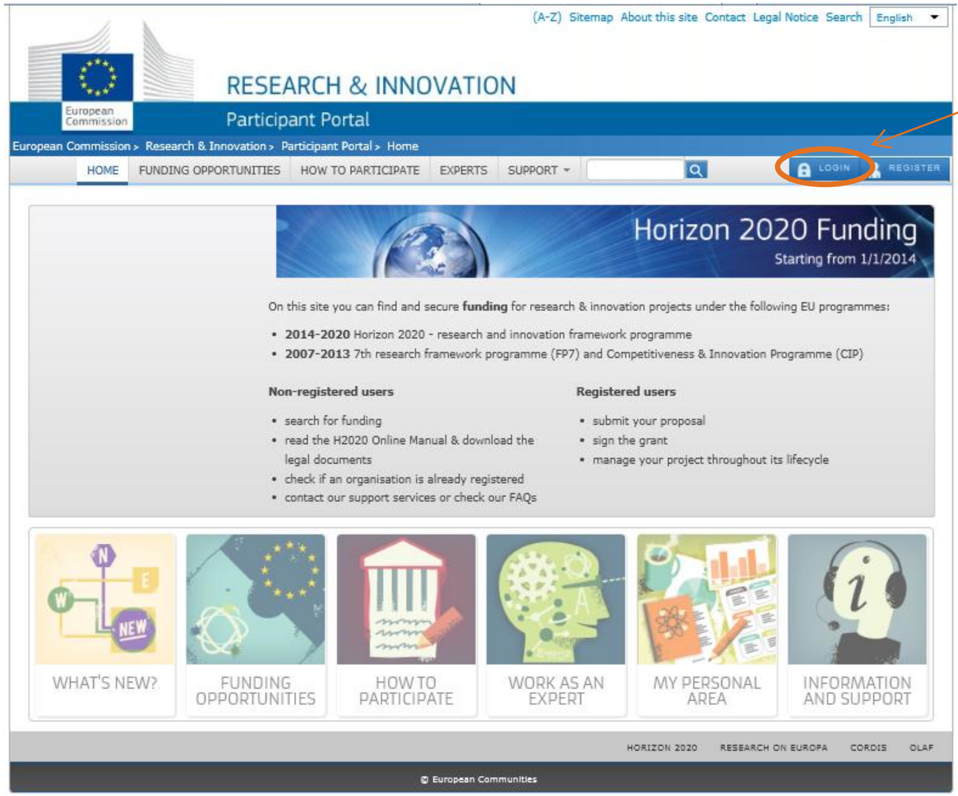
2. Project Achievements

- Overview of project implementation including any delays and summary of results
- Upload all publications to the Participant Portal

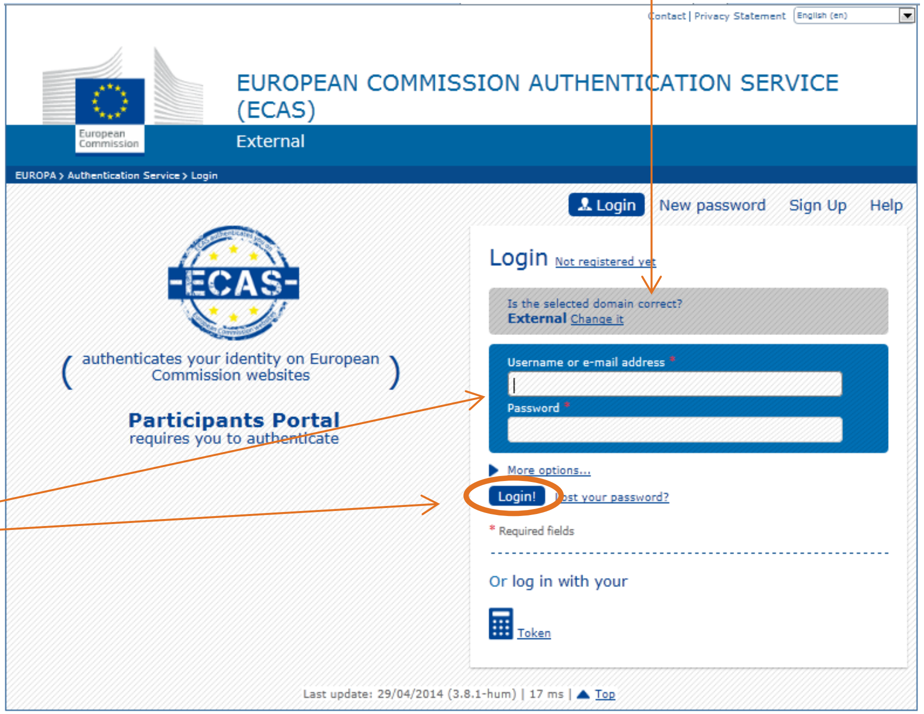
Accessing the Participant Portal

http://ec.europa.eu/research/participants/portal//desktop/en/home.html

Click ‘LOGIN’ on the home page



If prompted, select ‘External’ as your domain



Enter your Username and Password in the relevant boxes and then click ‘Login!’

Accessing the Portal's project reporting function

When you are logged in, click on 'My Projects'

If you have access to more than one project, you can use the 'search' bar to filter the results

If you have the relevant permissions, your project should appear in this box.

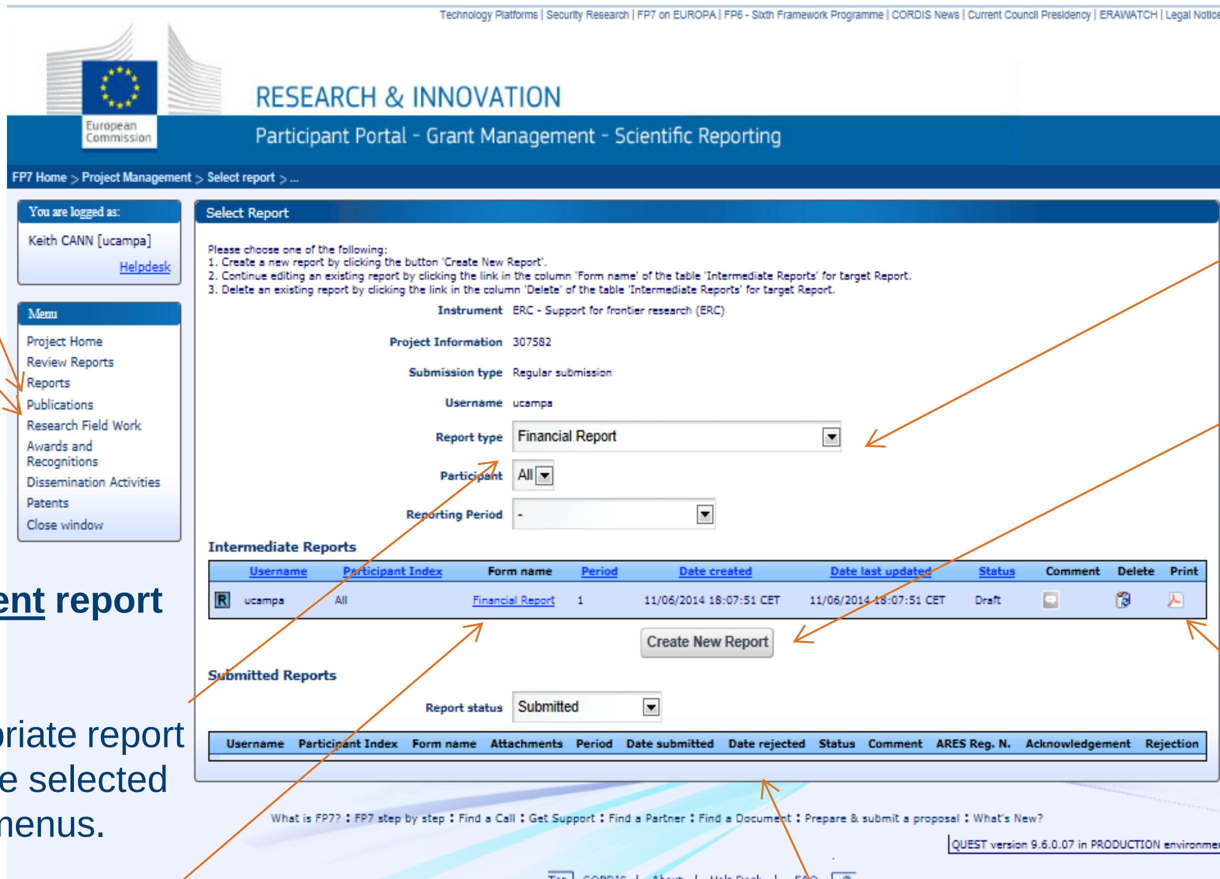
If you can not see a project that you believe you should have access to, please contact the Research Office.

To access the Reporting and Deliverables function of the Portal, click the RD box in line with the required project.

Accessing current and past reports

Financial and Activity reports are accessed under 'Reports' in the Menu.

Details about Publications should be added under 'Publications'



To create a <u>new</u> report:

Ensure the appropriate report type and period are selected in the drop down menus.

Click 'Create New Report'.

You can generate a PDF of your current draft by clicking on the PDF symbol under 'Print'

To access a <u>current</u> report draft:

Ensure the appropriate report type and period are selected in the drop down menus.

Click on the blue hyperlink in the Intermediate Reports box

Previously submitted reports will be listed in the lower box

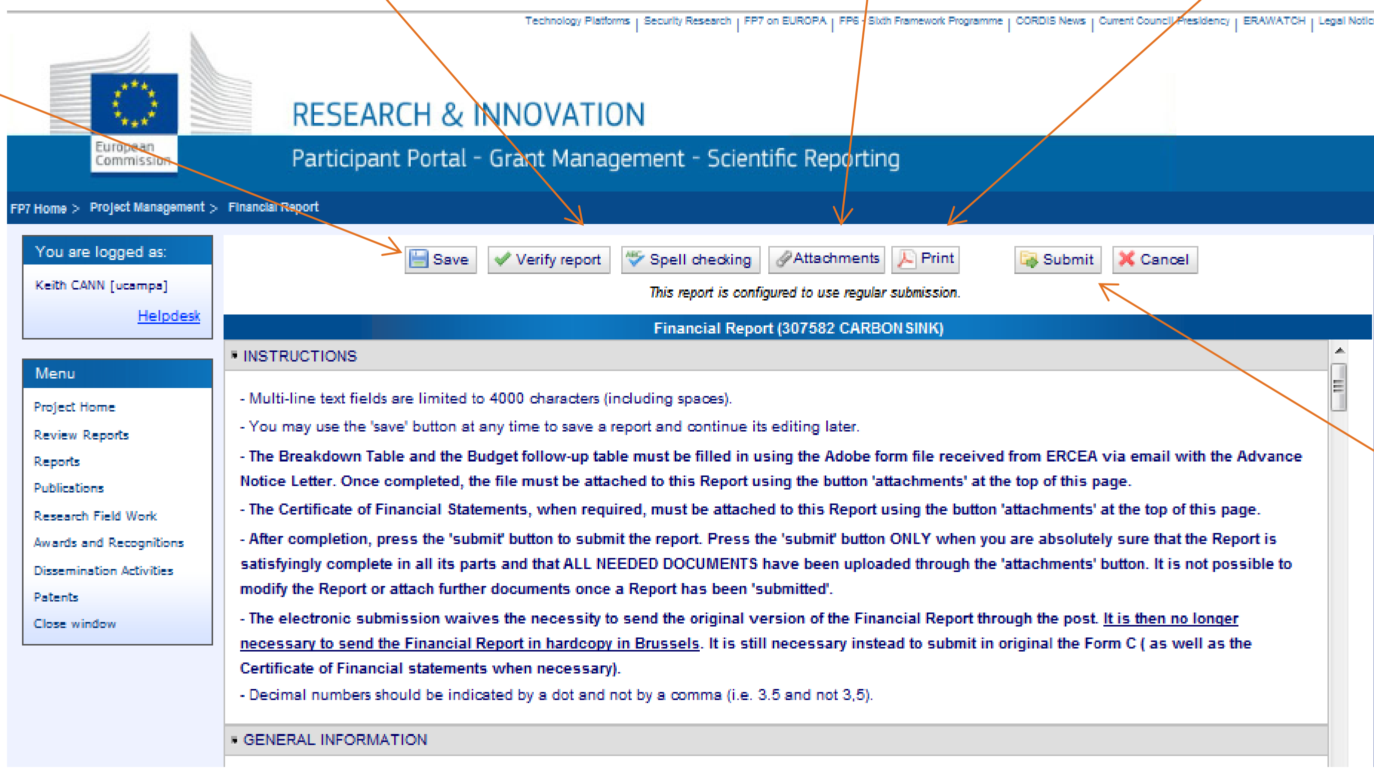
Using the Portal's reporting form

'Verifying' your report will confirm whether all relevant boxes have been filled.

Upload budget breakdown tables and other attachments using this button.

You can generate PDFs of your draft reports using the 'Print' function

Remember to save regularly as any updates will be lost if your session times out due to inactivity.

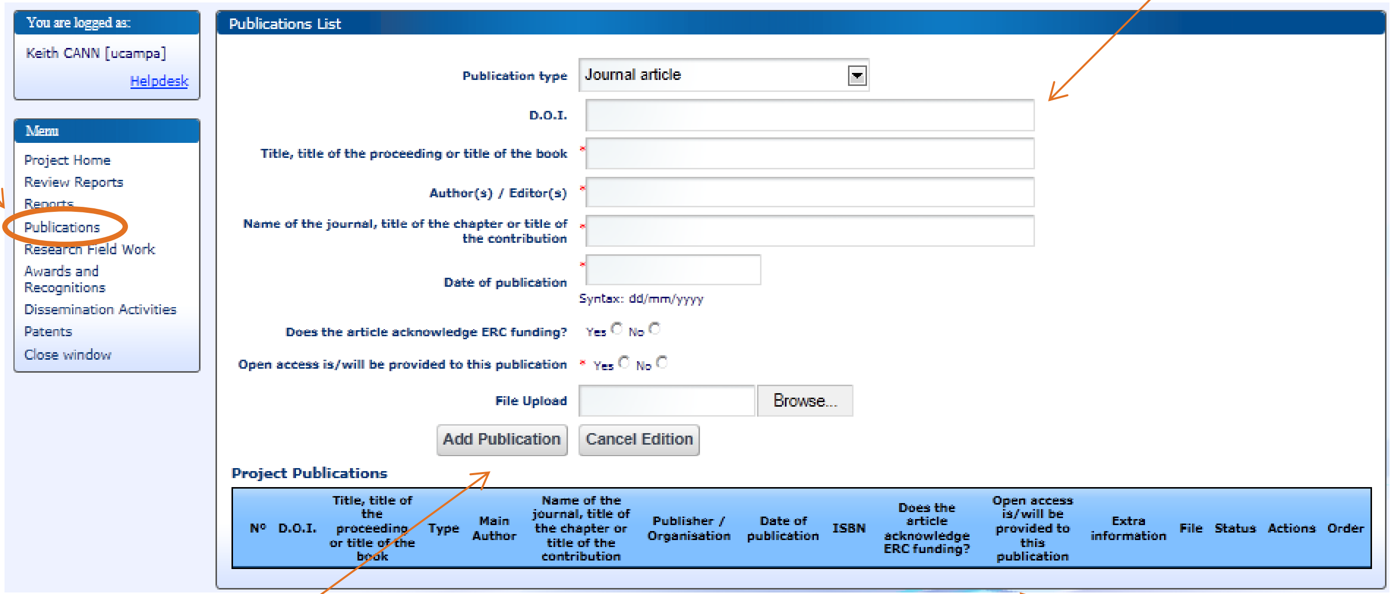


Once the Project Officer approves the draft, the report can be officially submitted using this button.

Adding publications to the Portal

Add the required information in to the relevant fields.
*Note: Fields denoted with * are mandatory*

Click on the ‘Publications’ link in the Menu on the left hand side of the window



Click ‘Add Publications’ when all required fields are completed

Once entered, publications will be listed in the box below the fields and will pull through automatically to the relevant sections of the Activity Reports

**Note: Please remember to fulfil the Open Access requirements set out in the Grant Agreement while adhering to the Publisher’s own policies.

ERC Reporting – Common Issues

- Costs being charged to incorrect headings or not being charged at all – holding up preparation of billing report/budget tables.
- Missing information/documentation – holding up the audit process.
- Timesheets/staff costs delayed, inaccurate or missing altogether – holding up the audit process.
- Not enough detail included in responses to auditor's queries – holding up the audit process.
- Report narrative not reflecting budget tables or addressing concerns of ERC resulting in lengthy questions from Project Officers – delaying payment.

ERC Project Management - Good Practice

- ✓ PIs/Staff to complete timesheets **accurately** and submit them to Departmental administration **regularly** (ideally monthly).
- ✓ Responding in **good time** and with **sufficient detail** to queries during reporting.
- ✓ Liaising with **ROO** and **ERC** if you have **any concerns** or would like to request **any changes** to the original plan outlined in Grant Agreement.

Remember…

- ‼ Financial audits required every €375,000 expenditure but …
  - ‼ Projects can be audited by the ERC at **any time,** and by the European Court of Auditors **up to 5 years after end of project**.

If you have any questions during the preparation of your report, please do not hesitate to contact the Research Operations Office:-

Bethan Jones
ERC Officer
bethan.jones@admin.cam.ac.uk
+44 (0)1223 765418

Or contact your usual RSA directly via ROO reception on:
+44 (0) 1223 333543