

## **ANNEX 1: Legal documents of the European Commission**

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Legal documents of the European Commission for FP7 Project are the following:

1. Reporting Guidelines
2. Project Review Guidelines
3. Periodic Report Template
4. Final Report template
5. Annex 6 Grant Agreement
6. Financial Guidelines
7. IPR guidelines

All these documents can be found:

- on the FP7 website, in the section “find a document” ([http://cordis.europa.eu/fp7/find-doc\\_en.html](http://cordis.europa.eu/fp7/find-doc_en.html))
- on the “PACT” intranet →Project Management →  
<http://www.projectpact.eu/>

The Periodic Report Template is shown below.



## Declaration by the scientific representative of the project coordinator

I, as scientific representative of the coordinator of this project and in line with the obligations as stated in Article II.2.3 of the Grant Agreement declare that:

- The attached periodic report represents an accurate description of the work carried out in this project for this reporting period;
- The project (tick as appropriate)<sup>3</sup>:
  - has fully achieved its objectives and technical goals for the period;
  - has achieved most of its objectives and technical goals for the period with relatively minor deviations.
  - has failed to achieve critical objectives and/or is not at all on schedule.
- The public website, if applicable
  - is up to date
  - is not up to date
- To my best knowledge, the financial 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 project (section 3.4) and if applicable with the certificate on financial statement.
- All beneficiaries, 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 3.2.3 (Project Management) in accordance with Article II.3.f of the Grant Agreement.

Name of scientific representative of the Coordinator: .....

Date: ...../ ...../ .....

For most of the projects, the signature of this declaration could be done directly via the IT reporting tool through an adapted IT mechanism.

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

### **3.1 Publishable summary**

This section must be of suitable quality to enable direct publication by the Commission and should preferably not exceed four pages.

The publishable summary has to include all the distinct parts described below:

- A summary description of project context and objectives,
- A description of the work performed since the beginning of the project and the main results achieved so far ,
  - The expected final results and their potential impact and use (including the socio-economic impact and the wider societal implications of the project so far),
  - The address of the project public website, if applicable

In line with this, diagrams or photographs illustrating and promoting the work of the project, as well as relevant contact details or list of partners can be provided without restriction.

**The publishable summary should be updated for each periodic report.**

### **3.2 Core of the report for the period: Project objectives, work progress and achievements, project management**

#### **3.2.1 Project objectives for the period**

Please provide an overview of the project objectives for the reporting period in question, as included in Annex I to the Grant Agreement. These objectives are required so that this report is a stand-alone document.

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

#### **3.2.2 Work progress and achievements during the period**

Please provide a concise overview of the progress of the work in line with the structure of Annex I to the Grant Agreement.

**For each work package**, except project management, which will be reported in section 3.2.3, please provide the following information:

- A summary of progress towards objectives and details for each task;
- Highlight clearly significant results;
- If applicable, explain the reasons for deviations from Annex I and their impact on other tasks as well as on available resources and planning;
- If applicable, explain the reasons for failing to achieve critical objectives and/or not being on schedule and explain the impact on other tasks as well as on available resources and planning (the explanations should be coherent with the declaration by the project coordinator) ;
- a statement on the use of resources, in particular highlighting and explaining deviations between actual and planned person-months per work package and per beneficiary in Annex 1 (Description of Work);
- If applicable, propose corrective actions.

### **3.2.3 Project management during the period**

*Please use this section to summarise management of the consortium activities during the period. Management tasks are indicated in Articles II.2.3 and Article II.16.5 of the Grant Agreement.*

Amongst others, this section should include the following:

- Consortium management tasks and achievements;
- Problems which have occurred and how they were solved or envisaged solutions;
- Changes in the consortium, if any;
- List of project meetings, dates and venues;
- Project planning and status;
- Impact of possible deviations from the planned milestones and deliverables, if any;
- Any changes to the legal status of any of the beneficiaries, in particular non-profit public bodies, secondary and higher education establishments, research organisations and SMEs;
- Development of the Project website, if applicable;

The section should also provide short comments and information on co-ordination activities during the period in question, such as communication between beneficiaries, possible co-operation with other projects/programmes etc.

For Grant Agreements related to infrastructures (Annex III to the Grant Agreement), the access provider shall include a section in the periodic reports on the access activity, indicating the membership of the selection panel as well as the amount of access provided to the user groups, with the description of their work, and the names and home institutions of users.

### 3.3 Deliverables and milestones tables

#### **Deliverables**

The deliverables due in this reporting period, as indicated in Annex I to the Grant Agreement have to be uploaded by the responsible participants (as indicated in Annex I), and then approved and submitted by the Coordinator. Deliverables are of a nature other than periodic or final reports (ex: "prototypes", "demonstrators" or "others"). If the deliverables are not well explained in the periodic and/or final reports, then, a short descriptive report should be submitted, so that the Commission has a record of their existence.

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

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

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

**TABLE 1. DELIVERABLES**

<b>Del. no.</b>	<b>Deliverable name</b>	<b>Version</b>	<b>WP no.</b>	<b>Lead beneficiary</b>	<b>Nature</b>	<b>Dissemination level<sup>4</sup></b>	<b>Delivery date from Annex I (proj month)</b>	<b>Actual / Forecast delivery date Dd/mm/yyyy</b>	<b>Status No submitted/ Submitted</b>	<b>Contractual Yes/No</b>	<b>Comments</b>

<sup>4</sup> **PU** = Public

**PP** = Restricted to other programme participants (including the Commission Services).

**RE** = Restricted to a group specified by the consortium (including the Commission Services).

**CO** = Confidential, only for members of the consortium (including the Commission Services).

**Make sure that you are using the correct following label when your project has classified deliverables.**

**EU restricted** = Classified with the mention of the classification level restricted "EU Restricted"

**EU confidential** = Classified with the mention of the classification level confidential " EU Confidential "

**EU secret** = Classified with the mention of the classification level secret "EU Secret "

## Milestones

Please complete this table if milestones are specified in Annex I to the Grant Agreement. Milestones will be assessed against the specific criteria and performance indicators as defined in Annex I.

This table is cumulative, which means that it should always show all milestones from the beginning of the project.

TABLE 2. MILESTONES							
Milestone no.	Milestone name	Work package no	Lead beneficiary	Delivery date from Annex I dd/mm/yyyy	Achieved Yes/No	Actual / Forecast achievement date dd/mm/yyyy	Comments



### 3.4 Explanation of the use of the resources

Please provide an explanation of personnel costs, subcontracting and any major costs incurred by each beneficiary, such as the purchase of important equipment, travel costs, large consumable items, etc., linking them to work packages.

There is no standard definition of "major cost items". Beneficiaries may specify these, according to the relative importance of the item compared to the total budget of the beneficiary, or as regards the individual value of the item.

These can be listed in the following tables (one table by participant):

<b>TABLE 3.1 PERSONNEL, SUBCONTRACTING AND OTHER MAJOR COST ITEMS FOR BENEFICIARY 1 FOR THE PERIOD</b>			
Work Package	Item description	Amount in € with 2 decimals	Explanations
Ex: 2,5, 8, 11, 17	Personnel direct costs	235000.00 €* <i>Salaries of 2 postdoctoral students and one lab technician for 18 months each*</i>	
5	Subcontracting	11000.02 €* <i>Maintenance of the web site and printing of brochure*</i>	
8, 17	Major cost item 'X'	75000.23 €* <i>NMR spectrometer*</i>	
11	Major cost item 'Y' .....	27000.50 €* <i>Expensive chemicals xyz for experiment abc*</i>	
	Remaining direct costs	15000.10 €* <i></i>	
	Indirect costs		
	<b>TOTAL COSTS<sup>5</sup></b>	<b>363000.85 €* <i></i></b>	

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

<b>TABLE 3.2 PERSONNEL, SUBCONTRACTING AND OTHER MAJOR COST ITEMS FOR BENEFICIARY 2 FOR THE PERIOD</b>			
Work Package	Item description	Amount in € with 2 decimals	Explanations
	Personnel direct costs		
	Subcontracting		
	Major cost item 'X'		
	Major cost item 'Y' .....		
	Remaining direct costs		
	Indirect costs		
	<b>TOTAL COSTS<sup>5</sup></b>		

<sup>5</sup> Total costs have to be coherent with the costs claimed in Form C.



## **IMPORTANT:**

Form C varies with the funding scheme used. Please make sure that you use the correct form corresponding to your project (Templates for Form C are provided in Annex VI to the Grant Agreement). An example for collaborative projects is enclosed hereafter.

A Web-based online tool for completing and submitting forms C is accessible via the Participant Portal: <http://ec.europa.eu/research/participants/portal>, (except for projects managed by DG MOVE and ENER).

If some beneficiaries in security research have two different rates of funding (part of the funding may reach 75%<sup>6</sup>) then two separate financial statements should be filled by the concerned beneficiaries and two lines should be entered for these beneficiaries in the summary financial report.

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<sup>6</sup> Article 33.1 of the EC FP7 rules for participation - REGULATION (EC) No 1906/2006.

**FP7 - Grant Agreement - Annex VI - Collaborative Project**

<b>Form C - Financial Statement (to be filled in by each beneficiary )</b>			
<b>Project nr</b>	nnnnn	<b>Funding scheme</b>	<b>Collaborative Project</b>
<b>Project Acronym</b>	xxxxxxxxxxxxxxxxxxxxxx		
<b>Period from</b>	dd/mm/aa	Is this an adjustment to a previous statement ?	<b>Yes/No</b>
<b>To</b>	dd/mm/aa		
<b>Legal Name</b>		<b>Participant Identity Code</b>	nn
<b>Organisation short Name</b>		<b>Beneficiary nr</b>	nn
<b>Funding % for RTD activities (A)</b>		<b>If flat rate for indirect costs, specify %</b>	%

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

	Type of Activity				TOTAL (A+B+C+D)
	RTD (A)	Demonstration (B)	Management (C)	Other (D)	
Personnel costs					
Subcontracting					
Other direct costs					
Indirect costs					
Lump sums/flat-rate/scale of unit declared					
<b>Total</b>					
<b>Maximum EC contribution</b>					
<b>Requested EC contribution</b>					

**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 ?  
If yes, please mention the amount (in €)

Yes/No

**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 according to Art. II.19 ?  
If yes, please mention the amount (in €)

Yes/No

**4. Certificate on the methodology**

Do you declare average personnel costs according to Art. II.14.1 ?

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

Yes/No
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<b>Name of the auditor</b>		<b>Cost of the certificate (in €), if charged under this project</b>	
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**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 ?

Yes/No
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<b>Name of the auditor</b>		<b>Cost of the certificate (in €)</b>	
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**6- Beneficiary's declaration on its 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 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 Commission and in the event of an audit by the Commission and/or by the Court of Auditors and/or their authorised representatives.

<b>Beneficiary's Stamp</b>	<b>Name of the Person(s) Authorised to sign this Financial Statement</b>
	<b>Date &amp; signature</b>

**FP7 - Grant Agreement - Annex VI - Collaborative Project**

Form C - Financial Statement (to be filled in by Third Party) Only applicable if special clause nr 10 is used

<b>Project nr</b>	nnnnnn	<b>Funding scheme</b>	<b>Collaborative Project</b>
<b>Project Acronym</b>	xxxxxxxxxxxxxxxxxxxxxx		
<b>Period from</b>	dd/mm/aa	Is this an adjustment to a previous statement ?	<b>Yes/No</b>
<b>To</b>	dd/mm/aa		
<b>3rd party legal Name</b>			
<b>3rd party Organisation short Name</b>		<b>Working for beneficiary nr</b>	<b>nn</b>
<b>Funding % for RTD activities (A)</b>		<b>If flat rate for indirect costs, specify %</b>	<b>%</b>

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

	Type of Activity				TOTAL (A+B+C+D)
	RTD (A)	Demonstration (B)	Management (C)	Other (D)	
Personnel costs					
Subcontracting					
Other direct costs					
Indirect costs					
Lump sums/flat-rate/scale of unit declared					
<b>Total</b>					
<b>Maximum EC contribution</b>					
<b>Requested EC contribution</b>					

**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 ? Yes/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 according to Art. II.19 ? Yes/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 ? Yes/No  
 Is there a certificate on the methodology provided by an independent auditor and accepted by the Commission according to Art. II.4.4 ? Yes/No

<b>Name of the auditor</b>		<b>Cost of the certificate (in €), if charged under this project</b>	
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**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 ? Yes/No

<b>Name of the auditor</b>		<b>Cost of the certificate (in €)</b>	
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**6- Beneficiary's declaration on its 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 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 Commission and in the event of an audit by the Commission and/or by the Court of Auditors and/or their authorised representatives.

<b>Beneficiary's Stamp</b>	<b>Name of the Person(s) Authorised to sign this Financial Statement</b>
	<b>Date &amp; signature</b>

FP7 - Grant Agreement - Annex VI - Collaborative Project

Summary Financial Report - Collaborative Project- to be filled in by the coordinator																
Project acronym		xxxxxxxxxxxxxxxxxxxxxxxxxxxx			Project nr		nnnnnn		Reporting period from		dd/mm/aa	to:	dd/mm/aa	Page	1/1	
Funding scheme		CP			Type of activity											
Beneficiary n°	If 3rd Party, linked to beneficiary	Adjustment (Yes/No)	Organisation Short Name	RTD (A)		Demonstration (B)		Management (C)		Other (D)		Total (A)+(B)+(C)+(D)		Receipts	Interest	
				Total	Max EC Contribution	Total	Max EC Contribution	Total	Max EC Contribution	Total	Max EC Contribution	Total	Max EC Contribution			
1																
2																
3																
4																
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25																
TOTAL																
Requested EC contribution for the reporting period (in €)																