‘QuanTI’ ITN management: Recruitment, finances, budget and reporting

overview

‘QuanTI’ Inaugural meeting

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Content of the presentation

- Contractual rules: Core Grant Agreement and Annexes
- Recruitment
  - Eligibility of researchers and mobility rules
  - Recruitment policies and procedures
  - Researchers entitlements
  - Reporting provisions
- Finances and budget
  - EU Contribution: cost categories, records to keep; non-eligible costs etc.;
  - Project lifecycle and payments: timing and types of payments;
  - Financial reporting: rules, certificates etc.
- Reporting for 'QuanTI'
  - Timing for scientific and financial reports for 'QuanTI';
  - Reporting tools: ECAS, Participants portal (PP), SESAM, FORCE;
- Best management practices to avoid problems

Contractual rules

Core Grant Agreement

- List of beneficiaries: QuanTI ITN 12 full partners and 6 associated partners;
- Duration;
- Reporting periods;
- Max. Financial contribution of the EU;
- Pre-financial agreement fund;
- Bank details;
- Special clauses
- Communication addresses
- Signatures

Annexes

- Annex 1*: Work description;
- Annex 2*: General conditions;
- Annex 3*: Specific provisions for ITNs
- Form A: accession to the GA;
- Form B: request for accession of a new beneficiary;
- Form C: Financial statement;
- Form D: Certificate for Financial statement
- Form E: Certificate of methodology

*Copies to be given to beneficiaries and recruited fellows

Recruitment

- Eligibility of researchers and mobility rules
- Recruitment policies and procedures
- Researchers entitlements
- Reporting provisions

Eligibility and mobility rules

- Early Stage Researchers (ESRs)
  - No PhD
  - Research experience ≤ 4 years from last degree (counted from diploma that gives the right to embark in doctoral degree)
  - Duration of appointment: 3-36 months; Typically 36 months
- Experienced Researchers (ERs)
  - PhD or research experience ≥ 4 years
  - PhD and research experience ≤ 5 years (after PhD)
  - Duration of appointment: 3-24 months
- Mobility rules
  - Not resided or carried out main activities for more than 12 months in the last 3 years immediately prior to recruitment

ITNs are limited to researchers in the first 5 years of their career

Experience is calculated at date of recruitment

Recruitment policies and procedures

- Publication of vacancies
  - Euraxess jobs – mandatory to advertise
- Recruitment criteria
  - Make sure to meet the recruitment criteria and rules and keep evidence for audit purposes
- Equal opportunities
  - Gender balance and equal opportunities

Researchers entitlements

Contract

- Contract with the researcher should reflect the requirements mentioned in Annex III.4
- Researchers should be informed on their rights and obligations as Marie Curie fellows (Annex III.4)
- Researchers should be appointed on Type A 'Employment contract'
  - Full time
  - Gross amounts including compulsory deductions under national legislation

Living allowance

- Fixed amount adjusted by country correction coefficient

Mobility allowance

- Fixed amount adjusted by family status at date of recruitment

Researcher should be given Type B 'Fixed amount fellowship or stipend' ONLY WHEN National legislation would prohibit to recruit the researcher under 'Employment contract'

Reporting provisions

- Personal career development plan
  - Short and long term career objectives
  - Training needs including complimentary skills

  http://ec.europa.eu/research/mariecurieactions/funded-projects/how-to-manage/itn/index_en.htm
- Declaration on the conformity (to be submitted online within 20 days from the starting date of the contract)
  - Duly signed by researcher and host organization (usually LEAR signature required
  - Submitted via Participant portal (PP) after the appointment of each researcher

  http://ec.europa.eu/research/participants/portal/page/home
- Researchers questionnaires
  - Mid term review questionnaire – at mid term review ~2 years after the start
  - Evaluation questionnaire – at the end of fellows appointment
  - Follow-up – 2 years after the expiration of the appointment

Finances and budget

A maximum EU financial contribution

- Where is recorded? QuanTI – EUR 4,012,570.09
  - GA (article 5);
  - annex 1 part 10;
  - GPF (Grant agreement preparation) forms A3.3 and 3.4;
- Can it change?
  - Maximum EU contribution CAN NOT increase;
  - Costs claims during projects can be lower

Cost categories

- Fellows
  - Category 1: Monthly Living allowance
  - Category 2: Monthly Mobility allowance
- Research, training and networking
  - Category 3:Contribution to the training expenses
- Management
  - Category 4: Management activities (Incl. Audit certification if applicable)
- Overheads
  - Category 5: Contribution to overheads

Cost categories

Category 1: Monthly Living allowance

What does it include	Important to know	Action Required at audit
Monthly salary for the fellow before any deductions: contribution to social security, pension taxation under national legislation or voluntary deductions Base researcher rates: ESR = € 38 000 per year ER=€ 58 500 per year	✓ Employment contract ✓ Max. 36 months for ESR and 24 months for ERs; ✓ Can not pay less as it is a breach of the GA ✓Correction coefficient – monthly rate e.g. ESR €38 000*country coefficient / 12 ✓ You can pay to the fellows more. The top-up cannot be charged to the project ✓ You must pay according to the experience of the fellow. For ITNs, it is not allowed that researchers eligible as ERs are recruited/paid as ESRs ✓Parental and Maternity leave are eligible to pay when mandatory under the national legislation rules	• evidence of the eligibility of the fellow; • proof of employment contracts; • proof of payments to fellows salary including payments of any obligatory deductions; • evidence that the fellow worked on the project: this can include lab books, conference abstracts, library records etc. • Timesheets <u>are not an obligation</u> for the Marie Curie Fellows but can be used if in line with local practices

Cost categories

Category 2: Monthly Mobility allowance

What does it include	Important to know	Action Required at audit
• Monthly allowance for all recruited fellow, which depends on their family status and country correction coefficient. Base rates • With Family = €1.000per month; • Without family = €700per month;	✓Mobility allowance is paid every month ✓ Amount depend on the family situation ✓Correction coefficient is applied; ✓Mobility allowance is taxable depending on taxation rules; ✓The mobility allowance is calculated for the family status at the time of recruitment to the project	• evidence of the eligibility of the fellow the mobility allowance; • proof of employment contracts; • proof of payments to fellows salary including payments of any obligatory deductions; • evidence that the fellow worked on the project: this can include lab books, conference abstracts, library records etc.

Researchers total payment example

- Base annual salaries **before** deductions
  - ESR = 38,000 EUR
  - ER = 58,500 EUR

  + Mobility Paid monthly
  = 700 EUR without family charges
  = 1000 EUR with family charges

- Corrected for each country by correction coefficient
  - UK- 1.344
  - The Netherland – 1.041
  - Germany – 0.948
  - France – 1.161
  - Ireland – 1.091

e.g. ESR (UK) = 38,000 EUR* 1.344 = 51,072/12 = 4, 256 EUR per month + 700*1.344= 940.80 = 5196.80 EUR before deductions

Cost categories

Category 3:Contribution to the training expenses:

What does it include	Important to know	Action Required at audit
Fixed amount/ flat rate of €1,800 per fellow-month for multi-beneficiary ITNs.	✓ It is used for the costs of performing the project: Publication of vacant positions, training courses etc. Research costs, organisation of conferences; conference attendance etc. Co-ordination between participants including network meetings etc. ✓ Calculated according to the fellow-months per beneficiary. The full flat rate must always be reported by the beneficiary paying the fellow; ✓ The fixed rate of €1.800 applies to the implemented fellow months, therefore the maximum allowable for category 3, by the end of the project, = total fellow months delivered x 1800 = 36 x 1800= 64800 EUR	For the purposes of the Grant Agreement, you do not need to keep detailed records of what the money was used for, however, comply with the accounting rules of your institution as they normally require more records. • In the case of an audit by the EU, the consortium will need to provide the same evidence as required for categories 1-2

Cost categories

Category 4: Management activities (Incl. Audit certification if applicable)

What does it include	Important to know	Action Required at audit
The 10% applies to the total accepted costs at the end of the project	✓ Covers costs associated with the preparation of the reports and other documents required by the REA: Declarations of conformity, progress reposts, mid-term report, periodic reports and final report - Certificate on financial statements (CFS); *f* ✓ Salary of a person recruited to manage the project. This can include the coordinators salary for the time spent on the management of the project only, i.e. time taken to write the reports, organise recruitment etc. Timesheets required; ✓ It does not cover costs of coordination of research and technological development activities; ✓ The amount is applied per project, and does not need to be spent in the same timeframe as the fellow months nor divided equally per period.	• This is a real cost category therefore you need to keep full evidence: -All receipts of expenditure -Full timesheets for personnel costs • *f* The receipts & timesheets do not need to be provided to the REA with the reports, however the periodic report must give an explanation of the breakdown of costs charged to cost category 4.

Non-Eligible costs for 'Management category'

- Identifiable taxes, including VAT
- Duties
- Interest owed
- Provisions for possible future losses/charges
- Exchange losses, etc
- Costs reimbursed in respect of other EUs project
- Debt and debt service charges
- Excessive or reckless expenditure

Does not apply for cost Category 3

Cost categories

Category 5: Overheads

What does it include	Important to know	Action Required at audit
Amount up to 10% of the total direct costs of the period. (Excluding costs of subcontractors and the costs of the resources made available by third parties which are not used in the premises of the beneficiary)	✓ It is always 10% per partner per period of the other cost categories	• None. Beneficiaries do not report on the use of the overheads, only on the amount claimed

QuanTI lifecycle and payments

QuanTI Marie Curie ITN total duration 4 years: EU contribution €4 012570.10

Project starts
01 May 2013

- Pre-financing
- 60 % of the total
- € 2 407 542.06

10 % of the total is kept in Guarantee fund given with the final payment

3-4 months after First periodic report due 60 days after
30 April 2015

- Interim payment
- 25 % of the total
- € 1 003 142.53

Interim payment

- 25 % of the total EU Contribution
- Based on costs claimed in the periodic report
- Is a reimbursement of <u>accepted</u> costs

4-5 months after Final report
30 April 2017

- Final payment
- 15 (5+10 GF)% of the total
- € 601 885. 52

Final payment

- The balance of the money owed to the consortium based on the final accepted costs
- the payment is made based upon the information in the submitted periodic reports and cost claim forms

Financial reporting

- How to and who needs to submit cost claims?
  - Each beneficiary (and third party) submits a financial statement, Form C, via the Participant Portal.
- When do we submit financial reports?
  - 2 times -with the periodic reports after year 2 and at the end of the project
- What is CFS? (Certificate for financial statement)
  - This is a certificate provided by an external auditor or competent person to certify that the costs claimed in the financial statements are in accordance with relevant legal and financial provisions of the FP7 model grant agreement
- When it is required?
  - A CFS is only required when the uncertified costs claimed to date, including costs in previous reporting periods, are ≥ 375,000 €

QuanTI Partners who will require CFS are: UNILEEDS, NUIM, BAYER

Reporting for 'QuanTI'

- What type of reports
  - Progress reports
  - Periodic reports with financial form C
  - Final reports

Year 1	Year 2	Year 3	Year 4
• Progress report 1	• Mid-term review progress report 2 • First periodic report	• Progress report 3	• Progress report 4 • Second periodic report • Final report

Timing of scientific and financial reporting

Start 1 May 2013	First Progress report	Mid term progress report	First periodic report Financial statement C form	Second Progress report	Second periodic report Financial statement C form	Final report	Distribution report Only financial
Report due date	30 May 2014	30 days before mid term review	30 June 2015	30 May 2016	30 June 2017	30 June 2017	60 days after final payment
Period coverage	1 May 2013 – 30 April 2014	1 May 2013 – till date of mid term review	1 May 2013 – 30 April 2015	1 May 2015 – 30 April 2016	1 May 2015 – 30 April 2017	1 May 2013- 30 April 2017	

Reporting tools

- All beneficiaries need to have ECAS (European Commission Authentication Service)account

https://webgate.ec.europa.eu/cas/eim/external/register.cgi

- Participants portal (PP)

Reporting is done via PP by using ECAS login

http://ec.europa.eu/research/participants/portal/appmanager/participants/portal

- SESAM for scientific reporting
  - All reports and amendment requests are submitted by the coordinator;
  - All Partners submit: Declaration on Conformity, Questionnaires, Notifications
- FORCE for finical reporting
  - All beneficiaries create and submit financial statement 'C form'

ITN Best practices to avoid problems

- Recruitment
  - Plan and advertise well in advance;
  - Consider possible delays due to visa and other restrictions;
  - Keep all documents that proof eligibility;
  - Make sure the contract meets the requirements;
  - Make sure the distribution of researcher months is as negotiated
  - Pay to the researchers what they are entitled to and on time
- Communication
  - Communicate with your fellows on day to day basis
  - Assist in communication with the administrations of your institution
  - If have any problem/question ask the coordinator/network administrator <u>first</u>
- Management and planning
  - Plan the training events and MC fellows research projects well in advance
  - Create conditions for effective fellows training at your host institution
  - Stick to what is planned in Annex 1: work programme as close as possible
- Reporting and deliverables
  - Plan well in advance and provide the necessary reports to the coordinator <u>on time</u>
  - Take your time to get familiar with the reporting tools before making the report (financial statement form C)
  - Make sure that the numbers on your financial form are correct – communicate with your administration

More information

www.ec.europa.eu/mariecurieactions

http://ec.europa.eu/research/mariecurieactions/funded-projects/how-to-manage/itn/index_en.htm

Thank you for your attention

Any questions?