

**EUROPEAN COMMISSION**

Research Executive Agency (REA)

Director

**GRANT AGREEMENT****NUMBER — 649491 — YMOBILITY**

This **Agreement** ('the Agreement') is **between** the following parties:

**on the one part,**

*the **Research Executive Agency (REA)** ('the Agency'), under the power delegated by the European Commission ('the Commission')<sup>1</sup>,*

represented for the purposes of signature of this Agreement by Head of Unit, Corinna AMTING,

**and**

**on the other part,**

1. 'the coordinator':

**UNIVERSITA DEGLI STUDI DI ROMA LA SAPIENZA (UNIROMA1)**, 80209930587, established in Piazzale Aldo Moro 5, ROMA 00185, Italy, IT02133771002, represented for the purposes of signing the Agreement by Francesca BERNARDINI

and the following other beneficiaries, if they sign their 'Accession Form' (see Annex 3 and Article 56):

2. **UNIVERSITAET BIELEFELD (UNIBI )**, STATUTES, established in UNIVERSITAETSSTRASSE 25, BIELEFELD 33615, Germany, DE811307718,

3. **UNIVERSIDAD DE ALMERIA (UAL)**, established in CARRETERA SACRAMENTO CANADA, ALMERIA 04120, Spain, ESQ5450008G,

4. **UNIVERSITY COLLEGE CORK, NATIONAL UNIVERSITY OF IRELAND, CORK (UCC)**, CHY1691, established in WESTERN ROAD, CORK, Ireland, IE0006286E,

5. **LATVIJAS UNIVERSITATE (LU)**, 3341000218, established in RAINIS BOULEVARD 19, RIGA 1586, Latvia, LV90000076669,

6. **UNIVERSITATEA DIN BUCURESTI (UB)**, CF4505502, established in MIHAIL KOGALNICEANU STREET 36-46 SECTOR V, BUCURESTI 050107, Romania,

7. **MALMOE HOEGSKOLA (MALMOE UNIVERSITY) (MIM)**, 2021004920, established in HJALMAREGATAN, MALMOE 20506, Sweden, SE202100492001,

8. **PROGNOSTICKY USTAV SLOVENSKEJ AKADEMIE VIED (IFSAS )**, 00596795, established in SANCOVA 56, BRATISLAVA 811 05, Slovakia, SK2021299467,

9. **UNIVERSITY OF SURREY (SURREY)** GB22, RC000671, established in Stag Hill, GUILDFORD GU2 7XH, United Kingdom, GB688953065,

10. **UNIVERSITY OF SUSSEX (US)**, RC000672, established in Sussex House, FALMER, BRIGHTON BN1 9RH, United Kingdom, GB692712320,

<sup>1</sup> Text in *italics* shows the options of the Model Grant Agreement that are applicable to this Agreement.



Unless otherwise specified, references to ‘beneficiary’ or ‘beneficiaries’ include the coordinator.

The parties referred to above have agreed to enter into the Agreement under the terms and conditions below.

By signing the Agreement or the Accession Form, the beneficiaries accept the grant and agree to implement it under their own responsibility and in accordance with the Agreement, with all the obligations and conditions it sets out.

The Agreement is composed of:

#### Terms and Conditions

Annex 1	Description of the action
Annex 2	Estimated budget for the action
Annex 3	Accession Forms
Annex 4	Model for the financial statements
Annex 5	Model for the certificate on the financial statements
Annex 6	Model for the certificate on the methodology



# TERMS AND CONDITIONS

## TABLE OF CONTENTS

<b>CHAPTER 1 GENERAL.....</b>	<b>11</b>
ARTICLE 1 — SUBJECT OF THE AGREEMENT.....	11
<b>CHAPTER 2 ACTION.....</b>	<b>11</b>
ARTICLE 2 — ACTION TO BE IMPLEMENTED.....	11
ARTICLE 3 — DURATION AND STARTING DATE OF THE ACTION.....	11
ARTICLE 4 — ESTIMATED BUDGET AND BUDGET TRANSFERS.....	11
4.1 Estimated budget.....	11
4.2 Budget transfers.....	11
<b>CHAPTER 3 GRANT.....</b>	<b>11</b>
ARTICLE 5 — GRANT AMOUNT, FORM OF GRANT, REIMBURSEMENT RATES AND FORMS OF COSTS.....	11
5.1 Maximum grant amount.....	11
5.2 Form of grant, reimbursement rates and forms of costs.....	12
5.3 Final grant amount — Calculation.....	12
5.4 Revised final grant amount — Calculation.....	14
ARTICLE 6 — ELIGIBLE AND INELIGIBLE COSTS.....	14
6.1 General conditions for costs to be eligible.....	14
6.2 Specific conditions for direct costs to be eligible.....	15
6.3 Conditions for costs of linked third parties to be eligible.....	21
6.4 Conditions for in-kind contributions provided by third parties free of charge to be eligible.....	21
6.5 Ineligible costs.....	21
6.6 Consequences of declaration of ineligible costs.....	21
<b>CHAPTER 4 RIGHTS AND OBLIGATIONS OF THE PARTIES.....</b>	<b>22</b>
<b>SECTION 1 RIGHTS AND OBLIGATIONS RELATED TO IMPLEMENTING THE ACTION.....</b>	<b>22</b>
ARTICLE 7 — GENERAL OBLIGATION TO PROPERLY IMPLEMENT THE ACTION.....	22
7.1 General obligation to properly implement the action.....	22
7.2 Consequences of non-compliance.....	22
ARTICLE 8 — RESOURCES TO IMPLEMENT THE ACTION — THIRD PARTIES INVOLVED IN THE ACTION.....	22



ARTICLE 9 — IMPLEMENTATION OF ACTION TASKS BY BENEFICIARIES NOT RECEIVING EU FUNDING.....	22
ARTICLE 10 — PURCHASE OF GOODS, WORKS OR SERVICES.....	23
10.1 Rules for purchasing goods, works or services.....	23
10.2 Consequences of non-compliance.....	23
ARTICLE 11 — USE OF IN-KIND CONTRIBUTIONS PROVIDED BY THIRD PARTIES AGAINST PAYMENT.....	23
11.1 Rules for the use of in-kind contributions against payment.....	23
11.2 Consequences of non-compliance.....	24
ARTICLE 12 — USE OF IN-KIND CONTRIBUTIONS PROVIDED BY THIRD PARTIES FREE OF CHARGE.....	24
12.1 Rules for the use of in-kind contributions free of charge.....	24
12.2 Consequences of non-compliance.....	24
ARTICLE 13 — IMPLEMENTATION OF ACTION TASKS BY SUBCONTRACTORS.....	24
13.1 Rules for subcontracting action tasks.....	24
13.2 Consequences of non-compliance.....	25
ARTICLE 14 — IMPLEMENTATION OF ACTION TASKS BY LINKED THIRD PARTIES.....	26
14.1 Rules for calling upon linked third parties to implement part of the action.....	26
14.2 Consequences of non-compliance.....	26
ARTICLE 15 — FINANCIAL SUPPORT TO THIRD PARTIES.....	26
15.1 Rules for providing financial support to third parties.....	26
15.2 Financial support in the form of prizes.....	27
15.3 Consequences of non-compliance.....	27
ARTICLE 16 — PROVISION OF TRANS-NATIONAL OR VIRTUAL ACCESS TO RESEARCH INFRASTRUCTURE.....	27
16.1 Rules for providing trans-national access to research infrastructure.....	27
16.2 Rules for providing virtual access to research infrastructure.....	27
16.3 Consequences of non-compliance.....	27
<b>SECTION 2 RIGHTS AND OBLIGATIONS RELATED TO THE GRANT ADMINISTRATION.....</b>	<b>27</b>
ARTICLE 17 – GENERAL OBLIGATION TO INFORM.....	27
17.1 General obligation to provide information upon request.....	27
17.2 Obligation to keep information up to date and to inform about events and circumstances likely to affect the Agreement.....	27
17.3 Consequences of non-compliance.....	28
ARTICLE 18 — KEEPING RECORDS — SUPPORTING DOCUMENTATION.....	28
18.1 Obligation to keep records and other supporting documentation.....	28
18.2 Consequences of non-compliance.....	29



ARTICLE 19 — SUBMISSION OF DELIVERABLES.....	29
19.1 Obligation to submit deliverables.....	29
19.2 Consequences of non-compliance.....	30
ARTICLE 20 — REPORTING — PAYMENT REQUESTS.....	30
20.1 Obligation to submit reports.....	30
20.2 Reporting periods.....	30
20.3 Periodic reports — Requests for interim payments.....	30
20.4 Final report — Request for payment of the balance.....	31
20.5 Information on cumulative expenditure incurred.....	32
20.6 Currency for financial statements and conversion into euro.....	32
20.7 Language of reports.....	32
20.8 Consequences of non-compliance — Suspension of the payment deadline — Termination.....	32
ARTICLE 21 — PAYMENTS AND PAYMENT ARRANGEMENTS.....	33
21.1 Payments to be made.....	33
21.2 Pre-financing payment — Amount — Amount retained for the Guarantee Fund.....	33
21.3 Interim payments — Amount — Calculation.....	33
21.4 Payment of the balance — Amount — Calculation — Release of the amount retained for the Guarantee Fund.....	34
21.5 Notification of amounts due.....	35
21.6 Currency for payments.....	35
21.7 Payments to the coordinator — Distribution to the beneficiaries.....	35
21.8 Bank account for payments.....	35
21.9 Costs of payment transfers.....	35
21.10 Date of payment.....	36
21.11 Consequences of non-compliance.....	36
ARTICLE 22 — CHECKS, REVIEWS, AUDITS AND INVESTIGATIONS — EXTENSION OF FINDINGS.....	36
22.1 Checks, reviews and audits by the <i>Agency and the Commission</i> .....	36
22.2 Investigations by the European Anti-Fraud Office (OLAF).....	38
22.3 Checks and audits by the European Court of Auditors (ECA).....	39
22.4 Checks, reviews, audits and investigations for international organisations.....	39
22.5 Consequences of findings in checks, reviews, audits and investigations —Extension of findings.....	39
22.6 Consequences of non-compliance.....	41
ARTICLE 23 — EVALUATION OF THE IMPACT OF THE ACTION.....	41
23.1 Right to evaluate the impact of the action.....	41



23.2 Consequences of non-compliance.....	41
<b>SECTION 3 RIGHTS AND OBLIGATIONS RELATED TO BACKGROUND AND RESULTS.....</b>	<b>41</b>
<b>SUBSECTION 1 GENERAL.....</b>	<b>42</b>
ARTICLE 23a — MANAGEMENT OF INTELLECTUAL PROPERTY.....	42
23a.1 Obligation to take measures to implement the Commission Recommendation on the management of intellectual property in knowledge transfer activities.....	42
23a.2 Consequences of non-compliance.....	42
<b>SUBSECTION 2 RIGHTS AND OBLIGATIONS RELATED TO BACKGROUND.....</b>	<b>42</b>
ARTICLE 24 — AGREEMENT ON BACKGROUND.....	42
24.1 Agreement on background.....	42
24.2 Consequences of non-compliance.....	42
ARTICLE 25 — ACCESS RIGHTS TO BACKGROUND.....	43
25.1 Exercise of access rights — Waiving of access rights — No sub-licensing.....	43
25.2 Access rights for other beneficiaries, for implementing their own tasks under the action.....	43
25.3 Access rights for other beneficiaries, for exploiting their own results.....	43
25.4 Access rights for affiliated entities.....	43
25.5 Access rights for third parties.....	44
25.6 Consequences of non-compliance.....	44
<b>SUBSECTION 3 RIGHTS AND OBLIGATIONS RELATED TO RESULTS.....</b>	<b>44</b>
ARTICLE 26 — OWNERSHIP OF RESULTS.....	44
26.1 Ownership by the beneficiary that generates the results.....	44
26.2 Joint ownership by several beneficiaries.....	44
26.3 Rights of third parties (including personnel).....	45
26.4 <i>Agency</i> ownership, to protect results.....	45
26.5 Consequences of non-compliance.....	46
ARTICLE 27 — PROTECTION OF RESULTS — VISIBILITY OF EU FUNDING.....	46
27.1 Obligation to protect the results.....	46
27.2 <i>Agency</i> ownership, to protect the results.....	46
27.3 Information on EU funding.....	46
27.4 Consequences of non-compliance.....	47
ARTICLE 28 — EXPLOITATION OF RESULTS.....	47
28.1 Obligation to exploit the results.....	47
28.2 Results that could contribute to European or international standards — Information on EU funding.....	47
28.3 Consequences of non-compliance.....	47



ARTICLE 29 — DISSEMINATION OF RESULTS — OPEN ACCESS — VISIBILITY OF EU FUNDING.....	47
29.1 Obligation to disseminate results.....	47
29.2 Open access to scientific publications.....	48
29.3 Open access to research data.....	49
29.4 Information on EU funding — Obligation and right to use the EU emblem.....	49
29.5 Disclaimer excluding <i>Agency</i> responsibility.....	49
29.6 Consequences of non-compliance.....	50
ARTICLE 30 — TRANSFER AND LICENSING OF RESULTS.....	50
30.1 Transfer of ownership.....	50
30.2 Granting licenses.....	50
30.3 <i>Agency</i> right to object to transfers or licensing.....	50
30.4 Consequences of non-compliance.....	50
ARTICLE 31 — ACCESS RIGHTS TO RESULTS.....	51
31.1 Exercise of access rights — Waiving of access rights — No sub-licensing.....	51
31.2 Access rights for other beneficiaries, for implementing their own tasks under the action.....	51
31.3 Access rights for other beneficiaries, for exploiting their own results.....	51
31.4 Access rights of affiliated entities.....	51
31.5 Access rights for the EU institutions, bodies, offices or agencies and EU Member States.....	51
31.6 Access rights for third parties.....	51
31.7 Consequences of non-compliance.....	52
<b>SECTION 4 — OTHER RIGHTS AND OBLIGATIONS.....</b>	<b>52</b>
ARTICLE 32 — RECRUITMENT AND WORKING CONDITIONS FOR RESEARCHERS.....	52
32.1 Obligation to take measures to implement the European Charter for Researchers and Code of Conduct for the Recruitment of Researchers.....	52
32.2 Consequences of non-compliance.....	52
ARTICLE 33 — GENDER EQUALITY.....	52
33.1 Obligation to aim for gender equality.....	52
33.2 Consequences of non-compliance.....	52
ARTICLE 34 — ETHICS.....	53
34.1 Obligation to comply with ethical principles.....	53
34.2 Activities raising ethical issues.....	53
34.3 Activities involving human embryos or human embryonic stem cells.....	54
34.4 Consequences of non-compliance.....	54



ARTICLE 35 — CONFLICT OF INTERESTS.....	54
35.1 Obligation to avoid a conflict of interests.....	54
35.2 Consequences of non-compliance.....	54
ARTICLE 36 — CONFIDENTIALITY.....	54
36.1 General obligation to maintain confidentiality.....	54
36.2 Consequences of non-compliance.....	55
ARTICLE 37 — SECURITY-RELATED OBLIGATIONS.....	56
37.1 Results with a security recommendation.....	56
37.2 Classified results.....	56
37.3 Activities involving dual-use goods or dangerous materials and substances.....	56
37.4 Consequences of non-compliance.....	56
ARTICLE 38 — PROMOTING THE ACTION — VISIBILITY OF EU FUNDING.....	56
38.1 Communication activities by beneficiaries.....	56
38.2 Communication activities by the <i>Agency</i> .....	57
38.3 Consequences of non-compliance.....	58
ARTICLE 39 — PROCESSING OF PERSONAL DATA.....	58
39.1 Processing of personal data by the <i>Agency and the Commission</i> .....	58
39.2 Processing of personal data by the beneficiaries.....	59
39.3 Consequences of non-compliance.....	59
ARTICLE 40 — ASSIGNMENTS OF CLAIMS FOR PAYMENT AGAINST THE <i>AGENCY</i> .....	59
<b>CHAPTER 5 DIVISION OF BENEFICIARIES' ROLES AND RESPONSIBILITIES .....</b>	<b>59</b>
ARTICLE 41 — DIVISION OF BENEFICIARIES' ROLES AND RESPONSIBILITIES .....	59
41.1 Roles and responsibilities towards the <i>Agency</i> .....	59
41.2 Internal division of roles and responsibilities.....	59
41.3 Internal arrangements between beneficiaries — Consortium agreement.....	60
41.4 Relationship with complementary beneficiaries — Collaboration agreement.....	61
41.5 Relationship with partners of a joint action — Coordination agreement.....	61
<b>CHAPTER 6 REJECTION OF COSTS — REDUCTION OF THE GRANT — RECOVERY — PENALTIES</b> <b>— DAMAGES — SUSPENSION — TERMINATION — FORCE MAJEURE.....</b>	<b>61</b>
<b>SECTION 1 REJECTION OF COSTS — REDUCTION OF THE GRANT — RECOVERY —</b> <b>PENALTIES.....</b>	<b>61</b>
ARTICLE 42 — REJECTION OF INELIGIBLE COSTS.....	61
42.1 Conditions.....	61
42.2 Ineligible costs to be rejected — Calculation — Procedure.....	61
42.3 Effects.....	62





ARTICLE 43 — REDUCTION OF THE GRANT.....	62
43.1 Conditions.....	62
43.2 Amount to be reduced — Calculation — Procedure.....	62
43.3 Effects.....	63
ARTICLE 44 — RECOVERY OF UNDUE AMOUNTS.....	63
44.1 Amount to be recovered — Calculation — Procedure.....	63
ARTICLE 45 — ADMINISTRATIVE AND FINANCIAL PENALTIES.....	67
45.1 Conditions.....	67
45.2 Duration — Amount of penalty — Calculation.....	67
45.3 Procedure.....	68
<b>SECTION 2 LIABILITY FOR DAMAGES.....</b>	<b>68</b>
ARTICLE 46 — LIABILITY FOR DAMAGES.....	68
46.1 Liability of the <i>Agency</i> .....	68
46.2 Liability of the beneficiaries.....	69
<b>SECTION 3 SUSPENSION AND TERMINATION.....</b>	<b>70</b>
ARTICLE 47 — SUSPENSION OF PAYMENT DEADLINE.....	70
47.1 Conditions.....	70
47.2 Procedure.....	70
ARTICLE 48 — SUSPENSION OF PAYMENTS.....	70
48.1 Conditions.....	70
48.2 Procedure.....	71
ARTICLE 49 — SUSPENSION OF THE ACTION IMPLEMENTATION.....	71
49.1 Suspension of the action implementation, by the beneficiaries.....	71
49.2 Suspension of the action implementation, by the <i>Agency</i> .....	72
ARTICLE 50 — TERMINATION OF THE AGREEMENT OR OF THE PARTICIPATION OF ONE OR MORE BENEFICIARIES.....	73
50.1 Termination of the Agreement by the beneficiaries.....	73
50.2 Termination of the participation of one or more beneficiaries, by the beneficiaries.....	73
50.3 Termination of the Agreement or the participation of one or more beneficiaries, by the <i>Agency</i> ... 76	
<b>SECTION 4 FORCE MAJEURE.....</b>	<b>79</b>
ARTICLE 51 — FORCE MAJEURE.....	80
<b>CHAPTER 7 FINAL PROVISIONS.....</b>	<b>80</b>
ARTICLE 52 — COMMUNICATIONS BETWEEN THE PARTIES.....	80
52.1 Form and means of communication.....	80
52.2 Date of communication.....	81



52.3 Addresses for communication.....	81
ARTICLE 53 — INTERPRETATION OF THE AGREEMENT.....	81
53.1 Precedence of the Terms and Conditions over the Annexes.....	81
53.2 Privileges and immunities.....	82
ARTICLE 54 — CALCULATION OF PERIODS, DATES AND DEADLINES.....	82
ARTICLE 55 — AMENDMENTS TO THE AGREEMENT.....	82
55.1 Conditions.....	82
55.2 Procedure.....	82
ARTICLE 56 — ACCESSION TO THE AGREEMENT.....	83
56.1 Accession of the beneficiaries mentioned in the Preamble.....	83
56.2 Addition of new beneficiaries.....	83
ARTICLE 57 — APPLICABLE LAW AND SETTLEMENT OF DISPUTES.....	83
57.1 Applicable law.....	83
57.2 Dispute settlement.....	83
ARTICLE 58 — ENTRY INTO FORCE OF THE AGREEMENT.....	84

## **CHAPTER 1 GENERAL**

### **ARTICLE 1 — SUBJECT OF THE AGREEMENT**

This Agreement sets out the rights and obligations and the terms and conditions applicable to the grant awarded to the beneficiaries for implementing the action set out in Chapter 2.

## **CHAPTER 2 ACTION**

### **ARTICLE 2 — ACTION TO BE IMPLEMENTED**

The grant is awarded for the action entitled '*Youth mobility: maximising opportunities for individuals, labour markets and regions in Europe — YMOBILITY*' ('action'), as described in Annex 1.

### **ARTICLE 3 — DURATION AND STARTING DATE OF THE ACTION**

The duration of the action will be **36 months** as of *01/03/2015* ('starting date of the action').

### **ARTICLE 4 — ESTIMATED BUDGET AND BUDGET TRANSFERS**

#### **4.1 Estimated budget**

The '**estimated budget**' for the action is set out in Annex 2.

It contains the estimated eligible costs and the forms of costs, broken down by beneficiary (*and linked third party*) and budget category (see Articles 5, 6, *and 14*).

#### **4.2 Budget transfers**

The estimated budget breakdown indicated in Annex 2 may be adjusted by transfers of amounts between beneficiaries or between budget categories (or both). This does not require an amendment according to Article 55, if the action is implemented as described in Annex 1.

However, the beneficiaries may not add costs relating to subcontracts not provided for in Annex 1, unless such additional subcontracts are approved by an amendment or in accordance with Article 13.

## **CHAPTER 3 GRANT**

### **ARTICLE 5 — GRANT AMOUNT, FORM OF GRANT, REIMBURSEMENT RATES AND FORMS OF COSTS**

#### **5.1 Maximum grant amount**

The '**maximum grant amount**' is **EUR 2,450,367.75** (two million four hundred and fifty thousand three hundred and sixty seven EURO and seventy five eurocents).

## 5.2 Form of grant, reimbursement rates and forms of costs

The grant reimburses **100% of the action's eligible costs** (see Article 6) (**'reimbursement of eligible costs grant'**) (see Annex 2).

The estimated eligible costs of the action are EUR **2,450,368.00** (two million four hundred and fifty thousand three hundred and sixty eight EURO).

Eligible costs (see Article 6) must be declared under the following forms (**'forms of costs'**):

(a) for **direct personnel costs**:

- as actually incurred costs (**'actual costs'**) or
- on the basis of an amount per unit calculated by the beneficiary in accordance with its usual cost accounting practices (**'unit costs'**).

Personnel **costs for SME owners or beneficiaries that are natural persons** not receiving a salary (see Article 6.2, Points A.4 and A.5) must be declared on the basis of the amount per unit set out in Annex 2 (**'unit costs'**);

(b) for **direct costs for subcontracting**: as actually incurred costs (**'actual costs'**);

(c) for **direct costs of providing financial support to third parties**: *not applicable*;

(d) for **other direct costs**: as actually incurred costs (**'actual costs'**);

(e) for **indirect costs**: on the basis of a flat-rate applied as set out in Article 6.2, Point E (**'flat-rate costs'**);

(f) *specific cost category(ies): not applicable*.

## 5.3 Final grant amount — Calculation

The **'final grant amount'** depends on the actual extent to which the action is implemented in accordance with the Agreement's terms and conditions.

This amount is calculated by the *Agency* — when the payment of the balance is made (see Article 21.4) — in the following steps:

Step 1 – Application of the reimbursement rates to the eligible costs

Step 2 – Limit to the maximum grant amount

Step 3 – Reduction due to the no-profit rule

Step 4 – Reduction due to improper implementation or breach of other obligations

### 5.3.1 Step 1 — Application of the reimbursement rates to the eligible costs

The reimbursement rate(s) (see Article 5.2) are applied to the eligible costs (actual costs, unit costs and flat-rate costs; see Article 6) declared by the beneficiaries *and linked third parties* (see Article 20) and approved by the *Agency* (see Article 21).

### 5.3.2 Step 2 — Limit to the maximum grant amount

If the amount obtained following Step 1 is higher than the maximum grant amount set out in Article 5.1, it will be limited to the latter.

### 5.3.3 Step 3 — Reduction due to the no-profit rule

The grant must not produce a profit.

‘**Profit**’ means the surplus of the amount obtained following Steps 1 and 2 plus the action’s total receipts, over the action’s total eligible costs.

The ‘**action’s total eligible costs**’ are the consolidated total eligible costs approved by the *Agency*.

The ‘**action’s total receipts**’ are the consolidated total receipts generated during its duration (see Article 3).

The following are considered **receipts**:

- (a) income generated by the action; if the income is generated from selling equipment or other assets purchased under the Agreement, the receipt is up to the amount declared as eligible under the Agreement;
- (b) financial contributions given by third parties to the beneficiary *or to a linked third party* specifically to be used for the action, and
- (c) in-kind contributions provided by third parties free of charge and specifically to be used for the action, if they have been declared as eligible costs.

The following are however not considered receipts:

- (a) income generated by exploiting the action’s results (see Article 28);
- (b) financial contributions by third parties, if they may be used to cover costs other than the eligible costs (see Article 6);
- (c) financial contributions by third parties with no obligation to repay any amount unused at the end of the period set out in Article 3.

If there is a profit, it will be deducted from the amount obtained following Steps 1 and 2.

### 5.3.4 Step 4 — Reduction due to improper implementation or breach of other obligations — Reduced grant amount — Calculation

If the grant is reduced (see Article 43), the *Agency* will calculate the reduced grant amount by deducting the amount of the reduction (calculated in proportion to the improper implementation of the action or to the seriousness of the breach of obligations in accordance with Article 43.2) from the maximum grant amount set out in Article 5.1.

The final grant amount will be the lower of the following two:

- the amount obtained following Steps 1 to 3 or



- the reduced grant amount following Step 4.

## 5.4 Revised final grant amount — Calculation

If — after the payment of the balance (in particular, after checks, reviews, audits or investigations; see Article 22) — the *Agency* rejects costs (see Article 42) or reduces the grant (see Article 43), it will calculate the ‘**revised final grant amount**’ for the beneficiary concerned by the findings.

This amount is calculated by the *Agency* on the basis of the findings, as follows:

- in case of **rejection of costs**: by applying the reimbursement rate to the revised eligible costs approved by the *Agency* for the beneficiary concerned;
- in case of **reduction of the grant**: by calculating the concerned beneficiary’s share in the grant amount reduced in proportion to its improper implementation of the action or to the seriousness of its breach of obligations (see Article 43.2).

In case of **rejection of costs and reduction of the grant**, the revised final grant amount for the beneficiary concerned will be the lower of the two amounts above.

## ARTICLE 6 — ELIGIBLE AND INELIGIBLE COSTS

### 6.1 General conditions for costs to be eligible

‘**Eligible costs**’ are costs that meet the following criteria:

(a) for **actual costs**:

- they must be actually incurred by the beneficiary;
- they must be incurred in the period set out in Article 3, with the exception of costs relating to the submission of the periodic report for the last reporting period and the final report (see Article 20);
- they must be indicated in the estimated budget set out in Annex 2;
- they must be incurred in connection with the action as described in Annex 1 and necessary for its implementation;
- they must be identifiable and verifiable, in particular recorded in the beneficiary’s accounts in accordance with the accounting standards applicable in the country where the beneficiary is established and with the beneficiary’s usual cost accounting practices;
- they must comply with the applicable national law on taxes, labour and social security, and
- they must be reasonable, justified and must comply with the principle of sound financial management, in particular regarding economy and efficiency;

(b) for **unit costs**:

- they must be calculated as follows:

{amounts per unit set out in Annex 2 or calculated by the beneficiary in accordance with its usual cost accounting practices (see Article 6.2, PointA)}

multiplied by

{the number of actual units};

(ii) the number of actual units must comply with the following conditions:

- the units must be actually used or produced in the period set out in Article 3;
- the units must be necessary for implementing the action or produced by it, and
- the number of units must be identifiable and verifiable, in particular supported by records and documentation (see Article 18);

(c) for **flat-rate costs**:

- (i) they must be calculated by applying the flat-rate set out in Annex 2, and
- (ii) the costs (actual costs or unit costs) to which the flat-rate is applied must comply with the conditions for eligibility set out in this Article.

## 6.2 Specific conditions for costs to be eligible

Costs are eligible if they comply with the general conditions (see above) and the specific conditions set out below for each of the following budget categories:

- A. direct personnel costs;
- B. direct costs of subcontracting;
- C. *not applicable*;
- D. other direct costs;
- E. indirect costs;
- F. *not applicable*.

‘Direct costs’ are costs that are directly linked to the action implementation and can therefore be attributed to it directly. They must not include any indirect costs (see Point E below).

‘Indirect costs’ are costs that are not directly linked to the action implementation and therefore cannot be attributed directly to it.

### A. Direct personnel costs

#### Types of eligible personnel costs

A.1 Personnel costs are eligible, if they are related to personnel working for the beneficiary under an employment contract (or equivalent appointing act) and assigned to the action (**‘costs for employees (or equivalent)’**). They must be limited to salaries (including during parental leave),

social security contributions, taxes and other costs included in the **remuneration**, if they arise from national law or the employment contract (or equivalent appointing act).

Beneficiaries that are non-profit legal entities<sup>2</sup> may also declare as personnel costs **additional remuneration** for personnel assigned to the action (including payments on the basis of supplementary contracts regardless of their nature), if:

- (a) it is part of the beneficiary's usual remuneration practices and is paid in a consistent manner whenever the same kind of work or expertise is required;
- (b) the criteria used to calculate the supplementary payments are objective and generally applied by the beneficiary, regardless of the source of funding used.

Additional remuneration for personnel assigned to the action is eligible up to the following amount:

- (a) if the person works full time and exclusively on the action during the full year: up to EUR 8 000;
- (b) if the person works exclusively on the action but not full-time or not for the full year: up to the corresponding pro-rata amount of EUR 8 000, or
- (c) if the person does not work exclusively on the action: up to a pro-rata amount calculated as follows:
 

{EUR 8 000

divided by

the number of annual productive hours (see below)},

multiplied by

the number of hours that the person has worked on the action during the year}.

**A.2 The costs for natural persons working under a direct contract** with the beneficiary other than an employment contract are eligible personnel costs, if:

- (a) the person works under the beneficiary's instructions and, unless otherwise agreed with the beneficiary, on the beneficiary's premises;
- (b) the result of the work carried out belongs to the beneficiary, and
- (c) the costs are not significantly different from those for personnel performing similar tasks under an employment contract with the beneficiary.

**A.3 The costs of personnel seconded by a third party against payment** are eligible personnel costs, if the conditions in Article 11.1 are met.

<sup>2</sup> For the definition, see Article 2.1(14) of the Rules for Participation Regulation No 1290/2013: '**non-profit legal entity**' means a legal entity which by its legal form is non-profit-making or which has a legal or statutory obligation not to distribute profits to its shareholders or individual members.



A.4 **Costs owners** of beneficiaries that are small and medium-sized enterprises (**'SME owners'**) who are working on the action and who do not receive a salary are eligible personnel costs, if they correspond to the amount per unit set out in Annex 2 multiplied by the number of actual hours worked on the action.

A.5 **Costs of 'beneficiaries that are natural persons'** not receiving a salary are eligible personnel costs, if they correspond to the amount per unit set out in Annex 2 multiplied by the number of actual hours worked on the action.

### Calculation

Personnel costs must be calculated by the beneficiaries as follows:

{ {hourly rate  
multiplied by  
the number of actual hours worked on the action},  
plus  
for non-profit legal entities: additional remuneration to personnel assigned to the action under the conditions set out above (Point A.1)}.

The number of actual hours declared for a person must be identifiable and verifiable (see Article 18).

The total number of hours declared in *EU or Euratom* grants, for a person for a year, cannot be higher than the annual productive hours used for the calculations of the hourly rate. Therefore, the maximum number of hours that can be declared for the grant are:

{the number of annual productive hours for the year (see below)  
minus  
total number of hours declared by the beneficiary for that person in that year for other *EU or Euratom* grants}.

The **'hourly rate'** is one of the following:

(a) for personnel costs declared as **actual costs**: the hourly rate is the amount calculated as follows:

{actual annual personnel costs (excluding additional remuneration) for the person  
divided by  
number of annual productive hours}.

The beneficiaries must use the annual personnel costs and the number of annual productive hours for each financial year covered by the reporting period. If a financial year is not closed at the end of the reporting period, the beneficiaries must use the hourly rate of the last closed financial year available.

For the 'number of annual productive hours', the beneficiaries may choose one of the following:

(i) 'fixed number of hours': 1 720 hours for persons working full time (or corresponding pro-rata for persons not working full time);

- (ii) ‘individual annual productive hours’: the total number of hours worked by the person in the year for the beneficiary, calculated as follows:

{annual workable hours of the person (according to the employment contract, applicable collective labour agreement or national law)

plus

overtime worked

minus

absences (such as sick leave and special leave)}.

‘Annual workable hours’ means the period during which the personnel must be working, at the employer’s disposal and carrying out his/her activity or duties under the employment contract, applicable collective labour agreement or national working time legislation.

If the contract (or applicable collective labour agreement or national working time legislation) does not allow to determine the annual workable hours, this option cannot be used;

- (iii) ‘standard annual productive hours’: the ‘standard number of annual hours’ generally applied by the beneficiary for its personnel in accordance with its usual cost accounting practices. This number must be at least 90% of the ‘standard annual workable hours’.

If there is no applicable reference for the standard annual workable hours, this option cannot be used.

For all options, the actual time spent on **parental leave** by a person assigned to the action may be deducted from the number of annual productive hours;

- (b) for personnel costs declared on the basis of **unit costs**: the hourly rate is one of the following:

- (i) for SME owners or beneficiaries that are natural persons: the hourly rate set out in Annex 2 (see Points A.4 and A.5 above), or
- (ii) for personnel costs declared on the basis of the beneficiary’s usual cost accounting practices: the hourly rate calculated by the beneficiary in accordance with its usual cost accounting practices, if:
  - the cost accounting practices used are applied in a consistent manner, based on objective criteria, regardless of the source of funding;
  - the hourly rate is calculated using the actual personnel costs recorded in the beneficiary’s accounts, excluding any ineligible cost or costs included in other budget categories.

The actual personnel costs may be adjusted by the beneficiary on the basis of budgeted or estimated elements. Those elements must be relevant for calculating



the personnel costs, reasonable and correspond to objective and verifiable information;

and

- the hourly rate is calculated using the number of annual productive hours (see above).

**B. Direct costs of subcontracting** (including related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary) are eligible if the conditions in Article 13.1.1 are met.

**C. Direct costs of providing financial support to third parties** *not applicable*.

**D. Other direct costs**

**D.1 Travel costs and related subsistence allowances** (including related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary) are eligible if they are in line with the beneficiary's usual practices on travel.

**D.2 The depreciation costs of equipment, infrastructure or other assets** (*new or second-hand*) as recorded in the beneficiary's accounts are eligible, if they were purchased in accordance with Article 10.1.1 and written off in accordance with international accounting standards and the beneficiary's usual accounting practices.

*The costs of renting or leasing equipment, infrastructure or other assets (including related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary) are also eligible, if they do not exceed the depreciation costs of similar equipment, infrastructure or assets and do not include any financing fees.*

*The costs of equipment, infrastructure or other assets **contributed in-kind against payment** are eligible, if they do not exceed the depreciation costs of similar equipment, infrastructure or assets, do not include any financing fees and if the conditions in Article 11.1 are met.*

*The only portion of the costs that will be taken into account is that which corresponds to the duration of the action and rate of actual use for the purposes of the action.*

**D.3 Costs of other goods and services** (including related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary) are eligible, if they are:

- (a) purchased specifically for the action and in accordance with Article 10.1.1 or
- (b) contributed in kind against payment and in accordance with Article 11.1.

Such goods and services include, for instance, consumables and supplies, dissemination (including open access), protection of results, certificates on the financial statements (if they are required by the Agreement), certificates on the methodology, translations and publications.



**D.4 Capitalised and operating costs of ‘large research infrastructure’<sup>3</sup> directly used for the action are eligible, if:**

- (a) *the value of the large research infrastructure represents at least 75% of the total fixed assets (at historical value in its last closed balance sheet before the date of the signature of the Agreement or as determined on the basis of the rental and leasing costs of the research infrastructure<sup>4</sup>);*
- (b) *the beneficiary’s methodology for declaring the costs for large research infrastructure has been positively assessed by the Commission (‘ex-ante assessment’);*
- (c) *the beneficiary declares as direct eligible costs only the portion which corresponds to the duration of the action and the rate of actual use for the purposes of the action, and*
- (d) *they comply with the conditions as further detailed in the annotations to the H2020 grant agreements.*

**E. Indirect costs**

**Indirect costs** are eligible if they are declared on the basis of the flat-rate of 25% of the eligible direct costs (see Article 5.2 and Points A to D above), from which are excluded:

- (a) costs of subcontracting and
- (b) costs of in-kind contributions provided by third parties which are not used on the beneficiary’s premises;
- (c) *not applicable;*
- (d) *not applicable.*

Beneficiaries receiving an operating grant<sup>5</sup> financed by the EU or Euratom budget cannot declare indirect costs for the period covered by the operating grant.

<sup>3</sup> ‘**Large research infrastructure**’ means research infrastructure of a total value of at least EUR 20 million, for a beneficiary, calculated as the sum of historical asset values of each individual research infrastructure of that beneficiary, as they appear in its last closed balance sheet before the date of the signature of the Agreement or as determined on the basis of the rental and leasing costs of the research infrastructure.

<sup>4</sup> For the definition, see Article 2(6) of Regulation (EU) No 1291/2013 of the European Parliament and of the Council of 11 December 2013 establishing Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020) (OJ L 347, 20.12.2013 p.104)-(**‘Horizon 2020 Framework Programme Regulation No 1291/2013’**): ‘**Research infrastructure**’ are facilities, resources and services that are used by the research communities to conduct research and foster innovation in their fields. Where relevant, they may be used beyond research, e.g. for education or public services. They include: major scientific equipment (or sets of instruments); knowledge-based resources such as collections, archives or scientific data; e-infrastructures such as data and computing systems and communication networks; and any other infrastructure of a unique nature essential to achieve excellence in research and innovation. Such infrastructures may be ‘single-sited’, ‘virtual’ or ‘distributed’.

<sup>5</sup> For the definition, see Article 121(1)(b) of Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002 (OJ L 218, 26.10.2012, p.1) (**‘Financial Regulation No 966/2012’**): ‘**operating grant**’ means direct financial contribution, by way of donation, from the budget in order to finance the functioning of a body which pursues an aim of general EU interest or has an objective forming part of and supporting an EU policy.

**F. Specific cost category(ies)**

*Not applicable*

**6.3 Conditions for costs of linked third parties to be eligible**

*Costs incurred by linked third parties are eligible if they fulfil — mutatis mutandis — the general and specific conditions for eligibility set out in this Article (Article 6.1 and 6.2) and Article 14.1.1.*

**6.4 Conditions for in-kind contributions provided by third parties free of charge to be eligible**

**In-kind contributions provided free of charge** are eligible direct costs (for the beneficiary *or linked third party*), if the costs incurred by the third party fulfil — *mutatis mutandis* — the general and specific conditions for eligibility set out in this Article (Article 6.1 and 6.2) and Article 12.1.

**6.5 Ineligible costs**

**‘Ineligible costs’** are:

(a) costs that do not comply with the conditions set out above (Article 6.1 to 6.4), in particular:

- (i) costs related to return on capital;
- (ii) debt and debt service charges;
- (iii) provisions for future losses or debts;
- (iv) interest owed;
- (v) doubtful debts;
- (vi) currency exchange losses;
- (vii) bank costs charged by the beneficiary’s bank for transfers from the *Agency*;
- (viii) excessive or reckless expenditure;
- (ix) deductible VAT;
- (x) costs incurred during suspension of the implementation of the action (see Article 49);

(b) costs declared under another EU or Euratom grant (including grants awarded by a Member State and financed by the EU or Euratom budget and grants awarded by bodies other than the *Agency* for the purpose of implementing the EU or Euratom budget); in particular, indirect costs if the beneficiary is already receiving an operating grant financed by the EU or Euratom budget in the same period.

**6.6 Consequences of declaration of ineligible costs**

Declared costs that are ineligible will be rejected (see Article 42).



This may also lead to any of the other measures described in Chapter 6.

## **CHAPTER 4 RIGHTS AND OBLIGATIONS OF THE PARTIES**

### **SECTION 1 RIGHTS AND OBLIGATIONS RELATED TO IMPLEMENTING THE ACTION**

#### **ARTICLE 7 — GENERAL OBLIGATION TO PROPERLY IMPLEMENT THE ACTION**

##### **7.1 General obligation to properly implement the action**

The beneficiaries must implement the action as described in Annex 1 and in compliance with the provisions of the Agreement and all legal obligations under applicable EU, international and national law.

##### **7.2 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

#### **ARTICLE 8 — RESOURCES TO IMPLEMENT THE ACTION — THIRD PARTIES INVOLVED IN THE ACTION**

The beneficiaries must have the appropriate resources to implement the action.

If it is necessary to implement the action, the beneficiaries may:

- purchase goods, works and services (see Article 10);
- use in-kind contributions provided by third parties against payment (see Article 11);
- use in-kind contributions provided by third parties free of charge (see Article 12);
- call upon subcontractors to implement action tasks described in Annex 1 (see Article 13);
- call upon linked third parties to implement action tasks described in Annex 1 (see Article 14).

In these cases, the beneficiaries retain sole responsibility towards the *Agency* and the other beneficiaries for implementing the action.

#### **ARTICLE 9 — IMPLEMENTATION OF ACTION TASKS BY BENEFICIARIES NOT RECEIVING EU FUNDING**

*Not applicable*

## ARTICLE 10 — PURCHASE OF GOODS, WORKS OR SERVICES

### 10.1 Rules for purchasing goods, works or services

10.1.1 If necessary to implement the action, the beneficiaries may purchase goods, works or services.

The beneficiaries must make such purchases ensuring the best value for money or, if appropriate, the lowest price. In doing so, they must avoid any conflict of interests (see Article 35).

The beneficiaries must ensure that *the Agency*, the Commission, the European Court of Auditors (ECA) and the European Anti-fraud Office (OLAF) can exercise their rights under Articles 22 and 23 also towards their contractors.

10.1.2 Beneficiaries that are ‘contracting authorities’ within the meaning of Directive 2004/18/EC<sup>6</sup> or ‘contracting entities’ within the meaning of Directive 2004/17/EC<sup>7</sup> must comply with the applicable national law on public procurement.

### 10.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under Article 10.1.1, the costs related to the contract concerned will be ineligible (see Article 6) and will be rejected (see Article 42).

If a beneficiary breaches any of its obligations under Article 10.1.2, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

## ARTICLE 11 — USE OF IN-KIND CONTRIBUTIONS PROVIDED BY THIRD PARTIES AGAINST PAYMENT

### 11.1 Rules for the use of in-kind contributions against payment

If necessary to implement the action, the beneficiaries may use in-kind contributions provided by third parties against payment.

The beneficiaries may declare costs related to the payment of in-kind contributions as eligible (see Article 6.1 and 6.2), up to the third parties’ costs for the seconded persons, contributed equipment, infrastructure or other assets or other contributed goods and services.

The third parties and their contributions must be set out in Annex 1. The *Agency* may however approve in-kind contributions not set out in Annex 1 without amendment (see Article 55), if:

- they are specifically justified in the periodic technical report and
- their use does not entail changes to the Agreement which would call into question the decision awarding the grant or breach the principle of equal treatment of applicants.

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<sup>6</sup> Directive 2004/18/EC of the European Parliament and of the Council of 31 March 2004 on the coordination of procedures for the award of public work contracts, public supply contracts and public service contracts (OJ L 134, 30.04.2004, p. 114).

<sup>7</sup> Directive 2004/17/EC of the European Parliament and of the Council of 31 March 2004 coordinating the procurement procedures of entities operating in the water, energy, transport and postal services sectors (OJ L 134, 30.04.2004, p. 1).





The beneficiaries must ensure that *the Agency*, the Commission, the European Court of Auditors (ECA) and the European Anti-fraud Office (OLAF) can exercise their rights under Articles 22 and 23 also towards the third parties.

## **11.2 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the costs related to the payment of the in-kind contribution will be ineligible (see Article 6) and will be rejected (see Article 42).

Such breaches may also lead to any of the other measures described in Chapter 6.

## **ARTICLE 12 — USE OF IN-KIND CONTRIBUTIONS PROVIDED BY THIRD PARTIES FREE OF CHARGE**

### **12.1 Rules for the use of in-kind contributions free of charge**

If necessary to implement the action, the beneficiaries may use in-kind contributions provided by third parties free of charge.

The beneficiaries may declare costs incurred by the third parties for the seconded persons, contributed equipment, infrastructure or other assets or other contributed goods and services as eligible in accordance with Article 6.4.

The third parties and their contributions must be set out in Annex 1. The *Agency* may however approve in-kind contributions not set out in Annex 1 without amendment (see Article 55), if:

- they are specifically justified in the periodic technical report and
- their use does not entail changes to the Agreement which would call into question the decision awarding the grant or breach the principle of equal treatment of applicants.

The beneficiaries must ensure that *the Agency*, the Commission, the European Court of Auditors (ECA) and the European Anti-fraud Office (OLAF) can exercise their rights under Articles 22 and 23 also towards the third parties.

## **12.2 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the costs incurred by the third parties related to the in-kind contribution will be ineligible (see Article 6) and will be rejected (see Article 42).

Such breaches may also lead to any of the other measures described in Chapter 6.

## **ARTICLE 13 — IMPLEMENTATION OF ACTION TASKS BY SUBCONTRACTORS**

### **13.1 Rules for subcontracting action tasks**

13.1.1 If necessary to implement the action, the beneficiaries may award subcontracts covering the implementation of certain action tasks described in Annex 1.

Subcontracting may cover only a limited part of the action.





The beneficiaries must award the subcontracts ensuring the best value for money or, if appropriate, the lowest price. In doing so, they must avoid any conflict of interests (see Article 35).

The tasks to be implemented and the estimated cost for each subcontract must be set out in Annex 1 and the total estimated costs of subcontracting per beneficiary must be set out in Annex 2. The *Agency* may however approve subcontracts not set out in Annex 1 and 2 without amendment (see Article 55), if:

- they are specifically justified in the periodic technical report and
- they do not entail changes to the Agreement which would call into question the decision awarding the grant or breach the principle of equal treatment of applicants.

The beneficiaries must ensure that *the Agency*, the Commission, the European Court of Auditors (ECA) and the European Anti-Fraud Office (OLAF) can exercise their rights under Articles 22 and 23 also towards their subcontractors.

13.1.2 The beneficiaries must ensure that their obligations under Articles 35, 36, 38 and 46 also apply to the subcontractors.

Beneficiaries that are ‘contracting authorities’ within the meaning of Directive 2004/18/EC or ‘contracting entities’ within the meaning of Directive 2004/17/EC must comply with the applicable national law on public procurement.

### **13.2 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under Article 13.1.1, the costs related to the subcontract concerned will be ineligible (see Article 6) and will be rejected (see Article 42).

If a beneficiary breaches any of its obligations under Article 13.1.2, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.



## ARTICLE 14 — IMPLEMENTATION OF ACTION TASKS BY LINKED THIRD PARTIES

### *14.1 Rules for calling upon linked third parties to implement part of the action*

*14.1.1 The following **affiliated entities**<sup>9</sup> and **third parties with a legal link to a beneficiary**<sup>10</sup> ('linked third parties') may implement the action tasks attributed to them in Annex 1:*

- *CONSORZIO SAPIENZA INNOVAZIONE (CSI), affiliated or linked to UNIROMA1*

*The linked third parties may declare as eligible the costs they incur for implementing the action tasks in accordance with Article 6.3.*

*The beneficiaries must ensure that the Agency, the Commission, the European Court of Auditors (ECA) and the European Anti-Fraud Office (OLAF) can exercise their rights under Articles 22 and 23 also towards their linked third parties.*

*14.1.2 The beneficiaries must ensure that their obligations under Articles 18, 20, 35, 36 and 38 also apply to their linked third parties.*

### *14.2 Consequences of non-compliance*

*If any obligation under Article 14.1.1 is breached, the costs of the linked third party will be ineligible (see Article 6) and will be rejected (see Article 42).*

*If any obligation under Article 14.1.2 is breached, the grant may be reduced (see Article 43).*

*Such breaches may also lead to any of the other measures described in Chapter 6.*

## ARTICLE 15 — FINANCIAL SUPPORT TO THIRD PARTIES

### **15.1 Rules for providing financial support to third parties**

*Not applicable*

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<sup>9</sup> For the definition, see Article 2.1(2) of the Rules for Participation Regulation No 1290/2013: '**affiliated entity**' means any legal entity that is:

- under the direct or indirect control of a participant, or
- under the same direct or indirect control as the participant, or
- directly or indirectly controlling a participant.

'Control' may take any of the following forms:

- (a) the direct or indirect holding of more than 50% of the nominal value of the issued share capital in the legal entity concerned, or of a majority of the voting rights of the shareholders or associates of that entity;
- (b) the direct or indirect holding, in fact or in law, of decision-making powers in the legal entity concerned.

However the following relationships between legal entities shall not in themselves be deemed to constitute controlling relationships:

- (a) the same public investment corporation, institutional investor or venture-capital company has a direct or indirect holding of more than 50% of the nominal value of the issued share capital or a majority of voting rights of the shareholders or associates;
- (b) the legal entities concerned are owned or supervised by the same public body.

<sup>10</sup> '**Third party with a legal link to a beneficiary**' is any legal entity which has a legal link to the beneficiary implying collaboration that is not limited to the action.



## **15.2 Financial support in the form of prizes**

*Not applicable*

## **15.3 Consequences of non-compliance**

*Not applicable*

# **ARTICLE 16 — PROVISION OF TRANS-NATIONAL OR VIRTUAL ACCESS TO RESEARCH INFRASTRUCTURE**

## **16.1 Rules for providing trans-national access to research infrastructure**

*Not applicable*

## **16.2 Rules for providing virtual access to research infrastructure**

*Not applicable*

## **16.3 Consequences of non-compliance**

*Not applicable*

# **SECTION 2 RIGHTS AND OBLIGATIONS RELATED TO THE GRANT ADMINISTRATION**

## **ARTICLE 17 — GENERAL OBLIGATION TO INFORM**

### **17.1 General obligation to provide information upon request**

The beneficiaries must provide — during implementation of the action or afterwards and in accordance with Article 41.2 — any information requested in order to verify eligibility of the costs, proper implementation of the action and compliance with any other obligation under the Agreement.

### **17.2 Obligation to keep information up to date and to inform about events and circumstances likely to affect the Agreement**

Each beneficiary must keep information stored in the 'Beneficiary Register' (via the electronic exchange system; see Article 52) up to date, in particular, its name, address, legal representatives, legal form and organisation type.

Each beneficiary must immediately inform the coordinator — which must immediately inform the Agency and the other beneficiaries — of any of the following:

- (a) **events** which are likely to affect significantly or delay the implementation of the action or the EU's financial interests, in particular:
  - (i) changes in its legal, financial, technical, organisational or ownership situation *or those of its linked third parties and*
  - (ii) *changes in the name, address, legal form, organisation type of its linked third parties;*

(b) **circumstances** affecting:

- (i) the decision to award the grant or
- (ii) compliance with requirements under the Agreement.

### **17.3 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

## **ARTICLE 18 — KEEPING RECORDS — SUPPORTING DOCUMENTATION**

### **18.1 Obligation to keep records and other supporting documentation**

The beneficiaries must — for a period of *five* years after the payment of the balance — keep records and other supporting documentation in order to prove the proper implementation of the action and the costs they declare as eligible.

They must make them available upon request (see Article 17) or in the context of checks, reviews, audits or investigations (see Article 22).

If there are on-going checks, reviews, audits, investigations, litigation or other pursuits of claims under the Agreement (including the extension of findings; see Articles 22), the beneficiaries must keep the records and other supporting documentation until the end of these procedures.

The beneficiaries must keep the original documents. Digital and digitalised documents are considered originals if they are authorised by the applicable national law. The *Agency* may accept non-original documents if it considers that they offer a comparable level of assurance.

#### **18.1.1 Records and other supporting documentation on the scientific and technical implementation**

The beneficiaries must keep records and other supporting documentation on scientific and technical implementation of the action in line with the accepted standards in the respective field.

#### **18.1.2 Records and other documentation to support the costs declared**

The beneficiaries must keep the records and documentation supporting the costs declared, in particular the following:

- (a) for **actual costs**: adequate records and other supporting documentation to prove the costs declared, such as contracts, subcontracts, invoices and accounting records. In addition, the beneficiaries' usual cost accounting practices and internal control procedures must enable direct reconciliation between the amounts declared, the amounts recorded in their accounts and the amounts stated in the supporting documentation;
- (b) for **unit costs**: adequate records and other supporting documentation to prove the number of units declared. Beneficiaries do not need to identify the actual eligible costs covered or to keep

or provide supporting documentation (such as accounting statements) to prove the amount per unit.

In addition, **for direct personnel costs declared as unit costs calculated in accordance with the beneficiary's usual cost accounting practices**, the beneficiaries must keep adequate records and documentation to prove that the cost accounting practices used comply with the conditions set out in Article 6.2, Point A.

The beneficiaries *and linked third parties* may submit to the *Agency*, for approval, a certificate (drawn up in accordance with Annex 6) stating that their usual cost accounting practices comply with these conditions (**'certificate on the methodology'**). If the certificate is approved, costs declared in line with this methodology will not be challenged subsequently, unless the beneficiaries have concealed information for the purpose of the approval.

- (c) for **flat-rate costs**: adequate records and other supporting documentation to prove the eligibility of the costs to which the flat-rate is applied. The beneficiaries do not need to identify the costs covered or provide supporting documentation (such as accounting statements) to prove the amount declared at a flat-rate.

In addition, for **personnel costs** (declared as actual costs or on the basis of unit costs), the beneficiaries must keep **time records** for the number of hours declared. The time records must be in writing and approved by the persons working on the action and their supervisors, at least monthly. In the absence of reliable time records of the hours worked on the action, the *Agency* may accept alternative evidence supporting the number of hours declared, if it considers that it offers an adequate level of assurance.

As an exception, for **persons working exclusively on the action**, there is no need to keep time records, if the beneficiary signs a **declaration** confirming that the persons concerned have worked exclusively on the action.

*For costs declared by linked third parties (see Article 14), it is the beneficiary that must keep the originals of the financial statements and the certificates on the financial statements of the linked third parties.*

## 18.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, costs insufficiently substantiated will be ineligible (see Article 6) and will be rejected (see Article 42), and the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

## ARTICLE 19 — SUBMISSION OF DELIVERABLES

### 19.1 Obligation to submit deliverables

The coordinator must submit the **'deliverables'** identified in Annex 1, in accordance with the timing and conditions set out in it.



## 19.2 Consequences of non-compliance

If the coordinator breaches any of its obligations under this Article, the *Agency* may apply any of the measures described in Chapter 6.

## ARTICLE 20 — REPORTING — PAYMENT REQUESTS

### 20.1 Obligation to submit reports

The coordinator must submit to the *Agency* (see Article 52) the technical and financial reports set out in this Article. These reports include the requests for payment and must be drawn up using the forms and templates provided in the electronic exchange system (see Article 52).

### 20.2 Reporting periods

The action is divided into the following ‘**reporting periods**’:

- RP1: from month 1 to month 12
- RP2: *from month 13 to month 36*

### 20.3 Periodic reports — Requests for interim payments

The coordinator must submit a periodic report within 60 days following the end of each reporting period.

The **periodic report** must include the following:

(a) a ‘**periodic technical report**’ containing:

- (i) an **explanation of the work carried out** by the beneficiaries;
- (ii) an **overview of the progress** towards the objectives of the action, including milestones and deliverables identified in Annex 1.

This report must include explanations justifying the differences between work expected to be carried out in accordance with Annex 1 and that actually carried out.

The report must also detail the exploitation and dissemination of the results and — if required in Annex 1 — an updated ‘**plan for the exploitation and dissemination of the results**’;

- (iii) a **summary** for publication by the *Agency*;
- (iv) the answers to the ‘**questionnaire**’, covering issues related to the action implementation and the economic and societal impact, notably in the context of the Horizon 2020 key performance indicators and the Horizon 2020 monitoring requirements;

(b) a ‘**periodic financial report**’ containing:

- (i) an ‘**individual financial statement**’ (see Annex 4) from each beneficiary *and from each linked third party*, for the reporting period concerned.

The individual financial statement must detail the eligible costs (actual costs, unit costs and flat-rate costs; see Article 6) for each budget category (see Annex 2).

The beneficiaries *and linked third parties* must declare all eligible costs, even if — for actual costs, unit costs and flat-rate costs — they exceed the amounts indicated in the estimated budget (see Annex 2). Amounts which are not declared in the individual financial statement will not be taken into account by the *Agency*.

If an individual financial statement is not submitted for a reporting period, it may be included in the periodic financial report for the next reporting period.

The individual financial statements of the last reporting period must also detail the **receipts of the action** (see Article 5.3.3).

Each beneficiary *and each linked third party* must **certify** that:

- the information provided is full, reliable and true;
  - the costs declared are eligible (see Article 6);
  - the costs can be substantiated by adequate records and supporting documentation (see Article 18) that will be produced upon request (see Article 17) or in the context of checks, reviews, audits and investigations (see Article 22), and
  - for the last reporting period: that all the receipts have been declared (see Article 5.3.3);
- (ii) an **explanation of the use of resources** and the information on subcontracting (see Article 13) and in-kind contributions provided by third parties (see Articles 11 and 12) from each beneficiary *and from each linked third party*, for the reporting period concerned;
- (iii) *not applicable*;
- (iv) a ‘**periodic summary financial statement**’ (see Annex 4), created automatically by the electronic exchange system, consolidating the individual financial statements for the reporting period concerned and including — except for the last reporting period — the **request for interim payment**.

## 20.4 Final report — Request for payment of the balance

In addition to the periodic report for the last reporting period, the coordinator must submit the final report within 60 days following the end of the last reporting period.

The **final report** must include the following:

- (a) a ‘**final technical report**’ with a **summary** for publication containing:
- (i) an overview of the results and their exploitation and dissemination;

- (ii) the conclusions on the action, and
- (iii) the socio-economic impact of the action;

(b) a **‘final financial report’** containing:

- (i) a **‘final summary financial statement’** (see Annex 4), created automatically by the electronic exchange system, consolidating the individual financial statements for all reporting periods and including the **request for payment of the balance** and
- (ii) a **‘certificate on the financial statements’** (drawn up in accordance with Annex 5) for each beneficiary *and for each linked third party*, if it requests a total contribution of EUR 325 000 or more, as reimbursement of actual costs and unit costs calculated on the basis of its usual cost accounting practices (see Article 5.2 and Article 6.2, Point A).

## 20.5 Information on cumulative expenditure incurred

*not applicable*

## 20.6 Currency for financial statements and conversion into euro

Financial statements must be drafted in euro.

Beneficiaries *and linked third parties* with accounting established in a currency other than the euro must convert the costs recorded in their accounts into euro, at the average of the daily exchange rates published in the C series of the *Official Journal of the European Union*, calculated over the corresponding reporting period.

If no daily euro exchange rate is published in the *Official Journal of the European Union* for the currency in question, they must be converted at the average of the monthly accounting rates published on the Commission’s website, calculated over the corresponding reporting period.

Beneficiaries *and linked third parties* with accounting established in euro must convert costs incurred in another currency into euro according to their usual accounting practices.

## 20.7 Language of reports

All reports (technical and financial reports, including financial statements) must be submitted in the language of the Agreement.

## 20.8 Consequences of non-compliance — Suspension of the payment deadline — Termination

If the reports submitted do not comply with this Article, the *Agency* may suspend the payment deadline (see Article 47) and apply any of the other measures described in Chapter 6.

If the coordinator breaches its obligation to submit the reports and if it fails to comply with this obligation within 30 days following a written reminder sent by the *Agency*, the Agreement may be terminated (see Article 50).



## ARTICLE 21 — PAYMENTS AND PAYMENT ARRANGEMENTS

### 21.1 Payments to be made

The following payments will be made to the coordinator:

- one **pre-financing payment**;
- one or more **interim payments**, on the basis of the request(s) for interim payment (see Article 20), and
- one **payment of the balance**, on the basis of the request for payment of the balance (see Article 20).

### 21.2 Pre-financing payment — Amount — Amount retained for the Guarantee Fund

The aim of the pre-financing is to provide the beneficiaries with a float.

It remains the property of the *EU* until the payment of the balance.

The amount of the pre-financing payment will be EUR **1,225,183.88** (one million two hundred and twenty five thousand one hundred and eighty three EURO and eighty eight eurocents).

The *Agency* will — except if Article 48 applies — make the pre-financing payment to the coordinator within 30 days either from the entry into force of the Agreement (see Article 58) or from 10 days before the starting date of the action (see Article 3), whichever is the latest.

An amount of EUR **122,518.39** (one hundred and twenty two thousand five hundred and eighteen EURO and thirty nine eurocents), corresponding to the 5% of the maximum grant amount (see Article 5.1), is retained by the *Agency* from the pre-financing payment and transferred into the '**Guarantee Fund**'.

### 21.3 Interim payments — Amount — Calculation

Interim payments reimburse the eligible costs incurred for the implementation of the action during the corresponding reporting periods.

The *Agency* will pay to the coordinator the amount due as interim payment within 90 days from receiving the periodic report (see Article 20.3), except if Articles 47 or 48 apply.

Payment is subject to the approval of the periodic report. Its approval does not imply recognition of the compliance, authenticity, completeness or correctness of its content.

The **amount due as interim payment** is calculated by the *Agency* in the following steps:

Step 1 – Application of the reimbursement rates

Step 2 – Limit to 90% of the maximum grant amount

#### 21.3.1 Step 1 — Application of the reimbursement rates

The reimbursement rate(s) (see Article 5.2) are applied to the eligible costs (actual costs, unit costs and flat-rate costs ; see Article 6) declared by the beneficiaries *and the linked third parties* (see Article 20) and approved by the *Agency* (see above) for the concerned reporting period.

### 21.3.2 Step 2 — Limit to 90% of the maximum grant amount

The total amount of pre-financing and interim payments must not exceed 90% of the maximum grant amount set out in Article 5.1. The maximum amount for the interim payment will be calculated as follows:

{90% of the maximum grant amount (see Article 5.1)

minus

{pre-financing and previous interim payments} }.

### 21.4 Payment of the balance — Amount — Calculation — Release of the amount retained for the Guarantee Fund

The payment of the balance reimburses the remaining part of the eligible costs incurred by the beneficiaries for the implementation of the action.

If the total amount of earlier payments is greater than the final grant amount (see Article 5.3), the payment of the balance takes the form of a recovery (see Article 44).

If the total amount of earlier payments is lower than the final grant amount, the *Agency* will pay the balance within 90 days from receiving the final report (see Article 20.4), except if Articles 47 or 48 apply.

Payment is subject to the approval of the final report. Its approval does not imply recognition of the compliance, authenticity, completeness or correctness of its content.

The **amount due as the balance** is calculated by the *Agency* by deducting the total amount of pre-financing and interim payments (if any) already made, from the final grant amount determined in accordance with Article 5.3:

{final grant amount (see Article 5.3)

minus

{pre-financing and interim payments (if any) made} }.

At the payment of the balance, the amount retained for the Guarantee Fund (see above) will be released and:

- if the balance is positive: the amount released will be paid in full to the coordinator together with the amount due as the balance;
- if the balance is negative (payment of the balance taking the form of recovery): it will be deducted from the amount released (see Article 44.1.2). If the resulting amount:
  - is positive, it will be paid to the coordinator



- is negative, it will be recovered.

The amount to be paid may however be offset — without the beneficiary's consent — against any other amount owed by the beneficiary to the *Agency*, the Commission or another executive agency (under the EU or Euratom budget), up to the maximum EU contribution indicated, for that beneficiary, in the estimated budget (see Annex 2).

### **21.5 Notification of amounts due**

When making payments, the *Agency* will formally notify to the coordinator the amount due, specifying whether it concerns an interim payment or the payment of the balance.

For the payment of the balance, the notification will also specify the final grant amount.

In the case of reduction of the grant or recovery of undue amounts, the notification will be preceded by the contradictory procedure set out in Articles 43 and 44.

### **21.6 Currency for payments**

The *Agency* will make all payments in euro.

### **21.7 Payments to the coordinator — Distribution to the beneficiaries**

Payments will be made to the coordinator.

Payments to the coordinator will discharge the *Agency* from its payment obligation.

The coordinator must distribute the payments between the beneficiaries without unjustified delay.

Pre-financing may however be distributed only:

- (a) if the minimum number of beneficiaries set out in the call for proposals has acceded to the Agreement (see Article 56) and
- (b) to beneficiaries that have acceded to the Agreement (see Article 56).

### **21.8 Bank account for payments**

All payments will be made to the following bank account:

Name of bank: UNICREDIT SPA

Address of branch: CITTA' UNIVERSITARIA:5, P.LE ALDO M ROMA, Italy

Full name of the account holder: DIPARTIMENTO DI STUDI EUROPEI AMERICANI E INTERCULTURALI ENTE 8003 DIR

Full account number (including bank codes):

IBAN code: IT92X0200805227000401386333

### **21.9 Costs of payment transfers**

The cost of the payment transfers is borne as follows:

- the *Agency* bears the cost of transfers charged by its bank;
- the beneficiary bears the cost of transfers charged by its bank;
- the party causing a repetition of a transfer bears all costs of the repeated transfer.

### 21.10 Date of payment

Payments by the *Agency* are considered to have been carried out on the date when they are debited to its account.

### 21.11 Consequences of non-compliance

21.11.1 If the *Agency* does not pay within the payment deadlines (see above), the beneficiaries are entitled to **late-payment interest** at the rate applied by the European Central Bank (ECB) for its main refinancing operations in euros ('reference rate'), plus three and a half points. The reference rate is the rate in force on the first day of the month in which the payment deadline expires, as published in the C series of the *Official Journal of the European Union*.

If the late-payment interest is lower than or equal to EUR 200, it will be paid to the coordinator only upon request submitted within two months of receiving the late payment.

Late-payment interest is not due if all beneficiaries are EU Member States (including regional and local government authorities or other public bodies acting on behalf of a Member State for the purpose of this Agreement).

Suspension of the payment deadline or payments (see Articles 47 and 48) will not be considered as late payment.

Late-payment interest covers the period running from the day following the due date for payment (see above), up to and including the date of payment.

Late-payment interest is not considered for the purposes of calculating the final grant amount.

21.11.2 If the coordinator breaches any of its obligations under this Article, the grant may be reduced (see Article 43) and the Agreement or the participation of the coordinator may be terminated (see Article 50).

Such breaches may also lead to any of the other measures described in Chapter 6.

## ARTICLE 22 — CHECKS, REVIEWS, AUDITS AND INVESTIGATIONS — EXTENSION OF FINDINGS

### 22.1 Checks, reviews and audits by *the Agency and the Commission*

#### 22.1.1 Right to carry out checks

The *Agency or the Commission* will — during the implementation of the action or afterwards — check the proper implementation of the action and compliance with the obligations under the Agreement, including assessing deliverables and reports.

For this purpose the *Agency or the Commission* may be assisted by external persons or bodies.



The *Agency or the Commission* may also request additional information in accordance with Article 17. The *Agency or the Commission* may request beneficiaries to provide such information to it directly.

Information provided must be accurate, precise and complete and in the format requested, including electronic format.

### 22.1.2 Right to carry out reviews

The *Agency or the Commission* may — during the implementation of the action or afterwards — carry out reviews on the proper implementation of the action (including assessment of deliverables and reports), compliance with the obligations under the Agreement and continued scientific or technological relevance of the action.

Reviews may be started **up to two years after the payment of the balance**. They will be formally notified to the coordinator or beneficiary concerned and will be considered to have started on the date of the formal notification.

If the review is carried out on a third party (see Articles 10 to 16), the beneficiary concerned must inform the third party.

The *Agency or the Commission* may carry out reviews directly (using its own staff) or indirectly (using external persons or bodies appointed to do so). It will inform the coordinator or beneficiary concerned of the identity of the external persons or bodies. They have the right to object to the appointment on grounds of commercial confidentiality.

The coordinator or beneficiary concerned must provide — within the deadline requested — any information and data in addition to deliverables and reports already submitted (including information on the use of resources). The *Agency or the Commission* may request beneficiaries to provide such information to it directly.

The coordinator or beneficiary concerned may be requested to participate in meetings, including with external experts.

For **on-the-spot** reviews, the beneficiaries must allow access to their sites and premises, including to external persons or bodies, and must ensure that information requested is readily available.

Information provided must be accurate, precise and complete and in the format requested, including electronic format.

On the basis of the review findings, a '**review report**' will be drawn up.

The *Agency or the Commission* will formally notify the review report to the coordinator or beneficiary concerned, which has 30 days to formally notify observations ('**contradictory review procedure**').

Reviews (including review reports) are in the language of the Agreement.

### 22.1.3 Right to carry out audits

The *Agency or the Commission* may — during the implementation of the action or afterwards — carry out audits on the proper implementation of the action and compliance with the obligations under the Agreement.

Audits may be started **up to two years after the payment of the balance**. They will be formally notified to the coordinator or beneficiary concerned and will be considered to have started on the date of the formal notification.

If the audit is carried out on a third party (see Articles 10 to 16), the beneficiary concerned must inform the third party.

The *Agency or the Commission* may carry out audits directly (using its own staff) or indirectly (using external persons or bodies appointed to do so). It will inform the coordinator or beneficiary concerned of the identity of the external persons or bodies. They have the right to object to the appointment on grounds of commercial confidentiality.

The coordinator or beneficiary concerned must provide — within the deadline requested — any information (including complete accounts, individual salary statements or other personal data) to verify compliance with the Agreement. The *Agency or the Commission* may request beneficiaries to provide such information to it directly.

For **on-the-spot** audits, the beneficiaries must allow access to their sites and premises, including to external persons or bodies, and must ensure that information requested is readily available.

Information provided must be accurate, precise and complete and in the format requested, including electronic format.

On the basis of the audit findings, a ‘**draft audit report**’ will be drawn up.

The *Agency or the Commission* will formally notify the draft audit report to the coordinator or beneficiary concerned, which has 30 days to formally notify observations (‘**contradictory audit procedure**’). This period may be extended by the *Agency or the Commission* in justified cases.

The ‘**final audit report**’ will take into account observations by the coordinator or beneficiary concerned. The report will be formally notified to it.

Audits (including audit reports) are in the language of the Agreement.

The *Agency or the Commission* may also access the beneficiaries’ statutory records for the periodical assessment of unit costs or flat-rate amounts.

## 22.2 Investigations by the European Anti-Fraud Office (OLAF)

Under Regulations No 883/2013<sup>15</sup> and No 2185/96<sup>16</sup> (and in accordance with their provisions and procedures), the European Anti-Fraud Office (OLAF) may — at any moment during implementation of the action or afterwards — carry out investigations, including on-the-spot checks and inspections, to establish whether there has been fraud, corruption or any other illegal activity affecting the financial interests of the EU.

<sup>15</sup> Regulation (EU, Euratom) No 883/2013 of the European Parliament and of the Council of 11 September 2013 concerning investigations conducted by the European Anti-Fraud Office (OLAF) and repealing Regulation (EC) No 1073/1999 of the European Parliament and of the Council and Council Regulation (Euratom) No 1074/1999 (OJ L 248, 18.09.2013, p. 1).

<sup>16</sup> Council Regulation (Euratom, EC) No 2185/1996 of 11 November 1996 concerning on-the-spot checks and inspections carried out by the Commission in order to protect the European Communities' financial interests against fraud and other irregularities (OJ L 292, 15.11.1996, p. 2).

### 22.3 Checks and audits by the European Court of Auditors (ECA)

Under Article 287 of the Treaty on the Functioning of the European Union (TFEU) and Article 161 of the Financial Regulation No 966/2012<sup>17</sup>, the European Court of Auditors (ECA) may — at any moment during implementation of the action or afterwards — carry out audits.

The ECA has the right of access for the purpose of checks and audits.

### 22.4 Checks, reviews, audits and investigations for international organisations

*Not applicable*

### 22.5 Consequences of findings in checks, reviews, audits and investigations —Extension of findings

#### 22.5.1 Findings in this grant

Findings in checks, reviews, audits or investigations carried out in the context of this grant may lead to the rejection of ineligible costs (see Article 42), reduction of the grant (see Article 43), recovery of undue amounts (see Article 44) or to any of the other measures described in Chapter 6.

Rejection of costs or reduction of the grant after the payment of the balance will lead to a revised final grant amount (see Article 5.4).

Findings in checks, reviews, audits or investigations may lead to a request for amendment for the modification of Annex 1 (see Article 55).

Checks, reviews, audits or investigations that find systemic or recurrent errors, irregularities, fraud or breach of obligations may also lead to consequences in other EU or Euratom grants awarded under similar conditions (**‘extension of findings from this grant to other grants’**).

Moreover, findings arising from an OLAF investigation may lead to criminal prosecution under national law.

#### 22.5.2 Findings in other grants

The *Agency or the Commission* may extend findings from other grants to this grant (**‘extension of findings from other grants to this grant’**), if:

- (a) the beneficiary concerned is found, in other EU or Euratom grants awarded under similar conditions, to have committed systemic or recurrent errors, irregularities, fraud or breach of obligations that have a material impact on this grant and
- (b) those findings are formally notified to the beneficiary concerned — together with the list of grants affected by the findings — no later than two years after the payment of the balance of this grant.

<sup>17</sup> Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002 (**‘Financial Regulation No 966/2012’**) (OJ L 298, 26.10.2012, p. 1).



The extension of findings may lead to the rejection of costs (see Article 42), reduction of the grant (see Article 43), recovery of undue amounts (see Article 44), suspension of payments (see Article 48), suspension of the action implementation (see Article 49) or termination (see Article 50).

### 22.5.3 Procedure

The *Agency or the Commission* will formally notify the beneficiary concerned the systemic or recurrent errors and its intention to extend these audit findings, together with the list of grants affected.

22.5.3.1 If the findings concern **eligibility of costs**: the formal notification will include:

- (a) an invitation to submit observations on the list of grants affected by the findings;
- (b) the request to submit **revised financial statements** for all grants affected;
- (c) the **correction rate for extrapolation** established by the *Agency or the Commission* on the basis of the systemic or recurrent errors, to calculate the amounts to be rejected if the beneficiary concerned:
  - (i) considers that the submission of revised financial statements is not possible or practicable or
  - (ii) does not submit revised financial statements.

The beneficiary concerned has 90 days from receiving notification to submit observations, revised financial statements or to propose a duly substantiated **alternative correction method**. This period may be extended by the *Agency or the Commission* in justified cases.

The amounts to be rejected will be determined on the basis of the revised financial statements, subject to their approval.

If the *Agency or the Commission* does not receive any observations or revised financial statements, does not accept the observations or the proposed alternative correction method or does not approve the revised financial statements, it will formally notify the beneficiary concerned the application of the initially notified correction rate for extrapolation.

If the *Agency or the Commission* accepts the alternative correction method proposed by the beneficiary concerned, it will formally notify the application of the accepted alternative correction method.

22.5.3.2 If the findings concern **improper implementation** or a **breach of another obligation**: the formal notification will include:

- (a) an invitation to submit observations on the list of grants affected by the findings and
- (b) the flat-rate the *Agency or the Commission* intends to apply according to the principle of proportionality.

The beneficiary concerned has 90 days from receiving notification to submit observations or to propose a duly substantiated alternative flat-rate.





If the *Agency or the* Commission does not receive any observations or does not accept the observations or the proposed alternative flat-rate, it will formally notify the beneficiary concerned the application of the initially notified flat-rate.

If the *Agency or the* Commission accepts the alternative flat-rate proposed by the beneficiary concerned, it will formally notify the application of the accepted alternative flat-rate.

## **22.6 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, any insufficiently substantiated costs will be ineligible (see Article 6) and will be rejected (see Article 42).

Such breaches may also lead to any of the other measures described in Chapter 6.

## **ARTICLE 23 — EVALUATION OF THE IMPACT OF THE ACTION**

### **23.1 Right to evaluate the impact of the action**

The *Agency or the* Commission may carry out interim and final evaluations of the impact of the action measured against the objective of the *EU* programme.

Evaluations may be started during implementation of the action and up to *five* years after the payment of the balance. The evaluation is considered to start on the date of the formal notification to the coordinator or beneficiaries.

The *Agency or the* Commission may make these evaluations directly (using its own staff) or indirectly (using external bodies or persons it has authorised to do so).

The coordinator or beneficiaries must provide any information relevant to evaluate the impact of the action, including information in electronic format.

### **23.2 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the *Agency* may apply the measures described in Chapter 6.

## **SECTION 3 RIGHTS AND OBLIGATIONS RELATED TO BACKGROUND AND RESULTS**

## SUBSECTION 1 GENERAL

### ARTICLE 23a — MANAGEMENT OF INTELLECTUAL PROPERTY

#### 23a.1 Obligation to take measures to implement the Commission Recommendation on the management of intellectual property in knowledge transfer activities

Beneficiaries that are universities or other public research organisations must take measures to implement the principles set out in Points 1 and 2 of the Code of Practice annexed to the Commission Recommendation on the management of intellectual property in knowledge transfer activities<sup>18</sup>.

This does not change the obligations set out in Subsections 2 and 3 of this Section.

The beneficiaries must ensure that researchers and third parties involved in the action are aware of them.

#### 23a.2 Consequences of non-compliance

If a beneficiary breaches its obligations under this Article, the *Agency* may apply any of the measures described in Chapter 6.

## SUBSECTION 2 RIGHTS AND OBLIGATIONS RELATED TO BACKGROUND

### ARTICLE 24 — AGREEMENT ON BACKGROUND

#### 24.1 Agreement on background

The beneficiaries must identify and agree (in writing) on the background for the action (**‘agreement on background’**).

**‘Background’** means any data, know-how or information — whatever its form or nature (tangible or intangible), including any rights such as intellectual property rights — that:

- (a) is held by the beneficiaries before they acceded to the Agreement, and
- (b) is needed to implement the action or exploit the results.

#### 24.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

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<sup>18</sup> Commission Recommendation C (2008) 1329 of 10.4.2008 on the management of intellectual property in knowledge transfer activities and the Code of Practice for universities and other public research institutions attached to this recommendation.



## ARTICLE 25 — ACCESS RIGHTS TO BACKGROUND

### 25.1 Exercise of access rights — Waiving of access rights — No sub-licensing

To exercise access rights, this must first be requested in writing (**‘request for access’**).

**‘Access rights’** means rights to use results or background under the terms and conditions laid down in this Agreement.

Waivers of access rights are not valid unless in writing.

Unless agreed otherwise, access rights do not include the right to sub-license.

### 25.2 Access rights for other beneficiaries, for implementing their own tasks under the action

The beneficiaries must give each other access — on a royalty-free basis — to background needed to implement their own tasks under the action, unless the beneficiary that holds the background has — before acceding to the Agreement —:

- (a) informed the other beneficiaries that access to its background is subject to legal restrictions or limits, including those imposed by the rights of third parties (including personnel), or
- (b) agreed with the other beneficiaries that access would not be on a royalty-free basis.

### 25.3 Access rights for other beneficiaries, for exploiting their own results

The beneficiaries must give each other access — under fair and reasonable conditions — to background needed for exploiting their own results, unless the beneficiary that holds the background has — before acceding to the Agreement — informed the other beneficiaries that access to its background is subject to legal restrictions or limits, including those imposed by the rights of third parties (including personnel).

**‘Fair and reasonable conditions’** means appropriate conditions, including possible financial terms or royalty-free conditions, taking into account the specific circumstances of the request for access, for example the actual or potential value of the results or background to which access is requested and/or the scope, duration or other characteristics of the exploitation envisaged.

Requests for access may be made — unless agreed otherwise — up to one year after the period set out in Article 3.

### 25.4 Access rights for affiliated entities

Unless otherwise agreed in the consortium agreement, access to background must also be given — under fair and reasonable conditions (see above; Article 25.3) and unless it is subject to legal restrictions or limits, including those imposed by the rights of third parties (including personnel) — to affiliated entities<sup>19</sup> established in an EU Member State or **‘associated country’**<sup>20</sup>, if this is needed to exploit the results generated by the beneficiaries to which they are affiliated.

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<sup>19</sup> For the definition, see ‘affiliated entity’ footnote (Article 14.1).

Unless agreed otherwise (see above; Article 25.1), the affiliated entity concerned must make the request directly to the beneficiary that holds the background.

Requests for access may be made — unless agreed otherwise — up to one year after the period set out in Article 3.

### **25.5 Access rights for third parties**

*Not applicable*

### **25.6 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

## **SUBSECTION 3 RIGHTS AND OBLIGATIONS RELATED TO RESULTS**

### **ARTICLE 26 — OWNERSHIP OF RESULTS**

#### **26.1 Ownership by the beneficiary that generates the results**

Results are owned by the beneficiary that generates them.

‘**Results**’ means any (tangible or intangible) output of the action such as data, knowledge or information — whatever its form or nature, whether it can be protected or not — that is generated in the action, as well as any rights attached to it, including intellectual property rights.

#### **26.2 Joint ownership by several beneficiaries**

Two or more beneficiaries own results jointly if:

- (a) they have jointly generated them and
- (b) it is not possible to:
  - (i) establish the respective contribution of each beneficiary, or
  - (ii) separate them for the purpose of applying for, obtaining or maintaining their protection (see Article 27).

The joint owners must agree (in writing) on the allocation and terms of exercise of their joint ownership (**‘joint ownership agreement’**), to ensure compliance with their obligations under this Agreement.

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<sup>20</sup> For the definition, see Article 2.1(3) of the Rules for Participation Regulation No 1290/2013: ‘**associated country**’ means a third country which is party to an international agreement with the Union, as identified in Article 7 of Horizon 2020 Framework Programme Regulation No 1291/2013. Article 7 sets out the conditions for association of non-EU countries to Horizon 2020.

Unless otherwise agreed in the joint ownership agreement, each joint owner may grant non-exclusive licences to third parties to exploit jointly-owned results (without any right to sub-license), if the other joint owners are given:

- (a) at least 45 days advance notice and
- (b) fair and reasonable compensation.

Once the results have been generated, joint owners may agree (in writing) to apply another regime than joint ownership (such as, for instance, transfer to a single owner (see Article 30) with access rights for the others).

### **26.3 Rights of third parties (including personnel)**

If third parties (including personnel) may claim rights to the results, the beneficiary concerned must ensure that it complies with its obligations under the Agreement.

If a third party generates results, the beneficiary concerned must obtain all necessary rights (transfer, licences or other) from the third party, in order to be able to respect its obligations as if those results were generated by the beneficiary itself.

If obtaining the rights is impossible, the beneficiary must refrain from using the third party to generate the results.

### **26.4 Agency ownership, to protect results**

26.4.1 *The Agency* may — with the consent of the beneficiary concerned — assume ownership of results to protect them, if a beneficiary intends — up to four years after the period set out in Article 3 — to disseminate its results without protecting them, except in any of the following cases:

- (a) the lack of protection is because protecting the results is not possible, reasonable or justified (given the circumstances);
- (b) the lack of protection is because there is a lack of potential for commercial or industrial exploitation, or
- (c) the beneficiary intends to transfer the results to another beneficiary or third party established in an EU Member State or associated country, which will protect them.

Before the results are disseminated and unless any of the cases above under Points (a), (b) or (c) applies, the beneficiary must formally notify the *Agency* and at the same time inform it of any reasons for refusing consent. The beneficiary may refuse consent only if it can show that its legitimate interests would suffer significant harm.

If the *Agency* decides to assume ownership, it will formally notify the beneficiary concerned within 45 days of receiving notification.

No dissemination relating to these results may before the end of this period or, if the *Agency* takes a positive decision, until it has taken the necessary steps to protect the results.

26.4.2 *The Agency* may — with the consent of the beneficiary concerned — assume ownership of results to protect them, if a beneficiary intends — up to four years after the period set out in



Article 3 — to stop protecting them or not to seek an extension of protection, except in any of the following cases:

- (a) the protection is stopped because of a lack of potential for commercial or industrial exploitation;
- (b) an extension would not be justified given the circumstances.

A beneficiary that intends to stop protecting results or not seek an extension must — unless any of the cases above under Points (a) or (b) applies — formally notify the *Agency* at least 60 days before the protection lapses or its extension is no longer possible and at the same time inform it of any reasons for refusing consent. The beneficiary may refuse consent only if it can show that its legitimate interests would suffer significant harm.

If the *Agency* decides to assume ownership, it will formally notify the beneficiary concerned within 45 days of receiving notification.

## **26.5 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to the any of the other measures described in Chapter 6.

## **ARTICLE 27 — PROTECTION OF RESULTS — VISIBILITY OF EU FUNDING**

### **27.1 Obligation to protect the results**

Each beneficiary must examine the possibility of protecting its results and must adequately protect them — for an appropriate period and with appropriate territorial coverage — if:

- (a) the results can reasonably be expected to be commercially or industrially exploited and
- (b) protecting them is possible, reasonable and justified (given the circumstances).

When deciding on protection, the beneficiary must consider its own legitimate interests and the legitimate interests (especially commercial) of the other beneficiaries.

### **27.2 Agency ownership, to protect the results**

If a beneficiary intends not to protect its results, to stop protecting them or not seek an extension of protection, *The Agency* may — under certain conditions (see Article 26.4) — assume ownership to ensure their (continued) protection.

### **27.3 Information on EU funding**

Applications for protection of results (including patent applications) filed by or on behalf of a beneficiary must — unless the *Agency* requests or agrees otherwise or unless it is impossible — include the following:

“The project leading to this application has received funding from the *European Union’s Horizon 2020 research and innovation programme* under grant agreement No 649491”.

## 27.4 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such a breach may also lead to any of the other measures described in Chapter 6.

## ARTICLE 28 — EXPLOITATION OF RESULTS

### 28.1 Obligation to exploit the results

Each beneficiary must — up to four years after the period set out in Article 3 — take measures aiming to ensure ‘**exploitation**’ of its results (either directly or indirectly, in particular through transfer or licensing; see Article 30) by:

- (a) using them in further research activities (outside the action);
- (b) developing, creating or marketing a product or process;
- (c) creating and providing a service, or
- (d) using them in standardisation activities.

This does not change the security obligations in Article 37, which still apply.

### 28.2 Results that could contribute to European or international standards — Information on EU funding

If results are incorporated in a standard, the beneficiary concerned must — unless the *Agency* requests or agrees otherwise or unless it is impossible — ask the standardisation body to include the following statement in (information related to) the standard:

“Results incorporated in this standard received funding from the *European Union’s Horizon 2020 research and innovation programme* under grant agreement No 649491”.

### 28.3 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced in accordance with Article 43.

Such a breach may also lead to any of the other measures described in Chapter 6.

## ARTICLE 29 — DISSEMINATION OF RESULTS — OPEN ACCESS — VISIBILITY OF EU FUNDING

### 29.1 Obligation to disseminate results

Unless it goes against their legitimate interests, each beneficiary must — as soon as possible — ‘**disseminate**’ its results by disclosing them to the public by appropriate means (other than those resulting from protecting or exploiting the results), including in scientific publications (in any medium).



This does not change the obligation to protect results in Article 27, the confidentiality obligations in Article 36, the security obligations in Article 37 or the obligations to protect personal data in Article 39, all of which still apply.

A beneficiary that intends to disseminate its results must give advance notice to the other beneficiaries of — unless agreed otherwise — at least 45 days, together with sufficient information on the results it will disseminate.

Any other beneficiary may object within — unless agreed otherwise — 30 days of receiving notification, if it can show that its legitimate interests in relation to the results or background would be significantly harmed. In such cases, the dissemination may not take place unless appropriate steps are taken to safeguard these legitimate interests.

If a beneficiary intends not to protect its results, it may — under certain conditions (see Article 26.4.1) — need to formally notify the *Agency* before dissemination takes place.

## **29.2 Open access to scientific publications**

Each beneficiary must ensure open access (free of charge online access for any user) to all peer-reviewed scientific publications relating to its results.

In particular, it must:

- (a) as soon as possible and at the latest on publication, deposit a machine-readable electronic copy of the published version or final peer-reviewed manuscript accepted for publication in a repository for scientific publications;

Moreover, the beneficiary must aim to deposit at the same time the research data needed to validate the results presented in the deposited scientific publications.

- (b) ensure open access to the deposited publication — via the repository — at the latest:
  - (i) on publication, if an electronic version is available for free via the publisher, or
  - (ii) within six months of publication (twelve months for publications in the social sciences and humanities) in any other case.
- (c) ensure open access — via the repository — to the bibliographic metadata that identify the deposited publication.

The bibliographic metadata must be in a standard format and must include all of the following:

- the terms “*European Union (EU)*” and “*Horizon 2020*”;
- the name of the action, acronym and grant number;
- the publication date, and length of embargo period if applicable, and
- a persistent identifier.





### 29.3 Open access to research data

*Regarding the digital research data generated in the action ('data'), the beneficiaries must:*

- (a) deposit in a research data repository and take measures to make it possible for third parties to access, mine, exploit, reproduce and disseminate — free of charge for any user — the following:*
  - (i) the data, including associated metadata, needed to validate the results presented in scientific publications as soon as possible;*
  - (ii) other data, including associated metadata, as specified and within the deadlines laid down in the 'data management plan' (see Annex 1);*
- (b) provide information — via the repository — about tools and instruments at the disposal of the beneficiaries and necessary for validating the results (and — where possible — provide the tools and instruments themselves).*

*This does not change the obligation to protect results in Article 27, the confidentiality obligations in Article 36, the security obligations in Article 37 or the obligations to protect personal data in Article 39, all of which still apply.*

*As an exception, the beneficiaries do not have to ensure open access to specific parts of their research data if the achievement of the action's main objective, as described in Annex 1, would be jeopardised by making those specific parts of the research data openly accessible. In this case, the data management plan must contain the reasons for not giving access.*

### 29.4 Information on EU funding — Obligation and right to use the EU emblem

Unless the Agency requests or agrees otherwise or unless it is impossible, any dissemination of results (in any form, including electronic) must:

- (a) display the EU emblem and
- (b) include the following text:

*“This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 649491”.*

When displayed together with another logo, the EU emblem must have appropriate prominence.

For the purposes of their obligations under this Article, the beneficiaries may use the EU emblem without first obtaining approval from the Agency.

This does not however give them the right to exclusive use.

Moreover, they may not appropriate the EU emblem or any similar trademark or logo, either by registration or by any other means.

### 29.5 Disclaimer excluding Agency responsibility

Any dissemination of results must indicate that it reflects only the author's view and that the Agency is not responsible for any use that may be made of the information it contains.



## **29.6 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such a breach may also lead to any of the other measures described in Chapter 6.

## **ARTICLE 30 — TRANSFER AND LICENSING OF RESULTS**

### **30.1 Transfer of ownership**

Each beneficiary may transfer ownership of its results.

It must however ensure that its obligations under Articles 26.2, 26.4, 27, 28, 29, 30 and 31 also apply to the new owner and that this owner has the obligation to pass them on in any subsequent transfer.

This does not change the security obligations in Article 37, which still apply.

Unless agreed otherwise (in writing) for specifically-identified third parties or unless impossible under applicable EU and national laws on mergers and acquisitions, a beneficiary that intends to transfer ownership of results must give at least 45 days advance notice (or less if agreed in writing) to the other beneficiaries that still have (or still may request) access rights to the results. This notification must include sufficient information on the new owner to enable any beneficiary concerned to assess the effects on its access rights.

Unless agreed otherwise (in writing) for specifically-identified third parties, any other beneficiary may object within 30 days of receiving notification (or less if agreed in writing), if it can show that the transfer would adversely affect its access rights. In this case, the transfer may not take place until agreement has been reached between the beneficiaries concerned.

### **30.2 Granting licenses**

Each beneficiary may grant licences to its results (or otherwise give the right to exploit them), if:

- (a) this does not impede the rights under Article 31 and
- (b) *not applicable*.

In addition to Points (a) and (b), exclusive licences for results may be granted only if all the other beneficiaries concerned have waived their access rights (see Article 31.1).

This does not change the dissemination obligations in Article 29 or security obligations in Article 37, which still apply.

### **30.3 Agency right to object to transfers or licensing**

*Not applicable*

### **30.4 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).



Such a breach may also lead to any of the other measures described in Chapter 6.

## **ARTICLE 31 — ACCESS RIGHTS TO RESULTS**

### **31.1 Exercise of access rights — Waiving of access rights — No sub-licensing**

The conditions set out in Article 25.1 apply.

The obligations set out in this Article do not change the security obligations in Article 37, which still apply.

### **31.2 Access rights for other beneficiaries, for implementing their own tasks under the action**

The beneficiaries must give each other access — on a royalty-free basis — to results needed for implementing their own tasks under the action.

### **31.3 Access rights for other beneficiaries, for exploiting their own results**

The beneficiaries must give each other — under fair and reasonable conditions (see Article 25.3) — access to results needed for exploiting their own results.

Requests for access may be made — unless agreed otherwise — up to one year after the period set out in Article 3.

### **31.4 Access rights of affiliated entities**

Unless agreed otherwise in the consortium agreement, access to results must also be given — under fair and reasonable conditions (Article 25.3) — to affiliated entities established in an EU Member State or associated country, if this is needed for those entities to exploit the results generated by the beneficiaries to which they are affiliated.

Unless agreed otherwise (see above; Article 31.1), the affiliated entity concerned must make any such request directly to the beneficiary that owns the results.

Requests for access may be made — unless agreed otherwise — up to one year after the period set out in Article 3.

### **31.5 Access rights for the EU institutions, bodies, offices or agencies and EU Member States**

*The beneficiaries must give access to their results — on a royalty-free basis — to EU institutions, bodies, offices or agencies, for developing, implementing or monitoring EU policies or programmes.*

*Such access rights are limited to non-commercial and non-competitive use.*

*This does not change the right to use any material, document or information received from the beneficiaries for communication and publicising activities (see Article 38.2).*

### **31.6 Access rights for third parties**

*Not applicable*



### **31.7 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

## **SECTION 4 OTHER RIGHTS AND OBLIGATIONS**

### **ARTICLE 32 — RECRUITMENT AND WORKING CONDITIONS FOR RESEARCHERS**

#### **32.1 Obligation to take measures to implement the European Charter for Researchers and Code of Conduct for the Recruitment of Researchers**

The beneficiaries must take all measures to implement the principles set out in the Commission Recommendation on the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers<sup>22</sup>, in particular regarding:

- working conditions;
- transparent recruitment processes based on merit, and
- career development.

The beneficiaries must ensure that researchers and third parties involved in the action are aware of them.

#### **32.2 Consequences of non-compliance**

If a beneficiary breaches its obligations under this Article, the *Agency* may apply any of the measures described in Chapter 6.

### **ARTICLE 33 — GENDER EQUALITY**

#### **33.1 Obligation to aim for gender equality**

The beneficiaries must take all measures to promote equal opportunities between men and women in the implementation of the action. They must aim, to the extent possible, for a gender balance at all levels of personnel assigned to the action, including at supervisory and managerial level.

#### **33.2 Consequences of non-compliance**

If a beneficiary breaches its obligations under this Article, the *Agency* may apply any of the measures described in Chapter 6.

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<sup>22</sup> Commission recommendation (EC) No 251/2005 of 11 March 2005 on the European Charter for Researchers and on a Code of Conduct for the Recruitment of Researchers (OJ L 75, 22.03.2005, p. 67).

## ARTICLE 34 — ETHICS

### 34.1 Obligation to comply with ethical principles

The beneficiaries must carry out the action in compliance with:

- (a) ethical principles (including the highest standards of research integrity — as set out, for instance, in the European Code of Conduct for Research Integrity<sup>23</sup> — and including, in particular, avoiding fabrication, falsification, plagiarism or other research misconduct) and
- (b) applicable international, EU and national law.

Funding will not be granted for activities carried out outside the EU if they are prohibited in all Member States.

The beneficiaries must ensure that the activities under the action have an exclusive focus on civil applications.

The beneficiaries must ensure that the activities under the action do not:

- (a) aim at human cloning for reproductive purposes;
- (b) intend to modify the genetic heritage of human beings which could make such changes heritable (with the exception of research relating to cancer treatment of the gonads, which may be financed), or
- (c) intend to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

### 34.2 Activities raising ethical issues

Activities raising ethical issues must comply with the ‘**ethics requirements**’ set out in Annex 1.

Before the beginning of an activity raising an ethical issue, the coordinator must submit (see Article 52) to the *Agency* copy of:

- (a) any ethics committee opinion required under national law and
- (b) any notification or authorisation for activities raising ethical issues required under national law.

If these documents are not in English, the coordinator must also submit an English summary of the submitted opinions, notifications and authorisations (containing, if available, the conclusions of the committee or authority concerned).

If these documents are specifically requested for the action, the request must contain an explicit reference to the action title. The coordinator must submit a declaration by each beneficiary concerned that all the submitted documents cover the action tasks.

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<sup>23</sup> The European Code of Conduct for Research Integrity of ALLEA (All European Academies) and ESF (European Science Foundation) of March 2011.

[http://www.esf.org/fileadmin/Public\\_documents/Publications/Code\\_Conduct\\_ResearchIntegrity.pdf](http://www.esf.org/fileadmin/Public_documents/Publications/Code_Conduct_ResearchIntegrity.pdf)

### 34.3 Activities involving human embryos or human embryonic stem cells

Activities involving research on human embryos or human embryonic stem cells may be carried out only if:

- they are set out in Annex 1 or
- the coordinator has obtained explicit approval (in writing) from the *Agency* (see Article 52).

### 34.4 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43) and the Agreement or participation of the beneficiary may be terminated (see Article 50).

Such breaches may also lead to any of the other measures described in Chapter 6.

## ARTICLE 35 — CONFLICT OF INTERESTS

### 35.1 Obligation to avoid a conflict of interests

The beneficiaries must take all measures to prevent any situation where the impartial and objective implementation of the action is compromised for reasons involving economic interest, political or national affinity, family or emotional ties or any other shared interest (**‘conflict of interests’**).

They must formally notify to the *Agency* without delay any situation constituting or likely to lead to a conflict of interests and immediately take all the necessary steps to rectify this situation.

The *Agency* may verify that the measures taken are appropriate and may require additional measures to be taken by a specified deadline.

### 35.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43) and the Agreement or participation of the beneficiary may be terminated (see Article 50).

Such breaches may also lead to any of the other measures described in Chapter 6.

## ARTICLE 36 — CONFIDENTIALITY

### 36.1 General obligation to maintain confidentiality

During implementation of the action and for four years after the period set out in Article 3, the parties must keep confidential any data, documents or other material (in any form) that is identified as confidential at the time it is disclosed (**‘confidential information’**).

If a beneficiary requests, the *Agency* may agree to keep such information confidential for an additional period beyond the initial four years.

If information has been identified as confidential only orally, it will be considered to be confidential only if this is confirmed in writing within 15 days of the oral disclosure.



Unless otherwise agreed between the parties, they may use confidential information only to implement the Agreement.

The beneficiaries may disclose confidential information to their personnel or third parties involved in the action only if they:

- (a) need to know to implement the Agreement and
- (b) are bound by an obligation of confidentiality.

This does not change the security obligations in Article 37, which still apply.

The *Agency* may disclose confidential information to its staff, other EU institutions and bodies or third parties, if:

- (a) this is necessary to implement the Agreement or safeguard the *EU's* financial interests and
- (b) the recipients of the information are bound by an obligation of confidentiality.

Under the conditions set out in Article 4 of the Rules for Participation Regulation No 1290/2013<sup>24</sup>, the Commission must moreover make available information on the results to other EU institutions, bodies, offices or agencies as well as Member States or associated countries.

The confidentiality obligations no longer apply if:

- (a) the disclosing party agrees to release the other party;
- (b) the information was already known by the recipient or is given to him without obligation of confidentiality by a third party that was not bound by any obligation of confidentiality;
- (c) the recipient proves that the information was developed without the use of confidential information;
- (d) the information becomes generally and publicly available, without breaching any confidentiality obligation, or
- (e) the disclosure of the information is required by EU or national law.

### **36.2 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

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<sup>24</sup> Regulation (EU) No 1290/2013 of the European Parliament and of the Council of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)" (OJ L 347, 20.12.2013 p.81).



## **ARTICLE 37 — SECURITY-RELATED OBLIGATIONS**

### **37.1 Results with a security recommendation**

*not applicable*

### **37.2 Classified results**

*not applicable*

### **37.3 Activities involving dual-use goods or dangerous materials and substances**

*not applicable*

### **37.4 Consequences of non-compliance**

*not applicable*

## **ARTICLE 38 — PROMOTING THE ACTION — VISIBILITY OF EU FUNDING**

### **38.1 Communication activities by beneficiaries**

#### **38.1.1 Obligation to promote the action and its results**

The beneficiaries must promote the action and its results, by providing targeted information to multiple audiences (including the media and the public) in a strategic and effective manner.

This does not change the dissemination obligations in Article 29, the confidentiality obligations in Article 36 or the security obligations in Article 37, all of which still apply.

Before engaging in a communication activity expected to have a major media impact, the beneficiaries must inform the *Agency* (see Article 52).

#### **38.1.2 Information on EU funding — Obligation and right to use the EU emblem**

Unless the *Agency* requests or agrees otherwise or unless it is impossible, any communication activity related to the action (including in electronic form, via social media, etc.) and any infrastructure, equipment and major results funded by the grant must:

- (a) display the EU emblem and
- (b) include the following text:

For communication activities: “This project has received funding from the *European Union’s Horizon 2020 research and innovation programme* under grant agreement No 649491”.

For infrastructure, equipment and major results: “This *[infrastructure][equipment][insert type of result]* is part of a project that has received funding from the *European Union’s Horizon 2020 research and innovation programme* under grant agreement No 649491”.

When displayed together with another logo, the EU emblem must have appropriate prominence.



For the purposes of their obligations under this Article, the beneficiaries may use the EU emblem without first obtaining approval from the *Agency*.

This does not, however, give them the right to exclusive use.

Moreover, they may not appropriate the EU emblem or any similar trademark or logo, either by registration or by any other means.

### 38.1.3 Disclaimer excluding *Agency* responsibility

Any communication activity related to the action must indicate that it reflects only the author's view and that the *Agency* is not responsible for any use that may be made of the information it contains.

## 38.2 Communication activities by the *Agency*

### 38.2.1 Right to use beneficiaries' materials, documents or information

The *Agency* may use, for its communication and publicising activities, information relating to the action, documents notably summaries for publication and public deliverables as well as any other material, such as pictures or audio-visual material that it receives from any beneficiary (including in electronic form).

This does not change the confidentiality obligations in Article 36 and the security obligations in Article 37, all of which still apply.

However, if the *Agency's* use of these materials, documents or information would risk compromising legitimate interests, the beneficiary concerned may request the *Agency* not to use it (see Article 52).

The right to use a beneficiary's materials, documents and information includes:

- (a) **use for its own purposes** (in particular, making them available to persons working for the *Agency* or any other EU institution, body, office or agency or body or institutions in EU Member States; and copying or reproducing them in whole or in part, in unlimited numbers);
- (b) **distribution to the public** (in particular, publication as hard copies and in electronic or digital format, publication on the internet, as a downloadable or non-downloadable file, broadcasting by any channel, public display or presentation, communicating through press information services, or inclusion in widely accessible databases or indexes);
- (c) **editing or redrafting** for communication and publicising activities (including shortening, summarising, inserting other elements (such as meta-data, legends, other graphic, visual, audio or text elements), extracting parts (e.g. audio or video files), dividing into parts, use in a compilation);
- (d) **translation**;
- (e) giving **access in response to individual requests** under Regulation No 1049/2001<sup>25</sup>, without the right to reproduce or exploit;

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<sup>25</sup> Regulation (EC) No 1049/2001 of the European Parliament and of the Council of 30 May 2001 regarding public access to European Parliament, Council and Commission documents, OJ L 145, 31.5.2001, p. 43.

- (f) **storage** in paper, electronic or other form;
- (g) **archiving**, in line with applicable document-management rules, and
- (h) the right to authorise **third parties** to act on its behalf or sub-license the modes of use set out in Points (b),(c),(d) and (f) to third parties if needed for the communication and publicising activities of the *Agency*.

If the right of use is subject to rights of a third party (including personnel of the beneficiary), the beneficiary must ensure that it complies with its obligations under this Agreement (in particular, by obtaining the necessary approval from the third parties concerned).

Where applicable (and if provided by the beneficiaries), the *Agency* will insert the following information:

“© – [year] – [name of the copyright owner]. All rights reserved. Licensed to the *Research Executive Agency* under conditions.”

### 38.3 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

## ARTICLE 39 — PROCESSING OF PERSONAL DATA

### 39.1 Processing of personal data by the *Agency and the Commission*

Any personal data under the Agreement will be processed by the *Agency or the Commission* under Regulation No 45/2001<sup>26</sup> and according to the ‘notifications of the processing operations’ to the Data Protection Officer (DPO) of the *Agency or the Commission* (publicly accessible in the DPO register).

Such data will be processed by the ‘**data controller**’ of the *Agency or the Commission* for the purposes of implementing, managing and monitoring the Agreement (including checks, reviews, audits and investigations; see Article 22).

The persons whose personal data are processed have the right to access and correct their own personal data. For this purpose, they must send any queries about the processing of their personal data to the data controller, via the contact point indicated in the ‘service specific privacy statement(s) (SSPS)’ that are published on the *Agency and the Commission* websites.

They also have the right to have recourse at any time to the European Data Protection Supervisor (EDPS).

<sup>26</sup> Regulation (EC) No 45/2001 of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data (OJ L 8, 12.01.2001, p. 1).



### 39.2 Processing of personal data by the beneficiaries

The beneficiaries must process personal data under the Agreement in compliance with applicable EU and national law on data protection (including authorisations or notification requirements).

The beneficiaries may grant their personnel access only to data that is strictly necessary for implementing, managing and monitoring the Agreement.

The beneficiaries must inform the personnel whose personal data are collected and processed by the *Agency or the Commission*. For this purpose, they must provide them with the service specific privacy statement (SSPS) (see above), before transmitting their data to the *Agency*.

### 39.3 Consequences of non-compliance

If a beneficiary breaches any of its obligations under Article 39.2, the *Agency* may apply any of the measures described in Chapter 6.

## ARTICLE 40 — ASSIGNMENTS OF CLAIMS FOR PAYMENT AGAINST THE *AGENCY*

The beneficiaries may not assign any of their claims for payment against the *Agency* to any third party, except if approved by the *Agency* on the basis of a reasoned, written request by the coordinator (on behalf of the beneficiary concerned).

If the *Agency* has not accepted the assignment or the terms of it are not observed, the assignment will have no effect on it.

In no circumstances will an assignment release the beneficiaries from their obligations towards the *Agency*.

## CHAPTER 5 DIVISION OF BENEFICIARIES' ROLES AND RESPONSIBILITIES

### ARTICLE 41 — DIVISION OF BENEFICIARIES' ROLES AND RESPONSIBILITIES

#### 41.1 Roles and responsibilities towards the *Agency*

The beneficiaries have full responsibility for implementing the action and complying with the Agreement.

The beneficiaries are jointly and severally liable for the **technical implementation** of the action as described in Annex 1. If a beneficiary fails to implement its part of the action, the other beneficiaries become responsible for implementing this part (without being entitled to any additional EU funding for doing so), unless the *Agency* expressly relieves them of this obligation.

The **financial responsibility** of each beneficiary is governed by Articles 44, 45 and 46.

#### 41.2 Internal division of roles and responsibilities

The internal roles and responsibilities of the beneficiaries are divided as follows:

- (a) Each **beneficiary** must:



- (i) keep information stored in the 'Beneficiary Register' (via the electronic exchange system) up to date (see Article 17);
- (ii) inform the coordinator immediately of any events or circumstances likely to affect significantly or delay the implementation of the action (see Article 17);
- (iii) submit to the coordinator in good time:
  - individual financial statements for itself *and its linked third parties* and, if required, certificates on the financial statements (see Article 20);
  - the data needed to draw up the technical reports (see Article 20);
  - ethics committee opinions and notifications or authorisations for activities raising ethical issues (see Article 34);
  - any other documents or information required by the *Agency or the Commission* under the Agreement, unless the Agreement requires the beneficiary to submit this information directly to the *Agency or the Commission*.

(b) The **coordinator** must:

- (i) monitor that the action is implemented properly (see Article 7);
- (ii) act as the intermediary for all communications between the beneficiaries and the *Agency* (in particular, providing the *Agency* with the information described in Article 17), unless the Agreement specifies otherwise;
- (iii) request and review any documents or information required by the *Agency* and verify their completeness and correctness before passing them on to the *Agency*;
- (iv) submit the deliverables and reports to the *Agency* (see Articles 19 and 20);
- (v) ensure that all payments are made to the other beneficiaries without unjustified delay (see Article 21);
- (vi) inform the *Agency* of the amounts paid to each beneficiary, when required under the Agreement (see Articles 44 and 50) or requested by the *Agency*.

The coordinator may not delegate the above-mentioned tasks to any other beneficiary or subcontract them to any third party.

### 41.3 Internal arrangements between beneficiaries — Consortium agreement

*The beneficiaries must have internal arrangements regarding their operation and co-ordination to ensure that the action is implemented properly. These internal arrangements must be set out in a written 'consortium agreement' between the beneficiaries, which may cover:*

- *internal organisation of the consortium;*



- *management of access to the electronic exchange system;*
- *distribution of EU funding;*
- *additional rules on rights and obligations related to background and results (including whether access rights remain or not, if a beneficiary is in breach of its obligations) (see Section 3 of Chapter 4);*
- *settlement of internal disputes;*
- *liability, indemnification and confidentiality arrangements between the beneficiaries.*

*The consortium agreement must not contain any provision contrary to the Agreement.*

#### **41.4 Relationship with complementary beneficiaries — Collaboration agreement**

*Not applicable*

#### **41.5 Relationship with partners of a joint action — Coordination agreement**

*Not applicable*

### **CHAPTER 6 REJECTION OF COSTS — REDUCTION OF THE GRANT — RECOVERY — PENALTIES — DAMAGES — SUSPENSION — TERMINATION — FORCE MAJEURE**

#### **SECTION 1 REJECTION OF COSTS — REDUCTION OF THE GRANT — RECOVERY — PENALTIES**

#### **ARTICLE 42 — REJECTION OF INELIGIBLE COSTS**

##### **42.1 Conditions**

42.1.1 The *Agency* will — at the time of an **interim payment, at the payment of the balance or afterwards** — reject any costs which are ineligible (see Article 6), in particular following checks, reviews, audits or investigations (see Article 22).

42.1.2 The rejection may also be based on the **extension of findings from other grants to this grant**, under the conditions set out in Article 22.5.2.

##### **42.2 Ineligible costs to be rejected — Calculation — Procedure**

Ineligible costs will be rejected in full.

If the *Agency* rejects costs **without reduction of the grant** (see Article 43) or **recovery of undue amounts** (see Article 44), it will formally notify the coordinator or beneficiary concerned the rejection of costs, the amounts and the reasons why (if applicable, together with the notification of amounts due; see Article 21.5). The coordinator or beneficiary concerned may — within 30 days of receiving notification — formally notify the *Agency* of its disagreement and the reasons why.

If the *Agency* rejects costs **with reduction of the grant or recovery of undue amounts**, it will formally notify the rejection in the ‘**pre-information letter**’ on reduction or recovery set out in Articles 43 and 44.

### 42.3 Effects

If the *Agency* rejects costs at the time of an **interim payment or the payment of the balance**, it will deduct them from the total eligible costs declared, for the action, in the periodic or final summary financial statement (see Articles 20.3 and 20.4). It will then calculate the interim payment or payment of the balance as set out in Articles 21.3 or 21.4.

If the *Agency* — **after an interim payment but before the payment of the balance** — rejects costs declared in a periodic summary financial statement, it will deduct them from the total eligible costs declared, for the action, in the next periodic summary financial statement or in the final summary financial statement. It will then calculate the interim payment or payment of the balance as set out in Articles 21.3 or 21.4.

If the *Agency* rejects costs **after the payment of the balance**, it will deduct the amount rejected from the total eligible costs declared, by the beneficiary, in the final summary financial statement. It will then calculate the revised final grant amount as set out in Article 5.4.

## ARTICLE 43 — REDUCTION OF THE GRANT

### 43.1 Conditions

43.1.1 The *Agency* may — **at the payment of the balance or afterwards** — reduce the maximum grant amount (see Article 5.1), if the action has not been implemented properly as described in Annex 1 or another obligation under the Agreement has been breached.

43.1.2 The *Agency* may also reduce the maximum grant amount on the basis of the **extension of findings from other grants to this grant**, under the conditions set out in Article 22.5.2.

### 43.2 Amount to be reduced — Calculation — Procedure

The amount of the reduction will be proportionate to the improper implementation of the action or to the seriousness of the breach.

Before reduction of the grant, the *Agency* will formally notify a ‘**pre-information letter**’ to the coordinator or beneficiary concerned:

- informing it of its intention to reduce the grant, the amount it intends to reduce and the reasons why and
- inviting it to submit observations within 30 days of receiving notification

If the *Agency* does not receive any observations or decides to pursue reduction despite the observations it has received, it will formally notify **confirmation** of the reduction (if applicable, together with the notification of amounts due; see Article 21).



### 43.3 Effects

If the *Agency* reduces the grant at the time of **the payment of the balance**, it will calculate the reduced grant amount for the action and then determine the amount due as payment of the balance (see Articles 5.3.4 and 21.4).

If the *Agency* reduces the grant **after the payment of the balance**, it will calculate the revised final grant amount for the beneficiary concerned (see Article 5.4). If the revised final grant amount for the beneficiary concerned is lower than its share of the final grant amount, the *Agency* will recover the difference (see Article 44).

## ARTICLE 44 — RECOVERY OF UNDUE AMOUNTS

### 44.1 Amount to be recovered — Calculation — Procedure

The *Agency* will — after **termination of the participation of a beneficiary, at the payment of the balance or afterwards** — claim back any amount that was paid but is not due under the Agreement.

Each beneficiary's financial responsibility in case of recovery is limited to its own debt (*including undue amounts paid by the Agency for costs declared by its linked third parties*), except for the amount retained for the Guarantee Fund (see Article 21.4).

#### 44.1.1 Recovery after termination of a beneficiary's participation

If recovery takes place after termination of a beneficiary's participation (including the coordinator), the *Agency* will claim back the undue amount from the beneficiary concerned, by formally notifying it a debit note (see Article 50.2 and 50.3). This note will specify the amount to be recovered, the terms and the date for payment.

If payment is not made by the date specified in the debit note, the *Agency or the Commission* will **recover** the amount:

- (a) by '**offsetting**' it — without the beneficiary's consent — against any amounts owed to the beneficiary concerned by the *Agency*, the Commission or *another* executive agency (from the EU or Euratom budget).

In exceptional circumstances, to safeguard the *EU's* financial interests, the *Agency* may offset before the payment date specified in the debit note;

- (b) *Not applicable*;

- (c) by **taking legal action** (see Article 57) or by **adopting an enforceable decision** under Article 299 of the Treaty on the Functioning of the EU (TFEU) and Article 79(2) of the Financial regulation No 966/2012.

If payment is not made by the date specified in the debit note, the amount to be recovered (see above) will be increased by **late-payment interest** at the rate set out in Article 21.11, from the day following the payment date in the debit note, up to and including the date the *Agency or the Commission* receives full payment of the amount.



Partial payments will be first credited against expenses, charges and late-payment interest and then against the principal.

Bank charges incurred in the recovery process will be borne by the beneficiary, unless Directive 2007/64/EC<sup>27</sup> applies.

#### 44.1.2 Recovery at payment of the balance

If the payment of the balance takes the form of a recovery (see Article 21.4), the *Agency* will formally notify a '**pre-information letter**' to the coordinator:

- informing it of its intention to recover, the amount due as the balance and the reasons why;
- specifying that it intends to deduct the amount to be recovered from the amount retained for the Guarantee Fund;
- requesting the coordinator to submit a report on the distribution of payments to the beneficiaries within 30 days of receiving notification, and
- inviting the coordinator to submit observations within 30 days of receiving notification.

If no observations are submitted or the *Agency* decides to pursue recovery despite the observations it has received, it will **confirm recovery** (together with the notification of amounts due; see Article 21.5) and:

- pay the difference between the amount to be recovered and the amount retained for the Guarantee Fund, **if the difference is positive** or
- formally notify to the coordinator a **debit note** for the difference between the amount to be recovered and the amount retained for the Guarantee Fund, **if the difference is negative**. This note will also specify the terms and the date for payment.

If the coordinator does not repay the *Agency* by the date in the debit note and has not submitted the report on the distribution of payments: the *Agency or the Commission* will **recover** the amount set out in the debit note from the coordinator (see below).

If the coordinator does not repay the *Agency* by the date in the debit note, but has submitted the report on the distribution of payments: the *Agency* will:

- (a) identify the beneficiaries for which the amount calculated as follows is negative:

$\{\{\{\text{beneficiary's costs declared in the final summary financial statement and approved by the Agency multiplied by the reimbursement rate set out in Article 5.2 for the beneficiary concerned}$

*plus*

<sup>27</sup> Directive 2007/64/EC of the European Parliament and of the Council of 13 November 2007 on payment services in the internal market amending Directives 97/7/EC, 2002/65/EC, 2005/60/EC and 2006/48/EC and repealing Directive 97/5/EC (OJ L 319, 05.12.2007, p. 1).



*its linked third parties' costs declared in the final summary financial statement and approved by the Agency multiplied by the reimbursement rate set out in Article 5.2 for each linked third party concerned}*

divided by

the EU contribution for the action calculated according to Article 5.3.1 }

multiplied by

the final grant amount (see Article 5.3)}},

minus

{pre-financing and interim payments received by the beneficiary}}.

- (b) formally notify to each beneficiary identified according to point (a) a **debit note** specifying the terms and date for payment. The amount of the debit note is calculated as follows:

{ {amount calculated according to point (a) for the beneficiary concerned

divided by

the sum of the amounts calculated according to point (a) for all the beneficiaries identified according to point (a)}

multiplied by

the amount set out in the debit note formally notified to the coordinator}.

If payment is not made by the date specified in the debit note, the *Agency* will **recover** the amount:

- (a) by '**offsetting**' it — without the beneficiary's consent — against any amounts owed to the beneficiary concerned by the *Agency*, the Commission or another executive agency (from the EU or Euratom budget).

In exceptional circumstances, to safeguard the *EU's* financial interests, the *Agency* may offset before the payment date specified in the debit note;

- (b) by **drawing on the Guarantee Fund**. The *Agency* or the Commission will formally notify the beneficiary concerned the debit note on behalf of the Guarantee Fund and recover the amount:

(i) *not applicable*;

(ii) by **taking legal action** (see Article 57) or by **adopting an enforceable decision** under Article 299 of the Treaty on the Functioning of the EU (TFEU) and Article 79(2) of the Financial Regulation No 966/2012.

If payment is not made by the date in the debit note, the amount to be recovered (see above) will be increased by **late-payment interest** at the rate set out in Article 21.11, from the day following the



payment date in the debit note, up to and including the date the *Agency or the* Commission receives full payment of the amount.

Partial payments will be first credited against expenses, charges and late-payment interest and then against the principal.

Bank charges incurred in the recovery process will be borne by the beneficiary, unless Directive 2007/64/EC applies.

#### 44.1.3 Recovery of amounts after payment of the balance

If, for a beneficiary, the revised final grant amount (see Article 5.4) is lower than its share of the final grant amount, it must repay the difference to the *Agency*.

The beneficiary's share of the final grant amount is calculated as follows:

{ {beneficiary's costs declared in the final summary financial statement and approved by the *Agency* multiplied by the reimbursement rate set out in Article 5.2 for the beneficiary concerned

*plus*

*its linked third parties' costs declared in the final summary financial statement and approved by the Agency multiplied by the reimbursement rate set out in Article 5.2 for each linked third party concerned*}

divided by

the EU contribution for the action calculated according to Article 5.3.1 }

multiplied by

the final grant amount (see Article 5.3)}.

*If the coordinator has not distributed amounts received (see Article 21.7), the Agency will also recover these amounts.*

The *Agency* will formally notify a **pre-information letter** to the beneficiary concerned:

- informing it of its intention to recover, the due amount and the reasons why and
- inviting it to submit observations within 30 days of receiving notification.

If no observations are submitted or the *Agency* decides to pursue recovery despite the observations it has received, it will **confirm** the amount to be recovered and formally notify to the beneficiary concerned a **debit note**. This note will also specify the terms and the date for payment.

If payment is not made by the date specified in the debit note, the *Agency* will **recover** the amount:

- (a) by '**offsetting**' it — without the beneficiary's consent — against any amounts owed to the beneficiary concerned by the *Agency*, the Commission or another executive agency (from the EU or Euratom budget).

In exceptional circumstances, to safeguard the *EU's* financial interests, the *Agency* may offset before the payment date specified in the debit note;

(b) by **drawing on the Guarantee Fund**. The *Agency or the Commission* will formally notify the beneficiary concerned the debit note on behalf of the Guarantee Fund and recover the amount:

- (i) *not applicable*;
- (ii) by **taking legal action** (see Article 57) or by **adopting an enforceable decision** under Article 299 of the Treaty on the Functioning of the EU (TFEU) and Article 79(2) of the Financial Regulation No 966/2012.

If payment is not made by the date in the debit note, the amount to be recovered (see above) will be increased by **late-payment interest** at the rate set out in Article 21.11, from the day following the date for payment in the debit note, up to and including the date the *Agency or the Commission* receives full payment of the amount.

Partial payments will be first credited against expenses, charges and late-payment interest and then against the principal.

Bank charges incurred in the recovery process will be borne by the beneficiary, unless Directive 2007/64/EC applies.

## ARTICLE 45 — ADMINISTRATIVE AND FINANCIAL PENALTIES

### 45.1 Conditions

Under Articles 109 and 131(4) of the Financial Regulation No 966/2012, the *Agency* may impose **administrative** and **financial penalties** if a beneficiary:

- (a) has committed substantial errors, irregularities or fraud or is in serious breach of its obligations under the Agreement or
- (b) has made false declarations about information required under the Agreement or for the submission of the proposal (or has not supplied such information).

Each beneficiary is responsible for paying the financial penalties imposed on it.

Under Article 109(3) of the Financial Regulation No 966/2012, the *Agency or the Commission* may — under certain conditions and limits — publish decisions imposing administrative or financial penalties.

### 45.2 Duration — Amount of penalty — Calculation

**Administrative penalties** exclude the beneficiary from all contracts and grants financed from the EU or Euratom budget for a maximum of five years from the date the infringement is established by the *Agency*.

If the beneficiary commits another infringement within five years of the date the first infringement is established, the *Agency* may extend the exclusion period up to 10 years.

**Financial penalties** will be between 2% and 10% of the maximum EU contribution indicated, for the beneficiary concerned, in the estimated budget (see Annex 2).

If the beneficiary commits another infringement within five years of the date the first infringement is established, the *Agency* may increase the rate of financial penalties to between 4% and 20%.



### 45.3 Procedure

Before applying a penalty, the *Agency* will formally notify the beneficiary concerned:

- informing it of its intention to impose a penalty, its duration or amount and the reasons why and
- inviting it to submit observations within 30 days.

If the *Agency* does not receive any observations or decides to impose the penalty despite of observations it has received, it will formally notify **confirmation** of the penalty to the beneficiary concerned and — in case of financial penalties — deduct the penalty from the payment of the balance or formally notify a **debit note**, specifying the amount to be recovered, the terms and the date for payment.

If payment is not made by the date specified in the debit note, the *Agency or the Commission* may **recover** the amount:

- (a) by '**offsetting**' it — without the beneficiary's consent — against any amounts owed to the beneficiary concerned by the *Agency*, the Commission or another executive agency (from the EU or Euratom budget).

In exceptional circumstances, to safeguard the *EU's* financial interests, the *Agency* may offset before the payment date specified in the debit note;

- (b) by **taking legal action** (see Article 57) or by **adopting an enforceable decision** under Article 299 of the Treaty on the Functioning of the EU (TFEU) and Article 79(2) of the Financial Regulation No 966/2012.

If payment is not made by the date in the debit note, the amount to be recovered (see above) will be increased by **late-payment interest** at the rate set out in Article 21.11, from the day following the payment date in the debit note, up to and including the date the *Agency or the Commission* receives full payment of the amount.

Partial payments will be first credited against expenses, charges and late-payment interest and then against the principal.

Bank charges incurred in the recovery process will be borne by the beneficiary, unless Directive 2007/64/EC applies.

## **SECTION 2 LIABILITY FOR DAMAGES**

### **ARTICLE 46 — LIABILITY FOR DAMAGES**

#### **46.1 Liability of the *Agency***

The *Agency* cannot be held liable for any damage caused to the beneficiaries or to third parties as a consequence of implementing the Agreement, including for gross negligence.

The *Agency* cannot be held liable for any damage caused by any of the beneficiaries or third parties involved in the action, as a consequence of implementing the Agreement.

## 46.2 Liability of the beneficiaries

### 46.2.1 Conditions

Except in case of force majeure (see Article 51), the beneficiaries must compensate the *Agency* for any damage it sustains as a result of the implementation of the action or because the action was not implemented in full compliance with the Agreement.

Each beneficiary is responsible for paying the damages claimed from it.

### 46.2.2 Amount of damages - Calculation

The amount the *Agency* can claim from a beneficiary will correspond to the damage caused by that beneficiary.

### 46.2.3 Procedure

Before claiming damages, the *Agency* will formally notify the beneficiary concerned:

- informing it of its intention to claim damages, the amount and the reasons why and
- inviting it to submit observations within 30 days.

If the *Agency* does not receive any observations or decides to claim damages despite the observations it has received, it will formally notify **confirmation** of the claim for damages and a **debit note**, specifying the amount to be recovered, the terms and the date for payment.

If payment is not made by the date specified in the debit note, the *Agency or the Commission* may **recover** the amount:

- (a) by '**offsetting**' it — without the beneficiary's consent — against any amounts owed to the beneficiary concerned by the *Agency*, the Commission or another executive agency (from the EU or Euratom budget).

In exceptional circumstances, to safeguard the *EU's* financial interests, the *Agency* may offset before the payment date specified in the debit note;

- (b) by **taking legal action** (see Article 57) or by **adopting an enforceable decision** under Article 299 of the Treaty on the Functioning of the EU (TFEU) and Article 79(2) of the Financial Regulation No 966/2012.

If payment is not made by the date in the debit note, the amount to be recovered (see above) will be increased by **late-payment interest** at the rate set out in Article 21.11, from the day following the payment date in the debit note, up to and including the date the *Agency or the Commission* receives full payment of the amount.

Partial payments will be first credited against expenses, charges and late-payment interest and then against the principal.

Bank charges incurred in the recovery process will be borne by the beneficiary, unless Directive 2007/64/EC applies.



## **SECTION 3 SUSPENSION AND TERMINATION**

### **ARTICLE 47 — SUSPENSION OF PAYMENT DEADLINE**

#### **47.1 Conditions**

The *Agency* may — at any moment — suspend the payment deadline (see Article 21.2 to 21.4) if a request for payment (see Article 20) cannot be approved because:

- (a) it does not comply with the provisions of the Agreement (see Article 20);
- (b) the technical reports or financial reports have not been submitted or are not complete or additional information is needed, or
- (c) there is doubt about the eligibility of the costs declared in the financial statements and additional checks, reviews, audits or investigations are necessary.

#### **47.2 Procedure**

The *Agency* will formally notify the coordinator of the suspension and the reasons why.

The suspension will **take effect** the day notification is sent by the *Agency* (see Article 52).

If the conditions for suspending the payment deadline are no longer met, the suspension will be **lifted** — and the remaining period will resume.

If the suspension exceeds two months, the coordinator may request the *Agency* if the suspension will continue.

If the payment deadline has been suspended due to the non-compliance of the technical or financial reports (see Article 20) and the revised report or statement is not submitted or was submitted but is also rejected, the *Agency* may also terminate the Agreement or the participation of the beneficiary (see Article 50.3.1(l)).

### **ARTICLE 48 — SUSPENSION OF PAYMENTS**

#### **48.1 Conditions**

The *Agency* may — at any moment — suspend, in whole or in part, the pre-financing payment and interim payments for one or more beneficiaries or the payment of the balance for all beneficiaries, if a beneficiary:

- (a) has committed or is suspected of having committed substantial errors, irregularities, fraud or serious breach of obligations in the award procedure or under this Agreement or
- (b) has committed — in other EU or Euratom grants awarded to it under similar conditions — systemic or recurrent errors, irregularities, fraud or serious breach of obligations that have a material impact on this grant (**extension of findings from other grants to this grant**; see Article 22.5.2).

## 48.2 Procedure

Before suspending payments, the *Agency* will formally notify the coordinator:

- informing it of its intention to suspend payments and the reasons why and
- inviting it to submit observations within 30 days of receiving notification.

If the *Agency* does not receive observations or decides to pursue the procedure despite the observations it has received, it will formally notify **confirmation** of the suspension. Otherwise, it will formally notify that the suspension procedure is not continued.

The suspension will **take effect** the day the confirmation notification is sent by the *Agency*.

If the conditions for resuming payments are met, the suspension will be **lifted**. The Commission will formally notify the coordinator.

During the suspension, the periodic report(s) (see Article 20.3) must not contain any individual financial statements from the beneficiary concerned *and its linked third parties*. When the *Agency* resumes payments, the coordinator may include them in the next periodic report.

The beneficiaries may suspend implementation of the action (see Article 49.1) or terminate the Agreement or the participation of the beneficiary concerned (see Article 50.1 and 50.2).

## ARTICLE 49 — SUSPENSION OF THE ACTION IMPLEMENTATION

### 49.1 Suspension of the action implementation, by the beneficiaries

#### 49.1.1 Conditions

The beneficiaries may suspend implementation of the action or any part of it, if exceptional circumstances — in particular *force majeure* (see Article 51) — make implementation impossible or excessively difficult.

#### 49.1.2 Procedure

The coordinator must immediately formally notify to the *Agency* the suspension (see Article 52), stating:

- the reasons why and
- the expected date of resumption.

The suspension will **take effect** the day this notification is received by the *Agency*.

Once circumstances allow for implementation to resume, the coordinator must immediately formally notify the *Agency* and request an **amendment** of the Agreement to set the date on which the action will be resumed, extend the duration of the action and make other changes necessary to adapt the action to the new situation (see Article 55) — unless the Agreement or the participation of a beneficiary has been terminated (see Article 50).



The suspension will be **lifted** with effect from the resumption date set out in the amendment. This date may be before the date on which the amendment enters into force.

Costs incurred during suspension of the action implementation are not eligible (see Article 6).

## **49.2 Suspension of the action implementation, by the *Agency***

### **49.2.1 Conditions**

The *Agency* may suspend implementation of the action or any part of it:

- (a) if a beneficiary has committed or is suspected of having committed substantial errors, irregularities, fraud or serious breach of obligations in the award procedure or under this Agreement;
- (b) if a beneficiary has committed — in other EU or Euratom grants awarded to it under similar conditions — systemic or recurrent errors, irregularities, fraud or serious breach of obligations that have a material impact on this grant (**extension of findings from other grants to this grant**; see Article 22.5.2), or
- (c) if the action is suspected of having lost its scientific or technological relevance.

### **49.2.2 Procedure**

Before suspending implementation of the action, the *Agency* will formally notify the coordinator:

- informing it of its intention to suspend the implementation and the reasons why and
- inviting it to submit observations within 30 days of receiving notification.

If the *Agency* does not receive observations or decides to pursue the procedure despite the observations it has received, it will formally notify **confirmation** of the suspension. Otherwise, it will formally notify that the procedure is not continued.

The suspension will **take effect** five days after confirmation notification is received by the coordinator (or on a later date specified in the notification).

It will be **lifted** if the conditions for resuming implementation of the action are met.

The coordinator will be formally notified of the lifting and the Agreement will be **amended** to set the date on which the action will be resumed, extend the duration of the action and make other changes necessary to adapt the action to the new situation (see Article 55) — unless the Agreement has already been terminated (see Article 50).

The suspension will be lifted with effect from the resumption date set out in the amendment. This date may be before the date on which the amendment enters into force.

Costs incurred during suspension are not eligible (see Article 6).

The beneficiaries may not claim damages due to suspension by the *Agency* (see Article 46).



Suspension of the action implementation does not affect the *Agency's* right to terminate the Agreement or participation of a beneficiary (see Article 50), reduce the grant or recover amounts unduly paid (see Articles 43 and 44).

## **ARTICLE 50 — TERMINATION OF THE AGREEMENT OR OF THE PARTICIPATION OF ONE OR MORE BENEFICIARIES**

### **50.1 Termination of the Agreement by the beneficiaries**

#### **50.1.1 Conditions and procedure**

The beneficiaries may terminate the Agreement.

The coordinator must formally notify termination to the *Agency* (see Article 52), stating:

- the reasons why and
- the date the termination will take effect. This date must be after the notification.

If no reasons are given or if the *Agency* considers the reasons do not justify termination, the Agreement will be considered to have been '**terminated improperly**'.

The termination will **take effect** on the day specified in the notification.

#### **50.1.2 Effects**

The coordinator must — within 60 days from when termination takes effect — submit:

- (i) a periodic report (for the open reporting period until termination; see Article 20.3) and
- (ii) the final report (see Article 20.4).

If the *Agency* does not receive the reports within the deadline (see above), only costs which are included in an approved periodic report will be taken into account.

The *Agency* will **calculate** the final grant amount (see Article 5.3) and the balance (see Article 21.4) on the basis of the reports submitted. Only costs incurred until termination are eligible (see Article 6). Costs relating to contracts due for execution only after termination are not eligible.

Improper termination may lead to a reduction of the grant (see Article 43).

After termination, the beneficiaries' obligations (in particular Articles 20, 22, 23, Section 3 of Chapter 4, 36, 37, 38 and 40) continue to apply.

### **50.2 Termination of the participation of one or more beneficiaries, by the beneficiaries**

#### **50.2.1 Conditions and procedure**

The participation of one or more beneficiaries may be terminated by the coordinator, on request of the beneficiary concerned or on behalf of the other beneficiaries.

The coordinator must formally notify termination to the *Agency* (see Article 52) and inform the beneficiary concerned.

If the coordinator's participation is terminated without its agreement, the formal notification must be done by another beneficiary (acting on behalf of the other beneficiaries).

The notification must include:

- the reasons why;
- the opinion of the beneficiary concerned (or proof that this opinion has been requested in writing);
- the date the termination takes effect. This date must be after the notification, and
- a request for amendment (see Article 55), with a proposal for reallocation of the tasks and the estimated budget of the beneficiary concerned (see Annexes 1 and 2) and, if necessary, the addition of one or more new beneficiaries (see Article 56). If termination takes effect after the period set out in Article 3, no request for amendment must be included unless the beneficiary concerned is the coordinator. In this case, the request for amendment must propose a new coordinator.

If this information is not given or if the *Agency* considers that the reasons do not justify termination, the participation will be considered to have been **terminated improperly**.

The termination will **take effect** on the day specified in the notification.

### 50.2.2 Effects

The coordinator must — within 30 days from when termination takes effect — submit:

- (i) a report on the distribution of payments to the beneficiary concerned and
- (ii) if termination takes effect during the period set out in Article 3, a '**termination report**' from the beneficiary concerned, for the open reporting period until termination, containing an overview of the progress of the work, an overview of the use of resources, the individual financial statement and, if applicable, the certificate on the financial statement (see Articles 20.3 and 20.4).

The information in the termination report must also be included in the periodic report for the next reporting period (see Article 20.3).

If the request for amendment is rejected by the *Agency*, (because it calls into question the decision awarding the grant or breaches the principle of equal treatment of applicants), the Agreement may be terminated according to Article 50.3.1(c).

If the request for amendment is accepted by the *Agency*, the Agreement is **amended** to introduce the necessary changes (see Article 55).

The *Agency* will **calculate** — on the basis of the periodic reports, the termination report and the report on the distribution of payments — if the (pre-financing and interim) payments received by the beneficiary concerned exceed the beneficiary's EU contribution (calculated by applying the reimbursement rate(s) to the eligible costs declared by the beneficiary *and its linked third parties* and approved by the *Agency*). Only costs incurred by the beneficiary concerned until termination takes

effect are eligible (see Article 6). Costs relating to contracts due for execution only after termination are not eligible.

- If the payments received **exceed the amounts due**:
  - if termination takes effect during the period set out in Article 3 and the request for amendment is accepted, the beneficiary concerned must repay to the coordinator the amount unduly received. The *Agency* will formally notify the amount unduly received and request the beneficiary concerned to repay it to the coordinator within 30 days of receiving notification. If it does not repay the coordinator, the *Agency* will draw upon the Guarantee Fund to pay the coordinator and then notify a **debit note** on behalf of the Guarantee Fund to the beneficiary concerned (see Article 44);
  - in all other cases (in particular if termination takes effect after the period set out in Article 3), the *Agency* will formally notify a **debit note** to the beneficiary concerned. If payment is not made by the date in the debit note, the Guarantee Fund will pay to the *Agency* the amount due and the *Agency* will notify a debit note on behalf of the Guarantee Fund to the beneficiary concerned (see Article 44);
  - if the beneficiary concerned is the former coordinator, it must repay the new coordinator according to the procedure above, unless:
    - termination is after an interim payment and
    - the former coordinator has not distributed amounts received as pre-financing or interim payments (see Article 21.7).

In this case, the *Agency* will formally notify a **debit note** to the former coordinator. If payment is not made by the date in the debit note, the Guarantee Fund will pay to the *Agency* the amount due. The *Agency* will then pay the new coordinator and notify a debit note on behalf of the Guarantee Fund to the former coordinator (see Article 44).

- If the payments received **do not exceed the amounts due**: amounts owed to the beneficiary concerned will be included in the next interim or final payment.

If the *Agency* does not receive the termination report within the deadline (see above), only costs included in an approved periodic report will be taken into account.

If the *Agency* does not receive the report on the distribution of payments within the deadline (see above), it will consider that:

- the coordinator did not distribute any payment to the beneficiary concerned and that
- the beneficiary concerned must not repay any amount to the coordinator.

Improper termination may lead to a reduction of the grant (see Article 43) or termination of the Agreement (see Article 50).

After termination, the concerned beneficiary's obligations (in particular Articles 20, 22, 23, Section 3 of Chapter 4, 36, 37, 38 and 40) continue to apply.



### **50.3 Termination of the Agreement or the participation of one or more beneficiaries, by the Agency**

#### **50.3.1 Conditions**

The Agency may terminate the Agreement or the participation of one or more beneficiaries, if:

- (a) one or more beneficiaries do not accede to the Agreement (see Article 56);
- (b) a change to their legal, financial, technical, organisational or ownership situation (*or those of its linked third parties*) is likely to substantially affect or delay the implementation of the action or calls into question the decision to award the grant;
- (c) following termination of participation for one or more beneficiaries (see above), the necessary changes to the Agreement would call into question the decision awarding the grant or breach the principle of equal treatment of applicants (see Article 55);
- (d) implementation of the action is prevented by force majeure (see Article 51) or suspended by the coordinator (see Article 49.1) and either:
  - (i) resumption is impossible, or
  - (ii) the necessary changes to the Agreement would call into question the decision awarding the grant or breach the principle of equal treatment of applicants;
- (e) a beneficiary is declared bankrupt, being wound up, having its affairs administered by the courts, has entered into an arrangement with creditors, has suspended business activities, or is subject to any other similar proceedings or procedures under national law;
- (f) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) has been found guilty of professional misconduct, proven by any means;
- (g) a beneficiary does not comply with the applicable national law on taxes and social security;
- (h) the action has lost scientific or technological relevance;
- (i) *not applicable*;
- (j) *not applicable*;
- (k) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) has committed fraud, corruption, or is involved in a criminal organisation, money laundering or any other illegal activity affecting the EU's financial interests;
- (l) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) has — in the award procedure or under the Agreement — committed:
  - (i) substantial errors, irregularities, fraud or
  - (ii) serious breach of obligations, including improper implementation of the action, submission of false information, failure to provide required information, breach of ethical principles;

- (m) a beneficiary has committed — in other EU or Euratom grants awarded to it under similar conditions — systemic or recurrent errors, irregularities, fraud or serious breach of obligations that have a material impact on this grant (**‘extension of findings from other grants to this grant’**).

### 50.3.2 Procedure

Before terminating the Agreement or participation of one or more beneficiaries, the *Agency* will formally notify the coordinator:

- informing it of its intention to terminate and the reasons why and
- inviting it, within 30 days of receiving notification, to submit observations and — in case of Point (l.ii) above — to inform the *Agency* of the measures to ensure compliance with the obligations under the Agreement.

If the *Agency* does not receive observations or decides to pursue the procedure despite the observations it has received, it will formally notify to the coordinator **confirmation** of the termination and the date it will take effect. Otherwise, it will formally notify that the procedure is not continued.

The termination will **take effect**:

- for terminations under Points (b), (c), (e), (g), (h), (j), and (l.ii) above: on the day specified in the notification of the confirmation (see above);
- for terminations under Points (a), (d), (f), (i), (k), (l.i) and (m) above: on the day after the notification of the confirmation is received by the coordinator.

### 50.3.3 Effects

- (a) for **termination of the Agreement**:

The coordinator must — within 60 days from when termination takes effect — submit:

- (i) a periodic report (for the last open reporting period until termination; see Article 20.3) and
- (ii) a final report (see Article 20.4).

If the Agreement is terminated for breach of the obligation to submit the reports (see Articles 20.8 and 50.3.1(l)), the coordinator may not submit any reports after termination.

If the *Agency* does not receive the reports within the deadline (see above), only costs which are included in an approved periodic report will be taken into account.

The *Agency* will **calculate** the final grant amount (see Article 5.3) and the balance (see Article 21.4) on the basis of the reports submitted. Only costs incurred until termination takes effect are eligible (see Article 6). Costs relating to contracts due for execution only after termination are not eligible.

This does not affect the right to reduce the grant (see Article 43) or to impose administrative and financial penalties (Article 45).

The beneficiaries may not claim damages due to termination by the *Agency* (see Article 46).

After termination, the beneficiaries' obligations (in particular Articles 20, 22, 23, Section 3 of Chapter 4, 36, 37, 38 and 40) continue to apply.

(b) for **termination of the participation of one or more beneficiaries**:

The coordinator must — within 60 days from when termination takes effect — submit:

- (i) a report on the distribution of payments to the beneficiary concerned;
- (ii) a request for amendment (see Article 55), with a proposal for reallocation of the tasks and estimated budget of the beneficiary concerned (see Annexes 1 and 2) and, if necessary, the addition of one or more new beneficiaries (see Article 56). If termination is notified after the period set out in Article 3, no request for amendment must be submitted unless the beneficiary concerned is the coordinator. In this case the request for amendment must propose a new coordinator, and
- (iii) if termination takes effect during the period set out in Article 3, a **termination report** from the beneficiary concerned, for the open reporting period until termination, containing an overview of the progress of the work, an overview of the use of resources, the individual financial statement and, if applicable, the certificate on the financial statement (see Article 20).

The information in the termination report must also be included in the periodic report for the next reporting period (see Article 20.3).

If the request for amendment is rejected by the *Agency* (because it calls into question the decision awarding the grant or breaches the principle of equal treatment of applicants), the Agreement may be terminated according to Article 50.3.1(c).

If the request for amendment is accepted by the *Agency*, the Agreement is **amended** to introduce the necessary changes (see Article 55).

The *Agency* will **calculate** — on the basis of the periodic reports, the termination report and the report on the distribution of payments — if the (pre-financing and interim) payments received by the beneficiary concerned exceed the beneficiary's EU contribution (calculated by applying the reimbursement rate(s) to the eligible costs declared by the beneficiary *and its linked third parties* and approved by the *Agency*). Only costs incurred by the beneficiary concerned until termination takes effect are eligible (see Article 6). Costs relating to contracts due for execution only after termination are not eligible.

- If the payments received **exceed the amounts due**:

- if termination takes effect during the period set out in Article 3 and the request for amendment is accepted, the beneficiary concerned must repay to the coordinator the amount unduly received. The *Agency* will formally notify the amount unduly received and request the beneficiary concerned to repay it to the coordinator within 30 days of receiving notification. If it does not repay the coordinator, the *Agency* will draw upon the Guarantee Fund to pay the coordinator and then notify a debit note on behalf of the Guarantee Fund to the beneficiary concerned (see Article 44);
- in all other cases, in particular if termination takes effect after the period set out in Article 3, the *Agency* will formally notify a **debit note** to the beneficiary concerned. If payment is not made by the date in the debit note, the Guarantee Fund will pay to the *Agency* the amount due and the *Agency* will notify a debit note on behalf of the Guarantee Fund to the beneficiary concerned (see Article 44);
- if the beneficiary concerned is the former coordinator, it must repay the new coordinator the amount unduly received, unless:
  - termination takes effect after an interim payment and
  - the former coordinator has not distributed amounts received as pre-financing or interim payments (see Article 21.7)

In this case, the *Agency* will formally notify a **debit note** to the former coordinator. If payment is not made by the date in the debit note, the Guarantee Fund will pay to the *Agency* the amount due. The *Agency* will then pay the new coordinator and notify a debit note on behalf of the Guarantee Fund to the former coordinator (see Article 44).

- If the payments received **do not exceed the amounts due**: amounts owed to the beneficiary concerned will be included in the next interim or final payment.

If the *Agency* does not receive the termination report within the deadline (see above), only costs included in an approved periodic report will be taken into account.

If the *Agency* does not receive the report on the distribution of payments within the deadline (see above), it will consider that:

- the coordinator did not distribute any payment to the beneficiary concerned, and that
- the beneficiary concerned must not repay any amount to the coordinator.

After termination, the concerned beneficiary's obligations (in particular Articles 20, 22, 23, Section 3 of Chapter 4, 36, 37, 38 and 40) continue to apply.

#### **SECTION 4 FORCE MAJEURE**



## **ARTICLE 51 — FORCE MAJEURE**

‘Force majeure’ means any situation or event that:

- prevents either party from fulfilling their obligations under the Agreement,
- was unforeseeable, exceptional situation and beyond the parties’ control,
- was not due to error or negligence on their part (or on the part of third parties involved in the action), and
- proves to be inevitable in spite of exercising all due diligence.

The following cannot be invoked as force majeure:

- any default of a service, defect in equipment or material or delays in making them available, unless they stem directly from a relevant case of force majeure,
- labour disputes or strikes, or
- financial difficulties.

Any situation constituting force majeure must be formally notified to the other party without delay, stating the nature, likely duration and foreseeable effects.

The parties must immediately take all the necessary steps to limit any damage due to force majeure and do their best to resume implementation of the action as soon as possible.

The party prevented by force majeure from fulfilling its obligations under the Agreement cannot be considered in breach of them.

## **CHAPTER 7 FINAL PROVISIONS**

### **ARTICLE 52 — COMMUNICATION BETWEEN THE PARTIES**

#### **52.1 Form and means of communication**

Communication under the Agreement (information, requests, submissions, ‘formal notifications’, etc.) must:

- be made in writing and
- bear the number of the Agreement.

**Until the payment of the balance:** all communication must be made through the electronic exchange system and using the forms and templates provided there.

**After the payment of the balance:** formal notifications must be made by registered post with proof of delivery (‘formal notification on paper’).

Communications in the electronic exchange system must be made by persons authorised according to the ‘Terms and Conditions of Use of the electronic exchange system’. For naming the authorised





persons, each beneficiary must have designated — before the signature of this Agreement — a ‘Legal Entity Appointed Representative (LEAR)’. The role and tasks of the LEAR are stipulated in his/her appointment letter (see Terms and Conditions of Use of the electronic exchange system).

If the electronic exchange system is temporarily unavailable, instructions will be given on the *Agency and the Commission* websites.

## 52.2 Date of communication

**Communications** are considered to have been made when they are sent by the sending party (i.e. on the date and time they are sent through the electronic exchange system).

**Formal notifications** through the **electronic** exchange system are considered to have been made when they are received by the receiving party (i.e. on the date and time of acceptance by the receiving party, as indicated by the time stamp). A formal notification that has not been accepted within 10 days after sending is considered to have been accepted.

Formal notifications **on paper** sent by **registered post** with proof of delivery (only after the payment of the balance) are considered to have been made on either:

- the delivery date registered by the postal service or
- the deadline for collection at the post office.

If the electronic exchange system is temporarily unavailable, the sending party cannot be considered in breach of its obligation to send a communication within a specified deadline.

## 52.3 Addresses for communication

The **electronic** exchange system must be accessed via the following URL:

<https://ec.europa.eu/research/participants/portal/desktop/en/projects/>

The *Agency* will formally notify the coordinator and beneficiaries in advance any changes to this URL.

**Formal notifications on paper** (only after the payment of the balance) addressed **to the Agency** must be sent to the following address:

*Research Executive Agency (REA)  
Inclusive, Innovative and Reflective Societies  
REA COVE2 16/39  
B-1049 Brussels Belgium*

Formal notifications on paper (only after the payment of the balance) addressed **to the beneficiaries** must be sent to their legal address as specified in the 'Beneficiary Register'.

## ARTICLE 53 — INTERPRETATION OF THE AGREEMENT

### 53.1 Precedence of the Terms and Conditions over the Annexes

The provisions in the Terms and Conditions of the Agreement take precedence over its Annexes.

Annex 2 takes precedence over Annex 1.

### **53.2 Privileges and immunities**

*Not applicable*

## **ARTICLE 54 — CALCULATION OF PERIODS, DATES AND DEADLINES**

In accordance with Regulation No 1182/71<sup>28</sup>, periods expressed in days, months or years are calculated from the moment the triggering event occurs.

The day during which that event occurs is not considered as falling within the period.

## **ARTICLE 55 — AMENDMENTS TO THE AGREEMENT**

### **55.1 Conditions**

The Agreement may be amended, unless the amendment entails changes to the Agreement which would call into question the decision awarding the grant or breach the principle of equal treatment of applicants.

Amendments may be requested by any of the parties.

### **55.2 Procedure**

The party requesting an amendment must submit a request for amendment signed in the electronic exchange system (see Article 52).

The coordinator submits and receives requests for amendment on behalf of the beneficiaries (see Annex 3).

If a change of coordinator is requested without its agreement, the submission must be done by another beneficiary (acting on behalf of the other beneficiaries).

The request for amendment must include:

- the reasons why;
- the appropriate supporting documents;
- for a change of coordinator without its agreement: the opinion of the coordinator (or proof that this opinion has been requested in writing).

The *Agency* may request additional information.

If the party receiving the request agrees, it must sign the amendment in the electronic exchange system within 45 days of receiving notification (or any additional information the *Agency* has requested). If it does not agree, it must formally notify its disagreement within the same deadline. The deadline may

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<sup>28</sup> Regulation (EEC, Euratom) No 1182/71 of the Council of 3 June 1971 determining the rules applicable to periods, dates and time-limits (OJ L 124, 8.6.1971, p. 1).

be extended, if necessary for the assessment of the request. If no notification is received within the deadline, the request is considered to have been rejected

An amendment **enters into force** on the day of the signature of the receiving party.

An amendment **takes effect** on the date agreed by the parties or, in the absence of such an agreement, on the date on which the amendment enters into force.

## **ARTICLE 56 — ACCESSION TO THE AGREEMENT**

### **56.1 Accession of the beneficiaries mentioned in the Preamble**

The other beneficiaries must accede to the Agreement by signing the Accession Form (see Annex 3) in the electronic exchange system (see Article 52) within 30 days after its entry into force (see Article 58).

They will assume the rights and obligations under the Agreement with effect from the date of its entry into force (see Article 58).

If a beneficiary does not accede to the Agreement within the above deadline, the coordinator must — within 30 days — request an amendment to make any changes necessary to ensure proper implementation of the action. This does not affect the *Agency's* right to terminate the Agreement (see Article 50).

### **56.2 Addition of new beneficiaries**

In justified cases, the beneficiaries may request the addition of a new beneficiary.

For this purpose, the coordinator must submit a request for amendment in accordance with Article 55. It must include an Accession Form (see Annex 3) signed by the new beneficiary in the electronic exchange system (see Article 52).

New beneficiaries must assume the rights and obligations under the Agreement with effect from the date of their accession specified in the Accession Form (see Annex 3).

## **ARTICLE 57 — APPLICABLE LAW AND SETTLEMENT OF DISPUTES**

### **57.1 Applicable law**

The Agreement is governed by the applicable EU law, supplemented if necessary by the law of Belgium.

### **57.2 Dispute settlement**

If a dispute concerning the interpretation, application or validity of the Agreement cannot be settled amicably, the General Court — or, on appeal, the Court of Justice of the European Union — has sole jurisdiction. Such actions must be brought under Article 272 of the Treaty on the Functioning of the EU (TFEU).

If a dispute concerns administrative or financial penalties, offsetting or an enforceable decision under Article 299 TFEU (see Articles 44, 45 and 46), the beneficiaries must bring action before the General

Court — or, on appeal, the Court of Justice of the European Union — under Article 263 TFEU. *Actions against enforceable decisions must be brought against the Commission (not against the Agency).*

## **ARTICLE 58 — ENTRY INTO FORCE OF THE AGREEMENT**

The Agreement will enter into force on the day of signature by the *Agency* or the coordinator, depending on which is later.

### **SIGNATURES**

For the coordinator

For the *Agency*



**European Commission**

Research Executive Agency (REA)

Inclusive, Innovative and Reflective Societies



**ANNEX 1 (part A)**

**Research and Innovation action**

**NUMBER — 649491 — YMOBILITY**

## Table of Contents

1.1. The project summary.....	3
1.2. The list of beneficiaries.....	4
1.3. Workplan Tables - Detailed implementation.....	5
1.3.1. WT1 List of work packages.....	5
1.3.2. WT2 List of deliverables.....	6
1.3.3. WT3 Work package descriptions.....	11
Work package 1.....	11
Work package 2.....	13
Work package 3.....	16
Work package 4.....	19
Work package 5.....	21
Work package 6.....	23
Work package 7.....	26
Work package 8.....	28
Work package 9.....	30
Work package 10.....	33
1.3.4. WT4 List of milestones.....	37
1.3.5. WT5 Critical Implementation risks and mitigation actions.....	38
1.3.6. WT6 Summary of project effort in person-months.....	39
1.3.7. WT7 Tentative schedule of project reviews.....	40
1.4. Ethics Requirements.....	41

# 1.1. The project summary

Project Number <sup>1</sup>	649491	Project Acronym <sup>2</sup>	YMOBILITY
One form per project			
General information			
Project title <sup>3</sup>	Youth mobility: maximising opportunities for individuals, labour markets and regions in Europe		
Starting date <sup>4</sup>	01/03/2015		
Duration in months <sup>5</sup>	36		
Call (part) identifier <sup>6</sup>	H2020-YOUNG-SOCIETY-2014		
Topic	YOUNG-2-2014 Youth mobility: opportunities, impacts, policies		
Fixed EC Keywords	Migration, Social policies, work and welfare		
Free keywords	youth mobility, regional development, labour market, employability, welfare, life course transition		
Abstract <sup>7</sup>			
<p>Research on international youth mobility has been fragmented, mostly based on relatively small samples and case studies. YMOBILITY develops a comprehensive research programme which addresses the following:</p> <ul style="list-style-type: none"> <li>• Identifying, and quantifying, the main types of international youth mobility in the EU, and their key characteristics. Particular attention will be given to differences between and within three main types: highly skilled, less skilled and students</li> <li>• Understanding what determines which individuals do and which do not participate in international mobility as personal and professional development strategies: their motives, migration channels and information sources</li> <li>• Analysing the individual outcomes in terms of both employability and careers (skills and competences) and non-economic terms (welfare and identities).</li> <li>• Analysing the territorial outcomes for the regions of both origin and destination, in economic, demographic and cultural terms</li> <li>• Differentiating between short-term and long-term outcomes, taking into account return migration and future intentions to migrate.</li> <li>• Identifying implications for policies in migration but also of education, the economy and housing</li> </ul> <p>The research will utilise existing secondary data for the whole of the EU, but will mainly rely on primary quantitative data (large-scale surveys to be undertaken by polling agency) and qualitative data (interviews with migrants and returned migrants). The study will focus on 9 countries representing different contexts for youth mobility: Romania, Slovakia and Latvia as sources of emigration and return; the UK and Sweden as destinations for migrants; Germany, Italy, Ireland and Spain as both major destinations and countries of origin. The policy analysis will be informed by interviews undertaken with key informants, such as migrant associations and policy-makers. Experimental methods will be used to assess how individuals will respond to different scenarios of future economic and social change.</p>			

## 1.2. List of Beneficiaries

Project Number <sup>1</sup>	649491	Project Acronym <sup>2</sup>	YMOBILITY
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### List of Beneficiaries

No	Name	Short name	Country	Project entry month <sup>8</sup>	Project exit month
1	UNIVERSITA DEGLI STUDI DI ROMA LA SAPIENZA	UNIROMA1	Italy	1	36
2	UNIVERSITAET BIELEFELD	UNIBI	Germany	1	36
3	UNIVERSIDAD DE ALMERIA	UAL	Spain	1	36
4	UNIVERSITY COLLEGE CORK, NATIONAL UNIVERSITY OF IRELAND, CORK	UCC	Ireland	1	36
5	LATVIJAS UNIVERSITATE	LU	Latvia	1	36
6	UNIVERSITATEA DIN BUCURESTI	UB	Romania	1	36
7	MALMOE HOEGSKOLA (MALMOE UNIVERSITY)	MIM	Sweden	1	36
8	PROGNOSTICKY USTAV SLOVENSKEJ AKADEMIE VIED	IFSAS	Slovakia	1	36
9	UNIVERSITY OF SURREY	SURREY	United Kingdom	1	36
10	UNIVERSITY OF SUSSEX	US	United Kingdom	1	36



## 1.3. Workplan Tables - Detailed implementation

### 1.3.1. WT1 List of work packages

WP Number <sup>9</sup>	WP Title	Lead beneficiary <sup>10</sup>	Person-months <sup>11</sup>	Start month <sup>12</sup>	End month <sup>13</sup>
WP1	Youth mobility: definitions and typologies	10 - US	47.00	1	12
WP2	Youth mobility: definition of research methodologies	8 - IFSAS	63.00	1	9
WP3	Youth mobility – on the move: data and information collection	9 - SURREY	70.00	6	18
WP4	Information sources, channels, motivations and risks	6 - UB	35.00	18	27
WP5	Youth mobility – individual, economic and social outcomes: skills and competences, welfare, social identity	7 - MIM	34.00	18	27
WP6	Youth mobility: territorial outcomes	3 - UAL	35.00	18	27
WP7	Youth mobility – towards the future: intentions, scenarios and simulations	1 - UNIROMA1	29.00	18	30
WP8	Youth mobility – towards the future: policy recommendations	2 - UNIBI	28.00	24	36
WP9	Dissemination, exploitation and communication of results and citizens' engagement	1 - UNIROMA1	35.00	1	36
WP10	Project management	1 - UNIROMA1	33.00	1	36
<b>Total</b>			409.00		

### 1.3.2. WT2 list of deliverables

<b>Deliverable Number</b> <sup>14</sup>	<b>Deliverable Title</b>	<b>WP number</b> <sup>9</sup>	<b>Lead beneficiary</b>	<b>Type</b> <sup>15</sup>	<b>Dissemination level</b> <sup>16</sup>	<b>Due Date (in months)</b> <sup>17</sup>
D1.1	Dataset containing the main secondary information about youth mobility in the selected countries	WP1	5 - LU	Report	Confidential, only for members of the consortium (including the Commission Services)	12
D1.2	Theoretical and empirical overview report of typologies of youth mobilities, and their main characteristics from/to the selected countries	WP1	10 - US	Report	Confidential, only for members of the consortium (including the Commission Services)	12
D2.1	Ethical guidelines and ethics' related documents	WP2	9 - SURREY	Report	Confidential, only for members of the consortium (including the Commission Services)	3
D2.2	Survey questionnaire (design)	WP2	9 - SURREY	Report	Confidential, only for members of the consortium (including the Commission Services)	6
D2.3	In-depth interviews (design)	WP2	10 - US	Report	Confidential, only for members of the consortium (including the Commission Services)	6
D2.4	Approval of Ethic Committees	WP2	1 - UNIROMA1	Report	Confidential, only for members of the consortium (including the Commission Services)	6
D2.5	Innovative experimental research methods (design)	WP2	8 - IFSAS	Report	Confidential, only for members of the consortium (including the Commission Services)	9
D2.6	Software	WP2	8 - IFSAS	Other	Confidential, only for members of the consortium (including the	9

<b>Deliverable Number <sup>14</sup></b>	<b>Deliverable Title</b>	<b>WP number <sup>9</sup></b>	<b>Lead beneficiary</b>	<b>Type <sup>15</sup></b>	<b>Dissemination level <sup>16</sup></b>	<b>Due Date (in months) <sup>17</sup></b>
					Commission Services)	
D3.1	Panel on-line survey dataset	WP3	9 - SURREY	Report	Confidential, only for members of the consortium (including the Commission Services)	18
D3.2	Report accounting for the outcomes of the in-depth interviews	WP3	10 - US	Report	Public	18
D3.3	Report accounting for the outcomes of the experimental research methods	WP3	8 - IFSAS	Report	Public	18
D4.1	Report containing national and comparative analyses and assessments about determinants of youth migration, motivations, information sources, risk and migration channels	WP4	6 - UB	Report	Public	27
D5.1	Report on, comparative analyses of and assessments about the acquisition of skills and employability, housing and family formation plans and quality of life	WP5	7 - MIM	Report	Confidential, only for members of the consortium (including the Commission Services)	27
D5.2	Report on, comparative analyses of and assessments about emerging social identities among migrants and non-migrants	WP5	7 - MIM	Report	Confidential, only for members of the consortium (including the Commission Services)	27
D6.1	Report containing national and comparative analyses and assessments about youth mobility and the creation of human capital, use of skills and competences, return	WP6	5 - LU	Report	Public	27

<b>Deliverable Number <sup>14</sup></b>	<b>Deliverable Title</b>	<b>WP number <sup>9</sup></b>	<b>Lead beneficiary</b>	<b>Type <sup>15</sup></b>	<b>Dissemination level <sup>16</sup></b>	<b>Due Date (in months) <sup>17</sup></b>
	and circular migrants, and effects of youth mobility on population development					
D6.2	Report containing national and comparative analyses and assessments about youth mobility and regional development, labour markets and effects on core and peripheral areas	WP6	3 - UAL	Report	Public	27
D7.1	Model elaboration and validation	WP7	1 - UNIROMA1	Report	Confidential, only for members of the consortium (including the Commission Services)	24
D7.2	Scenarios from modelling	WP7	1 - UNIROMA1	Report	Confidential, only for members of the consortium (including the Commission Services)	30
D7.3	Origin-destination scenarios	WP7	1 - UNIROMA1	Report	Confidential, only for members of the consortium (including the Commission Services)	30
D8.1	Report containing an overview of EU and national migration and flanking policies	WP8	4 - UCC	Report	Public	30
D8.2	Report accounting for the local/regional case studies	WP8	2 - UNIBI	Report	Public	30
D8.3	Report containing policy recommendations	WP8	2 - UNIBI	Report	Public	36
D9.1	Communication, Dissemination and Exploitation Plan	WP9	1 - UNIROMA1	Report	Confidential, only for members of the consortium (including the Commission Services)	3
D9.2	Website	WP9	1 - UNIROMA1	Websites, patents	Public	3

<b>Deliverable Number <sup>14</sup></b>	<b>Deliverable Title</b>	<b>WP number <sup>9</sup></b>	<b>Lead beneficiary</b>	<b>Type <sup>15</sup></b>	<b>Dissemination level <sup>16</sup></b>	<b>Due Date (in months) <sup>17</sup></b>
				filling, etc.		
D9.3	Mid-term Communication, Dissemination and Exploitation Report	WP9	1 - UNIROMA1	Report	Confidential, only for members of the consortium (including the Commission Services)	18
D9.4	International Conference	WP9	1 - UNIROMA1	Other	Public	36
D9.5	Final Communication, Dissemination and Exploitation Report	WP9	1 - UNIROMA1	Report	Public	36
D10.1	Kick-off meeting	WP10	1 - UNIROMA1	Other	Confidential, only for members of the consortium (including the Commission Services)	1
D10.2	First Meeting of the Steering Committee and of the Scientific Coordination Team	WP10	1 - UNIROMA1	Other	Confidential, only for members of the consortium (including the Commission Services)	6
D10.3	Second Meeting of the Steering Committee and of the Scientific Coordination Team	WP10	1 - UNIROMA1	Other	Confidential, only for members of the consortium (including the Commission Services)	12
D10.4	Progress report	WP10	1 - UNIROMA1	Report	Confidential, only for members of the consortium (including the Commission Services)	24
D10.5	Third Meeting of the Steering Committee and of the Scientific Coordination Team	WP10	1 - UNIROMA1	Other	Confidential, only for members of the consortium (including the Commission Services)	18
D10.6	Fourth Meeting of the Steering Committee and of the Scientific Coordination Team	WP10	1 - UNIROMA1	Other	Confidential, only for members of the consortium (including the Commission Services)	24

<b>Deliverable Number <sup>14</sup></b>	<b>Deliverable Title</b>	<b>WP number <sup>9</sup></b>	<b>Lead beneficiary</b>	<b>Type <sup>15</sup></b>	<b>Dissemination level <sup>16</sup></b>	<b>Due Date (in months) <sup>17</sup></b>
D10.7	Fifth Meeting of the Steering Committee and of the Scientific Coordination Team	WP10	1 - UNIROMA1	Other	Confidential, only for members of the consortium (including the Commission Services)	30
D10.8	Sixth Meeting of the Steering Committee and of the Scientific Coordination Team	WP10	1 - UNIROMA1	Other	Confidential, only for members of the consortium (including the Commission Services)	36

### 1.3.3. WT3 Work package descriptions

<b>Work package number</b> <sup>9</sup>	WP1	<b>Lead beneficiary</b> <sup>10</sup>	10 - US
<b>Work package title</b>	Youth mobility: definitions and typologies		
<b>Start month</b>	1	<b>End month</b>	12

#### Objectives

- To provide a comprehensive overview and quantification of the main types of youth mobility in the EU
- To define the main characteristics of mobile students, mobile skilled workers, and mobile less-skilled workers
- To assess a) the frequency, duration and geography of the flows and b) the socio-demographic and economic characteristics of the mobile young
- To provide a systematic overview of the different socio-economic and psychographic characteristics of mobile and non-mobile youth

#### Description of work and role of partners

##### **WP1 - Youth mobility: definitions and typologies** [Months: 1-12]

US, UNIROMA1, UNIBI, UAL, UCC, LU, UB, MIM, IFSAS, SURREY

Task 1.1 – Revision of theoretical approaches (months 1–12) - Task leader: US

Revision and integration of the existing theoretical approaches to youth mobility. Identification of preliminary typologies that would answer the following key questions: Who migrates, where, for what purpose, and how (which migration channel)? Gender, age, education, risk tolerance, networks, motivations and regional opportunities/environments are considered to be key determinants.

Task 1.2 – International secondary-data collection (months 1–12) - Task leader: UCC

Collection and analysis of existing EU, OECD and national data on youth mobility to provide a broad overview of the main features of youth migration. Both migration and general data sources (Labour Market Survey, Household Survey etc.) will be analysed.

Task 1.3 – National secondary-data collection (months 1–12) - Task leader: LU

Extensive data-collection programme (see stage 1, section 1.4.3) in 9 countries, which have been selected to represent contrasting economic and migration environments. All countries are countries of migration origin and destination, but these have been selected to represent three main groups: (i) high income, destination: Germany, Sweden, UK; (ii) high income, destination and origin: Ireland, Italy, Spain (medium high); (iii) medium income, origin: Latvia, Romania, Slovakia.

The following migration flows will be analysed:

ORIGIN DESTINATION

Germany Sweden UK Ireland Italy Spain

Latvia ✓ ✓ ✓ ✓

Romania ✓ ✓ ✓ ✓ ✓ ✓

Slovakia ✓ ✓ ✓

Spain ✓ ✓ ✓

Ireland ✓

Italy ✓ ✓ ✓

Germany ✓

#### Participation per Partner

<b>Partner number and short name</b>	<b>WP1 effort</b>
1 - UNIROMA1	9.00
2 - UNIBI	3.00
3 - UAL	4.00
4 - UCC	4.00

Partner number and short name	WP1 effort
5 - LU	5.00
6 - UB	6.00
7 - MIM	1.00
8 - IFSAS	10.00
9 - SURREY	1.00
10 - US	4.00
<b>Total</b>	<b>47.00</b>

### List of deliverables

Deliverable Number <sup>14</sup>	Deliverable Title	Lead beneficiary	Type <sup>15</sup>	Dissemination level <sup>16</sup>	Due Date (in months) <sup>17</sup>
D1.1	Dataset containing the main secondary information about youth mobility in the selected countries	5 - LU	Report	Confidential, only for members of the consortium (including the Commission Services)	12
D1.2	Theoretical and empirical overview report of typologies of youth mobilities, and their main characteristics from/to the selected countries	10 - US	Report	Confidential, only for members of the consortium (including the Commission Services)	12

### Description of deliverables

D1.1: Dataset containing the main secondary information about youth mobility in the selected countries – Month 12  
D1.2: Theoretical and empirical overview report of typologies of youth mobilities, and their main characteristics from/to the selected countries – Month 12

D1.1 : Dataset containing the main secondary information about youth mobility in the selected countries [12]  
Dataset containing the main secondary information about youth mobility in the selected countries

D1.2 : Theoretical and empirical overview report of typologies of youth mobilities, and their main characteristics from/to the selected countries [12]  
Theoretical and empirical overview report of typologies of youth mobilities, and their main characteristics from/to the selected countries

### Schedule of relevant Milestones

Milestone number <sup>18</sup>	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS1	Dataset and Information kit	9 - SURREY	18	Secondary and primary data collection completed



<b>Work package number</b> <sup>9</sup>	WP2	<b>Lead beneficiary</b> <sup>10</sup>	8 - IFSAS
<b>Work package title</b>	Youth mobility: definition of research methodologies		
<b>Start month</b>	1	<b>End month</b>	9

### Objectives

- To define appropriate methodologies for exploring aspects of youth mobility that cannot be studied through existing secondary data
- To define and manage large-scale panel Internet surveys, in-depth interviews in destinations and regions of return, and experimental complex decision-making methods

### Description of work and role of partners

#### **WP2 - Youth mobility: definition of research methodologies** [Months: 1-9]

**IFSAS** , UNIROMA1, UNIBI , UAL, UCC, LU, UB, MIM, SURREY, US

Task 2.1 – Definition of the ethic issues (months 1–3) - Task leader: SURREY

Design of the ethical guidelines for the implementation of the survey questionnaire, the in-depth interviews, the experimental methods. Preparation of the documents needed for obtainment of approvals of the ten universities' Ethic committees. Definition of the procedures for an ethic check.

Task 2.2 – Design of the survey questionnaire (months 1–6) - Task leader: SURREY

Management and design of the survey questionnaire for the specially commissioned large panel survey (see stage 2, section 1.4.3) that will cover previous migration, education and mobility; socio-demographic and economic characteristics; migration personality, including risk tolerance; quality-of-life and identity changes; and future migration and family formation intentions.

Task 2.3 – Design of the in-depth interviews (months 1–6) - Task leader: US

Management and design of the in-depth interviews (see stage 3, section 1.4.3) with migrants in the destination countries, returned migrants in the countries of origins (in both core and peripheral regions) and non-migrants. Definition of a stratified sample to ensure that students, labour migrants with tertiary education, and labour migrants with secondary education only is included in approximately equal numbers. Education rather than skilled versus unskilled is used as the stratification criterion.

Task 2.4 – Design of the experimental methods (months 3–9) - Task leader: IFSAS for the design of the method and all partners in the definition of their own samples

Management and design of highly innovative experimental research methods that will be used to understand the complexities involved in making decisions about migration, and future migration in the face of uncertainty and incomplete information or information overload (see stage 4, section 1.4.3). Sample to be stratified (so as to include students, and those in employment, with both secondary and tertiary education) with samples of 30–50 individuals for each country.

Task 2.5 – Preparation of the software (months 3–9) - Task leader: IFSAS

Preparation of the software for the implementation of the innovative experimental research methods previously designed. This is a web-based system that runs in a web browser, and can be translated into different languages.

### Participation per Partner

<b>Partner number and short name</b>	<b>WP2 effort</b>
1 - UNIROMA1	9.00
2 - UNIBI	2.00
3 - UAL	5.00
4 - UCC	2.00
5 - LU	4.00
6 - UB	2.00

Partner number and short name	WP2 effort
7 - MIM	4.00
8 - IFSAS	30.00
9 - SURREY	3.00
10 - US	2.00
<b>Total</b>	<b>63.00</b>

#### List of deliverables

Deliverable Number <sup>14</sup>	Deliverable Title	Lead beneficiary	Type <sup>15</sup>	Dissemination level <sup>16</sup>	Due Date (in months) <sup>17</sup>
D2.1	Ethical guidelines and ethics' related documents	9 - SURREY	Report	Confidential, only for members of the consortium (including the Commission Services)	3
D2.2	Survey questionnaire (design)	9 - SURREY	Report	Confidential, only for members of the consortium (including the Commission Services)	6
D2.3	In-depth interviews (design)	10 - US	Report	Confidential, only for members of the consortium (including the Commission Services)	6
D2.4	Approval of Ethic Committees	1 - UNIROMA1	Report	Confidential, only for members of the consortium (including the Commission Services)	6
D2.5	Innovative experimental research methods (design)	8 - IFSAS	Report	Confidential, only for members of the consortium (including the Commission Services)	9
D2.6	Software	8 - IFSAS	Other	Confidential, only for members of the consortium (including the Commission Services)	9

#### Description of deliverables

D2.1: Ethical guidelines and ethics' related documents – Month 3 D2.2: Survey questionnaire (design) – Month 6  
D2.3: In-depth interviews (design) – Month 6 D2.4: Approval of Ethic Committees – Month 6 D2.5: Innovative  
experimental research methods (design) – Month 9 D2.6: Software – Month 9

D2.1 : Ethical guidelines and ethics' related documents [3]

Ethical guidelines and ethics' related documents

D2.2 : Survey questionnaire (design) [6]

Design of the questionnaire to be used in the large panel survey

D2.3 : In-depth interviews (design) [6]

Text of the in-depth interviews and definition of the stratified sample

D2.4 : Approval of Ethic Committees [6]

Formal approval from all the Universities Ethic Committees and draft of the informed consent form.

D2.5 : Innovative experimental research methods (design) [9]

Experimental research methods to understand decision making processes concerning mobility

D2.6 : Software [9]

Software for the implementation of the experimental research methods

#### Schedule of relevant Milestones

Milestone number <sup>18</sup>	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS1	Dataset and Information kit	9 - SURREY	18	Secondary and primary data collection completed

<b>Work package number</b> <sup>9</sup>	WP3	<b>Lead beneficiary</b> <sup>10</sup>	9 - SURREY
<b>Work package title</b>	Youth mobility – on the move: data and information collection		
<b>Start month</b>	6	<b>End month</b>	18

### Objectives

- To implement ad hoc methods of research previously defined for exploring aspects of youth mobility that cannot be studied through existing secondary data

### Description of work and role of partners

#### **WP3 - Youth mobility – on the move: data and information collection** [Months: 6-18]

**SURREY**, UNIROMA1, UNIBI, UAL, UCC, LU, UB, MIM, IFSAS, US

Task 3.1 – Implementation of the panel online survey (months 6–18) - Task leader: SURREY

A large panel online survey will be undertaken. A broadly representative sample will be obtained of the total population, aged 16–35, in each country. This will include both non-migrants and those with migrant experience (currently migrants, or returned migrants). Where necessary, purposive top-up sampling will be used to ensure that at least 200 individuals in each sample have migration experience. This is a conservative estimate based on total population data, and the minimum samples are likely to be significantly higher for youth mobility. The target sample sizes are:

Sample size

Germany 5,000

Slovakia 2,000

Ireland 2,000

Spain 5,000

Italy 5,000

Sweden 2,000

Latvia 2,000

UK 5,000

Romania 2,000

Total 30,000

A subcontractor (GfK) will carry out the on-line survey, while all the partners will analyse their own data in detail. Surrey will provide a comparative overall analysis of the entire dataset.

Task 3.2 – Implementation of the in-depth interviews (months 6–18) - Task leader: US

In-depth interviews undertaken with migrants in the destination countries, returned migrants in the countries of origins (in both core and peripheral regions) and non-migrants. The distribution of samples, and target numbers of interviews, are shown in the following table:

IN-MIGRANT RETURNED MIGRANTS IN CORE REGION RETURNED MIGRANTS IN PERIPHERAL REGION  
TOTAL

Germany 100 NRW, Berlin 10 Rheinland Pfalz (Rhineland-Palatinate) 10 Mecklenburg Vorpommern (Mecklenburg-Hither Pomerania) 120

Ireland 60 Dublin 10 Dublin 10 South-West 80

Italy 40 Rome 20 Rome 20 Apennines 80

Latvia 40 Riga 40 East/North 80

Romania 60 Bucharest/West 60 North-East 120

Slovakia 30 Bratislava 30 Western 60

Spain 40 Madrid 40 Madrid 40 Andalucía 120

Sweden 40 Malmö/Lund 40

UK 140 London 140

TOTAL 420 220 200 840

Task 3.3 – Implementation of the experimental research methods (months 6–18) - Task leader: IFSAS

Implementation of experimental research methods on decision-making about future migration. A sample of 30–50 individuals in each country will be involved. Each individual experiment will require 2–3 hours of time. Mouselab-type software, a tracing tool used for monitoring information acquisition and information processing by decision-makers, will be used in the experiment.

Task 3.4 – Ethic check (months 6–18) - Task leader: UNIROMA1

Given the involvement of vulnerable persons and the methods used, an ethic check will be implemented to ensure and certify that all the correct procedures have been followed

#### Participation per Partner

Partner number and short name	WP3 effort
1 - UNIROMA1	9.00
2 - UNIBI	6.00
3 - UAL	6.00
4 - UCC	10.00
5 - LU	7.00
6 - UB	10.00
7 - MIM	4.00
8 - IFSAS	10.00
9 - SURREY	6.00
10 - US	2.00
<b>Total</b>	<b>70.00</b>

#### List of deliverables

Deliverable Number <sup>14</sup>	Deliverable Title	Lead beneficiary	Type <sup>15</sup>	Dissemination level <sup>16</sup>	Due Date (in months) <sup>17</sup>
D3.1	Panel on-line survey dataset	9 - SURREY	Report	Confidential, only for members of the consortium (including the Commission Services)	18
D3.2	Report accounting for the outcomes of the in-depth interviews	10 - US	Report	Public	18
D3.3	Report accounting for the outcomes of the experimental research methods	8 - IFSAS	Report	Public	18

#### Description of deliverables

D3.1: Panel on-line survey dataset – Month 18 D3.2: Report accounting for the outcomes of the in-depth interviews – Month 18 D3.3: Report accounting for the outcomes of the experimental research methods – Month 18

D3.1 : Panel on-line survey dataset [18]

Dataset containing information derived from the panel survey

D3.2 : Report accounting for the outcomes of the in-depth interviews [18]

Report accounting for the outcomes of the in-depth interviews

D3.3 : Report accounting for the outcomes of the experimental research methods [18]

Report accounting for the outcomes of the experimental research methods

#### Schedule of relevant Milestones

Milestone number <sup>18</sup>	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS1	Dataset and Information kit	9 - SURREY	18	Secondary and primary data collection completed

<b>Work package number</b> <sup>9</sup>	WP4	<b>Lead beneficiary</b> <sup>10</sup>	6 - UB
<b>Work package title</b>	Information sources, channels, motivations and risks		
<b>Start month</b>	18	<b>End month</b>	27

### Objectives

- To identify the main determinants of who does, versus who does not, migrate as a life course-enhancing strategy
- To assess a) the motivations and b) the willingness to take risks of the mobile young
- To determine the evaluation of alternative migration channels, and the use made of information sources

### Description of work and role of partners

#### **WP4 - Information sources, channels, motivations and risks** [Months: 18-27]

**UB, UNIROMA1, UNIBI, UAL, UCC, LU, MIM, IFSAS, SURREY, US**

Task 4.1 – Information and sources (months 18–27) - Task leader: UB

Identification of the main information sources used by the young migrants who have faced both imperfect information and information overload when making decisions, and who therefore need to screen information and to select it by using filtering criteria.

Task 4.2 – Migrant subjects (months 18–27) - Task leader: SURREY

National and comparative analysis of the results provided by work packages 1 and 3 and assessment of who migrates and who does not migrate; and who does and who does not intend to migrate in the future.

Task 4.3 – Migration channels (months 18–27) - Task leader: UB

National and comparative analysis of the results provided by work packages 1 and 3 and assessment of the preferred migration channels amongst migrants and future migrants.

Task 4.4 – Migration experiences (months 18–27) - Task leader: UB

National and comparative analysis of the results provided by work packages 1 and 3 and assessment of the different migration experiences of students, and of labour migrants with secondary versus tertiary education.

### Participation per Partner

<b>Partner number and short name</b>	<b>WP4 effort</b>
1 - UNIROMA1	4.00
2 - UNIBI	2.00
3 - UAL	4.00
4 - UCC	3.00
5 - LU	4.00
6 - UB	4.00
7 - MIM	3.00
8 - IFSAS	6.00
9 - SURREY	3.00
10 - US	2.00
<b>Total</b>	<b>35.00</b>

### List of deliverables

Deliverable Number <sup>14</sup>	Deliverable Title	Lead beneficiary	Type <sup>15</sup>	Dissemination level <sup>16</sup>	Due Date (in months) <sup>17</sup>
D4.1	Report containing national and comparative analyses and assessments about determinants of youth migration, motivations, information sources, risk and migration channels	6 - UB	Report	Public	27

### Description of deliverables

D4.1: Report containing national and comparative analyses and assessments about determinants of youth migration, motivations, information sources, risk and migration channels – Month 27

D4.1 : Report containing national and comparative analyses and assessments about determinants of youth migration, motivations, information sources, risk and migration channels [27]

Report containing national and comparative analyses and assessments about determinants of youth migration, motivations, information sources, risk and migration channels

### Schedule of relevant Milestones

Milestone number <sup>18</sup>	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS2	Typologies of youth mobility, of their characteristics, of their social and territorial effects and consequences	5 - LU	27	Processes of analysis, assessment and evaluation completed



<b>Work package number</b> <sup>9</sup>	WP5	<b>Lead beneficiary</b> <sup>10</sup>	7 - MIM
<b>Work package title</b>	Youth mobility – individual, economic and social outcomes: skills and competences, welfare, social identity		
<b>Start month</b>	18	<b>End month</b>	27

### Objectives

- To identify the outcomes of youth mobility for individuals in terms of their lifelong portfolio of skills and competences
- To identify the outcomes of youth mobility for individuals in terms of their social welfare and health
- To identify the outcomes of youth mobility for individuals in terms of the transition from youth to ‘full adulthood’
- To identify the outcomes of youth mobility for individuals in terms of the formation of more European and/or cosmopolitan identities

### Description of work and role of partners

#### **WP5 - Youth mobility – individual, economic and social outcomes: skills and competences, welfare, social identity** [Months: 18-27]

**MIM**, UNIROMA1, UNIBI, UAL, UCC, LU, UB, IFSAS, SURREY, US

Task 5.1 – Skills and employability (months 18–27) - Task leader: MIM

National and comparative analysis of the results provided by work packages 1 and 3 and assessment of the skills, employability and employment acquired by working in the home country versus as a migrant.

Task 5.2 – Housing and family formation plans (months 18–27) - Task leader: MIM

National and comparative analysis of the results provided by work packages 1 and 3 and assessment of the young migrants’ current and future housing and family formation plans.

Task 5.3 – Quality of life (months 18–27) - Task leader: MIM

National and comparative analysis of the results provided by work packages 1 and 3 and assessment of the differences in quality of life for the young who have mobility experiences and those who have not.

Task 5.4 – Identities (months 18–27) - Task leader: LU

National and comparative analysis of the results provided by work packages 1 and 3 and assessment of the differences in identity between migrants, intending migrants and non-migrants

### Participation per Partner

<b>Partner number and short name</b>	<b>WP5 effort</b>
1 - UNIROMA1	4.00
2 - UNIBI	2.00
3 - UAL	4.00
4 - UCC	2.00
5 - LU	4.00
6 - UB	3.00
7 - MIM	6.00
8 - IFSAS	4.00
9 - SURREY	3.00
10 - US	2.00
<b>Total</b>	<b>34.00</b>

### List of deliverables

Deliverable Number <sup>14</sup>	Deliverable Title	Lead beneficiary	Type <sup>15</sup>	Dissemination level <sup>16</sup>	Due Date (in months) <sup>17</sup>
D5.1	Report on, comparative analyses of and assessments about the acquisition of skills and employability, housing and family formation plans and quality of life	7 - MIM	Report	Confidential, only for members of the consortium (including the Commission Services)	27
D5.2	Report on, comparative analyses of and assessments about emerging social identities among migrants and non-migrants	7 - MIM	Report	Confidential, only for members of the consortium (including the Commission Services)	27

### Description of deliverables

D5.1: Report on, comparative analyses of and assessments about the acquisition of skills and employability, housing and family formation plans, quality of life – Month 27. D5.2: Report on, comparative analyses of and assessments about emerging social identities among migrants and non-migrants – Month 27

D5.1 : Report on, comparative analyses of and assessments about the acquisition of skills and employability, housing and family formation plans and quality of life [27]

Report on, comparative analyses of and assessments about the acquisition of skills and employability, housing and family formation plans and quality of life

D5.2 : Report on, comparative analyses of and assessments about emerging social identities among migrants and non-migrants [27]

Report on, comparative analyses of and assessments about emerging social identities among migrants and non-migrants

### Schedule of relevant Milestones

Milestone number <sup>18</sup>	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS2	Typologies of youth mobility, of their characteristics, of their social and territorial effects and consequences	5 - LU	27	Processes of analysis, assessment and evaluation completed

<b>Work package number</b> <sup>9</sup>	WP6	<b>Lead beneficiary</b> <sup>10</sup>	3 - UAL
<b>Work package title</b>	Youth mobility: territorial outcomes		
<b>Start month</b>	18	<b>End month</b>	27

### Objectives

- To analyse the short- and long-term regional implications of youth mobility for both sending and destination regions
- To assess the aggregate human capital implications of migration and return in terms of brain drain, brain waste etc.
- To analyse emigration, return migration and circulation in terms of their territorial impacts, taking into account in particular the differences between core and peripheral regions in the countries of origin

### Description of work and role of partners

#### **WP6 - Youth mobility: territorial outcomes** [Months: 18-27]

**UAL, UNIROMA1, UNIBI, UCC, LU, UB, MIM, IFSAS, SURREY, US**

Task 6.1 – Youth mobility and human capital (months 18–27) - Task leader: UCC

National and comparative analysis of the results provided by work packages 1 and 3 and assessment of how youth mobility contributes to the aggregation of human capital outcomes (brain gain, brain overflow, brain waste, and brain circulation etc.) that shape regional economic development in both destination and origin regions.

Task 6.2 – Return and circular migration (months 18–27) - Task leader: LU

National and comparative analysis of the results provided by work packages 1 and 3 and assessment of the extent to which migrants become return or circular migrants, and the capacity to utilise their lifelong portfolio of skills and competences in their country of origin.

Task 6.3 – Effects of youth mobility on population development (months 18–27) - Task leader: UAL

National and comparative analysis of the results provided by work packages 1 and 3 and understanding of how life course transitions shape differential regional fertility and population reproduction rates.

Task 6.4 – Youth mobility and effects on labour markets (months 18–27) - Task leader: UAL

National and comparative analysis of the results provided by work packages 1 and 3 and assessment of how labour markets in both origin and destination regions are shaped by youth mobility.

Task 6.5 – Youth mobility and effects on regional development (months 18–27) - Task leader: UAL

National and comparative analysis of the results provided by work packages 1 and 3 and assessment of how the core and peripheral areas, countries and regions of origin of flows react to the young human capital flows.

### Participation per Partner

<b>Partner number and short name</b>	<b>WP6 effort</b>
1 - UNIROMA1	4.00
2 - UNIBI	2.00
3 - UAL	10.00
4 - UCC	2.00
5 - LU	4.00
6 - UB	3.00
7 - MIM	2.00
8 - IFSAS	4.00
9 - SURREY	2.00
10 - US	2.00
<b>Total</b>	<b>35.00</b>

### List of deliverables

Deliverable Number <sup>14</sup>	Deliverable Title	Lead beneficiary	Type <sup>15</sup>	Dissemination level <sup>16</sup>	Due Date (in months) <sup>17</sup>
D6.1	Report containing national and comparative analyses and assessments about youth mobility and the creation of human capital, use of skills and competences, return and circular migrants, and effects of youth mobility on population development	5 - LU	Report	Public	27
D6.2	Report containing national and comparative analyses and assessments about youth mobility and regional development, labour markets and effects on core and peripheral areas	3 - UAL	Report	Public	27

### Description of deliverables

D6.1: Report containing national and comparative analyses and assessments about youth mobility and the creation of human capital, use of skills and competences, return and circular migrants, and effects of youth mobility on population development – Month 27. D6.2: Report containing national and comparative analyses and assessments about youth mobility and regional development, labour markets and effects on core and peripheral areas – Month 27.

D6.1 : Report containing national and comparative analyses and assessments about youth mobility and the creation of human capital, use of skills and competences, return and circular migrants, and effects of youth mobility on population development [27]

Report containing national and comparative analyses and assessments about youth mobility and the creation of human capital, use of skills and competences, return and circular migrants, and effects of youth mobility on population development

D6.2 : Report containing national and comparative analyses and assessments about youth mobility and regional development, labour markets and effects on core and peripheral areas [27]

Report containing national and comparative analyses and assessments about youth mobility and regional development, labour markets and effects on core and peripheral areas

### Schedule of relevant Milestones

Milestone number <sup>18</sup>	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS2	Typologies of youth mobility, of their characteristics, of their social and territorial effects and consequences	5 - LU	27	Processes of analysis, assessment and evaluation completed

<b>Work package number</b> <sup>9</sup>	WP7	<b>Lead beneficiary</b> <sup>10</sup>	1 - UNIROMA1
<b>Work package title</b>	Youth mobility – towards the future: intentions, scenarios and simulations		
<b>Start month</b>	18	<b>End month</b>	30

### Objectives

- To understand how individuals would respond to contrasting future migration scenarios, and the resulting regional implications
- To build up simulations and scenarios concerning individuals and territories

### Description of work and role of partners

**WP7 - Youth mobility – towards the future: intentions, scenarios and simulations** [Months: 18-30]

**UNIROMA1**, UNIBI, UAL, UCC, LU, UB, MIM, IFSAS, SURREY, US

Task 7.1 – Analysing individual migration intentions for the youth population (months 18–24) - Task leader: IFSAS

This will be accomplished by using the experimental methods described in stage 4 whereby individual future migration intentions are analysed in response to changes in the determinants of decision-making such as socio-demographic and economic conditions in different countries.

Task 7.2 – Exploring alternative future scenarios with migrants and potential migrants (months 24–30) - Task leader: UNIROMA1

The response of individual migrants, and different types of youth mobility (developed in task 7.1), to a number of scenarios relating to economic and socio-demographic changes, will be explored using the data collected in the panel survey, the in-depth interviews and the experimental research methods described in stage 2–4. Neural network analysis will be employed to link these datasets for the purpose of exploring predicted responses to future scenarios, including not only changes in socio-demographic and economic conditions but also changes in migration and flanking policies. This innovative methodology for migration studies was successfully developed by UNIROMA1 in FP7 project SECOA (Montanari 2013).

Task 7.3 – Scenario-building for the YMOBILITY origin and destination countries and regions (months 24–30) - Task leader: UNIROMA1

The secondary data described in stage 1, the results of the quantitative and qualitative analyses described in stages 2 and 3, and the outcomes of tasks 1 and 2 will be used to build future scenarios concerning youth mobility in European countries and regions. They will be discussed and tested with key informants (as described in stages 4 and 5). The outcomes of the experimental methods (stage 4) research with individual migrants will support the contextualising of the future scenarios.

### Participation per Partner

<b>Partner number and short name</b>	<b>WP7 effort</b>
1 - UNIROMA1	9.00
2 - UNIBI	2.00
3 - UAL	3.00
4 - UCC	3.00
5 - LU	2.00
6 - UB	2.00
7 - MIM	2.00
8 - IFSAS	2.00
9 - SURREY	2.00
10 - US	2.00

Partner number and short name	WP7 effort
<b>Total</b>	29.00

#### List of deliverables

Deliverable Number <sup>14</sup>	Deliverable Title	Lead beneficiary	Type <sup>15</sup>	Dissemination level <sup>16</sup>	Due Date (in months) <sup>17</sup>
D7.1	Model elaboration and validation	1 - UNIROMA1	Report	Confidential, only for members of the consortium (including the Commission Services)	24
D7.2	Scenarios from modelling	1 - UNIROMA1	Report	Confidential, only for members of the consortium (including the Commission Services)	30
D7.3	Origin-destination scenarios	1 - UNIROMA1	Report	Confidential, only for members of the consortium (including the Commission Services)	30

#### Description of deliverables

D7.1: Model elaboration and validation – Month 24 D7.2: Scenarios from modelling – Month 30 D7.3: Origin-destination scenarios – Month 30

D7.1 : Model elaboration and validation [24]

Elaboration and validation of a neural model using data and information derived from former deliverables

D7.2 : Scenarios from modelling [30]

Proposition of alternative scenarios as arising from the case studies

D7.3 : Origin-destination scenarios [30]

Proposition of origin-destination scenarios for youth mobility in analysed European countries and regions

#### Schedule of relevant Milestones

Milestone number <sup>18</sup>	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS3	Scenarios and policies	1 - UNIROMA1	36	Scenarios built and policies proposed

<b>Work package number</b> <sup>9</sup>	WP8	<b>Lead beneficiary</b> <sup>10</sup>	2 - UNIBI
<b>Work package title</b>	Youth mobility – towards the future: policy recommendations		
<b>Start month</b>	24	<b>End month</b>	36

### Objectives

- To provide evidence-based recommendations for migration and flanking policies that will help to maximise the opportunities, and minimise the costs, associated with youth mobility for both individuals and regions
- To provide analyses of how different policies at different scales, from the local to the EU, interact and thereby shape both individual and regional outcomes of youth mobility

### Description of work and role of partners

**WP8 - Youth mobility – towards the future: policy recommendations** [Months: 24-36]

**UNIBI** , UNIROMA1, UAL, UCC, LU, UB, MIM, IFSAS , SURREY, US

Task 8.1 – Review of initiatives and policies (months 24–30) - Task leader: UCC

Overview of relevant EU and national initiatives and policies that influence youth mobility, both directly and indirectly. The main policy arenas to be considered are migration and diaspora, employment regulations, education, welfare provision, housing and fiscal policies: that is, both migration and flanking policies will be evaluated.

Task 8.2 – Best practice through case studies (months 30–36) - Task leader: UNIBI

Analysing current best-practice policies through a range of case studies. The national analyses will also frame 2 local/regional case studies in each country of initiatives that seek to optimise the benefits of migration and return migration. The case studies will examine how EU, national and local/regional initiatives and policies intersect to shape the utilisation of the lifelong skills and competences of migrants and returned migrants.

Task 8.3 – Innovative policy recommendations (months 30–36) - Task leader: UNIBI

Providing policy recommendations for new policies at EU, national, local levels to maximise the benefits and minimise the costs associated with youth mobility. Policy recommendations will be built on the analysis of existing initiatives and policies, on the local/regional case studies (tasks 8.1–8.2) and on the outcomes of WP7

### Participation per Partner

<b>Partner number and short name</b>	<b>WP8 effort</b>
1 - UNIROMA1	4.00
2 - UNIBI	5.00
3 - UAL	2.00
4 - UCC	5.00
5 - LU	3.00
6 - UB	2.00
7 - MIM	1.00
8 - IFSAS	2.00
9 - SURREY	2.00
10 - US	2.00
<b>Total</b>	<b>28.00</b>



### List of deliverables

Deliverable Number <sup>14</sup>	Deliverable Title	Lead beneficiary	Type <sup>15</sup>	Dissemination level <sup>16</sup>	Due Date (in months) <sup>17</sup>
D8.1	Report containing an overview of EU and national migration and flanking policies	4 - UCC	Report	Public	30
D8.2	Report accounting for the local/regional case studies	2 - UNIBI	Report	Public	30
D8.3	Report containing policy recommendations	2 - UNIBI	Report	Public	36

### Description of deliverables

D8.1: Report containing an overview of EU and national migration and flanking policies – Month 30  
D8.2: Report accounting for the local/regional case studies – Month 30  
D8.3: Report containing policy recommendations – Month 36

D8.1 : Report containing an overview of EU and national migration and flanking policies [30]  
Report containing an overview of EU and national migration and flanking policies

D8.2 : Report accounting for the local/regional case studies [30]  
Description of the local regional case studies in terms of best practices and policies concerning migration and return migration

D8.3 : Report containing policy recommendations [36]  
Report containing policy recommendations

### Schedule of relevant Milestones

Milestone number <sup>18</sup>	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS3	Scenarios and policies	1 - UNIROMA1	36	Scenarios built and policies proposed

<b>Work package number</b> <sup>9</sup>	WP9	<b>Lead beneficiary</b> <sup>10</sup>	1 - UNIROMA1
<b>Work package title</b>	Dissemination, exploitation and communication of results and citizens' engagement		
<b>Start month</b>	1	<b>End month</b>	36

### Objectives

- To promote the communication and dissemination of project results in the relevant international forums
- To organise communication, dissemination and exploitation management for the consortium
- To evaluate the results of citizens' engagement

### Description of work and role of partners

#### **WP9 - Dissemination, exploitation and communication of results and citizens' engagement** [Months: 1-36]

**UNIROMA1**, UNIBI, UAL, UCC, LU, UB, MIM, IFSAS, SURREY, US

The expected project results will be of major importance for the scientific community and for civil society, local and central governments, and private business associations. The communication, dissemination and exploitation activities will be aimed at reaching the different target groups. For further details, please refer to section 2.2.

Task 9.1 – Communication, dissemination and exploitation plan (months 1–36) - Task leaders: UNIROMA1 and CSI

The Communication, Dissemination and Exploitation Plan will be elaborated in month 3 and will outline the work regarding the dissemination and exploitation activities. The Plan will be updated in month 18 and the final plan will be elaborated in month 36.

The initial and mid-term Plan/Report will outline the strategy and the work regarding the communication, dissemination and exploitation activities.

Task 9.2 – Website (months 1–36) - Task leaders: UNIROMA1 and CSI

The website will present the project to the wider public and give detailed, tailored information on, e.g., project progress, activities and results. The website will also contain short descriptions of related projects and links to other valuable websites. The aim is to publish results, publications and other relevant project deliverables in a form in which they can be useful to other researchers and potential business partners. The website will contain: 1) a dedicated section for society at large, in which project activities are presented in a language understandable to non-experts; the section may also include short videos; b) a private area – which only the partners can access – for the exchange of working documents. The Management Team will be responsible for the creation and updating of the website, following the best-practice guidelines of the European Commission, and all the partners will contribute to the technical, administrative and promotional content of the website as determined in the Communication, Dissemination and Exploitation Plan.

Task 9.3 – Civil society engagement and organisation of communication/dissemination events (months 21–36) - Task leader: UNIROMA1

In each participating countries one YMOBILITY meeting will be organised (for a total of 9); the aim of the meetings will be to explain the scenarios and policy outputs to potential business partners, including business associations, trade unions and non-governmental institutions.

Moreover, a programme of meetings will be organised with secondary-school students, teachers and families as well as higher-education students.

An international conference will be organised to present the project experience to the different stakeholders, including the international scientific community, policy-makers, potential business partners and the general public, for the dissemination of the project results at the end of the project period. Partners will invite other experts in this field from around the world in order to ensure the involvement of the international scientific community and constant access to any other scientific developments of relevance.

Task 9.4 – Publications and conference participation (months 1–36) - Task leader: UNIROMA1

Research results will be published in refereed journals and presented at major international conferences. The relevant partners of the project will prepare the publications. The preparation of the promotional materials for conferences and other relevant events will be coordinated by the Project Management Team to avoid any overlap and to use human and financial resources in the best possible way.

Task 9.5 – End-Users' Board (months 1–36) - Task leader: UNIROMA1

An End-Users' Board will be set up at the beginning of the project. It will involve representatives of governmental institutions and decision-makers at national, regional and local levels, business associations, trade unions and non-governmental institutions. The Board will periodically evaluate the project progression, giving its contribution with

input and feedback, and will pave the way for the long-term adoption of project results (for further details on its activities see Section 3.2). The Board will meet once per year in conjunction with project meetings

#### Participation per Partner

Partner number and short name	WP9 effort
1 - UNIROMA1	7.00
CSI	10.00
2 - UNIBI	2.00
3 - UAL	2.00
4 - UCC	2.00
5 - LU	2.00
6 - UB	2.00
7 - MIM	2.00
8 - IFSAS	2.00
9 - SURREY	2.00
10 - US	2.00
<b>Total</b>	<b>35.00</b>

#### List of deliverables

Deliverable Number <sup>14</sup>	Deliverable Title	Lead beneficiary	Type <sup>15</sup>	Dissemination level <sup>16</sup>	Due Date (in months) <sup>17</sup>
D9.1	Communication, Dissemination and Exploitation Plan	1 - UNIROMA1	Report	Confidential, only for members of the consortium (including the Commission Services)	3
D9.2	Website	1 - UNIROMA1	Websites, patents filling, etc.	Public	3
D9.3	Mid-term Communication, Dissemination and Exploitation Report	1 - UNIROMA1	Report	Confidential, only for members of the consortium (including the Commission Services)	18
D9.4	International Conference	1 - UNIROMA1	Other	Public	36
D9.5	Final Communication, Dissemination and Exploitation Report	1 - UNIROMA1	Report	Public	36

### Description of deliverables

D9.1: Communication, Dissemination and Exploitation Plan – Month 3 D9.2: Website – Month 3 D9.3: Mid-term Communication, Dissemination and Exploitation Report – Month 18 D9.4: International Conference – Month 36 D9.5: Final Communication, Dissemination and Exploitation Report – Month 36

D9.1 : Communication, Dissemination and Exploitation Plan [3]

Communication, Dissemination and Exploitation Plan

D9.2 : Website [3]

Website

D9.3 : Mid-term Communication, Dissemination and Exploitation Report [18]

Mid-term Communication, Dissemination and Exploitation Report

D9.4 : International Conference [36]

Research results will be presented at major international conferences

D9.5 : Final Communication, Dissemination and Exploitation Report [36]

Final Communication, Dissemination and Exploitation Report

### Schedule of relevant Milestones

Milestone number <sup>18</sup>	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
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<b>Work package number</b> <sup>9</sup>	WP10	<b>Lead beneficiary</b> <sup>10</sup>	1 - UNIROMA1
<b>Work package title</b>	Project management		
<b>Start month</b>	1	<b>End month</b>	36

### Objectives

The objective of the management activities is to ensure the successful execution of the project by:

- Setting up an efficient management structure with clear rules for decision-making processes and governing bodies
- Providing administrative support to the partners, including on financial matters
- Overseeing that project activities comply with planned activities and that deadlines for deliverables and milestones are respected

### Description of work and role of partners

#### **WP10 - Project management** [Months: 1-36]

**UNIROMA1**, UNIBI , UAL, UCC, LU, UB, MIM, IFSAS , SURREY, US

Task 10.1 – Executive management (months 1–36) - Task leaders: UNIROMA1 and CSI

The executive management activities will include:

- Operational management
  - o Administrative support and communication of rules to the participants
  - o Support to the Steering Committee, the Scientific Coordination Team and the End-Users' Board, including the organisation and management of the meetings
  - o Maintenance of the Consortium Agreement

- Communication management

The operational management to be carried out by the Project Management Team (for tasks and composition, please refer to section 3.2) will comprehend administrative support to the participants, including communication on management, administrative and contractual issues. Furthermore, the Project Management Team will ensure that the Steering Committee and the Scientific Coordination Team (for tasks and composition, please refer to section 3.2) are set up, are fully operative and receive administrative support, including the scheduling and organisation of meetings. Finally, the Project Management Team will maintain the Consortium Agreement, which regulates the procedures and rules for the management, reporting, dissemination and exploitation activities and, if applicable, will coordinate the necessary modification procedures in collaboration with all the participants.

In order to ensure a continuous communication flow, the Project Management Team will establish clear communication channels and facilitate internal communication through the management of mailing lists and a project web-based exchange platform.

Task 10.2 – Financial management (months 1–36) - Task leaders: UNIROMA1 and CSI

The financial management will include:

- Operational planning
  - o Overall financial and accounting management
  - o Controlling of the project resources and the compliance of the budget
- Verification of financial statements
- Distribution of EU contribution to the partners

The Project Management Team will elaborate detailed financial plans for the activities of the various work packages for approval by the Steering Committee. The situation of the individual participants will be monitored closely and, if required, reported to the Steering Committee and to the Scientific Coordination Team, who will carry out suitable risk assessments regarding the financial situations of the relevant participants.

The Project Management Team will collect financial statements and relevant certificates elaborated and/or provided by all the participants and verify their compliance with their performance and the planned activities, deliverables and milestones before the submission to the European Commission.

Task 10.3 – Project coordination (months 1–36) - Task leader: UNIROMA1

The project coordination will include:

- Acting as interface with the European Commission
- Regular reporting to the European Commission

The Project Coordinator will liaise with the European Commission on all organisational and contractual issues and will send periodic reports to the European Commission, after prior validation by the Steering Committee and, with the

support of the Project Management Team, after verifying that the project deliverables prepared have a common style and are of a high quality.

The Project Coordinator will distribute funding to the participants according to the rules of the Grant Agreement and the Consortium Agreement and provide accurate records of the financial transfers to the European Commission

#### Participation per Partner

Partner number and short name	WP10 effort
1 - UNIROMA1	1.00
CSI	23.00
2 - UNIBI	1.00
3 - UAL	1.00
4 - UCC	1.00
5 - LU	1.00
6 - UB	1.00
7 - MIM	1.00
8 - IFSAS	1.00
9 - SURREY	1.00
10 - US	1.00
<b>Total</b>	<b>33.00</b>

#### List of deliverables

Deliverable Number <sup>14</sup>	Deliverable Title	Lead beneficiary	Type <sup>15</sup>	Dissemination level <sup>16</sup>	Due Date (in months) <sup>17</sup>
D10.1	Kick-off meeting	1 - UNIROMA1	Other	Confidential, only for members of the consortium (including the Commission Services)	1
D10.2	First Meeting of the Steering Committee and of the Scientific Coordination Team	1 - UNIROMA1	Other	Confidential, only for members of the consortium (including the Commission Services)	6
D10.3	Second Meeting of the Steering Committee and of the Scientific Coordination Team	1 - UNIROMA1	Other	Confidential, only for members of the consortium (including the Commission Services)	12
D10.4	Progress report	1 - UNIROMA1	Report	Confidential, only for members of the consortium	24

List of deliverables

Deliverable Number <sup>14</sup>	Deliverable Title	Lead beneficiary	Type <sup>15</sup>	Dissemination level <sup>16</sup>	Due Date (in months) <sup>17</sup>
				(including the Commission Services)	
D10.5	Third Meeting of the Steering Committee and of the Scientific Coordination Team	1 - UNIROMA1	Other	Confidential, only for members of the consortium (including the Commission Services)	18
D10.6	Fourth Meeting of the Steering Committee and of the Scientific Coordination Team	1 - UNIROMA1	Other	Confidential, only for members of the consortium (including the Commission Services)	24
D10.7	Fifth Meeting of the Steering Committee and of the Scientific Coordination Team	1 - UNIROMA1	Other	Confidential, only for members of the consortium (including the Commission Services)	30
D10.8	Sixth Meeting of the Steering Committee and of the Scientific Coordination Team	1 - UNIROMA1	Other	Confidential, only for members of the consortium (including the Commission Services)	36

Description of deliverables

D10.1: Kick-off meeting – Month 1 D10.2, D10.3, D10.5, D10.6, D10.7, D10.8: Meetings of the Steering Committee and of the Scientific Coordination Team – Months 6, 12, 18, 24, 30 and 36 D10.4: Progress report – Months 24

D10.1 : Kick-off meeting [1]

Launching event of the project

D10.2 : First Meeting of the Steering Committee and of the Scientific Coordination Team [6]

First Meeting of the Steering Committee and of the Scientific Coordination Team

D10.3 : Second Meeting of the Steering Committee and of the Scientific Coordination Team [12]

Second Meeting of the Steering Committee and of the Scientific Coordination Team

D10.4 : Progress report [24]

Scientific report project progresses

D10.5 : Third Meeting of the Steering Committee and of the Scientific Coordination Team [18]

Third Meeting of the Steering Committee and of the Scientific Coordination Team

D10.6 : Fourth Meeting of the Steering Committee and of the Scientific Coordination Team [24]

Fourth Meeting of the Steering Committee and of the Scientific Coordination Team

D10.7 : Fifth Meeting of the Steering Committee and of the Scientific Coordination Team [30]

Fifth Meeting of the Steering Committee and of the Scientific Coordination Team

D10.8 : Sixth Meeting of the Steering Committee and of the Scientific Coordination Team [36]  
Sixth Meeting of the Steering Committee and of the Scientific Coordination Team

**Schedule of relevant Milestones**

<b>Milestone number<sup>18</sup></b>	<b>Milestone title</b>	<b>Lead beneficiary</b>	<b>Due Date (in months)</b>	<b>Means of verification</b>
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### 1.3.4. WT4 List of milestones

Milestone number <sup>18</sup>	Milestone title	WP number <sup>9</sup>	Lead beneficiary	Due Date (in months) <sup>17</sup>	Means of verification
MS1	Dataset and Information kit	WP1, WP2, WP3	9 - SURREY	18	Secondary and primary data collection completed
MS2	Typologies of youth mobility, of their characteristics, of their social and territorial effects and consequences	WP4, WP5, WP6	5 - LU	27	Processes of analysis, assessment and evaluation completed
MS3	Scenarios and policies	WP7, WP8	1 - UNIROMA1	36	Scenarios built and policies proposed

### 1.3.5. WT5 Critical Implementation risks and mitigation actions

Risk number	Description of risk	WP Number	Proposed risk-mitigation measures
R1	Database-related: On-line survey, a few answers missing	WP3	Implementation of appropriate experimental methods
R2	Database-related: In-depth interviews, a few answers missing	WP3	Implementation of appropriate experimental methods
R3	Geographical database-related: Territorial outcomes, a few maps missing	WP6	Implementation of appropriate experimental methods
R4	Consortium: A team is operating with a long delay	WP10	If necessary the team is suspended by the consortium and the task reassigned

### 1.3.6. WT6 Summary of project effort in person-months

	WP1	WP2	WP3	WP4	WP5	WP6	WP7	WP8	WP9	WP10	Total Person/Months per Participant
1 - UNIROMA1	9	9	9	4	4	4	9	4	7	1	60
· CSI	0	0	0	0	0	0	0	0	10	23	33
2 - UNIBI	3	2	6	2	2	2	2	5	2	1	27
3 - UAL	4	5	6	4	4	10	3	2	2	1	41
4 - UCC	4	2	10	3	2	2	3	5	2	1	34
5 - LU	5	4	7	4	4	4	2	3	2	1	36
6 - UB	6	2	10	4	3	3	2	2	2	1	35
7 - MIM	1	4	4	3	6	2	2	1	2	1	26
8 - IFSAS	10	30	10	6	4	4	2	2	2	1	71
9 - SURREY	1	3	6	3	3	2	2	2	2	1	25
10 - US	4	2	2	2	2	2	2	2	2	1	21
<b>Total Person/Months</b>	47	63	70	35	34	35	29	28	35	33	409

### *1.3.7. WT7 Tentative schedule of project reviews*

<b>Review number <sup>19</sup></b>	<b>Tentative timing</b>	<b>Planned venue of review</b>	<b>Comments, if any</b>
RV1	14	probably Brussels	
RV2	36		

## 1.4. Ethics Requirements

Ethics Issue Category	Ethics Requirement Description
PROTECTION OF PERSONAL DATA	<p>- 1. Copies of ethical approvals for the collection of personal data by the competent University Data Protection Officer / National Data Protection authority must be submitted to the REA 2. Justification must be given in case of collection and/or processing of personal sensitive data 3. Detailed information must be provided on the procedures that will be implemented for data collection, storage, protection, retention and destruction and confirmation that they comply with national and EU legislation 4. Detailed information must be provided on the informed consent procedures that will be implemented</p>
HUMANS	<p>- 1. Details on the procedures and criteria that will be used to identify/recruit research participants must be provided 2. Detailed information must be provided on the informed consent procedures that will be implemented 3. The applicant must clarify whether children and/or adults unable to give informed consent will be involved and, if so, justification for their participation must be provided 4. The applicant must clarify how consent/assent will be ensured in case children and/or adults unable to give informed consent are involved 5. The applicant must clarify whether vulnerable individuals/groups will be involved. Details must be provided about the measures taken to prevent the risk of enhancing vulnerability/stigmatisation of individuals/groups</p>
OTHER ETHICS ISSUES	<p>- 1. An Ethics audit is recommended for this project. 2. The Ethics check needs to be done before the commencement of WP4 3. Given the delicacy of interviewing young adults below legal age, that are part of (a) vulnerable group(s), an ethics check is advisable at this stage 4. All requirements need to be met prior to the commencement of the ethically-relevant part of the proposed research</p>

### 1. Project number

The project number has been assigned by the Commission as the unique identifier for your project. It cannot be changed. The project number **should appear on each page of the grant agreement preparation documents (part A and part B)** to prevent errors during its handling.

### 2. Project acronym

Use the project acronym as given in the submitted proposal. It can generally not be changed. The same acronym **should appear on each page of the grant agreement preparation documents (part A and part B)** to prevent errors during its handling.

### 3. Project title

Use the title (preferably no longer than 200 characters) as indicated in the submitted proposal. Minor corrections are possible if agreed during the preparation of the grant agreement.

### 4. Starting date

Unless a specific (fixed) starting date is duly justified and agreed upon during the preparation of the Grant Agreement, the project will start on the first day of the month following the entry into force of the Grant Agreement (NB : entry into force = signature by the Commission). Please note that if a fixed starting date is used, you will be required to provide a written justification.

### 5. Duration

Insert the duration of the project in full months.

### 6. Call (part) identifier

The Call (part) identifier is the reference number given in the call or part of the call you were addressing, as indicated in the publication of the call in the Official Journal of the European Union. You have to use the identifier given by the Commission in the letter inviting to prepare the grant agreement.

### 7. Abstract

### 8. Project Entry Month

The month at which the participant joined the consortium, month 1 marking the start date of the project, and all other start dates being relative to this start date.

### 9. Work Package number

Work package number: WP1, WP2, WP3, ..., WPn

### 10. Lead beneficiary

This must be one of the beneficiaries in the grant (not a third party) - Number of the beneficiary leading the work in this work package

### 11. Person-months per work package

The total number of person-months allocated to each work package.

### 12. Start month

Relative start date for the work in the specific work packages, month 1 marking the start date of the project, and all other start dates being relative to this start date.

### 13. End month

Relative end date, month 1 marking the start date of the project, and all end dates being relative to this start date.

### 14. Deliverable number

Deliverable numbers: D1 - Dn

### 15. Type

Please indicate the type of the deliverable using one of the following codes:

- R Document, report
- DEM Demonstrator, pilot, prototype
- DEC Websites, patent filings, videos, etc.
- OTHER

### 16. Dissemination level

Please indicate the dissemination level using one of the following codes:

- PU Public

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

CI Classified, as referred to in Commission Decision 2001/844/EC

**17. Delivery date for Deliverable**

Month in which the deliverables will be available, month 1 marking the start date of the project, and all delivery dates being relative to this start date.

**18. Milestone number**

Milestone number: MS1, MS2, ..., MSn

**19. Review number**

Review number: RV1, RV2, ..., RVn

**20. Installation Number**

Number progressively the installations of a same infrastructure. An installation is a part of an infrastructure that could be used independently from the rest.

**21. Installation country**

Code of the country where the installation is located or IO if the access provider (the beneficiary or linked third party) is an international organization, an ERIC or a similar legal entity.

**22. Type of access**

VA if virtual access,

TA-uc if trans-national access with access costs declared on the basis of unit cost,

TA-ac if trans-national access with access costs declared as actual costs, and

TA-cb if trans-national access with access costs declared as a combination of actual costs and costs on the basis of unit cost.

**23. Access costs**

Cost of the access provided under the project. For virtual access fill only the second column. For trans-national access fill one of the two columns or both according to the way access costs are declared. Trans-national access costs on the basis of unit cost will result from the unit cost by the quantity of access to be provided.

## PART B

### Table of Contents

<b>2.1 EXCELLENCE</b>	<b>2</b>
2.1.1 Objectives	2
2.1.1.1 Relation to the work programme	3
2.1.2 Concept and approach	5
2.1.2.1. Central concept	5
2.1.2.2 Youth mobility: the individual scale	7
2.1.2.3 Youth mobility: the regional scale	11
2.1.2.4 Policy and policy research	13
2.1.3 Ambition	16
2.1.3.1 Originality of objectives	16
2.1.3.2 Conceptual contribution	17
2.1.3.3 Innovative research methods	19
<b>2.2 IMPACT</b>	<b>25</b>
2.2.1 Expected impacts	25
2.2.2 Measures to maximise impact	27
2.2.2.1 Dissemination and communication of results and civil society engagement	27
2.2.2.2 Exploitation of project results	31
<b>2.3 IMPLEMENTATION</b>	<b>33</b>
2.3.1 Work plan	33
YMOBILITY Work Plan	34
YMOBILITY GANTT Chart	35
YMOBILITY PERT	36
2.3.2 Management structure and procedures	37
2.3.2.1 Management structure	37
2.3.2.2 Management procedures	40
2.3.2.3 Management tools	41
2.3.2.4 Risk management	41
2.3.3 Consortium as a whole	43
2.3.4 Capacity of participants and links to the third parties	45
2.3.4.1 Participants	45
2.3.4.2. Third parties involved	74
2.3.5 Planned use of resources	76
2.3.6 Ethics and Security	80
2.3.6.1 Ethics	80
2.3.6.2 Security	82



## 2.1 Excellence

### 2.1.1 Objectives

Youth mobility is a relatively new but more and more noticeable and increasing phenomenon characterising the EU territory and, more in general, the world context. YMOBILITY's main aim is to study youth mobility, considering individuals and regions, causes and effects, and short- and long-term implications, and providing scenarios and policy recommendations.

Specifically, YMOBILITY's objectives are:

- To establish the extent to which individuals consider international mobility to be a key strategy for mediating significant life course transitions: a) school-to-work, b) unemployed-to-employed and c) youth to independent or 'full' adulthood. The latter is understood as implying partnership formation, having children and establishing a 'home'. Specifically, the project will identify the main determinants (both individual and structural) of who does, versus who does not, migrate as a life course-enhancing strategy.
- To provide a comprehensive overview and quantification of the main types of youth mobility in the EU, focusing particularly on differences between and within three main categories: students, higher-skilled and less-skilled workers. How do they differ in terms of: a) their frequency, duration, and geography; b) motivations; c) socio-economic characteristics; and d) willingness to take risks?
- To identify the outcomes of youth mobility for individuals in terms of: a) their lifelong portfolio of skills and competences; b) their social welfare and health; c) the formation of more European and/or cosmopolitan identities; and d) the transition from youth to 'full adulthood'.
- To analyse the short- and long-term regional implications of youth mobility for both sending and destination regions – that is, taking into account not only emigration, but also the extent and the destinations of return migration and circulation, as well as flows of social remittances.
- To understand, and provide typologies of, how individuals would respond to contrasting future migration scenarios, reflecting changing structural and personal circumstances, and the resulting future regional implications.
- To provide evidence-based recommendations for migration and flanking policies that will help to maximise the opportunities, and minimise the costs, associated with youth mobility for individuals, labour markets and regions.

### 2.1.1.1 Relation to the work programme

YMOBILITY will focus on how youth mobility contributes to the education-employment, and unemployment-employment, transitions in Europe, as well as the more general youth-to-independent-adulthood transition. It comes at a time when, across Europe but especially in the more economically vulnerable peripheral member-states, there is a crisis of youth unemployment and precarious employment. There is a need to critically assess whether international youth mobility, especially to more prosperous member-states, some of which are experiencing specific skills shortages, may be an individual strategy for addressing conditions in the sending regions and countries. Specifically, the project will address the following key aspects of the programme.

Topic: YOUNG-2-2014: Youth mobility: opportunities, impacts, policies	YMOBILITY project
<p><b><u>Specific challenge:</u></b></p> <p>‘The lack of internal mobility on the European labour market is often quoted as one of the flaws that impede a good functioning of the EU internal market and the Economic and Monetary Union’.</p> <p>‘The EU has actively promoted mobility of its students, researchers and citizens’.</p> <p>‘While some may gladly move or seek a job abroad, others may be forced to migrate. This may be disruptive for families, countries and European societies. At the same time, intra-European migration might not only alleviate regional shocks, but it could conversely intensify regional crises and economic downturn’.</p>	<p>YMOBILITY will analyse youth mobility in the double perspective of (young) EU citizens and EU regions (origins and destinations of flows), assessing implications (for) and effects (on) both individuals (students, researchers and citizens) and territories.</p> <p>9 countries, 17 regions, 30,000 individuals (with 840 in-depth interviews) will be involved. A multidisciplinary approach will be used – sociology, economics, geography are the disciplines involved in the project – in order to tackle all the possible aspects of youth mobility.</p> <p>An innovative methodology, including on-line surveys, in-depth interviews, <i>ad hoc</i> experimental methods, scenario-building and tailor-made policies, will be adopted.</p>
<p><b><u>Scope:</u></b></p> <ol style="list-style-type: none"> <li>1. ‘The research should look into different patterns and types of mobility of young people within the EU according to their purpose, length of stay, motivation, as well as characteristics of people moving abroad, including differences between men and women as well as people with different types of impairment or of different geographical and socio-economic backgrounds’.</li> <li>2. “‘It should analyse the role of information and support services, as well as more problematic issues abroad and/or at home regarding language, integration, finding a settlement, organisation of a new life’.</li> <li>3. ‘The research should also analyse the skills acquisition and recognition, longer-term social and employment impacts such as</li> </ol>	<p>YMOBILITY will address all the (listed) issues in the ‘scope’ section. Each scope will be addressed through a research work developed in specific tasks of the work packages. All the findings will be reported in specific deliverables. More in detail:</p> <p>Scope 1 will be addressed in WP1 and WP3; results will be reported in D1.1, D1.2, D3.1, D3.2, D3.3;</p> <p>Scope 2 will be addressed in WP4; results will be reported in D4.1;</p> <p>Scopes 3 and 4 will be addressed in WP5; results will be reported in D5.1 and D5.2;</p> <p>Scope 5 will be addressed in WP6; results will be reported in D6.1 and D6.2.</p>

<p>career tracks, bonding, settlement, welfare effects’.</p> <p>4. ‘Research should also address the psychological perspective including European identity formation’.</p> <p>5. ‘Research should focus on the conditions under which European mobility and migration reduces or aggravates regional labour market disparities, including brain drain issues’.</p>	
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First, YMOBILITY will provide a comprehensive picture of youth mobility: this requires understanding not only who migrates but also who is sedentary. The key questions are: Who migrates, where, for what purpose and how (which migration channel)? Gender, age, education, risk tolerance, networks, motivations and regional opportunities/environments are key determinants. The project focuses on three types of mobility: student, less skilled and more skilled, while recognising the variation within each of these.

Second, YMOBILITY will analyse how youth mobility can act as an intended or unintended critical tipping point in the life courses of individuals. Is it a means to enhance lifelong portfolios of qualifications, skills and competences, all of which impact on employability and employment? The project will also analyse the non-economic outcomes of youth mobility in terms of health and welfare, identities and the transition from youth to ‘full adulthood’; the last of these implies partnership formation, having children and establishing a ‘home’.

Third, YMOBILITY will analyse how youth mobility contributes to aggregate human capital outcomes (brain gain, brain overflow, brain waste and brain circulation etc.) that shape regional economic development in both destination and origin regions. Key to this is the extent to which migrants become return migrants or circular or sequential migrants, and the capacity to utilise their lifelong portfolio of skills and competences in their country of origin. The geography of return is critical for regional human capital outcomes: ‘urban drift’ amongst returnees means that many return to the more dynamic regions rather than to the remoter regions of origin. One of the most significant long-term implications is how life course transitions shape differential regional fertility and population reproduction rates.

Fourth, YMOBILITY will provide recommendations for both migration policies, and flanking social, economic and regional policies, in terms of maximising the individual and regional outcomes of youth mobility. This will be based on exploring alternative future scenarios with migrants and potential migrants, and analysing current best-practice policies through case studies involving a range of stakeholders, including young migrants and non-migrants.

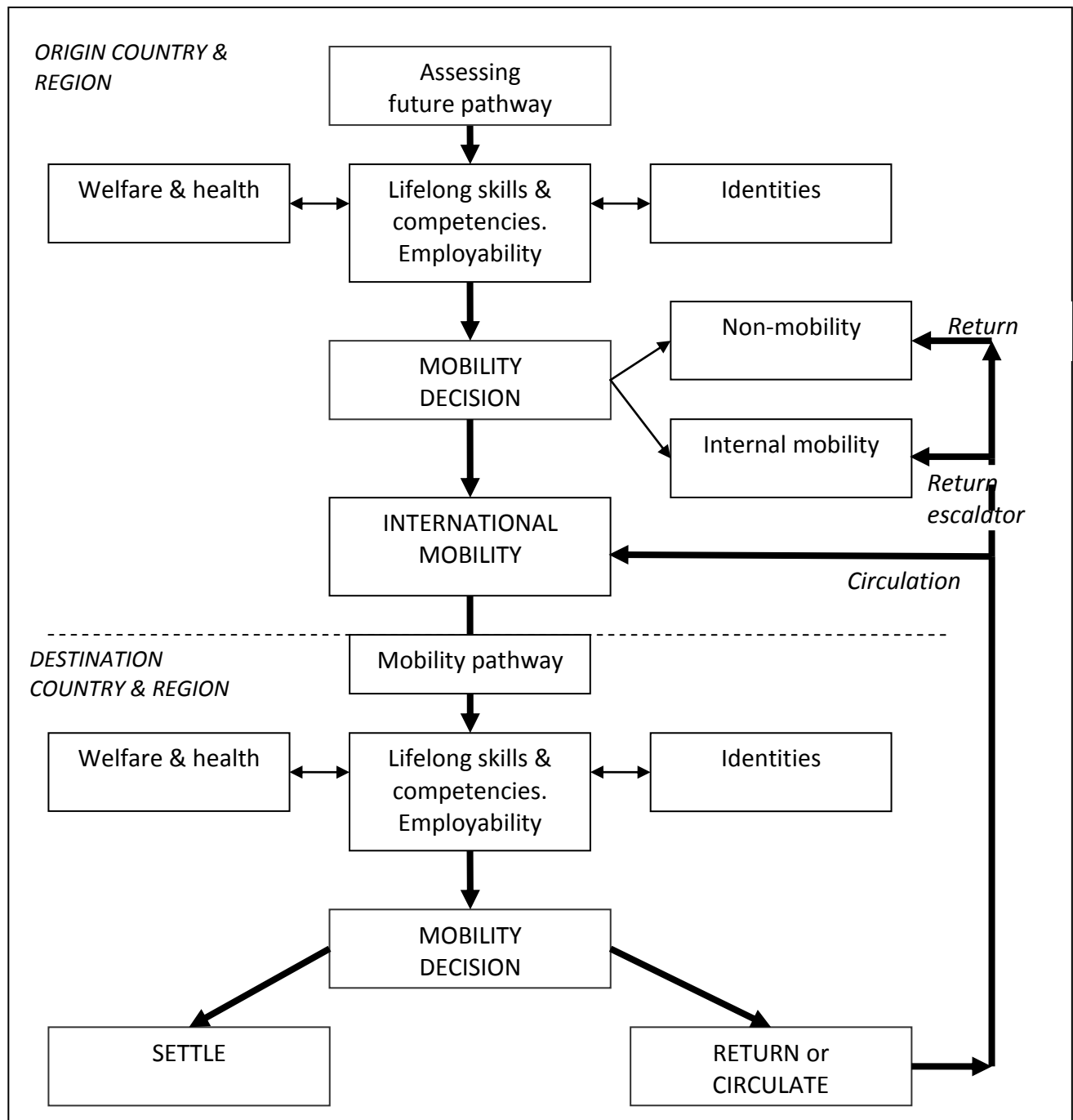
## 2.1.2 Concept and approach

### 2.1.2.1. Central concept

Before discussing youth mobility, we first note that youth is an age-related, socially constructed category, which shifts within and across cultures; youth is a relational status or role. It is precisely this relational status, and the educational and employment pathways to 'full adulthood', which are at the core of YMOBILITY.

The central concept of YMOBILITY is that youth mobility provides a strategy for negotiating a number of critical life course transitions (Corijn and Klijzing 2001). By enhancing lifelong skills and competences, youth mobility shapes the transitions from education to work, and from unemployment to employment in Europe. It is a means of enhancing individual employability, employment and careers, which have become increasingly important as a consequence of the 2008+ economic crises. Youth mobility also has consequences for individual welfare and for identity formation, which also combine to shape the transition from youth to 'full adulthood'. Youth mobility is, however, heterogeneous, and different pathways provide different opportunities depending on whether individuals are students or workers (skilled or unskilled), their social characteristics (especially education and gender), and the migration channel utilised, especially formal agencies versus social networks (see Figure 1). In some countries, this transition is based on the move from low-paid jobs in the country of origin to higher-paid jobs in the destination.

At the aggregate level there are short-term and long-term implications for the regions of both origin and destination: of particular importance are the net human capital outcomes (brain gain, brain drain etc.) as well as longer-term demographic outcomes such as declining birth rates. The key determinants of the long-term regional outcomes are two inter-linked return migration decisions. First whether migrants become return migrants; and second whether they return to their (often peripheral) regions of origin, or whether migration and return are part of an 'escalator' effect (Findlay et al. 2009) whereby young migrants relocate to the dynamic core regions in their home countries. This twin decision-making is largely determined by their lifelong portfolio of skills and competences, welfare and identities, as well as by the distribution of highly heterogeneous labour-market opportunities and costs across countries and regions. But these are not given: rather they are shaped by stakeholder activities and policies.



**Figure 1: Youth mobility pathways and transitions**

Blossfeld et al. (2012) address the question of how the uncertainties of globalisation and labour-market flexibilisation have ‘influenced young people’s ability to establish themselves as independent adults, to form partnerships and to become parents’. In post-2008 Europe, this question is articulated in terms of how the challenges to becoming economically independent, and to career development, have influenced the transition to ‘full adulthood’ or ‘adult independence’ (Oppenheimer 2003). YMOBILITY examines the critical role of youth mobility in these challenges. While international youth mobility is long-established, the combination of EU freedom-of-movement provisions, transport-cost reductions and economic restructuring have significantly increased the role of youth mobility as a pathway whereby individuals negotiate both the immediate transitions from education to the workplace, and from unemployment to employment, as well as the broader transition from youth to ‘full adulthood’.

The highest peak in the migration profile has long coincided with the transition from education to work (King et al. 2006), although most forms of youth mobility have increased significantly since the 2008+ crises. There are now diverse mobility pathways that range from student mobility (undergraduate and postgraduate), international placements, internships and EU researcher mobility schemes, to individual job-seeking migration, and firm and agency recruitment, at all levels in the skills hierarchy. These provide varying opportunities to acquire lifelong skills and competences, to enhance welfare and to shape identities, as well as risks and uncertainties (Williams and Baláž 2012). It is a matter not just of whether to migrate, but of how to migrate. All these pathways are highly socially and regionally selective: for example, students from low-income backgrounds and from Eastern or Southern European countries are less likely to access opportunities provided by study enrolment abroad (Eurostudent 2014).

While important for individuals, youth mobility also has significant implications for the efficient functioning of European labour markets, and for regional development across the EU. YMOBILITY aims to provide comprehensive and rigorous research to inform policies that aim to maximise the potential of youth mobility, while reducing the costs of mobility to regions of both origin and destination. Such policies need to balance the aims of avoiding ‘lost generations’, and ‘lost regions’ via mobility, with their attendant political, social and economic costs. An important issue is the occupational downgrading experienced by many migrants from the low-wage, high-unemployment member-states of Central and Eastern Europe; they may find work in less-skilled but higher-paid jobs abroad. This has implications for individuals and regions, and leads Ciupijus (2011) and others to question the often-unqualified emphasis placed on the role of mobility in knowledge transfer and economic development in the EU.

There has been considerable research on many aspects of youth mobility (see Cairns 2010). However, existing research is deeply fragmented – by migrant vs non-migrant, by skills and education, by destination and origin, by economic vs non-economic outcomes, and by individual vs regional implications. There is also a lack of the comparative research which is required to understand how youth mobility processes and outcomes are played out in different national and institutional contexts; in this respect, YMOBILITY will build on the work of the FP7 project STYLE (Strategic Transitions for Youth Labour in Europe), by focusing specifically on youth mobility rather than on general youth labour. YMOBILITY will provide a comprehensive analysis of youth mobility, which is both inter-disciplinary, and involves the extensive creation of new datasets for 9 countries, selected to represent the range of migration environments in the EU. These data will be made available to other researchers via the Pilot on Open Research Data in Horizon 2020. A precondition of effective policies is that they should be strongly evidence-based: YMOBILITY is designed to make a comprehensive contribution to this evidence base.

#### **2.1.2.2 Youth mobility: the individual scale**

Youth mobility research has been fragmented, focusing particularly and separately on students (Findlay et al. 2012; King and Ruiz-Gelices 2003; Staniscia 2012;), researchers (FP7 project, PROCARIM), and highly skilled workers (Williams and Baláž 2008), as well as on migrants from the post-2004 new member-states working in ‘unskilled’ jobs in the destinations (Janta et al. 2012). Different typologies of migrants can become blurred or combined, either simultaneously or sequentially. Thus students can also work part-time, or can transit to becoming workers after their studies are finished; likewise, worker-migrants can be part-time students, or later transit to full-time student status, either in their country of immigration or back in their home country. Highly skilled migrants may also work initially in relatively unskilled jobs, as stepping-stones to enhanced longer-term employability. These different types and combinations of youth mobility provide different monetary and non-monetary returns and costs, but also diverse learning opportunities,

and possibilities for enhancing quality of life and shaping identities. While we know much about these individual types, and about particular aspects of migration such as the role of networks (Gill and Bialski 2011; White and Ryan 2008), there has been no systematic comparison of the different types of youth migration. Similarly, there has been no development of an evidence-based typology of youth mobility that can inform policies in this arena. YMOBILITY addresses the following key aspects of youth mobility at the individual scale.

Who migrates and who does not? In 1993, Massey et al.'s seminal review commented on the limited understanding that exists of who migrates, and this is still largely the case today. It is known that some social categories (by age, gender, education etc.) have a particular propensity to migrate, and human capital theories focusing on the returns and costs to skills have been especially influential (Blanchflower and Shadforth 2009; Dustmann and Kirkchamp 2002; Sjaastad 1962). While the returns to human capital are undoubtedly a major driver of youth migration, especially from the more- to the less-developed member-states, motivations are diverse, and also include lifestyle aspirations, stimulus-seeking and social networking (Massey and Espinosa 1994; Thorn 2009). Individual personality characteristics, the *migrant personality* (Boneva and Frieze 2001), are also important. Migrants tend to be more work-oriented and to have higher achievement and power motivation, while non-migrants are more orientated to social affiliations and family concerns (Reher 1998; Van Dalen and Henkens 2012). Empirical research has underlined the significance of the migrant personality in the case of college students (Frieze et al. 2006) and migrant workers (Polek et al. 2011), while Cairns (2009) demonstrated that family and community attachments could deter youth mobility. Risk tolerance, and competence to manage risk, also influence who does or does not migrate (Williams and Baláž 2014), as does network capital.

Less often considered are the barriers to migration – in terms of economic costs, cultural and linguistic obstacles and immigration control regimes – all of which determine who does and does not migrate (White 2013). Networks play a particularly important role in overcoming barriers to migration such as reducing uncertainties related to finding jobs and accommodation, and negotiating administrative procedures (Boyd 1989; Cairns 2010); their importance varies between skilled and 'unskilled' migrants (Jordan and Düvell 2003). The FP7 project FEMIDE emphasises the highly gendered nature of migration barriers, with women facing the double disadvantage of being both women and foreigners in the destinations.

In summary, while characteristics such as education and gender are important predictors of which groups are the most likely to be migrants (White 2013), they are unable to explain why particular individuals become migrants. This underlines the need for systematic research to identify who does and who does not participate in youth mobility.

Lifelong skills and competences. Standard human capital theory sees migration as an investment whereby individuals balance returns against costs (Sjaastad 1962). This provides insights into which migrants tend to migrate to which destinations, and into changes over time in their earnings (Borjas 1990; Chiswick and Miller 1986). Secondary data constraints mean that most human capital research has depended on education or qualifications as surrogates of skills. This has meant a focus on technical skills, and fails to analyse the social skills possessed, or acquired, by migrants. This gap was addressed by Williams and Baláž's (2005, 2008) utilisation of the notions of competences and tacit knowledge: based on Evans (2002), they analysed a range of competences (communication; values and attitudes, such as reliability; learning competences; social and interpersonal competences etc.), as well as the types of knowledge that can only be acquired through face-to-face proximity, or via deep immersion in the destination culture. Language skills were particularly important in enhancing earnings and career trajectories (Dustmann 1999), both



for labour migrants and for students (King and Ruiz-Gelices 2003; Krzaklewska and Krupnik 2005). Individuals acquire not only skills and competences, but also the cultural capital (Bourdieu 1973) associated with the places where these were acquired (Kelly and Lusis 2006); this represents what Murphy-Lejeune (2002) calls mobility capital. Another important acquisition, with lifetime career implications, is the development of social networks.

YMOBILITY starts from a double premise. First, that the dichotomy between skilled and unskilled migrants in the literature, stemming especially from the focus on qualifications, is an oversimplification. All migrants have the capacity to acquire skills and competences, so the focus should be on the learning migrant or knowledgeable migrant, rather than just on the highly skilled migrants of the knowledge economy (Williams and Baláž 2008). Similarly Conradson and Latham (2005) urged researchers to concentrate on the 'middling migrants' and not only on the high-flying professionals and the poverty-driven labour migrants. Secondly, that the focus should be on the lifelong skills *and competences* of the migrants. Similar to the 'creating capabilities' approach to human development (Nussbaum 2011), the lifelong skills and competences approach recognises that the capabilities of individuals are essential to understanding the transitions from education or unemployment to work. There is a need to understand the skills and competences they had prior to emigration, how these were utilised and enhanced during migration, and – in the case of returned migrants and circular migrants – the extent to which these were utilised and further enhanced when back in their home countries. Learning is a lifelong process, and the portfolio of skills and competences is carried throughout the lifecourse, and indeed may be instrumental in realising the key transition from youth to independent or 'full' adulthood.

The possession or acquisition of skills and competences is not always translated into higher earnings and occupational mobility. Many skills and competences are place-specific, including language skills, work cultures and customers' cultural preferences. YMOBILITY will therefore analyse not only lifelong skills and competences, but also issues of deskilling and employability. There is a need to consider youth mobility in the context of labour-market characteristics. What types of job are acquired in terms of sectors, skill content and employment conditions? To what extent are migrants unemployed, under-employed or in precarious employment? Are they employed on temporary or on zero-hours contracts? In this respect, YMOBILITY will extend the work of FP7 project CHANGINGEMPLOYMENT to youth mobility, and of DG Employment project PRECSTUDE on the conversion of precarious work into employment with better rights.

Employability. Ultimately, a key question is the extent to which youth mobility influences the employability of individuals, whether in the destination country or in their country of origin. Employability is the 'ability to bring a particular kind of knowledge to a task, and be able to collaborate effectively with others to achieve a common task' (Bentley 1998: 103). Employability is determined not only by individuals' lifelong skills and competences, but also by broader structural changes in the social divisions of labour, regulations and institutions, social recognition and discrimination. The intersection of these mediating factors determines whether international mobility leads to labour market entrapment or to labour-market stepping-stones for individual migrants (Williams 2008: 24). The issue for the potential migrant is whether the resulting strengthening of lifelong skills and competences will increase employability in the long term, whether abroad or in the country of origin if the migrant subsequently returns or circulates.

Employability has to be seen in the context of structural economic changes, which have led to a relative shift to more discontinuous careers for individuals, and the rise of precarious employment. There has been a shift from employment security to employability security (Opengart and Short 2002: 221), or the potential to find new employers, in a labour market where employment is increasingly uncertain. Gold and Fraser (2002) argue that there has been a shift



away from seeing careers as planned linear progressions within organisations, with strong internal labour markets and long-term employment with individual employers. Instead, careers are increasingly fragmented and non-linear, and youth mobility can play a key role in enhancing employability under such conditions.

Welfare and quality of life. Skills, competencies and employability only tell one part of the youth mobility story. Also important are welfare, health and quality-of-life issues. Surprisingly, there has been relatively little analysis of the non-monetary costs/benefits of labour migration, let alone of youth mobility. De Jong (1999: 282) writes that ‘financial rewards are not necessarily ends in themselves, but are means to satisfy other needs and desires’. The FP7 project EUMARGINS constituted a useful attempt to identify which factors influence the social inclusion of young migrants in Europe, and especially the transitions from exclusion to inclusion, but it focused mostly on economic aspects.

Sen (2005) provided an alternative theoretical focus on ‘welfare’, namely the concept of human capability being the ability of individuals to pursue livelihoods, which they value. The difficulty with this approach is that it does not offer a coherent framework for determining the key factors, which shape these livelihoods. The most substantial research effort has focused on the notion of quality of life. The equilibrium modelling approach, which understands quality of life as being constituted of a balance between economic and amenity factors (Davies et al. 2001), is particularly relevant. Experimental research by Baláž et al. (2014), utilising complex decision-making models, has recently identified the relative weights attached to the different economic and non-economic quality-of-life factors, including health, by potential migrants. YMOBILITY provides an opportunity to evaluate and extend these tentative findings through analysis of large-scale quantitative survey data.

Identities and migration. The link between migration and identity has been a fertile ground for research (Benmayor and Skotnes 1994; Rapport and Dawson 1998; Vertovec 2001). Migration is both informed by and can deeply affect identities, with significant implications both for individual youth migrants and for their communities of origin. As McHugh (2000: 71) has commented, migrations are ‘cultural events rich in meaning for individuals, families, social groups, communities and nations’. Yet identity can be a chaotic or slippery concept to pin down and may mean little to most migrants (Anthias 2002); an alternative notion is that of ‘belonging’, since migrants form ‘grounded attachments, geographies of belonging, and practices of citizenship’ (Blunt 2007: 687). We take on board part of the critique of identity (i.e. that identity is not ‘fixed’ but malleable, situational and context specific, cf. Hall and du Gay 1996) and hence feel that it is useful to look at young people’s allegiances and senses of belonging at multiple scales. We also suggest that multiple and interlocking identities are not zero-sum equated: i.e. the increase in one kind of identification (e.g. with the country of destination) does not automatically decrease the identification of the young person with the origin country or region. Moreover, since identity is a multi-scalar and nested concept, young people feel and express their identities at local, city, regional, national, continental (e.g. European) and even global scale. The key issue is how these are reconstituted in the course of youth mobility through the changing process of identification (Brubaker and Cooper 2000).

Identities are necessarily complex so we will particularly aim at uncovering the shifting territorial and place-based identities that youth mobility provokes. To what extent do young people (feel that they) carry their local/national identities with them when they move? How far do they construct new identities based on the host-country context? Or do they build up a more transnational or cosmopolitan identity through migration – which may or may not express a ‘European’ as opposed to some other (e.g. North American) dimension? Does the experience of

migration create a kind of 'mobility identity', which may contribute to an extension of youth, but delay the onset of adulthood and its conventional markers of home ownership, partnership, family formation etc? Or does a kind of 'disidentification' with the home country result from living abroad, or even drive the desire of young people to move in the first place if there is a profound disaffection with life and prospects in the home country? Recent doctoral research on young emigrants from Eastern and Southern Europe confirms the relevance of 'disidentification' (Conti 2001; Jendrissek 2014; Lulle 2014).

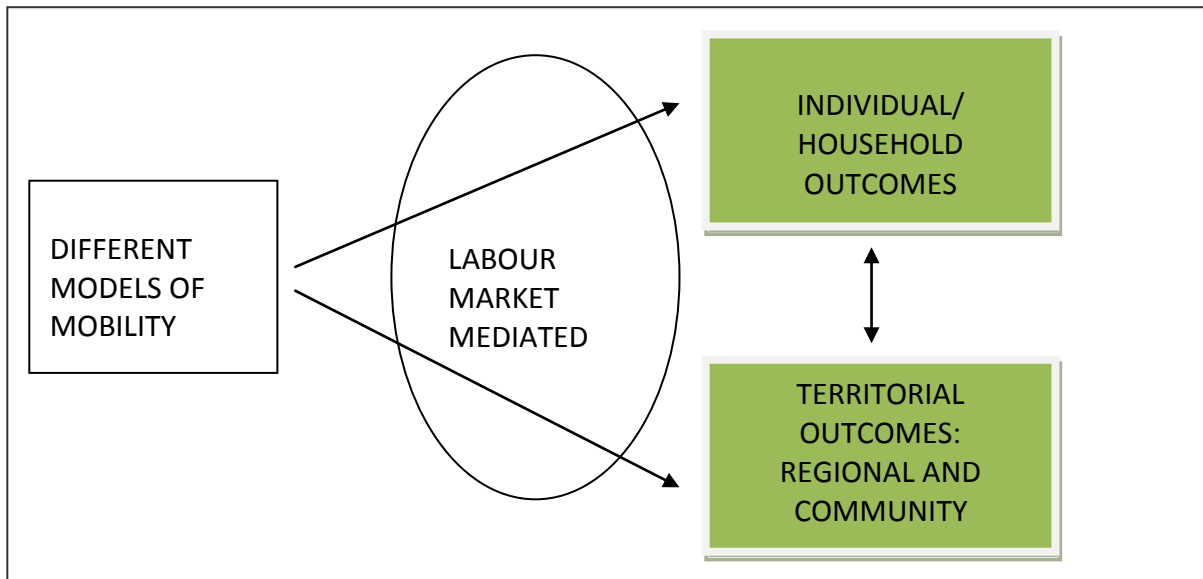
Circular and return migration. The growth in migration in recent decades has been accompanied by an increasing diversity of migration forms. Diverse forms of mobility have replaced the long-duration migration of the age of mass migration. The simplistic notion of migration followed by return has been replaced by an understanding of migration as being part of a longer process of mobility which may well combine international with internal moves (King and Skeldon 2010), as well as shorter-term mobilities and a sequence of moves. Instead, there is more temporary migration and circular migration. King (2012) captures some of this in his six-fold typology of migration, two dimensions of which are particularly useful here. First, there is a temporal classification, which includes permanent, temporary and circulation migration, with the last being subdivided into seasonal and shuttle migration. The second dimension concerns the sequencing of migration and recognises the following types: repeat migration, chain migration, onward or serial migration and transnationalism. Faist et al. (2013: 28) have elaborated on the notion of transnationalism, understood as transnational practices to be observed in four 'spheres of transnational life': familial, socio-cultural, economic and political. Of particular relevance for YMOBILITY is how transnationalism challenges a traditional methodological nationalism, and questions how issues such as integration, and citizenship should be understood. Is there a need to rethink the nature of European citizenship in this context?

Both the temporality and the sequencing of migration influence how youth mobility mediates the transition from education or unemployment to employment, as well as the broader lifecourse transition (Corijn and Klijzing 2001) from youth to independent adulthood. The decision to return is particularly important. Dustmann and Weiss (2007) provide a coherent human capital explanation of why migrants may return, drawing on the relative weights attached to earnings related to acquired skills, and costs of living, in different places. Beyond these economic considerations, return migration is also informed by concerns about security, the education of children, health, cultural detachment and social inclusion (Cassarino 2004; King 1986), and migrants' feelings of homesickness or alienation (Gmelch 1980). Moreover, return may not be the end of the migration sequence but a precursor of circular, serial or onward migration. Not least, this is because previous migration experience tends to have enhanced the willingness to engage in future migration, based on the acquisition of confidence, tacit knowledge and resources such as networks (Baláž et al. 2004). The FP7 project TEMPER has emphasised the importance of understanding the complex reasons that underlie return and circular migration, if initiatives to promote these are to be effective. YMOBILITY will focus on analysing the migration histories not only of migrants and returned migrants, but also of those who have participated, or intend to participate, in circular or serial migration.

### **2.1.2.3 Youth mobility: the regional scale**

International (youth) migration has a significant impact not only on individuals but also on regions of origin and destination, both through aggregate redistributions of human capital, and – in the longer term – through demographic and economic reproduction. This poses the question of how the returns and costs of international youth mobility are distributed across individuals, households, communities and regions. It is an issue, which has implications for the returns to

migrants from their lifelong skills and competencies in different regions and future migration from or to these regions, as well as for non-migrants (Figure 2).



**Figure 2: Individual/household and territorial outcomes of youth mobility**

Based on Solow's (1956) pioneering work on growth models, regional analysts have focused on the relationship between the stock of human capital and new technology (Armstrong and Taylor 2000). In this view, international migration adds to the technical stocks in the destination region, and enhances the use made of capital and technology, while reducing growth in the region of origin because reductions in human capital impact negatively on productivity (Beine et al. 2001). Another theoretical approach is based on Lewis' (1954) growth model: accumulation in the capitalist sector in the advanced economic core regions is sustained by transfers of seemingly unlimited supplies of labour from a subsistence sector in the regions of origin. When these supplies are exhausted, wages and profits are determined by marginal productivities in an integrated economy (Kirkpatrick and Barrientos 2004), and there is movement to equilibrium in factor prices, including the wages available to migrants in the two sectors across the two regional economies. Such neo-classical approaches still inform policy thinking, including a recent UNU study of regional uneven development (see Kanbur and Venables 2007) and Sutherland (2013) on the post-2015 migration debate, which sees migration as a solution to development in less-developed regions.

There are two fundamental problems with this neo-classical model. First, it neglects externalities and cumulative causation (Myrdal 1957), and the distribution of the education and socialisation costs of labour between the regions of origin and distribution (Beine et al. 2001). Earlier work by Seers et al. (1979) on core-periphery structures in the European political economy of uneven development sees the return of emigration to peripheral countries as a vindication of the durability of this model. More recent research (Beine et al. 2001) still tends to conclude that the overall impacts for sending regions are negative, even when remittances, networks etc. are taken into account.

Secondly, and of greater relevance for this project, the neo-classical models fail to capture the complexity of migrant behaviour at the regional level. The key issues are whether migrants stay or return, what lifelong skills and competences they acquire while working abroad, and how they can valorise these either abroad or on returning to their home country. This is captured in a series of conceptualisations of human capital, in terms of the distribution of 'brain capacity'. The original

argument that migration represented a form of brain drain (Bhagwati and Hamada 1974) has subsequently been challenged by alternative propositions about aggregate human capital outcomes, including brain waste, brain circulation and brain training (Lowell and Findlay 2002). Idealised key characteristics are summarised in Table 1.

**Table 1 Aggregate idealised human capital (HC) outcomes of youth mobility**

HUMAN CAPITAL REDISTRIBUTION	SKILLS ACQUIRED ABROAD	IMPACT ON HC STOCKS: DESTINATION	IMPACT ON HC STOCKS: ORIGIN
Brain Drain	Not specified	Positive	Negative
Brain Waste	None	None	Negative
Brain Circulation	Positive	Positive	Positive
Brain Training	Positive	Positive	Positive, if return

These aggregate human capital outcomes are highly idealised, and only represent ways of considering broad implications. For example, they disregard the question of whether the example of emigration to higher returns abroad stimulates further investment in education in the country of origin, thereby enriching the stock of human capital – the so-called ‘beneficial brain drain’. The actual implications of migration on human capital stocks are highly contingent, and depend on duration of migration, occupational mobility and the social recognition of skills etc. (Beine et al. 2001). More recent research has emphasised that return migration is not a precondition for countries of origin to benefit from emigration if they are able to utilise the knowledge of the diaspora at a distance (Saxenian 2002). Although the debate is mostly cast in economic terms, Faist (2008) also identifies the importance of ‘social remittances’ from the diaspora, in the form of ‘good’ ideas and practices in relation to democracy, gender equality etc.

The outcomes also depend on when they return, and the motives for return (King 1986). Furthermore, the *regional* impacts are dependent on *where* they return to: whether they return to their regions of origin, including peripheral regions, or whether there is ‘urban drift’ on return, and they relocate to core regions which provide better opportunities to utilise their enhanced human capital: both incomes and employment prospects are strongly regionally contingent (Klagge and Klein-Hitpaß 2010; Martin and Radu 2012). Looking beyond skills and competences, there are also issues relating to whether migrants remit part of their savings to the country or region of origin, and how these are distributed between investment and consumption (Beine et al. 2001). Remittance transfers can have major impacts at the regional scale, especially in remoter regions (León-Ledesma and Piracha 2004).

#### **2.1.2.4 Policy and policy research**

There are four main foci for policy interventions: a) reducing the need for emigration; b) maximising the opportunities for migrants in the destination countries; c) attracting returned migrants, and utilising their lifelong skills and competences; and d) maximising the utilisation of the lifelong skills and competences (and capital) of the diaspora (Rudolph 2003; Williams and Baláz 2008). For citizens of EU member-states, migration policies are largely facilitative, as are associated policies such as the mutual recognition of qualifications, or the ending of double taxation. However, migrants from newer member-states are subject to transition phases, and temporary residents and their families from outside the EU are subject to variable national controls (Geddes 2000). However, as Morris (2002: 410) emphasises, migration policy constitutes a challenge for national states in terms of the ‘management of contradiction’, whereby they seek to balance the different interests of employers, sections of the labour force and the (young) migrants themselves. Hence, barriers to mobility continue to exist in the form of differential educational fees between member-states, qualifying periods for accessing housing and welfare

benefits, and language and cultural barriers. Consequently, employment and immigration regulations intersect in an often 'contradictory and adhococratic' manner (Guiraudon 2003).

New technologies and organisational innovations both encourage and discourage outmigration from less-developed regions of the EU to developed ones. Development of (i) new transport modes (low-costs airlines and high-speed trains) and (ii) opening labour markets by EU15 states in fact broadened labour markets for many new member-countries. Technological and organisational innovation provides a high-speed channel for migration. Such migration usually starts as circular, but turns into permanent emigration later. Some kinds of employment do not require a permanent on-the-job presence. IT specialists, for example, may work from home and then travel to meet their customers, wherever in the EU territory they are, on occasions. There also are some medium-skilled jobs with these characteristics, such as those of care providers. These are examples of circular migration, based on teleworking and commuting that, if enhanced by policies, would balance the positive aspects of youth mobility with the needs of marginalised areas.

Youth mobility lies at the meeting point of four main policy arenas. First, there are national labour-market policies, which focus on domestic development, future needs and strategic responses to those needs, especially in terms of education and training, but also in terms of support to enter the labour market. Earning prospects in low-skilled occupations abroad may trigger early school leaving, especially in regions with high youth unemployment. Detailed understanding of youth mobility would help to provide evidence for better-informed policies to reach the Europe 2020 target to reduce the early school-leaving rate from the current 14% to below 10% (Europe 2020), and more generally to influence youth mobility. Secondly, there are policies to facilitate student and researcher mobility in the European (Bologna) frame, and different national conditions such as funding opportunities, which create regional inequalities. There have been considerable European initiatives to foster highly skilled migration, in the form of both student exchanges such as ERASMUS and SOCRATES (Staniscia 2012) and researcher mobility within the EU scientific area (Ackers 2005). However, major questions surround the extent to which mobile scientists and students return to their countries of origin (Zweig 2006) or stay on in their destinations. Effective policy intervention is required to ensure such mobility reduces rather than reinforces regional inequalities. Thirdly, there have also been broader EU initiatives such as Youth on the Move (EC 2010a), the Youth Employment Package, and the Youth Guarantee. These are complemented by a range of national and regional initiatives (see Cairns 2010). The FP7 project YOUTHUNEMPLOYMENT has addressed youth unemployment measures in general but paid little attention to youth mobility. Amongst national migration policies, there have also been a number of attempts to attract return migration, as, for example, Spain's Bonus programme, but these have had mixed outcomes (Martin 2009). Fourthly, youth mobility – and especially whether return is to more dynamic or more peripheral regions in the countries of origin – is interlinked with issues of regional development and regional development policies.

In general, there remains a considerable gap in our understanding of how migration policies interact with social, cultural, political, and economic development, especially in terms of influencing youth mobility from, and return to, the countries of origin within the EU (Koser 2012).

One of the key actions of the Lisbon Strategy was 'the removal of obstacles to physical, labour and academic mobility' (CEC 2005). This was an ambitious aim, strongly linked to solving regional/national labour-market imbalances. The Community had the scope to create a pan-European labour market where 'occupational and geographic mobility' were facilitated. Particular emphasis was placed on integrating the youth component in this open market, through policies directed at 'human capital, education, vocational training'. Since the Lisbon Strategy, the mobility policies for youth were, in the EC vision, strictly linked to (and in a way were designed to enhance)



European labour-market dynamics. This orientation is confirmed by the Europe 2020 Strategy where the flagship initiative Youth on the Move (EC 2010a) is recalled 'to enhance the performance of education systems and to facilitate the entry of young people to the labour market' (EC 2010b). The Commission again highlighted the link between youth mobility for education and training, the reduction of unemployment and the promotion of entrepreneurship. The year before, 2009, a Green Paper entitled *Promoting the Learning Mobility of Young People* (CEC 2009) had recognised mobility as an important means whereby young people could acquire new skills and competences to improve their 'employability' and their 'personal development' (CEC 2009). This was subsequently supported by initiatives complementary to Youth on the Move, such as the 'Agenda for New Skills and Jobs' (EC 2010c) and 'Your First EURES Job'. The first of these considered the removal of regulatory and non-regulatory obstacles to transnational mobility as a way to promote employment; the second one created offices in several European countries to improve the matching of demand and supply in the European labour market.

All the above-mentioned recommendations, initiatives and strategies have focused their attention on the European young citizen, considered in terms of his/her individuality. They have not paid attention to the regions and territories that constitute the destinations and places of return. This is in line with the spirit and aim of the Lisbon Strategy, which prioritised the axis of the Single Market over the Cohesion Policy. The Cohesion Policy, launched in 1988, had the aim of integrating the existing European funds for territorial development (EAGGF, EDF, ESF) in order to reduce European inequalities (Jouen 2014). It was intended to promote growth in less-favoured regions and in disadvantaged communities in marginal areas, and implicitly assumed very low geographical mobility in the EU (Jouen 2014). The contradictions between cohesion and mobility policies are persistent and fundamental to the future vision of youth mobility.

Significant decreases in regional disparities in employment/unemployment rates are unlikely to be achieved in just a few years. Brain drain remains a serious issue for the marginal regions, especially in the new member-states. New policies need to be proposed in order to decrease emigration from new member-countries and to slow down the depopulation of less-developed regions. Freedom of travel is one of the basic freedoms in the European Union and no measure should be taken to limit intra-European flows. Measures, however, should be taken to decrease levels of brain drain and emigration. Labour migration eases pressures on labour markets in marginal regions – especially in the new member-countries – but, at the same time, it contributes to brain drain. Home countries provide for the costly education of high-skilled workers, but migrant host countries reap the benefits.

This project will bring together, and link, analyses of both the individual and the regional levels and will take into account the consequences of youth mobility for both the EU young citizens and the EU regions, by trying to propose innovative policies for the harmonisation of the right of free mobility and the need for regional development.

### 2.1.3 Ambition

YMOBILITY is innovative in its objectives, conceptualisation and research strategy, both in terms of its comprehensive approach and of its utilisation of original concepts and research methods.

#### 2.1.3.1 Originality of objectives

YMOBILITY has a number of ambitious objectives, which mark a significant advance in the understanding of youth mobility.

1. *To establish the extent to which individuals consider international mobility to be a key strategy for mediating key life course transitions: a) school-to-work; b) unemployed-to-employed; and c) youth to independent or 'full' adulthood.* YMOBILITY will make an original contribution by focusing not only on the specific school and employment transitions, but also on the more general transition from youth to independent adulthood: the latter has significant implications for partnership and family formation, and fertility, as well as for social inclusion and future migration intentions. The role of mobility will be contextualised by considering the structural and individual determinants of who does versus who does not migrate. The project will bring an original approach to this by commissioning and analysing large-scale survey data of both migrants and non-migrants in 9 countries, as well as the spectrum of the 16–35 age group which encompasses individuals in both the youth and independent adulthood life course stages.
2. *To provide a comprehensive overview and quantification the main types of youth mobility in the EU, focusing particularly on differences between and within three main categories: students, higher-skilled and less-skilled workers. How do they differ in terms of: a) their frequency, duration and geography; b) their motivations; c) their socio-economic characteristics; and d) their willingness to take risks?* Existing research has been highly fragmented, focusing on particular pathways and countries, on the destination or the return region, and on the economic versus non-economic consequences. YMOBILITY will be the first to provide a comparative overview of the major youth mobility pathways for students, skilled and 'unskilled' workers, and the characteristics of these pathways in terms of temporalities and motivations.
3. *To identify the outcomes of youth mobility for individuals in terms of: a) their lifelong portfolio of skills and competences; b) their social welfare and health; c) the formation of more European and/or cosmopolitan identities; and d) the transition from youth to 'full adulthood'.* YMOBILITY will provide the first comprehensive comparative, quantitative and qualitative study of the economic, social and cultural outcomes of youth mobility. The concept of the 'lifelong portfolio of skills and competences' provides an innovative focus on the full range of technical skills and competences in areas such as communication and learning.
4. *To analyse the short- and long-term regional implications of youth mobility for both sending and destination regions – that is, taking into account not only emigration, but also the extent and the destinations of return migration and circulation, and social remittances.* Most research focuses on either the individual or the regional level, but YMOBILITY is original in appraising the costs and returns to migration at both scales. The key focus will be on how different types of youth mobility contribute to stocks of lifelong skills and competences in different regions; it will pay particular attention to the extent and nature of return migration, including the significance of 'urban drift' amongst returnees.
5. *To understand, and provide typologies of, how individuals would respond to contrasting future migration scenarios, reflecting changing structural and personal circumstances, and the*

*resulting future regional implications..* Most existing research on future migration intentions is based on survey data, which has limitations in dealing with complex decision-making under conditions of uncertainty. YMOBILITY will make a highly original contribution by addressing future migration intentions (amongst those who have and those who have not previously migrated) by using experimental research methods, including the production of original and transferable software for use by other researchers, scenario building and evaluation.

6. *To provide evidence-based recommendations for migration and flanking policies that will help to maximise the opportunities, and minimise the costs, associated with youth mobility for individuals, labour markets and regions.* YMOBILITY will combine a review of existing policy initiatives, in both destination and origin regions, with a number of original regional case studies that will involve a range of stakeholders, especially young people.

### **2.1.3.2 Conceptual contribution**

YMOBILITY will make an original conceptual contribution to understanding youth mobility in Europe both by introducing new concepts and by linking existing concepts.

First, YMOBILITY will refresh the debate on the contribution of mobility to life course transitions by setting research on specific education and workplace transitions (from education to labour market, from unemployment to employment) in the context of the broader life course transition from youth to independent adulthood (Blossfeldt et al. 2005). Moreover the study will focus on the 2008+ crises, when youth mobility assumed an unparalleled importance in the context of high, but uneven, levels of European unemployment and increasingly precarious employment.

Second, while there has been considerable research on particular types and aspects of youth mobility (Cave 2010), this is deeply fragmented by focus and by discipline with, for example, economists focusing on human capital, and sociologists on identities. YMOBILITY will bring an interdisciplinary approach to understanding youth mobility, and the focal point will be the identification, theorisation and testing of a typology of youth mobility (also including non-migrants). The typology will incorporate motivations, socio-demographic characteristics, migration channels, skills and competences, migrant personality, welfare/quality of life, identities, duration, and a nuanced understanding of future migration intentions, including the strength of commitment to mobility.

Third, responding to the narrow focus of human capital on technical skills, YMOBILITY will analyse the original concept of lifelong skills and competences, which builds on the work of Williams and Baláž (2005) in introducing the 'competences literature' (Evans 2002) to migration studies. The five main competences are: practical, attitudinal and value-based, learning, methodological (e.g. handling multiple tasks), and social and interpersonal. This concept is innovative in combining skills (and formal qualifications) and competences, and analysing them in terms of the development of a lifelong portfolio. In short, YMOBILITY emphasises the need to understand the evolution of this portfolio across time, and its utilisation at different stages of the life course. Competences acquired as an emigrant, for example, may only be fully valorised in the form of career enhancement and incomes after return to the origin country. This will be linked to an understanding of the cultural capital attached to the place-specific acquisition of skills and competences (Kelly and Lusi 2006). The focus on competences, rather than on qualifications, means that all migrants are recognised as knowledgeable; this avoids the simplistic dichotomy between skilled and 'unskilled' migrants (Williams and Baláž 2008).

Fourth, YMOBILITY will examine employability in a context of changing labour-market conditions, especially the relative shift to discontinuous careers and increased uncertainty (Opengart and



Short 2002). It will examine the extent to which young migrants are unemployed, under-employed or employed, and the types of employment contract they are offered. This is fundamentally determined by institutional and structural differences in national labour markets (Williams 2007), as well as by the types of youth mobility pathway. The project will analyse the determinants of whether youth mobility leads to labour market entrapment in poor quality and precarious jobs, or to a series of stepping-stones for career development (Williams 1998). It will apply to youth mobility Gold and Fraser's (2002) ideas about careers becoming fragmented and non-linear.

Fifth, while the main focus of the research is on the portfolio of lifelong skills and competences, YMOBILITY will also analyse broader welfare/quality-of-life and identity issues. There is surprisingly little systematic research (especially of a quantitative nature) on the non-economic aspects of migrants' quality of life (Davies et al. 2001), yet many of these – including housing, partnerships and family life, and security – are strongly related to the transition from youth to independent or 'full' adulthood. They also influence the acquisition of skills and competences, as well as shape future migration intentions. Experimental research by Baláž et al. (2014) in Slovakia has identified the relative weights which potential migrants attached to the different economic and non-economic quality-of-life factors, and this project provides an opportunity to build on and develop these ideas in a large, multi-state study. It will also seek to incorporate recent work by Gallup on the multi-dimensional nature of well being, which identified the essential components as being career well being, personal economics, community well-being, social well-being, and physical and psychological well-being (IOM 2013).

Sixth, YMOBILITY will be comprehensive not only in focusing on interactions between international mobility, life course, economic factors (labour market, human capital etc.) and regional development, but also in bringing into the analysis an important affective dimension – identity and belonging. The in-depth interviews with migrants and returnees will unveil the more subtle and situational aspects of 'identities on the move' and will examine these at various scales, with particular reference to whether such migrations/mobilities take on a European identity perspective.

Seventh, YMOBILITY will bring new conceptual insights to the study of future migration intentions by recognising the complexity of decision-making. Neo-classical economic theory acknowledges that information acquisition is not cost-free, and that individuals will therefore only collect information until its marginal utility exceeds the cost (Stigler 1961). However, this ignores the fact that individuals face both imperfect information and information overload when making decisions, and that they therefore need to screen information and to select it by using filtering criteria (Stiglitz 2000). Baláž et al. (2014, online) have demonstrated how these concepts can be applied to migrant decision-making, and this project will build on their pioneering work to develop enhanced models for predicting future migration intentions in response to changing scenario conditions.

Eighth, YMOBILITY will advance understanding of the regional implications of youth mobility by linking its typology of youth mobility to different conceptualisations of net aggregate human capital outcomes – that is, brain drain etc. This will provide a framework for understanding some of the complexities of how different types of mobility within Europe (King 2002) shape the transfer and acquisition of skills and competences, and how these are regionally distributed. The regional distribution will take into account the double return-migration decision of whether to return and which region to return to – rather than assuming that migrants return to their region of origin (King 1986). This will complement the research undertaken using growth models (Beine et al. 2001), which necessarily have simplifying assumptions about types of migration and the lifelong acquisition of human capital. Above all, it allows the impact of migration on regional development to be understood as highly contingent on the types of youth mobility.

### 2.1.3.3 Innovative research methods

YMOBILITY will utilise a comprehensive, five-stage research strategy involving quantitative, qualitative and experimental and case-study methods. Many aspects of the research design are new to migration research, as is their overall integration.

#### Stage 1: Secondary data and the selection of country case studies

As a starting point the project will collate and analyse existing EU, OECD and national data on youth mobility to provide a broad overview of the main features of youth migration. Both migration and general data sources will be analysed: for example, the EU Labour Market Survey, the Household Survey, Eurobarometer, Eurofound's 2011–12 *Third European Quality of Life Survey*, the DG EAC (2013) Survey of the long-term career development of Marie Curie researchers under FP4–FP7. However, these sources can only provide limited understanding as they mostly do not differentiate between the different types of mobility, tend to exclude shorter-term mobility, and lack insights into the lifelong portfolio of skills and competences, as well as the broader aspects of transition from youth to independent adulthood. Given these limitations, it is proposed to undertake an extensive data-collection programme in 9 countries, which have been selected to represent contrasting economic and migration environments. All countries are, of course, countries of both migration origin and destination, but these have been selected to represent three main groups in order to facilitate greater analytical depth in the analysis of key flows (Table 2). In the case of Germany there is a significant flow to the UK, but Mueller's (2013) PhD at US has recently studied this using qualitative methods, so that data are already available on this important migration.

- High income, destination: Sweden, UK
- High income, destination and origin: Ireland, Italy, Germany, Spain (medium high)
- Medium income, origin: Latvia, Romania, Slovakia

**Table 2 Principle migration flows to be analysed using primary data**

ORIGIN	DESTINATION					Spain
	Germany	Sweden	UK	Ireland	Italy	
Latvia	√	√	√	√		
Romania	√	√	√	√	√	√
Slovakia	√		√	√		
Spain	√		√		√	
Ireland			√			
Italy	√		√			√
Germany			√			

#### Stage 2: Large panel quantitative surveys

Large panel surveys will be undertaken in each of the 9 country case studies by international agency, GfK. Initially we explored quota sampling, in which we would target specific minimum samples of migrants and returned migrants in each country. Although there are reasonably reliant data available for in-migrants in all 9 countries, there are very few reliable statistics on either shorter-term but very important youth mobility (minimum of 6 months) or returned migrants. YMOBILITY sought to overcome this by using the national teams' estimates of returned migrants and shorter-term migrants in each country based on a variety of sources; these used variable sources and most were highly qualified. Another consideration was that panel surveys generally target the total population, and cannot economically produce samples only of migrants. This in

itself was not problematic as we aimed to obtain samples of both migrants and non-migrants. Finally, the costs of obtaining panel survey data in particular countries are highly variable, and tend to be lower in those with larger populations. It was therefore decided to aim for a minimum sample size of 2,000 in each country; this was increased to 5,000 in the four largest countries, reflecting both the complexity of their populations and the practicalities of panel survey costs. Overall, a total sample of 30,000 will be obtained, and it is estimated that there will be at least 4,200 respondents with intra-EU migration experience in the 9 countries, with a minimum of 200 in each. These estimates are conservative because they are based on the available overall immigration statistics, whereas the propensity for youth immigration is considerably higher than for the population average. The minimum sample and sub-sample sizes will allow comprehensive statistical analyses such as logistic regression to be conducted at both the individual country level and the aggregate level for all 9 countries.

The online surveys will be undertaken by a single international agency, GfK, in order to maximise comparability and quality control. GfK has confirmed that the proposed sample sizes are feasible for the selected countries. Drawing on their knowledge of the socio-demographic (age, gender, education) characteristics of their large established panels, and national census data for youth populations, broadly representative samples will be obtained of the total population aged 16–35 in each country. The Irish team UCC have developed expertise in weighting migration samples (<http://emigre.ucc.ie>). The online sample will include both the non-mobile and those with mobility experiences (currently abroad, or returned migrants). International mobility is defined as a person having lived or worked abroad for more than 6 months: this recognises the importance of shorter-term mobilities, contrary to the traditional definition of migration as being of longer than one year's duration. In Slovakia, for example, an estimated 200–220 would have migration experience in a sample of 2,000. In the unlikely event that it is necessary, purposive top-up sampling will be used to ensure that at least 200 individuals in each sample have international migration experience. This will ensure that there are statistically valid sub-samples of both migrants and returned migrants in the total samples.

**Table 3 Target sample survey sizes\***

Sample size			
Germany	5,000	Slovakia	2,000
Ireland	2,000	Spain	5,000
Italy	5,000	Sweden	2,000
Latvia	2,000	UK	5,000
Romania	2,000	Total	30,000

\* Minimum of 200 individuals with intra-EU mobility experience per country, but likely to be 25–50% higher, give the greater propensity to migrate of the 16–25 age group.

Both migrants and non-migrants are included for three reasons. First the importance of comparing the characteristics of the two groups, in order to deepen understanding of youth mobility. Secondly, to analyse not only migration but also future migration intentions amongst both those who have and those who have not previously been migrants. Thirdly, the entire 16–35 age group is the target population in order to allow comparisons between the different stages of the youth-to-independent-adulthood transition: pre-transition, at critical moments such as leaving education or establishing a partnership, and post-transition. The survey questionnaire will cover: previous migration, education and mobility; socio-demographic characteristics; migration personality, including risk tolerance; quality-of-life and identity changes; and future migration partnership and family-formation intentions.

The analysis will identify the determinants of the following:

- a) Who migrates and who does not migrate.
- b) Who does and who does not intend to migrate in the future, and how this is influenced by their previous migration experience (non-migrants versus migrants, versus returned migrants).
- c) What the preferred migration channels amongst migrants and future migrants are.
- d) What the different migration experiences are of students and more- and less-skilled labour migrants.
- e) What skills and employment are acquired by working in the home country versus as a migrant.
- e) What the differences are in quality of life and identities between migrants, intending migrants and non-migrants.
- g) What their current and/or future housing and partnership/family formation plans are.

Each country will analyse its national dataset, in conjunction with secondary and qualitative data, while SURREY will provide a comparative overall analysis of the entire dataset. The following indicate the types of analytical method that will be used in a) to g).

a) Who migrates and who does not migrate: the analysis will be conducted at both the aggregate level (for all 9 countries) and the individual country level. The hierarchical sampling scheme (individual and country) introduces multilevel dependency or correlation among the observations, with implications for model parameter estimates and statistical inferences. For such hierarchical data, the traditional single-level logistic regression is problematic (Khan and Shaw 2011). Therefore, for the aggregate EU–regional-level analysis, multilevel binominal logistic regression is considered the most appropriate method, as it allows the examination of both between-group (i.e., between countries) and within-group variability (Khan and Shaw 2011). In the multilevel logistic regression, the binary variable migration versus non-migration will be the dependent variable, and the potential explanatory independent factors will be demographics, personality measures, motivations, risk perception and other country-specific factors. At the country level, normal (single-level) binominal logistic regression will be applied. More advanced econometric methods for choice-based samples, such as Lancaster and Imbens' (1996) generalised method of moments estimator, and Manski and McFadden's (1981) conditional maximum-likelihood estimator, may be used depending on the nature of the actual samples collected. Discriminant analysis, clustering analysis and ANOVA will be used to provide further insights and to confirm the prediction power of the identified significant determinants of migration.

b) Who does and who does not intend to migrate in the future. Since intention will be measured on a Likert scale, stepwise multivariate regression will be employed to identify the key determinants and their strength of influence. In addition, clustering analysis will be used to segment the respondents with regard to their future intention to migrate. Cluster profiling will be performed, with ANOVA being exercised to provide statistical evidence on cluster distinctions.

c) Comparisons between two or more groups of respondents. Depending on the design of the dependent variables (nominal or scale), parametric tests (e.g., independent t-test and ANOVA) and non-parametric tests (e.g., chi-square test) will be considered to detect statistical significances between various groups of respondents. Country and regional levels of difference will be analysed and contrasted for each of these questions. In addition, various descriptive statistics will be provided to supplement the above statistical analysis.

Additional analyses will be undertaken in each country. For example, the Romanian team (Sandu 2014) has experience in the innovative utilisation of multinomial regression models which combine secondary and panel data (Marin and Radu 2012), and which could be utilised for analysing the structural and individual determinants of typologies of migration. However, these decisions cannot be finalised until the actual sample characteristics are known.

### Stage 3: In-depth interviews with migrants and non-migrants

Quantitative approaches provide an excellent overview of migration and migration intentions but are limited in providing in-depth analyses of motivations, learning experiences, identities and social inclusion, and the lived experiences of life course transitions. They will therefore be supplemented by in-depth interviews undertaken with both migrants in the destination countries and returned migrants from these specific destinations to the countries of origin. At this stage we focus in detail on particular intra-EU flows as described in Table 2. In-migrants will be interviewed in core regions in the destinations. The samples of returnees will be interviewed in both core regions and peripheral regions in the countries of origin, to capture the contrasting economic opportunities available in these labour markets. The distribution of samples and the target numbers of interviews are shown in Table 4. Each flow – for example, Latvia to Sweden – will include 40 interviewees: 20 Latvian migrants in Sweden and 20 returned migrants from Sweden who are now back in Latvia. Each sample will be stratified to ensure that students, labour migrants with tertiary education, and labour migrants with only secondary education are included in approximately equal numbers. Education rather than skilled versus unskilled is used as the stratification criterion, in recognition that many migrants initially or permanently work in jobs with skill requirements below their previous experience or educational qualifications.

**Table 4 In-depth interviews by country and region**

	IN-MIGRANT	RETURNED MIGRANTS IN CORE REGION	RETURNED MIGRANTS IN PERIPHERAL REGION	TOTAL
Germany	100 NRW, Berlin	10 Rheinland Pfalz (Rhineland-Palatinate)	10 Mecklenburg Vorpommern (Mecklenburg- Hither Pomerania)	120
Ireland	60 Dublin	10 Dublin	10 South-West	80
Italy	40 Rome	20 Rome	20 Apennines	80
Latvia		40 Riga	40 East/North	80
Romania		60 Bucharest/West	60 North-East	120
Slovakia		30 Bratislava	30 Western	60
Spain	40 Madrid	40 Madrid	40 Andalucía	120
Sweden	40 Malmö/Lund			40
UK	140 London			140
TOTAL	420	220	200	840

Note: Migrants: 20 from each sending country. Returned migrants: 20 from each sending country. See Table 2 for details of the flows to be studied. For Germans in the UK, broadly similar interviews undertaken in Mueller's (2013) PhD at US will be available.

The interviews will be undertaken face-to-face or, where necessary, by Skype, in the interviewees' language of choice, and are anticipated to last one hour on average. They will be transcribed and analysed in the languages specific to the countries and migrant groups; those in the destination

countries will be translated into the working language of the researchers in those countries. Common software (e.g. NVIVO) will be used to ensure consistency.

The purpose of the interviews is to add nuance, depth and detail to the survey data. But the interviews will also constitute an important research resource in their own right, providing realms of rich personal narrative, which cannot be sourced from surveys. Deploying the appropriate software, the corpus of interview transcripts will be subject to thematic and discourse analyses to tease out themes where narrative consistency is evident, both across and within national contexts. Beyond the contexts of sending and receiving countries, other axes of analysis will focus on regional contrasts within countries, students vs. working migrants of different skill/education levels, gender, life course stage etc. Specific attention will be paid to discourses of (dis)identification and how these change with migration.

#### Stage 4: Experimental research methods on decision-making about future migration

Highly innovative experimental research methods will be used to understand the complexities involved in making decisions about future migration in the face of uncertainty and incomplete information or information overload. Participants will be asked to undertake a number of decision-making exercises in relation to future migration scenarios. The scenarios will be designed on the basis of interviews with national and regional key informants. In the experimental research, critical conditions will be controlled for at different stages (e.g. unemployment, wage differentials, family formation intentions) to isolate and analyse their influence on migration intentions. This will provide a far deeper analysis than is possible by using conventional survey methods. Experimental research is typically time-consuming, with each individual experiment requiring 2–3 hours of time, so that samples are typically relatively modest in most research. However, in this instance, a sample of 30–50 will be obtained in each country, stratified so as to include both students and those in employment (with both secondary and tertiary education).

Mouselab-type software (Payne et al. 1993), which is a tracing tool used for monitoring information acquisition and processing by decision-makers, will be used in the experiment. This will be specifically commissioned from the specialist software designer, ProximalIT. The information is presented on screen in information cells in a matrix. The cells are covered by an overlay, but can be opened by moving the mouse pointer across the information cell. During the time the cursor is in the cell, information can be acquired. Analysis of the experimental data will provide an understanding of evaluation strategies, the heuristics used in making decisions, the importance of learning procedures and the weights attached to the different features of migrant destination countries under different conditions, both when evaluating different scenarios and when making decisions.

The Institute for Forecasting has a leading expert – Baláž – in the application of experimental methods in migration research. Baláž et al. (2014) will design the experiment. The software will be a web-based system that runs in a web browser, and can be translated into the different partner languages. Explanatory videos will be produced and shown to participants before using the software. In the first stage, a workshop will be held at which Baláž will explain how to use the software to representatives from each partner. In the second stage, the target groups will be asked to perform the experiment either as groups in university classrooms or individually, under the supervision of a researcher.

#### Stage 5: Policy analysis and engagement

The project will initially provide an overview of EU and national initiatives and policies that influence youth mobility, both directly and indirectly. This will draw on the findings of several FP7 projects, including STYLE (policies to get young people into work), E\*CARE (enhancing researcher mobility), TANDEM (facilitating dual careers in the context of mobility) and LOCALYOUTH (role of



civil society in youth socialisation). Both migration and flanking policies will be analysed: migration, employment regulations, education, welfare provision, housing and fiscal policies. We will also consider how technological/organisational innovations such as the operations of low-cost airlines and the Internet impact on youth mobility, and how policy and regulatory changes could engage with these. These national-scale analyses will provide an understanding of how different policies intersect to influence international youth mobility, with significant implications both for key individual transitions and for regional trajectories.

The national analyses will also frame 2 local/regional case studies in each country of how policies and initiatives influence the potential benefits that can be derived from migration and return migration. The case studies will examine how EU, national and local/regional initiatives and policies intersect to shape the utilisation of the lifelong skills and competences of migrants and returned migrants. They will consider both the intended and the unintended outcomes of such regulations, policies and initiatives by the public, private and voluntary sectors, and which combinations of policies maximise employability and employment, and the welfare of individuals, while also ensuring that costs are minimised and returns are maximised at the regional level.

The case studies will also aim to assess the different impacts of youth mobility on the core and peripheral regions and the way mobility is enhanced or reduced by cohesion policies. The hypothesis that youth mobility from peripheral to core areas weakens the former if circular or return migration does not occur will be tested. At the same time, the possibility of compensating for the loss of human capital suffered by the peripheral territories with *ad hoc* innovative policies will be evaluated, including measures to attract, and re-integrate, returnees. The potential for innovative micro-financing schemes for self-employment and business start-ups will also be considered.

The case studies will be based on the analysis of documents and websites, the quantitative and qualitative analyses in stages 1–4, and interviews/focus groups with key informants drawn from the range of key stakeholders, including migrant associations, public agencies dealing with regional development, employment, training and welfare, employers and housing bodies. Young people, both migrants and non-migrants, will also be engaged in discussions of policies and initiatives regarding their quality of life and future prospects in specific regions and localities. Case studies will incorporate elements of action research and young people will act as experts who can influence decision-making regarding youth mobility and flanking policies. This strategy will enhance community-engaged research. It will also enhance the sustainability of the research results, especially regarding the recommendations for policy initiatives to maximise the positive outcomes for specific communities. Young people and other stakeholders involved in the research will be able to exert their voice to contribute to bringing about changes in policies related to youth mobility. Therefore the research and dissemination processes will coalesce, and will yield even more strongly evidence-based recommendations (McKenna 2013).

These analyses are designed to strengthen the evidence-based nature of policies relating to youth mobility. Additionally, all project data will be made openly available at the end of project, in line with the specifications of Open Research Data in Horizon 2020. A Data Management Plan will be produced. This will provide access to not only the large quantitative and qualitative datasets for the 9 countries, but also the software and data from our highly innovative experimental research methods.

## 2.2 Impact

### 2.2.1 Expected impacts

YMOBILITY, in tackling the topic of youth mobility from both the individual and regional perspectives, aim to impact on EU and national policies concerning freedom of mobility, labour markets and regional development.

Topic: <b>YOUNG-2-2014: Youth mobility: opportunities, impacts, policies – expected impacts</b>	<b>YMOBILITY project</b>
To provide a comprehensive analysis of the circumstances accompanying the mobility of young people in Europe,	Through an extensive secondary-data collection (from both national and international sources), a wide on-line survey (30,000 individuals), targeted in-depth interviews (840) and tailor-made experiments (involving 270–450 individuals) carried out in 9 countries and 17 EU regions, YMOBILITY will be able to provide a comprehensive analysis of youth mobility in the EU territory.
Through a better understanding of the mechanisms driving this phenomenon, the research will contribute to policy development regarding interventions to facilitate and improve mobility and integration across Europe. The research output will further assist regions facing the emigration of their young workers to cope with these challenges,	Through a deep investigation of existing initiatives and policies – at national and EU levels – and through deep analysis of specific regional/local cases, YMOBILITY will be able to assess the state of the policies and to formulate recommendations to remove obstacles to mobility and to favour European integration.
These activities will also contribute to the formulation of recommendations for flanking policies to tackle barriers and obstacles to short-term mobility and longer-term integration,	Through the construction of scenarios – for both individuals and regions – YMOBILITY will contribute to the assistance of those marginal and less-developed regions, which are facing heavy losses of their young population.

1. The outcomes and results of YMOBILITY will provide EU institutions, and the community of European citizens, with an original and innovative set of information concerning:
  - a. Typologies of youth mobilities, distinguishing the mobilities of students, and highly skilled and unskilled workers;
  - b. Types of youth mobility, distinguishing frequency, duration, geography;
  - c. The causes of and reasons for youth mobility;
  - d. The socio-economic characteristics of mobile and sedentary young persons, highlighting gender and social background differences; and
  - e. The future significance of youth mobility for central development issues in European sending and receiving countries, and the resulting demographic gaps in both sending and receiving countries.



2. The outcomes and results of YMOBILITY will provide national and regional/local institutions and governments with new information concerning:
  - a. The effects of emigration-immigration on the labour markets, and their role in regional development processes, in origin-destination countries and regions;
  - b. The effects of return and circular migration on labour markets, and their role in regional development processes;
  - c. The needs felt, and the support required, by young people wishing to enhance their integration in their new communities; and
  - d. Evidence-based recommendations, and good transferable practices, to maximise the benefits realised from youth mobility at the local and regional levels.
3. The outcomes and results of YMOBILITY will provide young European citizens with an original set of information concerning:
  - a. The useful (and non-useful) sources of information when making migration decisions;
  - b. The risks related to mobility;
  - c. The effects of mobility on their careers;
  - d. The effects of mobility on the acquisition of skills and competences;
  - e. The effects of mobility on their economic welfare, social well-being and physical-psychological health;
  - f. The effects of mobility in shaping (and re-shaping) their identities;
  - g. The effects of mobility in favouring the transition from 'youth' to 'adulthood';
  - h. The effects of mobility on family formation practices; and
  - i. Evidence-based strategies to maximise opportunities resulting from mobility with respect to human capabilities, and lifelong portfolios of skills and competences.
4. YMOBILITY will provide original simulations of future individual decision-making (mobility vs. non-mobility) and scenarios for different EU territories and regions, under different economic and migration conditions. These will provide useful tools for EU, national and regional development policies.
5. YMOBILITY will propose innovative policies for optimising youth mobility, maximising its effects for individuals and receiving territories, and minimising its costs for origin regions.
6. YMOBILITY will create a substantial new research resource that will be made available to other researchers via the Pilot on Open Research Data in Horizon 2020:
  - a. 30,000 questionnaires relating to previous, and future intended, migration;
  - b. 840 in-depth interviews with migrants and non-migrants in a range of contrasting regional conditions; and
  - c. a highly original software package for analysing future migration intentions using experimental methods.

### **2.2.2 Measures to maximise impact**

The YMOBILITY Communication, Dissemination and Exploitation Plan will be elaborated within month 3 and will outline the strategy and work for the communication, dissemination and exploitation activities. The Plan will be updated in month 18 and the final Plan will be elaborated in month 36.

In particular, the Plan will determine:

- Which research results and other outputs are to be communicated/disseminated and/or exploited;
- How to ensure that the research results and other outputs are exploited;
- How to protect intellectual property rights;
- The roles and responsibilities of all the partners based on their experience, expertise and contacts/networks;
- The timing of the activities; and
- The monitoring and evaluation mechanisms.

An outline of the Plan is given below:

#### **2.2.2.1 Dissemination and communication of results and civil society engagement**

The products that the project will develop are those that have the greatest potential to be adopted by civil society, local and central governments, and private business associations. This activity will be developed with a multiplier effect with respect to what can be done by individual operators. Carrada (2006) points out that the academic world has shown little appreciation for those who have devoted themselves too assiduously and too successfully to scientific dissemination. As a result, dissemination is often carried out inappropriately, carelessly and without sufficient means, or is considered an obstacle to the advancement of one's scientific career, and therefore a handicap for anyone who goes about it seriously.

This immediately puts the emphasis on a highly attentive communication strategy as well as on a well-focused dissemination activity. As described earlier, YMOBILITY is purpose-driven. It has clear objectives, thus making the project competitive. The dissemination and communication activities will aim to reach all the different target groups. Efforts will be made to strengthen existing and create new links with similar research projects in Europe and to engage with the scientific communities.

By studying previous experiences of science dissemination (Montanari 2014), the project has taken into consideration the need for dynamic science dissemination, which then assumes a process rather than just scientific information distribution.

The dissemination and communication activities will therefore follow two strategies.

- The first will be necessary to disseminate research results to the scientific world – even to check the results – and to the institutions and public administrations that operate for policy development.
- The second strategy will be oriented to the opening of a debate with civil society and with the public. It will also include follow-up actions to ensure that the dissemination has produced the desired engagement with society.

### 1) Dissemination of project results

The following target groups have been identified, along with the relevant means of dissemination:

Main targets groups	Means
International scientific community	a) Presentations at national and international conferences, congresses and workshops b) Production of an open-access YMOBILITY publication series c) Articles in peer-reviewed scientific journals and other academic outlets d) Project website
Potential business partners, including business associations, trade unions and non-governmental institutions	a) Points a), c) and d) above b) YMOBILITY meetings in all partner countries
Governmental institutions and decision-makers at national, regional and local levels	a) Highly specific, tailor-made dissemination
Institutions of the European Union and other international bodies, European business associations, trade unions and decision-makers	a) Tailor-made dissemination b) YMOBILITY international conference

The above-mentioned activities will be implemented through:

#### **Publications and conference participation**

YMOBILITY consortium will pursue a common and careful strategy for conference participation (who attends, presenting what/where) and the publication of scientific papers (which journal, which results). An important aspect, in fact, is that the publicity of the results does not prevent the possible protection of intellectual property rights generated by the consortium.

Project results will be published in high-quality, high-visibility international refereed journals and presented at major international conferences. The relevant partners will prepare the publications and the presentations. Project partners will participate in national and international conferences, meetings and workshops (via joint papers/posters and/or special sessions), by presenting project results to assure involvement of the international scientific and industrial community and constant access to any other scientific developments of relevance. The preparation of the project's promotional materials for conferences and other relevant events will be coordinated by the Project Management Team to avoid any overlap.

YMOBILITY expects its partners, whether individually or jointly, to produce a significant number of publications, as well as to participate in numerous conferences. The journals/conferences that will be targeted include:

Journals	Conferences
<i>Comparative Migration Studies</i>	Annual Metropolis International Conferences
<i>Employment &amp; Society</i>	Global Forum on Migration and Development
<i>European Societies</i>	IMISCOE Annual Conferences
<i>European Urban and Regional Studies</i>	International Geographical Union Congresses
<i>International Journal on Multicultural Societies</i>	Regional Science Association Conferences
<i>International Labour Review</i>	
<i>International Migration</i>	
<i>International Migration Review</i>	
<i>International Review of Sociology</i>	
<i>Journal of Ethnic and Migration Studies</i>	
<i>Journal of Social Issues</i>	
<i>Migration and Development</i>	
<i>Migration Studies</i>	
<i>Mobilities</i>	
<i>Population, Space and Place</i>	
<i>Progress in Human Geography</i>	
<i>Social Identities</i>	
<i>The Economic Journal</i>	
<i>Youth and Society</i>	
<i>Work, Employment and Society</i>	

### **Production of an open-access YMOBILITY publication series**

Deliverables and other documents produced by YMOBILITY will be suitably re-worked and published as volumes within a YMOBILITY Open-Access Publication Series. The YMOBILITY Publication Series will have an Editorial Board and a team of referees. The 'open-access' volumes will be made available on-line on the YMOBILITY website and in bibliographic collections. Particular issues identified by the research will also be published in journal special issues or journal articles. Priority will be given to those journals which practice an open-access policy in accordance with the directives of the European Commission. All publications will make reference to the HORIZON 2020 financing.

### **Open Access**

Partners will try, as far as possible, to use the 'gold' open-access mode, thus providing immediate open access to peer-reviewed publications; in the case where the 'gold' open-access mode is not possible, partners will use the 'green' open-access mode, archiving in an on-line repository the published article or the final peer-reviewed manuscript. The on-line repository will be an institutional one or, if not available, a subject-based repository. Alternatively, YMOBILITY partners

will use the facilities provided by the project OPENAIRE (or similar ones) to upload peer-reviewed publications.

### **YMOBILITY meetings**

In the third year of the project, one YMOBILITY meeting will be organised in each participating country; the aim of the meetings will be to explain the scenarios and policy outputs to potential business partners, including business associations, trade unions and non-governmental institutions.

### **Website**

The project website will present the project to specialised audiences and give detailed, tailored information on, e.g., project progress, activities and results. The aim is to publish results, publications and other relevant project deliverables in a form where they can be useful to other researchers and potential business partners. The website will also contain a dedicated section for the wider society, in which project activities are presented in a language understandable to non-experts; the section may also include short videos. Finally, the website will contain a private platform – which only the partners can access – for the exchange of working documents. The Project Management Team will be responsible for the creation and updating of the website following the best-practice guidelines of the European Commission, and all the partners will contribute to the technical, administrative and promotional content of the website.

### **YMOBILITY international conference**

A final international conference will be organised to present the project experience to the different stakeholders, including the international scientific community, policy-makers, industry and the general public. Partners will invite other experts in this field from around the world in order to ensure the involvement of the international scientific community and constant access to any other scientific developments of relevance.

## **2) Communication and civil society engagement**

Based on previous international experience, consideration has been given in the project proposal to the theme of science dissemination, especially in the context of a world already sufficiently informed and specialised. With the communication activities, the reference is to society in general (Montanari 2014) and specifically to those social groups that are the most relevant to YMOBILITY. This category includes young people in secondary schools because, at this age, they start to consider the possibility of going abroad. The activity, although aimed at young people aged 15–18, will also facilitate contacts with their teachers and families. The dissemination activities will therefore also act on certain categories of adults who are more close to these young people and will contribute to the formation of and influence their behaviours. It is also believed that local governments in the places of departure and arrival are faced with the problems that these new forms of human mobility pose. There is also the problem of labour unions and business associations that are an essential part of the labour market, which has to manage the consequences of young human mobility. The instruments will include accounts on social media such as Twitter and Facebook, as discussed in Jakar (2014), and Di Zio and Staniscia (2014).

In order to communicate the project result, the following target groups have been defined, along with the relevant means of communication:

Main targets groups	Means
Public at large	Articles in local and regional newspapers, local television-programme participation, website dedicated section, accounts in social media such as Twitter and Facebook
Young people in secondary schools	Programme of meetings with secondary-school students, teachers and families. Cooperation will be established in all YMOBILITY countries and meetings organised when necessary
Young people in higher-education institutions	Programme of meetings with students, especially in regional-level higher-education institutions. Cooperation will be established in all YMOBILITY countries and meetings organised when necessary

The above-mentioned activities will be also implemented through:

### **Twitter and Facebook**

Considering that the subject relates to young people who generally make use of social networks, YMOBILITY will also develop instruments that are likely to attract the attention of young people. From the experience that some members of the group have accumulated in previous projects, the difficulty in organising such instruments at the international level through the use of a common language has been noted. Despite the predictable difficulties, YMOBILITY will develop initiatives to attract the interest of young people and stakeholders through the use of social networks and of other alternative methods.

### **Meetings with secondary schools and students**

Special attention will be paid to young people in secondary schools, offering them educational programmes with the help of their teachers and families. YMOBILITY partners will propose collaboration with one or more schools in the areas in which research is conducted. YMOBILITY will provide information on trends in youth mobility and at the same time will collect information and interests of those who may be interested in retracing the same patterns of behaviour.

#### **2.2.2.2 Exploitation of project results**

YMOBILITY aims to develop strong and sustained working relationships with a wide range of stakeholders. Beyond this, YMOBILITY partners will identify potentially interested companies, will contact them to inform them of the project objectives and results, and will invite them to attend specific dissemination events (small dedicated workshops).

Moreover, the partners have agreed that the exploitation of project results will be planned at project level and not at individual level, and, as an indication of this, the possible exploitation strategy for the products and outcomes obtained within YMOBILITY will be as follows:

Products	Research Units involved	Responsible for exploitation
Data on definition and typology of youth mobility (WP1)	All partners	US
Research methodology (WP2)	IFSAS; SURREY et al.	IFSAS
Information collection data (WP3)	All partners	SURREY

Motivation data (WP4)	All partners	UB
Economic and social outcomes data (WP5)	All partners	MIM
Territorial outcomes, geographical data (WP6)	All partners	UAL
Simulations and scenario-building, methodology and software (WP7)	All partners	UNIROMA1
Policy recommendation toolkit (WP8)	UNIBI et al	UNIBI

The ownership shares will be tentatively allocated as indicated in the section below on Knowledge Management, ownership always being based on the role of the partner in the generation of the corresponding results.

**Knowledge management** – the Consortium Agreement will be the main tool for regulating, *inter alia*, the protection of intellectual property rights; in particular the consortium agreement will:

- Identify which background will be excluded from obligations to grant access rights to other partners (background excluded), as well as which background will be made available to other partners (background included);
- Verify that any such background that is included will be suitably protected, and verify the existence of any particular condition regarding access rights;
- Include rules on due diligence with respect to the suitable protection of results, including rules to not publish significant results until, where appropriate, they have been patented;
- Regulate ownership of the results and eventual arbitration as follows:
  - Results will be owned by the partner(s) who carried out the work generating the results; and
  - When two or more partners have jointly carried out work generating results and where their respective share cannot be ascertained, they shall have joint ownership of results under conditions to be agreed upon.
- Regulate the conditions of access rights, which are limited to those strictly needed for use (i.e., further research activities other than those covered by the project) of its own results, and which will take place as follows:
  - For background materials and results needed for the execution of the project, on a non-exclusive and royalty-free basis:
    - To individually generated results on fair and reasonable conditions to be agreed upon;
    - To use partner's background on fair and reasonable conditions to be agreed upon; and
    - To jointly generated results, on a royalty-free basis;
- Regulate the conditions of access rights for use (i.e., for developing, creating and marketing a product or process, or for creating and providing a service or in standardisation activities).

## 2.3 Implementation

### 2.3.1 Work plan

YMOBILITY research activities will be developed through 10 work packages:

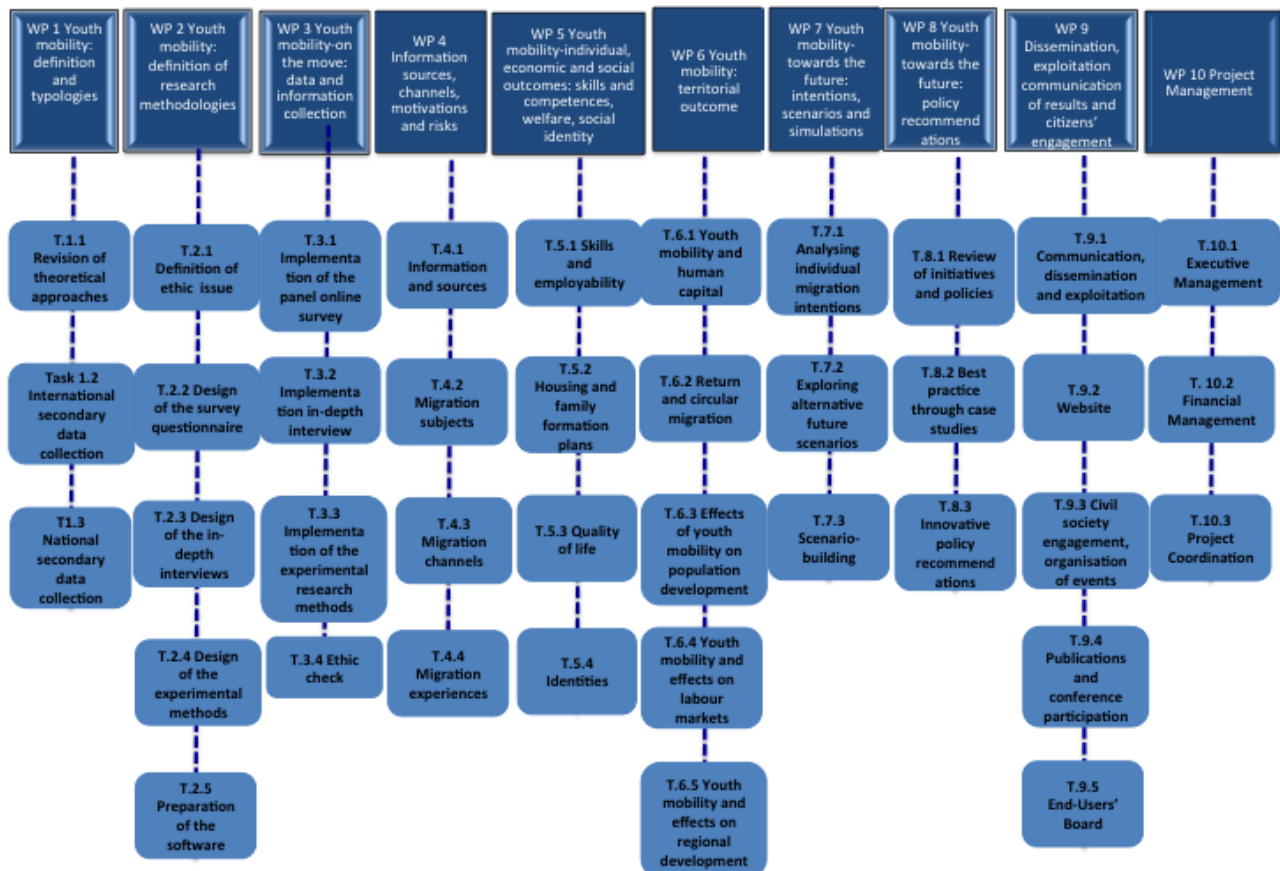
- WP1 will review the existing literature and analyse the existing secondary data, at both national and international levels, and will produce a first picture of youth mobility in the EU territory, focusing on the 9 countries analysed in the project
- WP2 will provide the tools for the implementation of the innovative, proposed methodology, consisting of an on-line survey, in-depth interviews and experimental methods that will require *ad hoc* software
- WP3 will use all the tools and the fieldwork will be carried out
- WP4, WP5, and WP6 will provide analytical reports based on the findings of the former WPs
- WP7 will provide scenarios
- WP8 will provide policy recommendations
- WP9 will be dedicated to dissemination, communication and exploitation activities
- WP10 will be dedicated to project management

Each WP is divided into several tasks, as shown in the Work Plan at page 34, following the development of the research. The technical details of the activity developed within each WP and task are given in Tables 1.3.3. WT3 Work package descriptions.

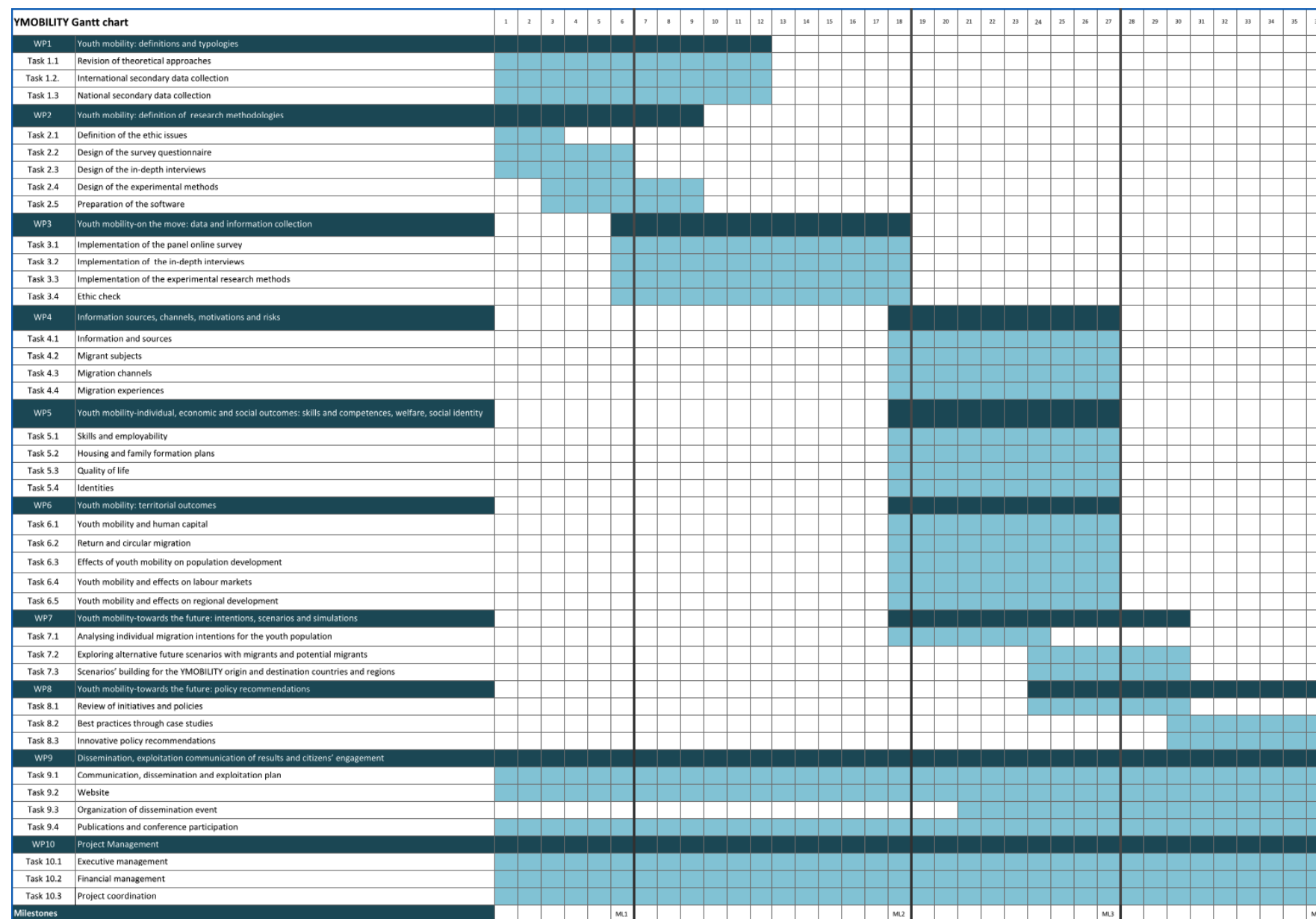
The timing of the different work packages and their components is shown in the GANTT Chart at page 35 below.



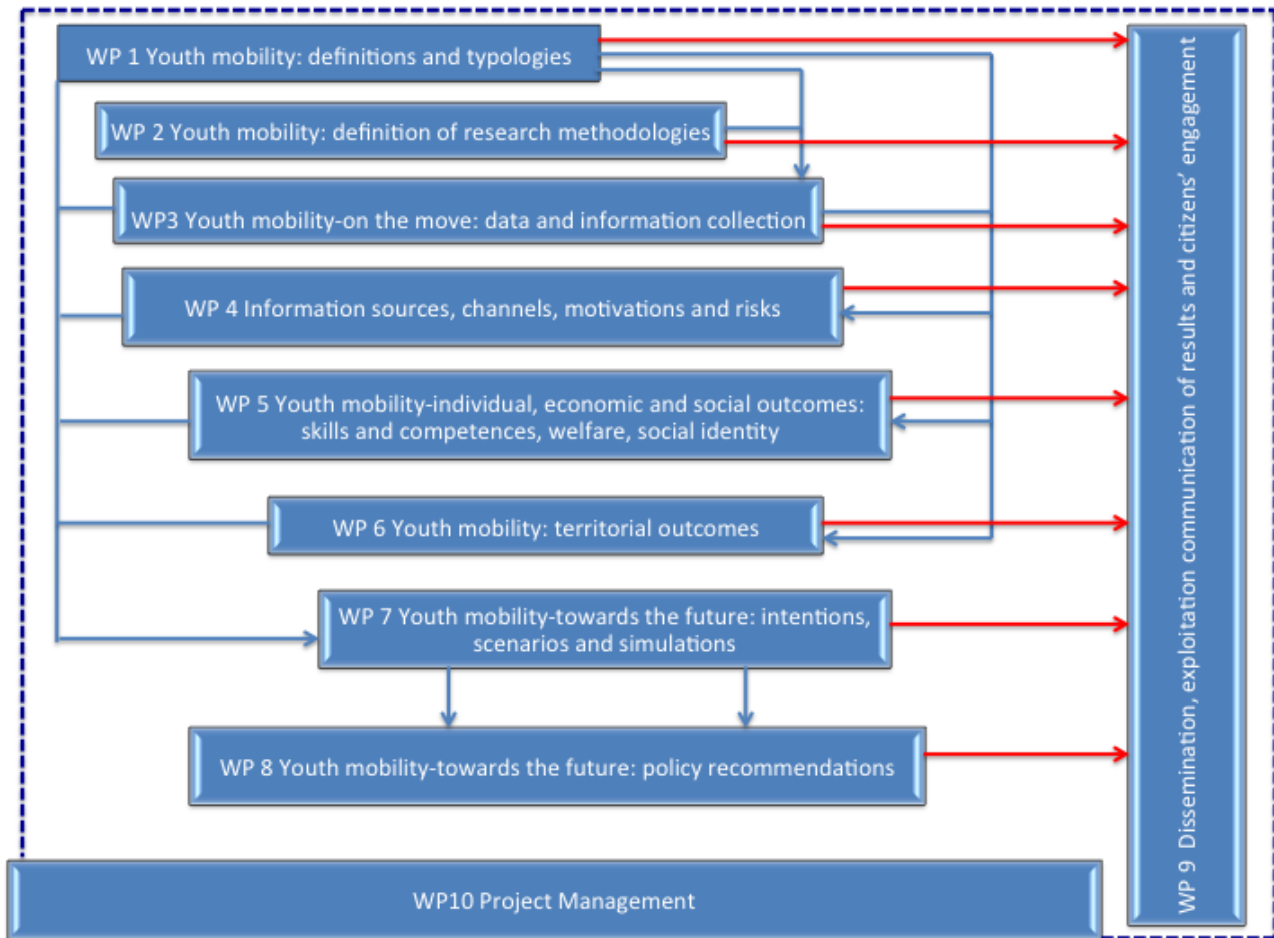
## YMOBILITY Work Plan



## YMOBILITY GANTT Chart



## YMOBILITY PERT



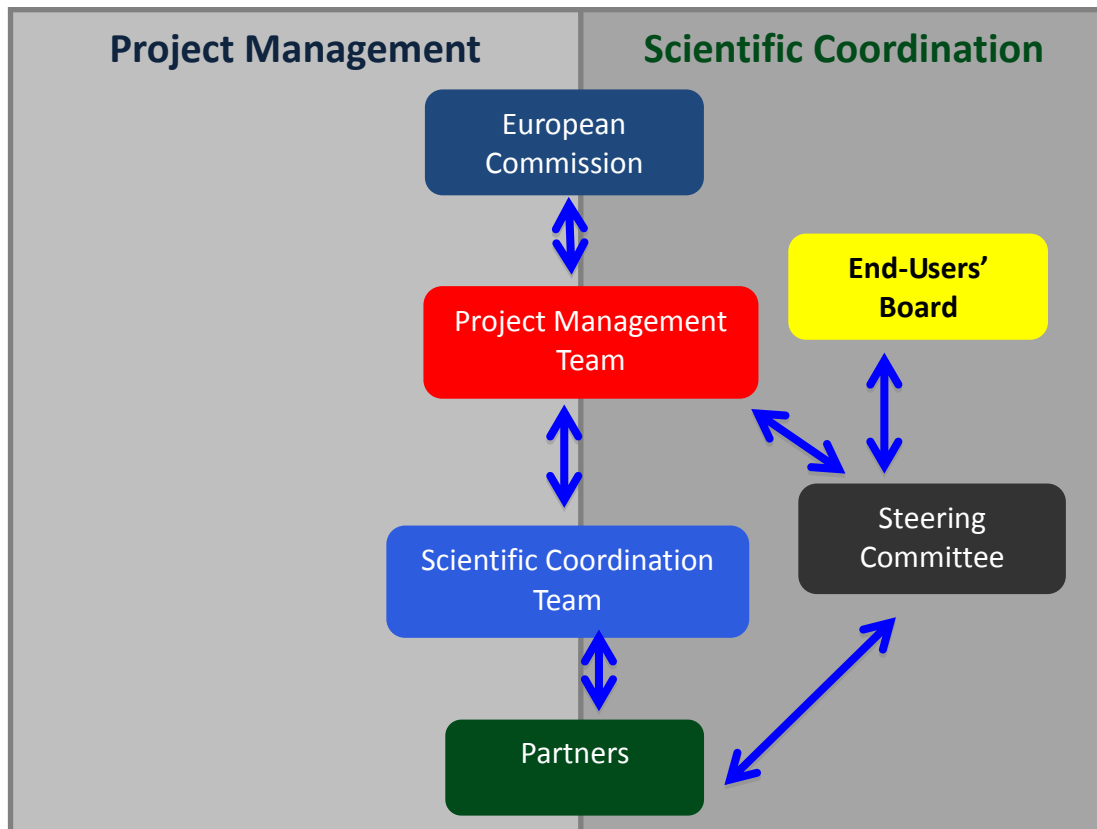
### 2.3.2 Management structure and procedures

The consortium brings together multi-disciplinary teams to address the goals of the proposal. To ensure the efficient coordination and integration of the different activities and existing or emerging scientific capabilities, the project is organised around 10 work packages with a clear management structure. The YMOBILITY project will be coordinated by UNIROMA with the support of the Linked Third Party Sapienza Innovazione in order to ensure that the necessary structures and tools are put in place to achieve the scientific goals of the project, effective collaborations between partners, and the development of scientific results for exploitation. The Project Coordinator will ensure that the partners adhere to the conditions of the Grant Agreement and the Consortium Agreement during the project lifetime. The management activities are aimed to facilitate the integration and implementation of the work packages and to achieve a smoothly running consortium. In order to achieve this, we propose a lean and effective organisational structure. The management structure is fully appropriate for the complexity and scale of the project, which includes 10 partners.

#### 2.3.2.1 Management structure

The decision-making and operational and advisory bodies of YMOBILITY are (see Figure 3.1 below):

- **Project Coordinator**
- **Project Management Team**
- **Scientific Coordination Team** (Work packages leader)
- **Steering Committee** (one representative per project participant)
- **End-Users' Board**



**Figure 3.1: Management structure of YMOBILITY**

### 2.3.2.1.1 The Project Coordinator

The Project Coordinator (Prof. Armando Montanari - UNIROMA1) will:

- receive the financial contribution from the Commission, allocate it to the participants and make available information on its distribution;
- be the information interface between the consortium and the European Commission;
- represent the project participants as defined in the EC Grant Agreement;
- send periodic scientific and financial reports to the Commission; and
- send the project deliverables to the Commission.

### 2.3.2.1.2 The Project Management Team

Project Management Team	
Main tasks	Administrative and financial management of the project
Partners involved	<b>Project Coordinator:</b> (Armando Montanari - UNIROMA1) <b>Administrative and Financial Manager:</b> Riccardo Carelli (CSI - Linked Third Party) <b>Administrative and Financial Management Assistant:</b> Marlene Sciarretta CSI - Linked Third Party)

The **Project Management Team** will oversee the overall achievement of the objectives of the project, carrying out the following management activities:

- Assuring that the Steering Committee and the Scientific Coordination Team are set up and made fully operative and receiving full administrative support;
- Communicating management, administrative and contractual issues to all the participants;
- Providing administrative support to all project participants;
- Organising meetings of the Steering Committee and the Scientific Coordination Team (preparation and distribution of agenda and minutes for consortium meetings);
- Monitoring that the use of financial resources corresponds to the plans and estimates and reporting deviations to the Steering Committee;
- Maintaining the Consortium Agreement and ensuring that any necessary changes are implemented;
- Managing possible conflicts between partners;
- Checking the consistency of periodic and financial reports with the work carried out and relevant project progress; and
- Verifying that project deliverables have a common style and a high quality and that they are measurable and verifiable.

### 2.3.2.1.3 The Scientific Coordination Team

Scientific Coordination Team	
Main tasks	<ul style="list-style-type: none"> <li>• Coordination of the research activities at project level</li> <li>• Monitoring of the activities of the single work packages</li> <li>• Verification that deliverables and milestones respect the work plan</li> </ul>
Partners involved	<ul style="list-style-type: none"> <li>• <b>Project Coordinator:</b> Armando Montanari (UNIROMA1), leader of WP 7-9-10</li> <li>• WP 1: Russell King (US)</li> </ul>

	<ul style="list-style-type: none"> <li>• WP2: Vladimír Baláž (IFSAS)</li> <li>• WP3: Allan Williams (SURREY)</li> <li>• WP4: Dumitru Sandu (UB)</li> <li>• WP5: Pieter Bevelander (MIM)</li> <li>• WP6: Pablo Pumares Fernandez (UAL)</li> <li>• WP8: Thomas Faist (UNIBI)</li> </ul>
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The Scientific Coordination Team is composed of the ten work-package leaders and is led by the Project Coordinator.

The role of the work-package leaders is to:

- Organise communication within the work packages;
- Coordinate the activities within work packages;
- Elaborate and present progress reports on the state of advancement of each work package;
- Ensure that the deliverables are prepared and the milestones achieved on time;
- Report activities and results to the Scientific Coordination Team; and
- Inform the Scientific Coordination Team if a critical event or a risk is encountered.

The SCT is responsible for ensuring the hierarchical coordination and management and monitoring of the scientific work of partners and WP leaders, the supervision of the project's global critical path and the scientific review of the work performed by the partners, including scientific deliverables.

The role of the Scientific Coordination Team is to:

- Monitor the progress of the work packages (e.g. time schedule and use of resources) and report activities and results to the Steering Committee;
- Be in charge of risk management;
- Analyse any risks identified by the work-package leaders and propose modifications to the Risk Management Plan to the Steering Committee;
- Implement the decisions and orientations taken by the Steering Committee, by re-defining the work plans and schedules and/or re-defining partner roles, contributions and budgets;
- Manage possible conflicts between partners; and
- Inform the Steering Committee if a critical event or a risk is encountered.

#### 2.3.2.1.4 The Steering Committee

Steering Committee	
Main tasks	<ul style="list-style-type: none"> <li>• Operation decision-making and arbitration body</li> <li>• Strategic orientation of the project</li> </ul>
Partners involved	<p><b>Chairperson:</b> to be appointed by the members</p> <p><b>Members:</b> one senior member from each partner, including Linked Third Parties</p>

The Steering Committee will take decisions concerning the orientation of the project, including:

- Strategic orientation of the project;
- Approval of modifications to the work plan, project periodic reports, deliverables and the Risk Management Plan;

- Decisions regarding the follow-up to and validation of the budget, including the reallocation of financial and human resources;
- In case of a deadlock situation within a work package, arbitration on the basis of information provided by the Scientific Coordination Team; and
- The addition and termination of partners.

Furthermore, concerning the intellectual property rights, the Steering Committee will:

- Approve the Communication, Dissemination and Exploitation Plan;
- Identify the results that could be the subject matter of protection and make consequential decisions on dissemination and exploitation activities;
- Allocate the co-ownership shares of results obtained by several participants, in the case of a deadlock situation (details of the procedures will be included in the Consortium Agreement); and
- Maintain the background list and acquire rights from third parties, if applicable.

### **2.3.2.1.5 The End-Users' Board**

YMOBILITY will set up an End-Users' Board, including representatives of governmental institutions and decision-makers at national, regional and local levels, business associations, trade unions and non-governmental institutions.

The End-Users' Board, which will meet once a year in conjunction with project meetings, has a twofold purpose:

- At a national level to:
  - ✓ Interact and cooperate with local teams, and in each national team will establish an interactive process. At preliminary stages, information from end-users will move towards research teams, at the following stages of teams, will disseminate information to end-users for information and to verify the quality of the outputs;
  - ✓ Provide relevant data, if applicable;
  - ✓ Verify the usability of the project outputs, in terms of readability and applicability of the solutions; and
  - ✓ Pave the way for the long-term adoption of project results.
- At a transnational level to:
  - ✓ Evaluate the project's progress; and
  - ✓ Give input, suggestions and feedback on project activities.

### **2.3.2.2 Management procedures**

#### **2.3.2.2.1 Scientific Progress Reports**

Reporting activities will be led by UNIROMA with the support CSI and with the contribution of each partner. They include the submission of the Periodic and Final Scientific and Financial Reports.

In addition to the reports foreseen by the Grant Agreement, the work-package leaders will submit internal, brief progress reports to the Project Management Team every 6 months. These reports will include a description of the research activities carried out, the results obtained, possible delays and problems encountered.

#### **2.3.2.2.2 Project meetings**

The Kick-Off Meeting will take place in month 1. Subsequently, Scientific Coordination Team and project meetings will be held every 6 months in connection with the meetings of the Steering Committee to discuss the technical progress achieved in the different work packages, and identify risks and any pertinent management issues. The objectives of the project meetings are to:

- Monitor and assess the progress of the project according to the work plan;
- Plan future activities;
- Manage risks according to the established risk management procedures;
- Resolve possible problems and conflicts between partners; and
- Inform the partners of management issues.

Extraordinary meetings or conference calls will be organised at any time for urgent matters.

#### **2.3.2.3 Management tools**

##### **2.3.2.3.1 Communication tools**

The project will establish an infrastructure for communications by building a framework in which dialogue and interaction can take place. This applies equally to internal and external communication. The communication will be supported by a web-based exchange platform, where documents and data can be exchanged. This means that this platform will serve not only as a pool for technical results, but also as a management support tool. Establishing stable communication channels within the YMOBILITY community will also be of high importance: thematic mailing lists will be created and used to disseminate information about and solicit input into the project work. Promoting effective internal communication is necessary for the best project outcome.

##### **2.3.2.3.2 Consortium Agreement**

The Consortium Agreement, which enters into force at the start of the project, will be the main reference point for managing the project. It will include, for example the:

- Definition of composition and responsibilities of the decision-making bodies;
- Establishment of the decision-making procedures; e.g., each partner will have one vote, decisions will be taken as much as possible in consensus, however, clear rules for the majority requirements (simple majority, majority of 2/3 or unanimously) will be included;
- Individual and collective responsibilities and liabilities of partners towards the consortium and of the consortium towards the partners;
- Financial management rules; and
- Intellectual property rights (e.g. protection, including confidentiality and publication conduct, and access and use, including licensing rights).

#### **2.3.2.4 Risk management**

During the project's life, critical events can generate difficulties and require modifications in the research plan, leading to the re-scheduling and re-planning of certain actions and activities. The risks foreseen relative to YMOBILITY are listed in Table 1.3.5. WT5 Critical Implementation risks and mitigation actions. The procedure to be followed for the resolution of risky critical conditions consists of the following steps:

1. The participant encountering a critical event within the activity carried out in a specific WP informs the WP Leader by means of the convened internal communication-flow channels;



2. The WP Leader exchanges the information with the other WP responsible;
3. The SCT, in co-operation with the WP responsible, proposes a Risk Managing Activity Plan (RMAP) for solving the critical situation. Such a plan may require relevant decisions concerning resources, a partial re-scheduling of the activities and the involvement of other WPs;
4. The SCT submits the Risk Managing Activity Plan (RMAP) to the Steering Committee. The SC, responsible for the management of the Project, has to give approval of the RMAP; and
5. The Chairman of the SC formalises the approval of the RMAP and ensures that all partners and team members are informed.

### 2.3.3 Consortium as a whole

The achievement of YMOBILITY objectives described in section 1.1 requires the merging and integration of scientific know-how and multidisciplinary advanced research skills.

Such a wide-spectrum knowledge and expertise can be reached only at European level rather than at national/regional levels. The YMOBILITY consortium creates a critical mass in scientific terms, in which European-wide expertise and resources are brought together.

The **consortium** consists of 10 partners representing **multidisciplinary expertise** covering a broad scientific knowledge needed in the YMOBILITY project. The consortium includes 9 EU countries (Italy, Germany, Spain, Ireland, Latvia, Romania, Sweden, Slovakia and the United Kingdom).

Since the project is scientifically very ambitious and likely to create results potentially exploited by civil society, the consortium includes **10 universities**; the consortium is complemented by a Third Party (CSI) experienced in Project Management and Technology Transfer. The consortium will be managed by UNIROMA1/CSI, which is specialised in promoting and managing innovative technological activities.

The distribution of the EU-requested grant per country is the following: Italy 24%, Germany 9%, Spain 8% Ireland 8%, Latvia 6%, Romania 6%, Sweden 9%, Slovakia 6% and United Kingdom 24%.

The network of participants in YMOBILITY merges some of the most qualified scientists in Europe in all different fields of sciences that are involved within YMOBILITY research, which has strong multidisciplinary characteristics.

YMOBILITY presents a complementarity of expertise that is needed to achieve the project results. Actually, in order to make progress in this important and exciting field of research, high-level skills are required over several disciplines, and more precisely in the fields of geography, sociology, economics, political sciences and anthropology.

The proposed project presents an ideal opportunity for scientists and experts inside the consortium to reinforce their existing collaboration by exchanging their knowledge and expertise with one another. In fact, YMOBILITY includes several young scientists who have a solid research basis and experience in the field of youth mobility. The female component is highly represented.

Moreover, the young researchers involved in the project will have the added value of being able to gain advice and guidance from a range of advisors and this will enhance and broaden their training. The pooling of expertise in the project will also have a beneficial synergistic effect, allowing each group to contribute more than would have been possible by working alone.

YMOBILITY is promoted by a group of researchers who have been working together on the issue of human mobility for many years. R. King (US), A. Montanari (UNIROMA1) and A. Williams (SURREY) took part together for the first time (1988–1993) in the European project 'Regional and Urban Restructuring in Europe (RURE)' sponsored by the European Science Foundation (ESF), Research Groups on 'Population processes in the urban and regional system' and 'Tourism', chaired by A. Montanari. On the basis of this collaboration the Commission 'Global Change and Human Mobility (GLOBILITY)' of the International Geographical Union (IGU) was established in the year 2000. A. Montanari has been Chairman of GLOBILITY, organising scientific meetings in many different countries on all continents. R. King and A. Williams and also Z. Krisjane (LU) and V. Baláž (IFSAS) participated in GLOBILITY activities. In the last decade, R. King, A. Montanari and A. Williams have continued to work on several national and European (such as SECOA – FP7) research projects, and established forms of scientific collaboration with the other YMOBILITY colleagues in the social sciences active in international research on human mobility.

The long experience of collaboration offers a guarantee of success of the consortium as such. The individual members of the consortium have a long and proven experience in the field of European comparative analysis and human mobility. The presence of multiple disciplines (e.g. geography, sociology and economics) allows a diversified analytical skill in relation to the interpretation of complex phenomena, as identified by YMOBILITY.

### **2.3.4 Capacity of participants and links to the third parties**

#### **2.3.4.1 Participants**

##### **Participant n. 1 SAPIENZA UNIVERSITA' DI ROMA (UNIROMA1)**

##### **Department of European, American and Intercultural Studies (DSEAI)**

##### **Description**

Sapienza University of Rome is the largest university in Europe for number of students, organized in 63 Departments and 11 Faculties. SEAI from the foundation in the year 1983 the Department had among its members scholars from linguistic and literary sciences from a cultural area well articulated inside but unitary in its roots: this fundamental unity has allowed during these years, both on dissemination and on scientific and methodological level, a privileged experiences, also of comparative nature, which have supported a fruitful multidisciplinary cultural dynamism. The profound changes during the last twenty years have obliged to reorient the meaning, the direction and the value of the studies. The new targets are in line with a new situation within the European Union where a possible common history is based on common cultural values well before the political, economic and administrative ones. Celebrating the fifth anniversary of the European Community it has been necessary to think on the value of an integration implemented mainly on economic fundaments and contribute to the achievement of an area of contact also among different traditions and roots but ready to the interrelation also beyond the traditional division of knowledge and not retreated into an old concept of Europe but open to dissimilarities and to the world.

Moreover, DSEAI can access and utilize the competencies of experts in international and community law belonging to the Sapienza Department of Juridical Studies (DIGEF), Faculty of Law.

##### **Main Tasks**

- Scientific coordination and administrative management of YMOBILITY
- Leadership of WP7, WP9 and WP10
- Participation in all the work packages

##### **Key Staff**

**Prof. Armando Montanari, coordinator** (male), teaches geography of tourism and human mobility at Rome Sapienza University, at the Master's Programme in Human Ecology at the Vrije Universiteit Brussel (1993-2000) and at the Master programme on Nutrition Sciences, Sapienza University. Member (1993-2000) and Vice-President (1998-2000) of European Commission "European Consultative Forum on the Environment and Sustainable Development", President of the European Environment Bureau, (1993-1998); Chairman (2000- 2012) of the IGU Commission on "Global change and human mobility". Project manager of the following international projects: "Population processes in the urban and regional system" and "Tourism", Scientific Programme on Regional and Urban Restructuring in Europe (RURE) of the European Science Foundation, 1988-1993; "Innovation and urban development: the role of technological and social change", 1987-1990; "Exploitation Advisor" for the EU Project "Multimedia and Geographical Information System based Tourism Applications Authoring System", Esprit, 1993-1995. Responsible of numerous research projects at the National Research Council of Italy (CNR) where he has been director of the Research Institute of Mezzogiorno Economics (1988-93); Scientific secretary at the International Social Science Council, Vienna Centre, where he coordinated the European research projects on

“Costs of urban growth” and “Project Turin International” (1979-1983). He has published more than 200 articles and volumes in Italian, English, French, Spanish and Japanese.

**Prof. Mariella Combi** (female), Professor of Cultural Anthropology. Researchers have been focused on the cognitive processes which give a meaning to the world, such as cultural representations, symbolizations and imaginary, and as they are elaborated in different cultures. In this context the following studies can be mentioned regarding the anthropology of the body, the senses, the emotions, or the ways by which the meanings (both real and virtual - as in Internet) are built into everyday life. This anthropological curriculum has emerged from initial questions relating to urban anthropology and emigration, later on from studies on the imaginary of body and word and finally from research focused on the representation models of worldviews, and the use of prerequisite symbols and imaginary. In order to understand the processes by which the meanings of the world are set up within a society (local), it is important to reflect on the need to come to terms with cultural differences in today's global world. Attention has been dedicated to other aspects relating to the body, such as the cyborg, the cultural role of senses and the changes in communication processes brought about by internet and artificial technologies. At present, theoretic and methodological research is based on the analysis of models created by the real and virtual encounter of cultural models in the context of migration.

**Prof. Giovanni B. Sgritta** (male), Professor of sociology, and former director of the postgraduate School of “Sociology and social research” and of the postgraduate Master in “Methods and techniques of social research”, Sapienza, University of Rome. Managing editor of the International Review of Sociology/Revue Internationale de Sociologie. Studies and research in the fields of generation, youth, childhood, social and family policy, poverty. Scientific coordinator of the international programs “Childhood as a social phenomenon” (European Centre for Social Welfare Policy and Research, Vienna), and “Children’s Welfare in Ageing Europe”, (Cost A19). Italian representative at the European Observatory on National Family Policies (EU, DG Employment, industrial relations and social affairs, 1989-2003).

**Dr. Barbara Staniscia** (female), Graduated in Economics (LUISS Guido Carli University, Rome, Italy), she has a master degree in Local Development (Paris XIII University, France) and a Ph.D. in Economic Geography (University of Bari, Italy). Scientific secretary of the IGU Commission “Global change and human mobility”. Member of the international research team of the project on “Brain drain or brain gain? Skilled migration from Southern Europe to the new emerging Mexican cities”, funded by the National Council of Science and Technology, Mexico, coordinated by the Universidad Autónoma Metropolitana-Iztapalapa, Mexico City. She has been member of the research teams of the EU funded projects MIRE, ESPON 1.1.4, SELMA, EQUAL II-Celine, PLACE, TIGER, SECOA and of the national projects on “Human mobility and urban policies” (URBAN Programme), PRIN 2008 ‘Migrations and processes of intercultural interaction. Forms of integration and spatial organization in some Italian regions’, PRIN 2004 “Local development: space, actors, projects. International comparisons”, PRIN 2002 “Tourism and growth: local factors and spatial competitiveness”. She has developed researches concerning urban dynamics and local development, spatial effects of EU policies, tourism and migration, environmental conflicts, rural development and geography of taste.

## Publications

1. Montanari, A. and Staniscia, B. (2014) “Europe and its territories in global human flows”, in Pain, K. And Van Hamme, G. (eds), *Changing Urban and Regional Relations in a Globalizing World: Europe as a Global Macro-Region*, Edward Elgar, Cheltenham Gloss, UK, pp. 78-99.

2. Montanari A. (2012) Social sciences and comparative research in Europe: cross-national and multi-disciplinary projects for urban development. The role of geography, *BELGEO*, 1, pp. 1-9.
3. Montanari A. (2012) Cross-national co-operation and human mobility: an introduction, *International Review of Sociology*, 22(2), pp.175-190. DOI:10.1080/03906701.2012.696954.
4. Staniscia B. (2012) "Mobility of students and attractiveness of universities. The case of Sapienza University of Rome", *International Review of Sociology*, 22 (2), pp. 245-258.
5. Montanari A. and Staniscia B. (2009) Female migration in a changing world. Eastern Europeans in central Italy, *Espace, Population, Société*, 2, pp.227-241.
6. Sgritta G., "Kindheitssoziologie und Statistik. Eine generationale Perspektive", in H. Hengst, H. Zeiher, Hrsg., *Kindheit soziologisch*, Wiesbaden, 2005;
7. Sgritta G. "The long transition to adulthood: An Italian view", in F. Pajares & T. Urdan, eds, *International perspective on adolescence*, Greenwich, Conn., 2003

### Projects

1. 2009 - 2013. 7th Framework Programme - Environment (FP7): "Solutions for environmental contrasts in coastal areas. Global change, human mobility and sustainable urban development" - SECOA, (SECOA-244251-FP7-ENV.2009.2.1.5.1).
2. 2010 - 2012. ESPON Applied Research Project 2013/1/1 - Continental Territorial Structures and Flows (Globalization) (2010-2012): "Territorial Impact of Globalization for Europe and its Regions" - TIGER.
3. 2008 - 2010. Culture Programme (2007-2013): "Preserving places. Managing urban tourism, urban conservation and quality of life in historic centres" - PLACE.
4. 2002 - 2006. 5th Framework Programme - "Energy, Environment and Sustainable Development" Programme - Key Action 4 "City of Tomorrow and Culture Heritage": "Spatial deconcentration of economic land use and quality of life in European Metropolitan Areas" - SELMA (EVK4-CT-2002-00102-SELMA).
5. 2005 - 2008. ESF - Equal Programme: "Female citizens and workers in Europe" - Celine.
6. 2003 - 2006. ESPON Action 1.1.4. "The spatial effects of demographic trends and migration", (Contract n. 036/2003; Commitment n. 500 143338).

### Infrastructure

The Department of European, American and Intercultural Studies (DSEAI) has its headquarters in the Sapienza University City. It has several classrooms to make lessons and to organize meetings for groups from a few dozen to a few hundred participants. DSEAI has 51 professors, 22 researchers, 62 collaborators and 17 employees, 60% of staff are female. The DSEAI has numerous laboratories, among the others the Laboratory for GISystems and GISciences.

**Participant n. 2 Bielefeld University (UNIBI)**

**Faculty of Sociology, Research Area Transnationalisation, Development and Migration (Center on Migration, Citizenship and Development (COMCAD))**

**Description**

**Bielefeld University** ([http://www.uni-bielefeld.de/\(en\)/](http://www.uni-bielefeld.de/(en)/)) combines classical academic tradition with innovative research and teaching. The University has succeeded in maintaining and developing essential elements of this reform concept despite a considerable increase in student numbers. Bielefeld University has attained an outstanding position among national and international academic institutions on the strength of its research achievements and unique courses of study, its technology transfer and further education programmes. The Center on Migration, Citizenship and Development (COMCAD) deals with the transnational social question, that is, concepts, empirical research and policies dealing with the perception and politicization of stark inequalities across borders. Overall, the Center's activities focus on projects concerned with cross-border transactions regarding transnational mobility, political membership and development. Current projects concern transnational social protection, temporary mobility between Asia and Europe, and cross-border life-worlds of various categories of mobile persons.

**Main Tasks**

- Leadership of WP8.
- Participation in all the work packages

**Key Staff**

**Prof. Thomas Faist** (male) is Professor of the Sociology of Transnationalisation, Migration and Development, and Dean of the Faculty of Sociology, Bielefeld University ([www.uni-bielefeld.de/tdrc/ag\\_comcad](http://www.uni-bielefeld.de/tdrc/ag_comcad)). His research focuses on migration, citizenship, and transnationalisation. Thomas Faist was Willy-Brandt Guest Professor at the University of Malmö and DAAD Visiting Professor at the University of Toronto. He is deputy editor of the journal *The Sociological Quarterly* and editorial board member of the journals *Ethnic and Racial Studies*, *Social Problems*, *Pakistan Journal of Social Sciences*, *Migration Letters* and *International Journal of the Indian Diaspora*.

**Dr. Mustafa Aksakal** (male) is a postdoctoral investigator in the Research Unit Transnationalisation, Migration and Development at the Faculty of Sociology, Bielefeld University ([www.uni-bielefeld.de/tdrc/ag\\_comcad](http://www.uni-bielefeld.de/tdrc/ag_comcad)). His research focuses on migration, transnationalisation and development. Mrs. Aksakal has accomplished his bi-national PhD in 2012 in Zacatecas, Mexico and in Bielefeld, Germany, which was funded by the Mexican state institution CONACYT. He has carried out extensive fieldwork in Zacatecas, Mexico and in Los Angeles, USA regarding the analysis of transnational migration from Mexico to the USA, respective remittances and development outcomes. He published in this context his dissertation *Transnational Development: Limitations and potentialities of a model for 'migration and development'. Case study Caxcania*. Currently, he is involved in the research project *Transnational Migration in Transition: Transformative Characteristics of Temporary Mobility of People (EURA-NET)* that is funded by the Seventh Framework Programme of the European Union. He is also teaching in the disciplines of migration, education and development at Bielefeld University.

**Dr. Kerstin Schmidt-Verkerk** (female) is a post-doctoral researcher at the Research Unit on Transnationalisation, Development and Migration at the Faculty of Sociology of Bielefeld University, Germany. She is a researcher in the project "Transnational Migration in Transition:



Transformative Characteristics of Temporary Mobility of People (EURA-NET)”, which is funded by the European Union’s 7<sup>th</sup> Framework Programme from 2014-2017. She is also involved in the international research project “Migration, Environment and Climate Change: Evidence for Policy (MECLEP)”, co-funded by IOM and the European Commission under the Thematic Programme on Migration and Asylum (TPMA). In 2012, Kerstin finished her PhD on the potential impact of climate change on migration in Mexico at Sussex University, UK. She has published on methodological and conceptual aspects of the climate change-migration nexus and has been teaching in the disciplines migration, environment and development at Sussex University and Bielefeld University since 2010. Furthermore, she has work experience as a Science Officer at different programme offices of the International Council for Science (ICSU) in Bonn, Paris and Mexico City.

### **Publications**

1. 2013 Transnational Migration. Cambridge/NewYork: Polity. (co-authored with M. Fauser and E. Reisenauer)
2. 2010 Cultural Diversity and Social Inequalities. In: Social Research 77 (1), p. 257-289.
3. 2009 Beyond a Border: The Causes and Consequences of Contemporary Immigration. Thousand Oaks, CA: SAGE/Pine Forge Press. (co-authored with P. Kivisto)
4. 2008 The Transnational Social Question: Social Rights and Citizenship in a Global Context. In: International Sociology 24 (1), p. 7-35.
5. 2000 The Volume and Dynamics of International Migration and Transnational Social Spaces. Oxford: Oxford University Press (Reprints 2004, 2008; Turkish Edition 2003).

### **Projects**

1. 2014-2017 Research Project on “Transnational Migration in Transition: Transformative Characteristics of Temporary Mobility of People (EURA-NET), European Commission, 7th Framework Programme (together with Mustafa Aksakal and Kerstin Schmidt-Verkerk)
2. 2011-2015 Research project on “Informal Social Protection in Transnational Social Spaces”, Collaborative Research Centre 882 (SFB) “From Heterogeneities to Inequalities”, German Research Council (DFG)
3. 2011-2015 Research Project on “Transnationality: Pilot Project Panel Study”, Collaborative Research Centre 882 (SFB) “From Heterogeneities to Inequalities”, German Research Council (DFG)
4. 2008-2011 Research Project on “Transnational Migration and Transformation” (TRANS-NET), European Union, 7th Framework Programme
5. 2007-2009 Research Project on “Environmental Change and Forced Migration Scenarios” (EACH-FOR), European Union, 6th Framework Programme

### **Infrastructure**

The Faculty of Sociology at the Bielefeld University has a long tradition regarding higher university education and investigation, approved in numerous national and international research projects, in which the faculty was involved in the past. This means that the faculty not only accounts for appropriated skilled personnel, but also it accounts for adequate space and technical equipments for carrying out research, such as sufficient desktops, computer and relevant programs. Furthermore, the research areas within the Faculty of Sociology are strongly linked to each other, so that the flow of specific knowledge, such as research methodologies, can be accomplished easily of specific knowledge, such as research methodologies, can be accomplished easily.



**Participant n. 3 University of Almeria (UAL)****Study Center for Migration and Intercultural Relations (CEMyRI)****Description**

The University of Almeria (UAL) is a research-education oriented public university, founded in 1993. In spite of its recent creation, the UAL has a modern infrastructure, a wonderful library, last generation laboratories. The UAL's researcher had got projects of different international programmes. Some of the most important are IV Framework Programme (9 projects), V Framework Programme (3 projects), VI Framework Programme (6 projects) and 7<sup>th</sup> Framework Programme (14 projects). The UAL has 6 research institutes. One of them is the Study Centre for Migration and Intercultural Relations (CEMyRI) that was created in October 2009 with the sponsorship of the Secretary of State for Immigration and Emigration and Ministry of Labour and Immigration. The CEMyRI is devoted primarily to scientific research and transfer in the field of migration and intercultural relations. In a complementary manner, its activity also takes place in the context of formal education (graduate, masters and specialization courses) and dissemination through seminars, conferences, etc. It has lead or participated in more than 30 research projects (of which three Europeans: two POCTEFEX and one ERANET ARIMNet) and has organised 30 dissemination events. The CEMyRI features a cast of 25 tenured researches in all areas of knowledge in the Social Sciences (Anthropology, Sociology, Social Psychology, Human Geography, Economics, Law, Education and Linguistics) to approach the subject of migration and intercultural relations from different perspectives and in an interdisciplinary way.

**Main tasks**

- Leadership of WP6
- Participation in all the work packages

**Key staff**

**Prof. Pablo Pumares** (male) is a full professor of Human Geography at the University of Almería, CEMyRI, Dept of Geography, History and Humanities. He is specialized in the field of international migrations, particularly on Moroccan migrations to Spain, starting by his doctoral thesis (Complutense University of Madrid, 1994). In 1995 he obtained the research award of the Fundació La Caixa for his work *La Integración de los Inmigrantes Marroquíes: Familias Marroquíes en la comunidad de Madrid*. During the following years he has approached it from different angles such as location patterns, labor market insertion and mobility, internal migrations, acculturation and the effects of the economic crisis on immigrant and autochthonous populations. He has a good knowledge of migration and population statistics and has used different techniques from deep interviews and focus groups to surveys. He has been director of different Doctorate and Master programs focused in the issue of migration and development.

**Dr. María Soledad NAVAS Luque** (female). CEMyRI, Dept. of Psychology. BS in Psychology from the University of Granada (Spain), Assistant Professor at the University of Granada and the University of Almeria (Spain), Ph.D. in Social Psychology from the Spanish Open University and Professor of Social Psychology at the University of Almeria from 1995 to date. She had developed funded research in different areas, highlighting the stress at work, the doctor-patient relationship and leadership and their relationship to gender. However, two lines of research developed in recent years have been, on the one hand, the study of prejudice (subtle and blatant) towards immigrants and other ethnic minority groups (like gypsies), as well as the prejudice of these groups towards the majority population. On the other hand, the analysis of the acculturation process of

immigrants (from their own perspective and from the perspective of the host society), and some psychosocial variables which are related and/or predicting the acculturation process in both populations (i.e., prejudice, in-group bias, intergroup contact, intergroup perceived similarity, etc.). She is author and co-author of several books, book chapters and articles in national and international journals indexed in JCR on these issues.

**Prof. Antonio José Rojas Tejada** (male) is a Professor of Methodology of Psychology in Psychology Department at the University of Almeria, CEMyRI, Dept. of Psychology. He received his Degree in Psychology and his Doctorate (Ph.D.) in Psychology, in 1991 and 1998, respectively, both from the University of Granada, Spain, EU. His research interests include migration studies and psychometric methods, survey methodology, and applied measurement. He has been worked for the last years in several survey methodology research projects and migration research projects with funding from the Spanish General Bureau of Scientific and Technical Research Projects within the National Program for Social Studies. From 2005-2009 he was Head of Human and Social Science Department. From 2010-2014 he is Coordinator of Psychology Doctorate Program. He has published more than ten books and more than 50 articles about research methodology and migration. More information is available at [www.ual.es/personal/arojas](http://www.ual.es/personal/arojas).

**Prof. Isabel Cuadrado** (female) is a Full Professor of Social Psychology at the University of Almería (Spain), CEMyRI, and Dept. of Psychology. She has a PhD from the University of Almería. She was a Postdoctoral Fellow and a Professor of Social Psychology at Open University of Spain (UNED), Madrid, for 7 years. Her current research interests involve intergroup relationship, leadership and gender, prejudice and acculturation. She has worked in numerous research projects (she has headed two) and has published numerous articles and book chapters about these topics.

**Prof. Juan Sebastián FERNÁNDEZ Prados** (male) is Full Professor of Sociology at the University of Almeria, CEMyRI, Dept of Geography, History and Humanities. He has worked on social movements, values, the third sector and the associative network of migrants. He has designed and analyzed several surveys on different social subjects.

### Publications

1. López-Rodríguez, L., Zagefka, H., Navas, M.S. y Cuadrado, I. (2014). Explaining majority members' acculturation preferences: A mediation model. *International Journal of Intercultural Relations*, 38, 36-46. DOI: <http://dx.doi.org/10.1016/j.ijintrel.2013.07.001>
2. Pérez, P.J., Rojas, A.J., Navas, M.S. y Lozano, O.M. (2013). Structural model of acculturation attitudes and related psychosocial variables: Empirical evidence in native Spaniards. *International Journal of Psychology*. DOI: : <http://dx.doi.org/10.1002/ijop.12017>
3. Rojas, A.J., Lozano, O.M., Navas, M.S., Pérez, P.J. (2011). Prejudiced Attitude Measurement using the Rasch Rating Scale Model. *Psychological Report*, 109, 2, 553-572. ISSN: 0033-2941.
4. Navas-Luque, M., Rojas-Tejada, A. J., García-Fernández, M. C., & Pumares-Fernández, P. (2007). Acculturation strategies and attitudes according to the relative acculturation extended model (RAEM): The perspectives of natives versus immigrants. *International Journal of Intercultural Relations*, 31(1), 67-86. doi:10.1016/j.ijintrel.2006.08.002
5. Águila, C., Sicilia, A. Rojas, A.J. Delgado, M.A. & Gard, M.(2008). Postmodern values and leisure in young Spanish university students: an exploratory study. *Leisure Sciences*, 30, 275-292

### Projects

1. Stereotypes, emotions and behaviors and their relationship to the acculturation process of immigrants: A study with natives and immigrants. Funded by the Ministry of Economy and Competitiveness (National Plan R + D + I). Reference PSI2011-22731. Principal investigator: Dr. María Isabel Cuadrado Guirado. From January 1, 2012 until December 31, 2014. Other participants: María Soledad Navas Luque, Antonio Rojas Tejada, Pablo Pumares.
2. Acculturation, Discrimination and Prejudice from the perspective of natives and immigrants: Development of an integrated framework to their Delimitation, Measurement and Intervention. (Reference P09-SEJ-4657). Funded by Junta de Andalucía (Department of Innovation, Science and Business). Secretary General of Universities. Principal investigator: Dr. Antonio Rojas Tejada. Since January 1, 2010 until December 31, 2014. Other participants: María Soledad Navas Luque, Pablo Pumares, M. Isabel Cuadrado Guirado, Juan Sebastián Fernández Prados.
3. Geographical mobility, labor market and integration of foreign population (Ref SEJ2007 66658/GEOG). Funding institution: Ministerio de Educación y Ciencia, Plan Nacional. From Oct 2007 to Sept 2010. Principal Investigator: Pablo Pumares Fernández. Other participants: María Soledad Navas Luque, Antonio Rojas Tejada, M. Isabel Cuadrado Guirado.
4. Immigration, prejudice and acculturation: the perspective of immigrants and natives in different receiving localities of the Mediterranean (Ref: SEJ2004-07369). Funding institution: CICYT, Plan Nacional de I+D. From 13 Dec 2004 to 12 Dec 2007. Principal Investigator: María Soledad Navas Luque. . Other participants: Antonio Rojas Tejada, Pablo Pumares, M. Isabel Cuadrado Guirado, Juan Sebastián Fernández Prados
5. Training and strategies for social work intervention and preparation for better jobs on both sides (Andalusia-Northern Morocco) (Ref: 0079\_Parallel Project\_36\_CIME\_AM\_2\_E). Funding organism: European Union (FEDER). Program: POCTEFEX (Cross Border Cooperation Programme Spain-External Borders). Principal Investigator: Francisco Checa y Olmos. From 2012 to 2013. Other participants: Pablo Pumares

### Infrastructure

The University of Almeria has a Laboratory for telematics research as a result of a Project funded by European program FEDER. It can be used for online surveys (CAWI and ACASI) and telephone surveys (CATI) and personal surveys with informatics support (HAPI). It makes also possible to record focus groups with differentiated tracks. It has the following infrastructure: a room with ten laptops, ten mobile phones with SIM card, eight tablets with SIM card and multi track recording equipment. I has also specialized software such as OPINA and LIMESURVEY, and a complete database with all the telephone numbers in Spain.

**Participant n. 4 University College Cork (UCC)****Institute for Social Sciences in the 21st Century (ISS21)****Description**

University College Cork (UCC) is one of the premier research institutions in Ireland, with one of the highest research incomes in the country and a strong track record of managing EU-funded projects. UCC's research strategy is driven by the long-term goal to develop research excellence through the establishment of inter-disciplinary institutes with a critical mass of world-class researchers. In line with this, the interdisciplinary Institute for Social Sciences in the 21st Century (ISS21) was established in UCC and is one of the university's four Research Institutes and centres of excellence. ISS21 involves a critical mass of researchers from across the social sciences in enhancing current research on social and economic issues. It received significant Irish Government funding and has been successful in winning research funding from national and international sources, including in the arena of migration and young people. Interdisciplinary collaboration is conducted in ISS21 through a number of research clusters, one of which is in the area of Migration and Integration and which includes academics from a wide range of disciplines including Geography, Sociology, Applied Social Studies, Applied Psychology, Law, Study of Religions and the School of Languages. There is a very strong track record of interdisciplinary research in migration and integration among ISS21 members. Activities such as its program of visiting speakers, development of research clusters, sharing of research experiences and provision of training in research and generic skills will provide a stimulating environment. Members of the Migration and Integration cluster cooperate regularly through ongoing collaborative research projects, joint PhD supervision and in the delivery of the unique *MA in Contemporary Migration and Diaspora Studies*. Full details are available at <http://www.ucc.ie/en/iss21>.

**Main tasks**

- Leadership of Tasks: 1.2, 6.1, and 8.1
- Participation in all the work packages

**Key Staff**

**Dr. Piaras Mac Éinrí** (male) PhD, University College Cork, Department of Geography and Institute for Social Science in the Twentieth First Century/ISS21. Dr Mac Éinrí (gender: male) is lecturer in Migration Studies and Geopolitics in the Department of Geography, School of Geography and Archaeology: the Human Environment. He was director of the Irish Centre for Migration Studies between 1997 and 2003 and has conducted several research projects on Irish emigration, immigration and integration issues. He was PI on a major study on current Irish emigration *Irish Emigration in an Age of Austerity*, funded by the Irish Research Council and carried out in 2012/2013. Using new spatial data and innovative methodologies, it was the first representative study of its kind. He is a member of ISS21's Migration and Integration Research Cluster. Currently he chairs the Board of Studies of the *MA in Contemporary Migration and Diaspora Studies*, the only program of its kind in Ireland. He is also Associate Dean for Internationalization, College of Arts, Celtic Studies and Social Sciences.

**Dr. Linda Connolly** (female) is the Director, Institute for Social Science in the 21st Century (ISS21) at UCC, Ireland [www.ucc.ie/en/iss21/](http://www.ucc.ie/en/iss21/), Senior Lecturer in Sociology and Chair of the Irish Social Sciences Platform, which was funded under the Irish Governments Programme for Research in Third Level Institutions program (2008-13, 16 million euro). Her research interests and publications are in the fields of family, gender, migration and social movements. From 2009-2014,

she was the Managing Editor of the Irish Journal of Sociology, published by Manchester University Press. She is a Member of the International Editorial Board, Sociology; International Editorial Board, Canadian Journal of Irish Studies; International Advisory Board, Irish Social Sciences Platform (ISSP); Management Board, PRTL14 Funded Irish Social Sciences Platform (ISSP); Editorial Board, ISSP 'Irish Society' Book Series (publisher Manchester University Press).

**Dr. Caitríona Ní Laoire** (female) is Lecturer in Applied Social Studies, Deputy Director of ISS21 and Convenor of the ISS21 Migration and Integration Research Cluster. She has a long track record of research in migration including return migration, child migration and biographical/narrative approaches to migration decision-making, and was a Marie Curie Excellence Team Leader on the Migration Children project 2005-2009.

**Dr. Angela Veale** (female) is an academic psychologist and child psychotherapist with expertise in the areas of refugee and asylum seeking children and families. She is editor of a book on children and migration (forthcoming August 2014) Veale, A. & Dona, G. (Eds). *Child and Youth Migration: Mobility-in-Migration in an era of Globalization*. Basingstoke, Hampshire: Palgrave Macmillan. She is project partner to the NORFACE funded TCRAf-Eu project. This project, the Transnational Child Raising Arrangements between Europe and Africa (TCRAf-Eu) project has studied the effects of transnational parenting on migrant parents, their children and the caregivers in the country of origin. It is the first comprehensive research of its kind to focus on the same groups of African migrants in different European countries and it is unique in combining large-scale quantitative methods with in-depth qualitative research. The project compares the well being of transnational parents with that of parents who live with all their children in the destination country, and the well-being of stay behind children with that of children who live with both their parents in the country of origin. The project studied the life chances of these children in terms of their educational performance, health status and emotional well-being. In addition, she has extensive experience working with war-affected populations in Africa and Ireland.

### Publications

1. Mac Éinrí, Piaras and O'Toole, Tina (2012) (Joint Editors) 'New Approaches to Irish Migration', *Eire Ireland*, 47 (1&2):5-18
2. Mac Éinrí, P. and Mutwarasibo, F. (2010) 'The recognition of the right of non-EU citizens to suffrage in local elections in Ireland' (Book Chapter), in Moya, D. (ed.) *Political participation of aliens in local government in Europe*. Barcelona: Institut de Dret Públic. In Spanish
3. Mac Éinrí, P. and Coakley, L. (2009) 'Migration to rural Ireland: a North Cork case study'. (Book Chapter), in Jentsch, B. (ed.), *International Migration and Rural Areas*. London: Ashgate.
4. Mac Éinrí, P. and White, A. (2008) 'Immigration into the Republic of Ireland: a bibliography of recent research' *Irish Geography* vol. 41:2, pp. 151 – 179.
5. Mac Éinrí, P. (2007) 'One country many cultures? Irish responses to the challenge of diversity', *International Journal of Multicultural Studies (IJMS)*, vol. 9:1, pp. 75-90.

### Projects

1. Mac Éinrí, P. (Principal Investigator), Glynn, I., Kelly, T. (2013). *Irish Emigration in an Age of Austerity*. A Report on an Irish Research Council funded study of contemporary Irish emigration. Available at <http://emigre.ucc.ie>. Amount awarded: €111,681.
2. Mac Éinrí, P. (2008). *Migrant Integration Index* (Ireland section). British Council/Migration Policy Group Brussels. Web reference <http://www.mipex.eu/>. Amount awarded: € 900.

3. Mac Éinrí, P. (2007), *Study of Migrant Integration in North Cork* (PI, with researcher Dr Liam Coakley). Cork: Avondhu Development. Amount awarded: €15,000.
4. Mac Éinrí, P. (2005) (jointly with Dr Brian Lambkin, CMS Omagh) for *All-island study of return migration* (chief researcher Dr C Ní Laoire). Dublin: Higher Education Authority. Amount awarded: €268,000.
5. Mac Éinrí (2004) Ireland section of *Service Provision Study* (with Scotland, Northern Ireland) *for migrants and ethnic minorities*. Dublin and Belfast: NCCRI Dublin and OFMDFM Belfast. Amount awarded: €10,000.



**Participant n. 5 University of Latvia (LU)****Department of Geography****Description**

The Department of Geography is a part of the University of Latvia, which is the leading research university in Latvia with broad experience in international research, including FP 7 and COST action projects. The Faculty of Geography and Earth Sciences, according to an international evaluation in 2013 is among the 15 most successful research institutions in the country. The Department of Geography is the most experienced institution in Latvia regarding large-scale migration research. The Department members have conducted many research funded by national, regional and local authorities, as well as research, commissioned by the European Commission, INTERREG and the European Social Fund. The Department of Geography has carried out the most comprehensive research of labour mobility in Latvia after joining the EU, and thanks to decades-long engagement in research of geographical mobility holds large data basis regarding internal and international human mobility. In recent years the Department has developed innovative research tools for online surveys to obtain diverse data about Latvian migrants residing abroad.

**Main tasks**

- Leadership of Tasks: 1.3, 5.4, 6.2
- Participation in all the work packages

**Key Staff**

**Dr. Professor Zaiga Krišjāne** (female) Head of Chair of Human Geography, Department of Geography, University of Latvia, has extensive research experience at national and EU level. For example, she was a Principal investigator of the research project “Geographical labour force mobility in Latvia” (funded by the European Social Fund and the Welfare Ministry of Latvia, 2005-2007). She was a consultant of the research project European Commission, DG Employment, Social Affairs and Equal Opportunities “Social Impact of Emigration and Rural-Urban Migration in Central and Eastern Europe” (2010-2012). She was granted Alexander von Humboldt Fellowship for experienced researchers in Bamberg University, trans regional migration studies (2011-2013). She was awarded by the ‘Annual award of the University of Latvia for innovative and outstanding research in year 2013’. Dr Krišjāne is a Corresponding Member of Latvian Academy of Sciences. She will be coordinating the Latvian team.

**Dr. Māris Bērziņš** (male) is a research fellow at the Centre for Migration and Urban Studies (CMUS) in Department of Geography, University of Tartu (Estonia). His research and expertise focuses on migration, residential mobility and urban change. The main research interests of Dr. Bērziņš revolve around migrant groups, return migration, suburbanization, residential segregation and neighbourhood change. He has skills and experience in carrying out extensive surveys and working with census databases. Dr. Bērziņš is an expert in Human Geography appointed by the Latvian Council of Science. Māris Bērziņš is a member of the Latvian Geographical Society, member of the IGU Globility committee and member of the Cities after Transition research network. He has participated in research projects on Latvian labour mobility co-financed by the European Social Fund.

**Dr. Elīna Apsīte-Beriņa** (female) is a researcher at the Department of Human Geography in University of Latvia. Her main research interests focus on migration issues –migrant groups, emigration motives, and involvement in migrant social networks, and return strategies placed in context of historical, social and economic changes in Latvia. She has experience in carrying out

extensive online surveys and working with large data sets. Mixed method approach consists of work with quantitative and qualitative research methods. She is a board member of the Latvian Geographical Society. She has previous research collaboration with Umea University in Sweden and University of St. Andrews in Scotland. She was a country expert for INTERACT research project funded by European Commission and did advising for Ministry of Culture and Ministry of Foreign Affairs relating to migration issues and policymaking.

**Dr. Guido Sechi** (male) is research fellow at the Centre for the Cognitive Sciences and Semantics and the Department of Human Geography at the University of Latvia, researcher at the Department of Civil Engineering and Territorial Planning at the Technical University of Bari (Italy). He is a member of the European Regional Science Association. Main research interests are related to social capital-based analysis of socio-cognitive and socio-cultural dynamics in urban and regional communities, with an attention to sustainable development impact of such dynamics. He is currently involved as expert in two Norway grants-funded projects in Latvia, respectively related to social development strategies in rural areas and to smart growth strategies in Riga Planning Region. He has experience in data survey, analysis and modelling for applied research projects in the domain of socio-economic and environmental urban and regional development assessment and strategy development.

**Dr. Ģirts Burgmanis** (male) is a lecturer in University of Latvia and Turība University. He has broad experience working with students of different abilities, ethnic backgrounds and educational attainment. His administered courses are human geography, scientific research methods, economics and globalization. Main research experience and expertise of Dr. Burgmanis is related to spatial cognition and spatial behaviour of youth and focuses on geographic mobility and daily activities within urban environment. He has broad experience in usage of quantitative and qualitative research methods including explicit techniques of acquiring data such as carrying out extensive personal surveys, focus group discussions, depth interviews as well as implicit techniques – implicit association test. He has skills to perform cartographic visualization of acquired data using Geographical Information systems and statistical analysis using econometric models. He is a member of the Latvian Geographical Society.

## Publications

1. Eglīte, P., Krišjāne, Z. (2009). Dimensions and Effects of Labour Migration to EU Countries: The Case of Latvia. In: EU Labour Migration since Enlargement, Eds. Watt, A., Galgoczi, B. and Leschke, J. Aldershot: Ashgate, 269-290.
2. Krišjāne, Z. and Bērziņš, M. (2012) Post-socialist Urban Trends: New Patterns and Motivations for Migration in the Suburban Areas of Rīga, Latvia. *Urban Studies*.49 (2), 289-306.
3. Findlay A., McCollum D., Shubin S., Apsite E, Krisjane Z. (2013) The role of recruitment agencies in imagining and producing the 'good' migrant. *Social & Cultural Geography*, 14 (2), 145-167.
4. McCollum, D. and Apsite-Berina, E. (2015). Recruitment through migrant social networks from Latvia to the United Kingdom: Motivation, processes and developments. *Migration Letters*, Volume: 12, No: 1. ISSN: 1741-8984
5. Burgmanis Ģ., Krišjāne Z., Šķilters J. (2014) Acquisition of spatial knowledge in different urban areas: evidence from a survey analysis of adolescents. *Cognitive Processing*. DOI: 10.1007/s10339-014-0607-3



## Projects

1. 2005 – 2007 “Geographical labour force mobility in Latvia”, Project of the European Social Fund and the Welfare Ministry of Latvia
2. 2010- 2012 “Social Impact of Emigration and Rural-Urban Migration in Central and Eastern Europe. Research project European Commission, DG Employment, Social Affairs and Equal Opportunities, VT/2010/001 “
3. 2011 –2012, Labour mobility within the EU: impacts of return migration. Public Policy and Management Institute (PPMI) and Eurofound project Nr. 11-3030-28
4. 2013-2014 INTERAC Researching third country nationals’ integration as a three – way process. Immigrants, countries of emigration and countries of immigration as actors of integration, Research project European Commission DCI-MIGR/2011/229-847
5. 2014 INTERNSTAGE, a study on internships, work placements and voluntary work. European Commission's Directorate-General for Employment, Social Affairs and Inclusion /Working Lives Research Institute, London Metropolitan University, VS/2013/0400.

## Infrastructure

The Department of Geography (DG) is located in the building of Faculty of Geography and Earth Sciences at the University of Latvia. It has several class and seminar rooms to make lessons and to organize meetings and conferences. The DG has numerous laboratories, among the others the Laboratory for GISystems. The DG has 23 staff members among them 6 professors, 60% of staff are female.

## Participant n. 6 University of Bucharest (UB)

### Centre for Migration Studies (CESMIG)

#### Description

Established in 1864, the University of Bucharest is one of the leading institutions of higher education in Romania. Within its over 50 associated institutes, departments and research centres, the University of Bucharest hosts 354 professors, 294 PhD supervisors, 287 researchers and more than 3.350 PhD students. In 2011, according to the evaluation of the Ministry of Education, Research, Youth and Sports, the University of Bucharest ranked first as the top university of advanced education and research in Romania. Including two departments, the Faculty of Sociology and Social Work is one of the largest institutions under the University of Bucharest umbrella. Offering specializations in sociology, social work and anthropology (undergraduate level), the Faculty also hosts 19 MA programs (14 in sociology and 5 in social work) and 1 doctoral program in sociology. Research is carried out in 8 research centres. Starting with May 2014 it was set a Centre for Migration Studies (CESMIG) within the University of Bucharest. The key members of its team are participant in this YMOBILITY application.

#### Main Tasks

- Leadership of WP4
- Participation in all the work packages

#### Key Staff

**Dumitru Sandu** (male) is professor in the Sociology Department, University of Bucharest. His current research and teaching areas are focused on transnational migration, community and regional development and public opinion research. Other areas that are covered by his publications, in books or articles, refer to post communist transition sociology (1996), social capital and development (1999), social mentalities in urban life (2006), practice of community development (2007), social states of mind in European Union (2009). He did studies of applied sociology for World Bank (1996 – 2005, 2013), Phare program (1996-1997), Romanian Social Development Fund (1998-2002), Soros Foundation from Romania (1995-2008), European Commission (2004-2008) etc. He coordinated the national team for a FP7 project *Europeanization of Everyday life* (EUCROSS) and is part of the team for another ongoing FP7 *Temporary versus Permanent Migration* (TEMPER).

**Monica Șerban** (female), senior researcher to Quality of Life Research Institute, associate professor Faculty of Sociology and Social has a PhD in Sociology, UB (2009). She is specialised in Romanian migration in Spain, migration policies and social networks. Her main publications are in *Journal of Ethnic and Migration Studies* (2012), *Revue d'études comparatives Est-Ouest* (2010) or in books on migration (Ashgate, 2014, Shaker Verlag, 2007, Polirom 2010). Her courses at the UB are on migration policies, migration and development and social demography. She is coordinating the national team for FP7 *Temporary versus Permanent Migration* (TEMPER) and attended FP7 project *Europeanization of Everyday life* (EUCROSS). She coordinated fieldwork teams of Romanian students or young researchers in Spain (2008), Germany (2013) and Romania.

**Paula Andreea Tufiş** (female) has a Ph.D. in Sociology at Penn State University (2007) and she is Associate Professor in the Department of Sociology and Social Work, University of Bucharest. Her research interests include social stratification, educational attainment, migration, child-rearing values, gender beliefs, quantitative methodology, and comparative cross-national research. She has published in international scientific journals (*Journal of Marriage and Family*, *European*

*Sociological Review, Public Opinion Quarterly*). Among her latest publications: “Status Attainment: Predictable Patterns or Trendless Fluctuation?” (2012, *Iași: Institutul European*) and “Trends in Gender Beliefs in Romania: 1993-2008” (2012, *Current Sociology*, co-author). She has also authored research reports on the occupational trajectories of Romanian migrants in Spain and the effects of parents’ migration on children’s academic achievements. She is currently a member of the research team for the FP-7 project ‘*Temporary versus Permanent Migration*’ (TEMPER).

The staff is composed also by junior researchers: PhD Georgiana Toth (female), PhD Alin Croitoru (male) and doctoral student Elena Tudor (female).

### **Publications**

1. 2012. C.E. Brădăţan, D. Sandu. Before crisis: gender and economic outcomes of the two largest immigrant communities in Spain, *International Migration Review*, 46, 1
2. 2005 Dumitru Sandu. Emerging Transnational Migration from Romanian Villages. *Current Sociology*, 53 (4): 555-582
3. 2010. Monica Şerban, Bogdan Voicu. (2010) In or outside the migration networks - a matter a time?. *Revue d'études comparatives Est-Ouest*, 41: 97-124.
4. Bogdan Voicu şi Monica Şerban (2012). Immigrant involvement in voluntary associations, *Journal of Ethnic and Migration Studies* 38 (10): 1569-1587
5. 2006. D.F. Alwin, J.L. Felson, E.T. Walker & P.A. Tufiş, Measuring Religious Identities in Surveys. *Public Opinion Quarterly*, 70 (4): 530-564.

### **Projects**

1. EUCROSS, The Europeanization of Everyday Life: Cross-Border Practices and Transnational Identities among EU and Third-Country Citizens, FP7-SSH-2010-2, project ID 266767, leader of national team UB, 2011-2014
2. TEMPER, Temporary versus permanent migration, 7<sup>th</sup> FP, EC, participant to national team UB, 2014-2016, GA 613468.
3. *Migrations Roumaines Contemporaines: Transnationalisme, constructions identitaires et nouvelles solidarités*, ICCV and University of Liège, grant of Romanian Academy of Science and GRI-DRI (Wallonie-Bruxelles) (directeur de projet Monica Serban)
4. Living abroad on a temporary basis. Economic emigration of Romanians 1990-2006, Open Society Foundation, 2006 (Dumitru Sandu, coord.)
5. Romanian Communities in Spain, Financed by Open Society Foundation, Team of University of Bucharest (Dumitru Sandu, coordinator), 2008.

### **Infrastructure**

The Faculty of Sociology and Social Work from the University of Bucharest teaches specialists in social sciences as part of two departments, including 13 master and PhD programmes. The faculty has 60 professors (35 of them in the Department of Sociology) and two centres of research and collaborates with researchers in national and international projects. The faculty has three informatics laboratories, a conference room, as well as many classrooms where classes and other activities take place.

**Participant n. 7 Malmö University (MIM)****Institute for Studies of Migration, Diversity and Welfare****Description**

Malmö Institute for Studies of Migration, Diversity and Welfare (MIM) is a governmental organization within higher education. MIM's main objectives are to coordinate, intensify and expand research into migration, ethnic diversity and welfare in all of Malmö University's faculties. MIM has extensive experience in migration, ethnic diversity and welfare research at the regional, national and global levels. MIM has conducted many research projects funded by, for example, the European Commission FP6, FP7, the European Refugee Fund and the Nordic Council. MIM has done extensive research on both international migration and labour market issues. The topic of international labour market mobility is thus in line with both MIM's interest and expertise. The Institute has access to datasets covering the entire population and have the ability to do large-scale longitudinal analyses of youth life course transitions.

**Main Tasks**

- Leadership of WP5
- Participation in all the work packages

**Key Staff**

**Pieter Bevelander** (male) is professor of International Migration and Ethnic Relations (IMER) and Director of MIM, Malmö Institute of Migration, Diversity and Welfare and a senior lecturer at the Department of Global Political Studies, Malmö University, Sweden. His main research field is international migration and different aspects of immigrant integration and attitudes towards immigrants and ethnic minorities. He has reviewed for several international journals and has published in a number of international journals as well as co-edited the recent publications *The Economics of Citizenship* (2008), *Resettled and Included? The Employment Integration of Resettled Refugees in Sweden* (2009), and *Crisis and Migration* (2014).

**Henrik Emilsson** (male) is a member of the Malmö Institute for Studies of Migration, Diversity and Welfare (MIM) and currently doing his PhD in IMER about Swedish migration and integration policy at the doctoral program Migration, urbanization and societal change (MUSA) at Malmö University. He has been employed at MIM since 2011, working with the EU-7 research project UniteEurope about social media and integration in cities. He has also been doing policy- and quantitative research on labour migration to Sweden. Before starting his PhD he worked for over 10 years as a civil servant at the Integration Board, Migration Board and at the Ministry of Integration and Gender issues.

**Karin Magnusson (female)** has after finishing her Master degree in International Migration and Ethnic Relations been working as a research assistant at Malmö Institute for Studies of Migration, Diversity, and Welfare on three migration related projects co-financed by the EU. Her research focuses on topics of migration and integration. BA: International Studies, Macalester College, St Paul, MN, and USA. MA: International Migration and Ethnic Relations, Malmö University, Malmö, Sweden

**Publications**

1. Pieter Bevelander and Don J. DeVoretz (ed) (2008) *The Economics of Citizenship*, Malmö: Malmö University.

2. Pieter Bevelander and Ravi Pendakur, (2014) "The labour market integration of refugee and family reunion immigrants: a comparison of outcomes in Canada and Sweden" in *Journal of Ethnic and Migration Studies* (2014), 40 (5) 689-709 online in early view, also as IZA Discussion paper no 6924, (2012).
3. Pieter Bevelander and Sandra Groenveld (2012), "How much do you have to work to be integrated? Labour Market Integration of Ethnic Minority Women in the Netherlands" (2012) in *International Migration* Vol. 50 (1 supplement). Also published as IZA discussion paper no: 2684
4. Pieter Bevelander (2005) "The Employment Status of Immigrant Women: the Case of Sweden" in *International Migration Review*, Vol. 39 (1) spring.
5. Pieter Bevelander and Nahikari Irastorza, (2014) "Catching up, The Labor Market Integration of New Immigrants in Sweden" (2014) Research paper for Migration Policy Institute, Washington.

### Projects

1. Follow up of the Swedish labour migration law of 2008 (2013) Funded by European Integration Fund (<http://www.mah.se/Forskning/Sok-pagaende-forskning/Uppfoljning-av-lagen-om-arbetskraftsinvandring/>).
2. Before and after – New perspectives on resettled refugees integration process (2013-2015) Funded by the European Refugee Fund (<http://www.mah.se/Forskning/Sok-pagaende-forskning/Before-and-after---New-perspectives-on-resettled-refugees-integration-process/>).
3. Labour market integration of refugees in Sweden and Canada (2009-2013) Funded by NORFACE ([http://www.norface-migration.org/publ\\_uploads/NDP\\_41\\_12.pdf](http://www.norface-migration.org/publ_uploads/NDP_41_12.pdf)).
4. Scandinavia's population groups originating from developing countries: change and integration (2009-2012) Funded by Nordic Council.

### Infrastructure

The Malmö Institute for Studies of Migration, Diversity and Welfare (MIM) is part of the Faculty for Culture and Society, Malmö University. Its location in the center of the city makes it a very convenient workplace, but also environment for arranging smaller and larger workshops and conferences. The research at MIM is focused on migration and integration of immigrants and consists of about 25 senior researchers (5 full professors) and 15 junior researchers including PhD's, 65% are female.

## **Participant n. 8 Institute for Forecasting of the Slovak Academy of Sciences (IFSAS)**

### **Description**

The Institute for Forecasting of the Slovak Academy of Sciences acts both as a research body and government think-tank for design of economic and social policies. The Institute concentrates on interdisciplinary research in following areas: 1.theoretical, methodological and conceptual issues of the Slovak society in national and world-wide context; 2.human dimension of global environmental change and 3.co-evolution of institutional and technology change. Institute's members are internationally recognized scientists and consultants for top international organisations. The Institute prepared number of studies commissioned by the European Commission, Slovak Prime Minister Office, Slovak Ministries of Economy and Finance, World Bank, OECD, International Labour Office, etc.

### **Main Tasks**

- Leadership of WP2
- Participation in all the work packages

### **Key Staff**

**Research Professor Vladimir Balaz, Head of the Scientific Board of the Institute for Forecasting** (male). Vladimir was a researcher (1989), senior researcher (1996) and research professor (2007) with the Institute for Forecasting of the Slovak Academy of Sciences. Since 2012 Vladimír Baláž has been a member of the Learned Society of the Slovak Academy of Sciences. Vladimir's research interests are in (i) new forms of international migration (temporary, circular, return), (ii) transfer of knowledge via migration, and (iii) risk-taking and complex decision-making by migrants. Vladimir has a long-standing co-operation with prof. Allan M. Williams (Universities of Exeter and Surrey in the UK), Vladimir was research fellow with the ESRC, British Academy and the Leverhulme Foundation. His research projects dealt with topics of international and domestic migration, brain drain and brain gain, transfer of knowledge via migration and behavioural issues in migration decisions (risk-taking, complex decision-making). Research findings were published in top World journals for migration and regional development (International, Migration, International Migration Review, Population, Place and Space, Regional Studies, Environment and Planning, European Urban and Regional Studies, etc.).

**Dr Martina Lubyva, director of the Institute for Forecasting** (female). Martina holds PhD in Economics (2002) from the University of the State of New York (USNY) and CERGE-EI, PhD in Statistics (1999) from the Comenius University in Bratislava, MSc. in Physics (1991) from the Comenius University in Bratislava and M.A. in Law (1997) from Comenius University in Bratislava. Martina's rich research career include Senior Research Fellow at the Slovak Academy of Sciences, Legal Adviser contracted by the World Bank, Co-Ordination Unit for Restructuring of Banks and Enterprises (Slovak Ministry of Finance), International Labour Organisation, Sub-regional Office for Eastern Europe and Central Asia, Moscow, Russian Federation (Director, 2009 – July 2010), and Sub-regional Office for South Asia in New Delhi, India (Senior employment Development Specialist, May 2000 – 2002). Martin also is a longstanding member of OECD SOPEMI Network, Directorate for Education, Employment, Labour and Social Affairs (DEELSA) since 1995.

**Elena Fifekova** (female) is a senior researcher with the Institute for Forecasting; her research interests include behavioral economics (decisions under risk and uncertainty) and strategies of socio-economic developments.



**Katarina Karasova** (female) currently is a PhD student with the Institute for Forecasting and Slovak University of Technology in Bratislava. Subject of her thesis is 'Unemployment by Young People in Slovakia'. Katarina studied quantitative methods in economics with the University of Economics in Bratislava (2008-2011). She received a Gold Medal for her diploma work on Active Labour Market Policies on Slovak Labour Market. Katarina has considerable quantitative skills and works with many standard statistical packages (SAS, Statgraphic, SPSS, Stata, E-Views).

**Martina Chrancokova** (female) currently is a PhD student with the Institute for Forecasting and Slovak University of Technology in Bratislava. Subject of her thesis is 'Transfer of Tacit Knowledge via Migration'. Martina studied quantitative methods in economics with the University of Economics in Bratislava (2004-2012) and biology with the Slovak University of Technology. Martina has good quantitative skills and works with most statistical packages (SAS, SPSS, Stata). She also has programing skills with the MySQL and C++ packages.

### Publications

1. Baláž, V. and Williams, A. M. and Fifeková, E. (2014): Migration decision making as complex choice. Eliciting decision weights under conditions of imperfect and complex information using experimental methods, Population, Place and Space DOI: 10.1002/psp.1858.
2. Williams, A. and Baláž, V. (2014): Risk and Migration, forthcoming in Routledge, London and New York.
3. Williams, A. and Baláž, V. (2013): Mobility, risk tolerance and competence to manage risks, forthcoming in: Journal of Risk Research, 16 DOI:10.1080/13669877.2013.841729
4. Williams, A.M. and Baláž, V. (2008): International Migration and Knowledge, Routledge: London and New York, 2008, 223 pages
5. Williams, A. M. and Baláž, V. (2008): International return mobility, learning and knowledge transfer: A case study of Slovak doctors, Social Science & Medicine, 67(11): 1924-1933.
6. Lubyová, M., Van Ours, J.C, "Effects of Active Labor Market Programs on the Transition Rate from Unemployment into Regular Jobs in the Slovak Republic", Journal of Comparative Economics, 27, 1999.

### Projects

1. Vladimir Balaz: Migration, tourism and risk, 2011-2013, Exeter University (UK), full-time research fellow, Leverhulme Foundation grant
2. Vladimir Balaz: 2011-2012: Country expert in the project Social Impact of Emigration and Rural-Urban Migration in Central and Eastern Europe. The DG Employment and Social Affairs developed the project within the framework of the EU 2020 Strategy.
3. Vladimir Balaz: Mobility by Highly Skilled, 01/2003-12/2003, Exeter University (UK), full-time research fellow, ESRC grant no RES 000 22 0003.
4. Vladimir Balaz: Mobility in Central Europe. Trans-border Co-operation and Regional Development, 01/1999-12/2001, Exeter University (UK), full-time research fellow, Leverhulme Foundation grant
5. Returned skilled labour migration from the UK to Central Europe, focussing on the acquisition of skills and competences, and their commodification, in both the UK and after return migration. Exeter University (UK), full-time research fellow, ESRC grant, 2003-2004

6. Martina Lubyova: Team Leader in the project “Increasing Employability of Young Women and Men in CIS through Establishment of Sub-regional Training Platform”, International Labour Organization, Sub-regional Office for Eastern Europe and Central Asia. Promoting employability and gender equality to achieve a set of diversified tasks on enhancing access to entrepreneurial and skills training opportunities with a strong focus on young people and by applying gender mainstreaming approach. The main activities included: a) Support in setting up a platform providing access to ILO methodological and training materials; b) Conduction of gender audit in TVET; c) Carrying out women entrepreneurship assessment study.

### **Infrastructure**

The Institute for Forecasting of the Slovak Academy of Sciences (IF SAS) has its headquarters in Bratislava. It has a meeting room to organize seminars and workshops for up to 40 participants. The IF SAS also rents the Conference Centre of the Slovak Academy of Sciences (SAS) in Bratislava when organising conferences and media presentations for 100-150 participants. The IF SAS has 15 researchers (of which 7 females) and a modern ICT infrastructure. The IF SAS also may use resources of the Central Computing Centre of the SAS, including High-Speed Computing Infrastructure, the top-notch Data Centre and large number of mathematical and statistical software packages.



**Participant n. 9 University of Surrey (SURREY)****Faculty of Business, Economics and Law (FBEL)****Description**

The *University of Surrey* (Surrey) is a research-intensive university, which has substantial undergraduate, postgraduate and research activities across the science, social science and arts domains. It is strongly inter-disciplinary, with research centres bringing together academics from different disciplines. The University has been involved in 129 FP7 projects, and is host to 16 Marie Curie fellowships. The University owns and developed the Surrey Research Park, a major centre of excellence in technology, science, health and engineering. This 28 ha. landscaped park is home to over 110 companies engaged in a broad spectrum of research, development and design activities. Within Surrey University, the Faculty of Business, Economics and Law (FBEL) has more than 100 staff, who cover a range of research areas in management and economics, including mobility and economic development, health studies, SMEs, international business, human resources and entrepreneurship. These groups have been funded in excess of two million euro in recent years by prestigious national research bodies, such as the Economic and Social Research Council, the Engineering and Physical Sciences Research Council, the British Academy, the Leverhulme Trust and Joseph Rowntree Trust, as well as a range of government and industry bodies including the EU FP7, UK Department of Trade and Industry, the Ministry for Agriculture, Fisheries and Food, and the World Tourism Organization. Faculty staff lead several major international, externally funded projects, involving both quantitative and qualitative research methods, ranging from econometric modelling through interviews to focus groups and experimental research.

**Main Tasks**

- Leadership of WP3
- Participation in all the work packages

**Key staff**

**Prof. Allan Williams** (male) is a leading researcher on migration, mobility and economic development. Following his undergraduate and PhD training in Economics and Geography, he has worked in Geography, Business Studies and European Studies departments at the LSE, Durham, Exeter, London Metropolitan and Surrey universities. He has published extensively on the topics of migration and skills/competences, migration and knowledge, migration and innovation, migration and productivity, migration and complex decision-making. He has published 27 books including *International Migration and Knowledge*, (Routledge 2008), *Migration Risk and Uncertainty* (Routledge, 2014 in press) and *Divided Europe* (Sage, 2000, with Hudson). He has also published 109 peer-refereed articles in prestigious journals including *International Migration Review*, *International Migration*, *Population Space and Place*, *Journal of Ethnic and Migration Studies*, *Journal of Risk Research*, *Regional Studies*, *European Urban and Regional Studies*, *International Journal of Urban and Regional Studies*, *Environment & Planning A and C*, *Mobilities*, *British Journal of Industrial Relations*, and *Global Networks*. His work has been funded by seven national research grants (five ESRC grants, two EPSRC grants), a British Academy Two-Year Research Fellowship, and two Leverhulme Research grants. He was also the UK coordinator of an €850,000 research grant as part of the eight-country, €6 million collaborative FP7 project, SECOA on human mobility and conflicts in coastal regions. He was a founding editor of the journal *European Urban and Regional Studies* (1994-2009), and continuing founding co-editor since 1999 of the journal *Tourism Geographies* (Routledge). His international reputation was recognized by being elected a Fellow of

the Academy of Social Science, and serving on the steering committees of two ESF networks on migration and welfare.

**Dr. Gang Li** (male) is a Reader in the Faculty of Business, Economics and Law, and an expert in economics and statistical analysis. His first degree was in economics, followed by an MSc in Econometrics and Statistics at DUFE University, and a PhD at the University of Surrey School of Management. At SURREY his research has focussed especially on analysing competitiveness, modelling tourism and population flows, and on forecasting demand for mobility. He has also undertaken research on socio-economic development assessment in China. His current research includes a major €250,000 project on mobility and accessibility for DG Enterprise and Industry, in collaboration with GfK Significant (Belgium); Neumann Consult (Germany) and ProASolutions (Spain). Recently completed projects include "Evaluating Hong Kong's Competitiveness" funded by Hong Kong Research Grants Council, and "Modelling and Forecasting Seasonal Tourism Demand in Hong Kong using Structural Time Series Models with Time Varying Demand Elasticities", funded by the Competitive Earmarked Research Grant Scheme, funded by Hong Kong University Grants Committee, 2007-2009. He has published more than 25 articles in internationally refereed journals including: *Journal of Business Research*, *Journal of Travel Research*, *International Journal of Forecasting*, *Tourism Economics*, *Annals of Tourism Research* and *Tourism Management*. He is a member of the editorial board of the last three named journals.

**Dr Hania Janta** (female) received her MSc from the University of Exeter and an MA in Theatre Studies from the University of A. Mickiewicz (Poznan) before pursuing a PhD on the experiences of Polish migrant workers in the UK hospitality industry at Bournemouth University (2009). Following her doctoral studies, she was appointed Lecturer, then Senior Lecturer in Human Resources & Employability at Bournemouth University, where she lectured in People & Performance, and Research Methods. She also worked closely with Dorset Race Equality Council and the local EU8 migrant community and ran a consultancy project, as part of the Migrant Support Project, on the needs of migrant workers in relation to accessing public services in Dorset. Her research interests centre around post 2004 EU migration and in particular the employment experiences of Eastern European migrants in low-paid sectors; recruitment methods; social networks, careers and language learning. She is also interested in work quality, working conditions, work-life balance and aesthetic labour in the context of the service sector. She is an expert in qualitative research methods, especially netnography. In addition, she is developing research in the area of migrants' mobile lives beyond work, their 'visits' home and their transnational practices. She has published 9 articles on migration in international refereed journals including *New Technology Work and Employment*, *Annals of Tourism Research*, *Journal of Further and Higher Education*, and *Tourism Management*.

#### **Publications:**

1. Balaz. V., Williams A. M. and Fifeekova E. (2014, in press) 'Migration decision making as complex choice. Eliciting decision weights under conditions of imperfect and complex information through experimental methods. *Population, Space and Place* (2014 online) DOI: 10.1002/psp.1858
2. Janta H, Brown L, Lugosi P, Ladkin A. (2012) 'Migrant networks, language learning and tourism employment'. *Tourism Management*, 33 (2), pp. 431-439.
3. Williams A M and V Baláž (2010) 'Migration, risk and uncertainty: theoretical perspectives', *Population, Space and Place* 18(2): 167-80

4. Williams, A M, Chaban N, and Holland M (2011), 'International migration and return: the articulation of place through work, family and community', *Mobilities* 6(1): 125-147
5. Williams A. and Balaz V (2008) *International Migration and Knowledge*, London: Routledge

**Projects:**

1. Economic and Social Research Council (2013-2015). *International migration, flexibility and productivity*, €300,000. Principal investigator A Williams.
2. Leverhulme Trust (2011-2012). *Mobility, risk and uncertainty*. €45,000. Principal investigator A Williams.
3. EU FP7 (2009-2013). *Solutions for Environmental Contrasts in Urban Areas (Mobility and Urbanization impacts)*. €850,000 UK budget as part of €6.1 million overall budget. A Williams, UK coordinator.
4. Economic and Social Research Council (2006-9). *International migration and innovation in the UK hotel sector*. €240,000. A Williams, one of two co-investigators.
5. British Academy (2004-6). *International migration, knowledge and learning*. €60,000. Principal investigator A Williams: two year research fellowship.

**Infrastructure**

The Faculty of Business, Economics and Law occupies a new purpose-built, state of the art, building providing high quality offices for over 100 academic staff, as well as teaching and workshops facilities. The Faculty has its own dedicated IT services, finance, HR and administrative staff, as well as the University's central support services. Well-equipped, modern rooms will be made available by the University to facilitate research and dissemination workshops and meetings, and technological and administrative support for videoconferencing and workshops.

## Participant n. 10 University of Sussex (US) - Centre for Migration Research

### Description

The University of Sussex (US) is a medium-sized research-intensive university, founded in 1961. It is located in beautiful countryside, just outside Brighton and within the South Downs National Park. Part of its founding ethos, and still very much valid today, is its commitment to interdisciplinary teaching and research. Within the *Times Higher Education World University Rankings 2012–13*, the US is 13<sup>th</sup> in the UK, 34<sup>th</sup> in Europe and 110<sup>th</sup> in the world. It currently has 13,000 students and 2,200 staff from all over the world. The US has experience of dealing with all Framework Programme matters. In FP7 it was awarded 82 grants totalling over £25 million. This included five European Research Council Advanced Investigator grants, seven Starting Investigator grants, 26 Marie Curie fellows, and the coordination of several Collaborative Projects and Marie Curie Training Networks. The US has recently (March 2014) become a partner in the Horizon 2020 FET Flagship Human Brain Project. Within the US, the Sussex Centre for Migration Research (SCMR) will be the ‘home’ of YMOBILITY. Founded in 1997, the SCMR is one of the UK’s and Europe’s oldest-established migration research centres, and it has grown to be one of the largest. It acts as an umbrella for around 40 faculty members in different Schools and Departments across the university, has a similar number of doctoral students, and hosts a thriving MA in Migration Studies. In recent years, research grants have been awarded to SCMR researchers by the Economic and Social Research Council, the Arts and Humanities Research Council, the Leverhulme Trust and the Joseph Rowntree Foundation, as have various EU grants, and a major research initiative into migration, globalisation and poverty alleviation, supported by the UK Department for International Development via two grants totalling £10 million and still ongoing.

### Main Tasks

- Leadership of WP1
- Participation in all the work packages

### Key Staff

**Prof. Russell King** (male) is the Founding Director of the SCMR; he is Professor of Geography at US, and was the Willy Brandt Guest Professor in Migration Studies at Malmö University 2012–13. He has undergraduate and doctoral degrees from the University of London and Master’s degrees in Economics (LSE) and History (Trinity College Dublin). He has been Lecturer in Geography at Leicester University (1971–86), Professor of Geography at Trinity College Dublin (1986–93) and Professor at US since 1993. He is a leading migration scholar specialising in both the theorisation of migration and its empirical study in a wide range of European countries. He was a founding member of the IMISCOE Network of Excellence on ‘International Migration, Integration and Social Cohesion in Europe’ and coordinated its research theme into ‘Gender, Age and Generations’, which spawned many workshops and high-profile publications. From 2000 to 2013 he was Editor of the *Journal of Ethnic and Migration Studies*, one of the most prestigious journals in the migration field. His publications include 130 papers in refereed international journals, 11 single- or co-authored books, and 19 edited books. Amongst his books are *Out of Albania* (Berghahn 2008 and 2011), *The Atlas of Human Migration* (Earthscan 2010), *Remittances, Gender and Development* (I.B. Tauris 2011) and *Counter-Diaspora: The Greek Second Generation Returns ‘Home’* (Harvard University Press 2014, in press). He has been Principal Investigator on several major funded projects totalling £1.5 million, including those from the ESRC (twice), the AHRC and Leverhulme (twice). He has supervised more than 40 PhD students, most of whom researched

topics relating to migration. Within YMOBILITY, King will take responsibility for WP1 on theories and typologies of new youth mobilities in Europe.

**Dr Aija Lulle** (female) has recently finished her PhD at the University of Latvia; she will be appointed as post-doctoral researcher at US if YMOBILITY is funded. Deriving from both her PhD, which was on Latvian migrants in Guernsey, and her participation in several international research networks, her research expertise relates to migration, employment, youth and life transitions, and to qualitative methodologies. She has a BA in Linguistics, an MSc in Social Sciences and a PhD in Human Geography; in addition she has had intern fellowships at Oxford University, the Working Lives Research Institute at London Metropolitan University, and the United Nations in New York. She is the Latvia country representative on the OECD Expert Group on Migration, and has advised the Latvian Ministry of Foreign Affairs on diaspora policy. Amongst the recent European research projects she has participated in are two commissioned by the DG Employment, Social Affairs and Inclusion – PRECSTUDE – on students' precarious work in Europe (2012); and INTERNSTAGE, on internships and work placements (2014). She will be responsible for interviewing Latvian migrants in the UK and for coordinating other aspects of the interview survey across the YMOBILITY network.

**Dr Laura Morosanu** (female) is Lecturer in Sociology at the University of Sussex. She has a BA in Romanian and English (Iași), an MA in Nationalism Studies (Central European University) and a PhD in Sociology (Bristol). Her doctoral thesis (2012) examined the social ties of young Romanian migrants in London, including a critical exploration of the role of ethnicity. Alongside her PhD she worked as a research assistant on an ESRC-funded project on 'Hungarian and Romanian Migrant Workers in the UK: Racism without Racial Difference?' (2009–11). She worked as a research assistant at Oxford Brookes University (2008–2012), focusing on projects relating to international students. Morosanu will take responsibility for managing the Romanian interviews in the UK and for advising on the interview survey across the network.

### Publications

1. King, R. and Mai, N. (2009) Italophilia meets Albanophobia: paradoxes of asymmetric assimilation and identity processes among Albanian immigrants in Italy, *Ethnic and Racial Studies*, 32(1): 117–138.
2. King, R. and Raghuram, P. (2013) International student migration: mapping the field and new research agendas, *Population, Space and Place*, 19(2): 127–137.
3. Lulle, A. (2009) Policy responses to emigration in Latvia, in B. Galogoczi, B. Leschke and A. Watt (eds) *EU Labour Migration since Enlargement: Trends, Impacts and Policies*. London: Ashgate, 291–309.
4. Lulle, A. (2014) Spaces of encounter–displacement: contemporary labour migrants' return visits to Latvia, *Geografiska Annaler, Series B: Human Geography*, 96: in press.
5. Morosanu, L. (2013) 'We all eat the same bread': the roots and limits of cosmopolitan bridging ties developed by Romanians in London, *Ethnic and Racial Studies*, 36(12): 2160–2181.

### Projects

1. Leverhulme Trust (2001–03, £116,000) *Albanian Migration to Italy and Greece*. Russell King PI.
2. Department for International Development (2001–03, £222,000) *Transnational Return and Development in West Africa*. Russell King Col.

3. Arts and Humanities Research Council (2007–09, £333,000) *Counter-Diaspora: Cultural Geographies of Second-Generation 'Return' Migration to Greece and Cyprus*. Russell King PI.
4. Department of Innovation, Universities and Skills (2008–09, £200,000) *Motivations and Experiences of UK Students Studying Abroad*. Russell King Col.
5. Leverhulme Trust (2010–14, £174,000) *Everyday Life in Communist Albania*. Russell King PI.

### Infrastructure

The Sussex Centre for Migration Research (SCMR) is located in the School of Global Studies of the University of Sussex. The School occupies an entire building (Arts C) with numerous lecture and seminar rooms appropriate for meetings ranging from 20 people to several hundred participants. The Global Studies Resource Centre is a dedicated suite of rooms highly suited for conference and workshop activities. The School of Global Studies comprises the Departments of Anthropology, Geography, International Relations and International Development, as well as several cross-disciplinary research centres such as SCMR. Together, these departments and centres contain more than 100 academic staff ranging across all levels from full professor to lecturer, plus research fellows/assistants; 50% of staff is female.



### **Third Party: Consorzio Sapienza Innovazione (CSI) linked to Participant n. 1 UNIROMA1**

CSI is a techno-structure created by Sapienza University of Rome to provide support in exploiting the results of research activities by establishing new spin-off companies, promoting technology transfer, and establishing and running Joint Labs to carry out multidisciplinary public/private applied research programs aimed at providing a constant flow of high technology solutions for innovation processes. CSI services are:

- Joint Labs: 17 multidisciplinary laboratories, built around the most promising technological areas and characterized by collaboration between private and public partners, that develop research activities and experimentation to support new enterprises;
- Innovative spin-off enterprises: support to 20 new entrepreneurs in the start-up and consolidation phase, with services ranging from studies of technical and economic feasibility, to finding financial support from external investor (e.g. venture capitalists);
- Technology Transfer: promote the exploitation of research results offering, on the one hand, assistance to the commercialization and licensing (e.g., licensing and intellectual property rights), and on the other hand, finding opportunities for licensing to the market;
- National/Regional/European Union funding opportunities: information services, specialized organizational and managerial counseling, planning and technical assistance (Project Management) for the participation to National/Regional/EU funded calls.

CSI currently acts as coordinator of 2 FP7 projects (LISSEN and APPLES), while, since 1<sup>st</sup> October 2012, it acts as Administrative and Financial Coordinator within BioWALK4Biofuels project. In the past has successfully coordinated 3 projects (CATHERINE, HEREPLUS and SECOA). In all above-mentioned projects, CSI is/was also responsible for the dissemination and exploitation activities. CSI is also Grant Holder of two COST actions (COST IC0902 "Cognitive Radio and Networking for Cooperative Coexistence of Heterogeneous Wireless Networks" and COST IC1103 "Manufacturable and Dependable Multicore Architectures at Nano scale"), while is in the leading team of a TEMPUS project (ECONANO - "Curriculum reform and the modernization of ecology engineering based on nanotechnology"). Moreover, it has coordinated about 40 national/regional projects. Eventually, CSI provided its services in concluding a 5 million (plus royalties) licensing agreement signed by UNIROMA and a Dutch biotechnology SMEs.

#### **List of projects**

1. CATHERINE - Small Medium Scale Focused Research Project financed within the ICT theme - Grant Agreement n. 216215 - 1<sup>st</sup> January 2008 to 31<sup>st</sup> December 2010 - Project Coordinator
2. HEREPLUS - coordination action financed within Environment Theme - Grant Agreement n. 212854 - 1<sup>st</sup> September 2008 to 31<sup>st</sup> May 2011 - Project Coordinator
3. SECOA - Large Scale Integrating Project (SICA) financed within Environment Theme Grant Agreement n. 244251 - 1<sup>st</sup> December 2009 to 30<sup>th</sup> November 2013 - Project Coordinator
4. APPLES - Small Medium Scale Focused Research Project financed within the cross thematic cooperation within NMP, Energy, Environment, Transport - Grant Agreement n. 265644- 1<sup>st</sup> June 2011 to 31<sup>st</sup> May 2014 - Project Coordinator
5. LISSEN- Small Medium Scale Focused Research Project financed within NMP Theme - Green Car Initiative - Grant Agreement n. 314282- 1<sup>st</sup> September 2012 to 31<sup>st</sup> August 2015 - Project Coordinator

6. BioWALK4Biofuels - Small Medium Scale Focused Research Project financed within Energy Theme - Grant Agreement n. 214383- 1<sup>st</sup> April 2010 to 31<sup>st</sup> March 2015 - from 1<sup>st</sup> October 2012 as Administrative and Financial Coordinator through Special Clause 10

### Key Staff

**Riccardo Carelli** (male) from February 2007 on is CSI responsible for EU funding activities and coordinator of CATHERINE, HEREPLUS, SECOA, APPLES and LISSEN projects (administrative and financial manager of BioWALK4Biofuels).

From January 2003 to December 2013, he worked as external consultant at the Ministry of University and Research, where acted as FP7 National coordinator and FP7 National Contact Point for Legal and Administrative Issues; within FP6, he was National Contact Point for Legal and Financial Issues, for SME Specific Actions and for the ERA NET scheme; he was also the National Representative within the Member States Expert Group for the drafting of the FP7 Model Grant Agreement.

From May 2002 to October 2002, he worked as Officer at APRE (Agenzia per la Promozione della Ricerca Europea), in charge of the monitoring of 8 ETI (Economic and Technological Intelligence Actions), FP5 projects aimed at supporting the SME participation to EC funded research projects.

From October 1999 to March 2002 he worked as Project Officer at the European Commission (Enterprise Directorate General – Innovation Directorate, responsible for 10 IRC projects, for 6 RITTS projects, for 2 IRE projects.

From July 1990 to September 1999 he worked at the Technology Transfer Office of the National Research Council (CNR), entrusted with valorization and dissemination of CNR innovation and with licensing of CNR results. He was also involved in 5 FP 3-4 projects.

**Marlène Sciarretta** (female) will be involved in the Project Management Team activities. Currently she is the CSI project assistant for LISSEN project, while she played the same role within SECOA. She coordinates the different activities of the project and is responsible for the web site. After a Political Science degree and a Master in European Studies at UCL (Belgium) she attended a traineeship at the Council of European Union. She has worked for international governmental bodies and NGO and has gained relevant professional experience in project management field in particular regarding administrative and dissemination activities, working mainly in English and French.



### 2.3.4.2. Third parties involved

<b>Does the participant plan to subcontract certain tasks (please note that core tasks of the project should not be sub-contracted)</b>	Y
<p><b>Participant n. 8 IFSAS</b> will subcontract the development and the implementation of the experimental software foreseen within <b>Task 2.4 - Preparation of the software</b>. After reviewing the current market, a quotation at a competitive price was obtained from the leading company ProximallT (Bratislava, SK). Mouselab-type software, which is a tracing tool used for monitoring information acquisition and information processing by decision makers will be used in the experiment. The total foreseen costs are 9.200 €.</p> <p><b>Participant n. 9 SURREY</b> will subcontract the online surveys within <b>Task 3.1 – Implementation of the panel online survey</b>. After reviewing the current market in international surveys, in order to maximize comparability and quality control, a quotation at competitive price was obtained from the leading company GfK, drawing on their standard panels; GfK will carry out the on line survey; (all the partners will analyse their own data in detail; and Surrey will provide a comparative overall analysis of the entire data set. The total foreseen costs are 116.323 €.</p>	
<b>Does the participant envisage that part of its work is performed by linked third parties</b>	Y
<p>The profile of <b>Third Party Consorzio Sapienza Innovazione</b> (CSI - PIC code: 999624771) linked to Participant n. 1 UNIROMA1 is included in section 4.1.</p> <p>CSI is a consortium created and controlled by UNIROMA1, BIC Latium (regional business innovation center), FILAS (regional development agency) and UNICREDIT (one of the largest Italian banks); each of them has 25% of the share, but UNIROMA1 nominates the President and Vice President of the Consortium. Moreover, UNIROMA1 has signed a framework agreement with CSI, which allows the joint participation to collaborative projects.</p> <p>This in full compliance with Article 14 “Implementation of action tasks by Linked Third parties “ of the Grant Agreement.</p> <p>Within Y-MOBILITY, CSI will be involved in task 9.1, 9.2 and 9.3 in WP 9 and in task 10.1, 10.2 of WP10 and; more in particular, it will be involved in the Project Management Team with the following tasks:</p> <ul style="list-style-type: none"> <li>• Day-to-day interaction with beneficiaries on administrative and financial issues</li> <li>• Assure that the Steering Committee and the Scientific Coordination Team are set up, are fully operative and receives full administrative support</li> <li>• Communicate management, administrative and contractual issues to all the participants</li> <li>• Provide administrative support to all project participants</li> <li>• Organize meetings of the Steering Committee and of the Scientific Coordination Team (preparation and distribution of agenda and minutes for consortium meetings)</li> <li>• Monitor that the use of financial resources corresponds to the plans and estimates and report deviations to the Steering Committee</li> <li>• Maintain the Consortium Agreement and ensure that any necessary changes are implemented</li> </ul>	

- Check the consistency of periodic and financial reports
- Verify that project deliverables have a common style, a high quality and that they are measurable and verifiable
- Elaboration of the Communication, Dissemination and Exploitation Plan
- Identification of the companies potentially interested in Y-MOBILITY results
- The creation and maintenance of Y-MOBILITY web site
- The coordination of the preparation of promotional material
- The organization of the final conference

CSI total estimated eligible costs are 245.250€ (including the reimbursement of travel costs for the representatives of the End Users Board); CSI will declare its costs for implementing the action tasks in accordance with Articles 6.1, 6.2 and 6.3 of the Grant Agreement.

**Does the participant envisage the use of contributions in kind provided by third parties (Articles 11 and 12 of the General Model Grant Agreement)**

NO

### 2.3.5 Planned use of resources

The overall requested grant is 2,450,368 €. Activities will be carried out mainly by participants, for a total of 2.205,118 € (90% of the total costs); however, YMOBILITY also involves a linked third party, whose overall costs are 245.250 € (10% of the total costs); its budget is included in the relevant participant budget; for further references to the role and profile of the third party, please refer to sections 4.1 and 4.2.

Moreover, Research and Innovation Activities (WP 1 - 11%, WP 2 - 16%, WP3 - 17%, WP4 - 9%, WP5 - 8%, WP6 - 9%, WP7 - 7%, WP8 - 7%) account for 83% of the total eligible costs, while Management Activities (WP 10) and Communication, Dissemination and Exploitation Activities account (WP9) for 8% and for 9% respectively.

Moreover, the consortium uses an appropriate mix of senior (35%), middle (32%) and junior (33%) staff. Personnel costs represent 62%, travel costs 10,7%, equipment costs 0,3%, other goods and services 3%, subcontracting costs 5% (for details, please see section 4.2) and indirect costs 19%, respectively, of the total eligible costs.

The details on the use of resources are given in Tables below:

<b>Participant n. 1 UNIROMA1</b>	<b>Cost (€)</b>	<b>Justification</b>
<b>Personnel</b>	<b>236,332</b>	
<b>Travel</b>	<b>21,000</b>	Bilateral meetings (WPs 1–8); Participation in conferences and dissemination events (WP9); Steering Committee meetings (WP10)
<b>Equipment</b>	<b>0</b>	None
<b>Other goods and services</b>	<b>11,000</b>	Translations and transcriptions (WP3); translations and linguistic editing, organisation of YMOBILITY meetings (WP9); Certificate on financial statement (WP10)
<b>Overheads</b>	<b>67,083</b>	
<b>Total</b>	<b>335,415</b>	

<b>CSI (Third Linked Party Participant n. 1)</b>	<b>Cost (€)</b>	<b>Justification</b>
<b>Personnel</b>	<b>135,700</b>	
<b>Travel</b>	<b>60,500</b>	Bilateral meetings (WPs 1–8); Participation in conferences and dissemination events; reimbursement travel costs for end users Board (WP9); Steering Committee meetings (WP10)
<b>Equipment</b>	<b>0</b>	
<b>Other goods and services</b>	<b>0</b>	
<b>Overheads</b>	<b>49,050</b>	
<b>Total</b>	<b>245,250</b>	

<b>Participant n. 2 UNIBI</b>	<b>Cost (€)</b>	<b>Justification</b>
<b>Personnel</b>	<b>143,100</b>	
<b>Travel</b>	<b>20,000</b>	Bilateral meetings (WPs 1–8); Participation in conferences and dissemination events (WP9); Steering Committee meetings (WP10)

<b>Equipment</b>	<b>700,00</b>	Notebook (WP1)
<b>Other goods and services</b>	<b>13,032</b>	Assistance for type writing of interviews, the acquisition of literature, the organization of events (WP 3-8); Organisation of YMOBILITY meetings (WP9)
<b>Overheads</b>	<b>44,208</b>	
<b>Total</b>	<b>221,040</b>	

<b>Participant n. 3 UAL</b>	<b>Cost (€)</b>	<b>Justification</b>
<b>Personnel</b>	<b>141,278</b>	
<b>Travel</b>	<b>20,000</b>	Bilateral meetings (WPs 1–8); Participation in conferences and dissemination events (WP9); Steering Committee meetings (WP10)
<b>Equipment</b>	<b>0</b>	
<b>Other goods and services</b>	<b>2,000</b>	Organisation of YMOBILITY meetings (WP9)
<b>Overheads</b>	<b>40,819.50</b>	
<b>Total</b>	<b>204,097.50</b>	

<b>Participant n. 4 UCC</b>	<b>Cost (€)</b>	<b>Justification</b>
<b>Personnel</b>	<b>137,221</b>	
<b>Travel</b>	<b>18,800</b>	Bilateral meetings (WPs 1–8); Participation in conferences and dissemination events (WP9); Steering Committee meetings (WP10)
<b>Equipment</b>	<b>2,500</b>	Laptops, printers, audio recorder for interviews (WP3)
<b>Other goods and services</b>	<b>5,000</b>	Transcription costs (WP3); Organisation of YMOBILITY meetings (WP9)
<b>Overheads</b>	<b>40,880.25</b>	
<b>Total</b>	<b>204,401.25</b>	

<b>Participant n. 5 LU</b>	<b>Cost (€)</b>	<b>Justification</b>
<b>Personnel</b>	<b>99,200</b>	
<b>Travel</b>	<b>20,000</b>	Bilateral meetings (WPs 1–8); Participation in conferences and dissemination events (WP9); Steering Committee meetings (WP10)
<b>Equipment</b>	<b>500,00</b>	Laptop for interviews
<b>Other goods and services</b>	<b>3,500</b>	Purchase of statistical information (WP1); Proof-reading and language-editing of research papers for peer-review journals and organisation of YMOBILITY meetings (WP9)
<b>Overheads</b>	<b>30,800</b>	
<b>Total</b>	<b>154,000</b>	

<b>Participant n. 6 UB</b>	<b>Cost (€)</b>	<b>Justification</b>
<b>Personnel</b>	<b>81,800</b>	
<b>Travel</b>	<b>19,000</b>	Bilateral meetings (WPs 1–8); Participation in conferences and dissemination events (WP9); Steering Committee meetings (WP10)
<b>Equipment</b>	<b>0</b>	None

<b>Other goods and services</b>	<b>8,000</b>	Transcription costs (WP3); Organisation of YMOBILITY meetings (WP9)
<b>Overheads</b>	<b>27,200</b>	
<b>Total</b>	<b>136,000</b>	

<b>Participant n. 7 MIM</b>	<b>Cost (€)</b>	<b>Justification</b>
<b>Personnel</b>	<b>153,318</b>	
<b>Travel</b>	<b>20,000</b>	Bilateral meetings (WPs 1–8); Participation in conferences and dissemination events (WP9); Steering Committee meetings (WP10)
<b>Equipment</b>	<b>0</b>	None
<b>Other goods and services</b>	<b>4,775</b>	Tailor-made statistics to analyse cross-border mobility (WP5); Organisation of YMOBILITY meetings (WP9)
<b>Overheads</b>	<b>44,523.25</b>	
<b>Total</b>	<b>222,616.25</b>	

<b>Participant n. 8 IFSAS</b>	<b>Cost (€)</b>	<b>Justification</b>
<b>Personnel</b>	<b>83,400</b>	
<b>Travel</b>	<b>22,000</b>	Bilateral meetings (WPs 1–); Participation in conferences and dissemination events (WP9); Steering Committee meetings (WP10)
<b>Equipment</b>	<b>3,500</b>	Laptops and printers for data collection and entry of field interviews (WP5)
<b>Other goods and services</b>	<b>4,000</b>	Transcriptions (WP2); Organisation of YMOBILITY meetings (WP9)
<b>Overheads</b>	<b>28,225</b>	
<b>Total</b>	<b>150,325</b>	

<b>Participant n. 9 SURREY</b>	<b>Cost (€)</b>	<b>Justification</b>
<b>Personnel</b>	<b>163,451</b>	
<b>Travel</b>	<b>20,000</b>	Bilateral meetings (WPs 1–8); Participation in conferences and dissemination events (WP9); Steering Committee meetings (WP10)
<b>Equipment</b>	<b>0</b>	None
<b>Other goods and services</b>	<b>5,000</b>	Organisation of YMOBILITY meetings (WP9); Certificate on financial statement (WP10)
<b>Overheads</b>	<b>47,112.75</b>	
<b>Total</b>	<b>351,886.75</b>	

<b>Participant n. 10 US</b>	<b>Cost (€)</b>	<b>Justification</b>
<b>Personnel</b>	<b>145,618</b>	
<b>Travel</b>	<b>20,000</b>	Kick-Off meeting, Steering Committee and project meetings (WP1); bilateral meetings (WPs 2–6); Participation in conferences and dissemination events (WP7)
<b>Equipment</b>	<b>0</b>	None

<b>Other goods and services</b>	<b>14,651</b>	Transcription and casual payroll for interviews (WPs 2–8)
<b>Overheads</b>	<b>45,067.25</b>	
<b>Total</b>	<b>225,336.25</b>	

## 2.3.6 Ethics and Security

### 2.3.6.1 Ethics

#### Introduction

The YMOBILITY project will not involve any intrusive research on humans or animals; it will not involve any collection of sensitive personal data, any tracking and any observation of the participants. It will not involve children, it will not involve vulnerable subjects, and it will not involve any person who will not be able to give an informed consent.

Participation will be entirely voluntary and will respect the articles 3, 8 and 13 of the European Charter of Fundamental Rights. Research activities will include persons in the age range 16–35. All research will follow the codes of ethics of the 10 universities involved in the project.

All YMOBILITY research will be designed and undertaken to ensure “the right to privacy, the right to protection of personal data, the right to the physical and mental integrity of a person, the right to non discrimination”, following article 19 of the Regulation 1291/2013 of the European Parliament and of the Council.

All data will be carefully protected in compliance with relevant national data protection legislation of the EU member states implementing the European directive 95/46/EC.

Data will not be transferred to third countries and commercial exploitation is not allowed.

#### Methods and implementation procedures

The research involves four types of data collection as outlined in the work packages’ description. These are:

- International and national secondary data collection

This will involve collection and analysis of existing EU, OECD, and national (such as labour market survey, household survey) data on youth mobility. Only public sources will be used.

- Large panel survey in 9 countries of migration origin

A large panel online survey will be undertaken. A broadly representative sample will be obtained of the total population, aged 16–35, in each country. This will include both non-migrants and those with migrant experience (currently migrants, or returned migrants). The total target sample size is 30,000 persons.

Surveys will be undertaken by a single international agency, GfK ([www.gfk.com](http://www.gfk.com)), to maximise comparability and quality control. GfK has previously undertaken a number of major surveys and reports for the EU and is accustomed to working with its ethics guidelines. Written confirmation will be provided that GfK’s survey complies with the H2020 ethical standards and guidelines, for both adults and minors. This will be provided by month 6, i.e. before the commencement of WP3.

The samples are undertaken online. They use established, volunteer survey panels. The questionnaire addresses the following issues: previous migration, education and mobility; socio-demographic and economic characteristics; migration personality, including risk tolerance; quality-of-life and identity changes; and future migration and family formation intentions.

All participants are anonymous, and in the data collected are identified only by an ID number. They will not be asked questions that are either embarrassing or likely to cause discomfort or danger of any kind. Data will be kept securely in password-coded files, which only the researchers have access to.

- In-depth interviews with migrants

In-depth interviews will be undertaken with migrants in the destination countries, returned migrants in the countries of origins (in both core and peripheral regions) and non-migrants. The total number of interviewed persons will be 840. The samples will be constructed utilizing multiple “entry points” e.g. community centres, cafes, e-networks, universities, libraries. The entry points will be identified through informal channels – such as associations of foreign citizens –, and through formal channels, such as dedicated services of embassies.

The purpose of the research will be explained to the participants using information sheets, and their consent to participate will be secured via a consent form (but it is understood they may refuse to sign this if they consider that would undermine their anonymity). It will be explained that they can withdraw from the survey at any point. Participants in YMOBILITY will be given an information sheet which describes research procedures and the involvement of the participants; the expected duration of the research; the purposes of the research and the use of the research results; the levels of confidentiality; the measures to protect the data, the duration of the storage of the data and what will happen with the data at the end of the research. The information sheet includes information about the organisation and funding of the research project, and contact details for the researcher who can be contacted at any time to answer pertinent questions about the research and the participant’s rights. The confidentiality of information supplied by participants and their anonymity will be respected (following the Directive 95/46/EC).

The research content will mostly cover their migration histories and future intentions. All informants will remain anonymous and no data will be recorded that allows them to be identified. Data will be kept securely in password-coded files that only the researchers have access to. When the data are eventually made available via open access, care will be taken to remove all possible information that could allow any individual to be identified e.g. place of residence before or after migration, specific workplace information, naming of friends and family, exact dates.

- Experimental research on future intentions

Innovative experimental research methods will be used to understand future migration/staying intentions. Experimental research is typically time-consuming, with each individual experiment requiring 2–3 hours. Samples of 30-50 will be obtained for each country. The experiments will be undertaken using Mouselab-type software loaded onto laptops.

The experiments involve making decisions under experimental conditions about future migrations/staying intentions. There will not be any especially sensitive issues: all data is in response to a series of simulations. The participants will be provided with information sheets, and will sign consent forms. The same procedures used for the in-depth interviews with migrants will be followed. The consent forms will be kept separate from the experimental data. They will be guaranteed anonymity and confidentiality. All data will be kept in password-protected files. The data deposited on open access will not contain any information that breaches anonymity.

### **Ethic committees**

Approvals will be sought from all the ten universities Ethic committees for the proposed research. As the individuals are volunteers, these are expected to be assessed as low risk research. Particular measures will be proposed to ensure such participants are fully informed, and their anonymity is protected.

The ethics approval, information consent and participant agreement documents will all be provided before month 6 from the project starting date, i.e. before the commencement of WP3.



**In summary**

1. All primary collected data will be stored only in anonymised form: this applies to the panel surveys, interviews and experimental data;
2. The files will be password protected;
3. Any data eventually placed on open access for the research community, will have been systematically cleaned of any information (e.g. specific dates, places of residence, workplaces, names of friends or family etc.) that would allow any possible means of identifying the individuals involved;
4. Approvals will be sought from all the ten universities Ethic committees.

**2.3.6.2 Security**

- Activities or results raising security issues: (NO)
- 'EU-classified information' as background or results: (NO)

ESTIMATED BUDGET FOR THE ACTION (page 1 of 2)

	Estimated eligible <sup>1</sup> costs (per budget category)								EU contribution			Additional information			
	A. Direct personnel costs				B. Direct costs of subcontracting	[C. Direct costs of fin. support]	D. Other direct costs	E. Indirect costs <sup>2</sup>	Total costs	Reimbursement rate %	Maximum EU contribution <sup>3</sup>	Maximum grant amount <sup>4</sup>	Information for indirect costs	Information for auditors	Other information:
	A.1 Employees (or equivalent) A.2 Natural persons under direct contract A.3 Seconded persons [A.6 Personnel for providing access to research infrastructure]		A.4 SME owners without salary A.5 Beneficiaries that are natural persons without salary				D.1 Travel D.2 Equipment D.3 Other goods and services D.4 Costs of large research infrastructure					Estimated costs of in-kind contributions not used on premises	Declaration of costs under Point D.4	Estimated costs of beneficiaries/ linked third parties not receiving EU funding	
Form of costs <sup>6</sup>	Actual	Unit <sup>7</sup>	Unit <sup>8</sup>		Actual	Actual	Actual	Flat-rate <sup>9</sup>							
								25%							
	(a)	Total (b)	No hours	Total (c)	(d)	(e)	(f)	(g)=0,25x ((a)+(b)+(c)+(f) +[(h1)+(h2)]-(m))	(i)= (a)+(b)+(c)+(d)+(e)+(f)+(g)+(h1)+(h2)+(h3)	(j)	(k)	(l)	(m)	Yes/No	
1. UNIROMA1	236332.00	0.00			0.00	0.00	32000.00	67083.00	335415.00	100.00	335415.00	335415.00	0.00	No	
- CSI <sup>14</sup>	135700.00	0.00			0.00	0.00	60500.00	49050.00	245250.00	100.00	245250.00	245250.00	0.00	No	
Total beneficiary 1	372032.00	0.00			0.00	0.00	92500.00	116133.00	580665.00		580665.00	580665.00	0.00		
2. UNIBI	143100.00	0.00			0.00	0.00	33732.00	44208.00	221040.00	100.00	221040.00	221040.00	0.00	No	
3. UAL	141278.00	0.00			0.00	0.00	22000.00	40819.50	204097.50	100.00	204097.50	204097.50	0.00	No	
4. UCC	137221.00	0.00			0.00	0.00	26300.00	40880.25	204401.25	100.00	204401.25	204401.25	0.00	No	
5. LU	99200.00	0.00			0.00	0.00	24000.00	30800.00	154000.00	100.00	154000.00	154000.00	0.00	No	
6. UB	81800.00	0.00			0.00	0.00	27000.00	27200.00	136000.00	100.00	136000.00	136000.00	0.00	No	
7. MIM	153318.00	0.00			0.00	0.00	24775.00	44523.25	222616.25	100.00	222616.25	222616.00	0.00	No	
8. IFSAS	83400.00	0.00			9200.00	0.00	29500.00	28225.00	150325.00	100.00	150325.00	150325.00	0.00	No	
9. SURREY	163451.00	0.00			116323.00	0.00	25000.00	47112.75	351886.75	100.00	351886.75	351886.75	0.00	No	
10. US	145618.00	0.00			0.00	0.00	34651.00	45067.25	225336.25	100.00	225336.25	225336.25	0.00	No	
Total consortium	1520418.00	0.00			125523.00	0.00	339458.00	464969.00	2450368.00		2450368.00	2450367.75	0.00		2450368.00

ESTIMATED BUDGET FOR THE ACTION (page 2 of 2)

- (1) See Article 6 for the eligibility conditions
- (2) The indirect costs covered by the operating grant (received under any EU or Euratom funding programme; see Article 6.5.(b)) are ineligible under the GA. Therefore, a beneficiary that receives an operating grant during the action's duration cannot declare indirect costs for the year(s)/reporting period(s) covered by the operating grant (see Article 6.2.E).
- (3) This is the theoretical amount of EU contribution that the system calculates automatically (by multiplying all the budgeted costs by the reimbursement rate). This theoretical amount is capped by the 'maximum grant amount' (that the Commission/Agency decided to grant for the action) (see Article 5.1).
- (4) The 'maximum grant amount' is the maximum grant amount decided by the Commission/Agency. It normally corresponds to the requested grant, but may be lower.
- (5) Depending on its type, this specific cost category will or will not cover indirect costs. Specific unit costs that include indirect costs are: costs for energy efficiency measures in buildings, access costs for providing trans-national access to research infrastructure and costs for clinical studies.
- (6) See Article 5 for the forms of costs
- (7) Unit : hours worked on the action; costs per unit (hourly rate) : calculated according to beneficiary's usual accounting practice
- (8) See Annex 2a 'Additional information on the estimated budget' for the details (costs per hour (hourly rate)).
- (9) Flat rate : 25% of eligible direct costs, from which are excluded: direct costs of subcontracting, costs of in-kind contributions not used on premises, direct costs of financial support, and unit costs declared under budget category F if they include indirect costs
- (10) See Annex 2a 'Additional information on the estimated budget' for the details (units, costs per unit).
- (11) See Annex 2a 'Additional information on the estimated budget' for the details (units, costs per unit, estimated number of units, etc)
- (12) Only specific unit costs that do not include indirect costs
- (13) See Article 9 for beneficiaries not receiving EU funding
- (14) Only for linked third parties that receive EU funding



## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**UNIVERSITAET BIELEFELD (UNIBI )**, STATUTES, established in UNIVERSITAETSSTRASSE 25, BIELEFELD 33615, Germany, DE811307718, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary ('2')**

**in Grant Agreement No 649491 ('the Agreement')**

**between** UNIVERSITA DEGLI STUDI DI ROMA LA SAPIENZA **and** *the Research Executive Agency (REA) ('the Agency'), under the power delegated by the European Commission ('the Commission')*,

**for the action entitled** 'Youth mobility: maximising opportunities for individuals, labour markets and regions in Europe (YMOBILITY)'.

**and mandates**

**the coordinator** to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary



## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**UNIVERSIDAD DE ALMERIA (UAL)**, established in CARRETERA SACRAMENTO CANADA, ALMERIA 04120, Spain, ESQ5450008G, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary ('3')**

**in Grant Agreement No 649491 ('the Agreement')**

**between** UNIVERSITA DEGLI STUDI DI ROMA LA SAPIENZA **and** *the Research Executive Agency (REA) ('the Agency'), under the power delegated by the European Commission ('the Commission')*,

**for the action entitled** 'Youth mobility: maximising opportunities for individuals, labour markets and regions in Europe (YMOBILITY)'.

**and mandates**

**the coordinator** to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary



## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**UNIVERSITY COLLEGE CORK, NATIONAL UNIVERSITY OF IRELAND, CORK (UCC)**,  
CHY1691, established in WESTERN ROAD, CORK, Ireland, IE0006286E, ('the beneficiary'),  
represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary ('4')**

**in Grant Agreement No 649491 ('the Agreement')**

**between** UNIVERSITA DEGLI STUDI DI ROMA LA SAPIENZA **and** *the Research Executive Agency (REA) ('the Agency'), under the power delegated by the European Commission ('the Commission')*,

**for the action entitled** 'Youth mobility: maximising opportunities for individuals, labour markets and regions in Europe (YMOBILITY)'.

**and mandates**

**the coordinator** to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary



## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**LATVIJAS UNIVERSITATE (LU)**, 3341000218, established in RAINIS BOULEVARD 19, RIGA 1586, Latvia, LV90000076669, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary ('5')**

**in Grant Agreement No 649491 ('the Agreement')**

**between** UNIVERSITA DEGLI STUDI DI ROMA LA SAPIENZA **and** *the Research Executive Agency (REA) ('the Agency'), under the power delegated by the European Commission ('the Commission')*,

**for the action entitled** 'Youth mobility: maximising opportunities for individuals, labour markets and regions in Europe (YMOBILITY)'.

**and mandates**

**the coordinator** to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary



## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**UNIVERSITATEA DIN BUCURESTI (UB)**, CF4505502, established in MIHAIL KOGALNICEANU STREET 36-46 SECTOR V, BUCURESTI 050107, Romania, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary ('6')**

**in Grant Agreement No 649491 ('the Agreement')**

**between** UNIVERSITA DEGLI STUDI DI ROMA LA SAPIENZA **and** *the Research Executive Agency (REA) ('the Agency'), under the power delegated by the European Commission ('the Commission')*,

**for the action entitled** 'Youth mobility: maximising opportunities for individuals, labour markets and regions in Europe (YMOBILITY)'.

**and mandates**

**the coordinator** to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary





## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**MALMOE HOEGSKOLA (MALMOE UNIVERSITY) (MIM)**, 2021004920, established in HJALMAREGATAN, MALMOE 20506, Sweden, SE202100492001, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary ('7')**

**in Grant Agreement No 649491 ('the Agreement')**

**between** UNIVERSITA DEGLI STUDI DI ROMA LA SAPIENZA **and** *the Research Executive Agency (REA) ('the Agency'), under the power delegated by the European Commission ('the Commission')*,

**for the action entitled** 'Youth mobility: maximising opportunities for individuals, labour markets and regions in Europe (YMOBILITY)'.

**and mandates**

**the coordinator** to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary



## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**PROGNOSTICKY USTAV SLOVENSKEJ AKADEMIE VIED (IFSAS )**, 00596795, established in SANCOVA 56, BRATISLAVA 811 05, Slovakia, SK2021299467, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary ('8')**

**in Grant Agreement No 649491 ('the Agreement')**

**between** UNIVERSITA DEGLI STUDI DI ROMA LA SAPIENZA **and** *the Research Executive Agency (REA) ('the Agency'), under the power delegated by the European Commission ('the Commission')*,

**for the action entitled** 'Youth mobility: maximising opportunities for individuals, labour markets and regions in Europe (YMOBILITY)'.

**and mandates**

**the coordinator** to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary



## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**UNIVERSITY OF SURREY (SURREY)** GB22, RC000671, established in Stag Hill, GUILDFORD GU2 7XH, United Kingdom, GB688953065, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary ('9')**

**in Grant Agreement No 649491 ('the Agreement')**

**between** UNIVERSITA DEGLI STUDI DI ROMA LA SAPIENZA **and** *the Research Executive Agency (REA) ('the Agency'), under the power delegated by the European Commission ('the Commission'),*

**for the action entitled** 'Youth mobility: maximising opportunities for individuals, labour markets and regions in Europe (YMOBILITY)'.

**and mandates**

**the coordinator** to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary



## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**UNIVERSITY OF SUSSEX (US)**, RC000672, established in Sussex House, FALMER, BRIGHTON BN1 9RH, United Kingdom, GB692712320, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary ('10')**

**in Grant Agreement No 649491 ('the Agreement')**

**between** UNIVERSITA DEGLI STUDI DI ROMA LA SAPIENZA **and** *the Research Executive Agency (REA) ('the Agency'), under the power delegated by the European Commission ('the Commission')*,

**for the action entitled** 'Youth mobility: maximising opportunities for individuals, labour markets and regions in Europe (YMOBILITY)'.

**and mandates**

**the coordinator** to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

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landscape

MODEL ANNEX 4 FOR H2020 GENERAL MGA — MULTI

FINANCIAL STATEMENT FOR [BENEFICIARY [name]/ LINKED THIRD PARTY [name]] FOR REPORTING PERIOD [reporting period]

	Eligible <sup>1</sup> costs (per budget category)												Receipts	EU contribution			Additional information	
	A. Direct personnel costs				B. Direct costs of subcontracting	[C. Direct costs of fin. support]	D. Other direct costs		E. Indirect costs <sup>2</sup>				Total costs	Receipts	Reimbursement rate %	Maximum EU contribution <sup>3</sup>	Requested EU contribution	Information for indirect costs :  Costs of in-kind contributions not used on premises
	A.1 Employees (or equivalent)		A.4 SME owners without salary				D.1 Travel	[D.4 Costs of large research infrastructure]		[F.1 Costs of ...]			Receipts of the action, to be reported in the last reporting period, according to Article 5.3.3					
	A.2 Natural persons under direct contract		A.5 Beneficiaries that are natural persons without salary				D.2 Equipment											
A.3 Seconded persons						D.3 Other goods and services												
Form of costs <sup>4</sup>	Actual	Unit	Unit		Actual	Actual	Actual	Actual	Flat-rate <sup>5</sup>	Unit		Unit						
									25%									
	a	Total b	No hours	Total c	d	[e]	f	[g]	h=0,25 x (a+b+c+f+[g] + [i1] <sup>6</sup> +[i2] <sup>6</sup> - o)	No units	Total [i1]	Total [i2]	j = a+b+c+d+[e] +f+[g] +h+[i1] +[i2]	k	l	m	n	o
[short name beneficiary/linked third party]																		

The beneficiary/linked third party hereby confirms that:  
The information provided is complete, reliable and true.  
The costs declared are eligible (see Article 6).  
The costs can be substantiated by adequate records and supporting documentation that will be produced upon request or in the context of checks, reviews, audits and investigations (see Articles 17, 18 and 22).  
For the last reporting period: that all the receipts have been declared (see Article 5.3.3).

Please declare all eligible costs, even if they exceed the amounts indicated in the estimated budget (see Annex 2). Only amounts that were declared in your individual financial statements can be taken into account lateron, in order to replace other costs that are found to be ineligible.

<sup>1</sup> See Article 6 for the eligibility conditions

<sup>2</sup> The indirect costs claimed must be free of any amounts covered by an operating grant (received under any EU or Euratom funding programme; see Article 6.2.E). If you have received an operating grant during this reporting period, you cannot claim any indirect costs.

<sup>3</sup> This is the *theoretical* amount of EU contribution that the system calculates automatically (by multiplying the reimbursement rate by the total costs declared). The amount you request (in the column 'requested EU contribution') may have to be less (e.g. if you and the other beneficiaries are above budget, if the 90% limit (see Article 21) is reached, etc).

<sup>4</sup> See Article 5 for the form of costs

<sup>5</sup> Flat rate : 25% of eligible direct costs, from which are excluded: direct costs of subcontracting, costs of in-kind contributions not used on premises, direct costs of financial support, and unit costs declared under budget category F if they include indirect costs (see Article 6.2.E)

<sup>6</sup> Only specific unit costs that do not include indirect costs

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

## ANNEX 5

### MODEL FOR THE CERTIFICATE ON THE FINANCIAL STATEMENTS

- For options [*in italics in square brackets*]: choose the applicable option. Options not chosen should be deleted.
- For fields in [grey in square brackets]: enter the appropriate data

## TABLE OF CONTENTS

TERMS OF REFERENCE FOR AN INDEPENDENT REPORT OF FACTUAL FINDINGS ON COSTS DECLARED UNDER A GRANT AGREEMENT FINANCED UNDER THE HORIZON 2020 RESEARCH FRAMEWORK PROGRAMME.....	2
INDEPENDENT REPORT OF FACTUAL FINDINGS ON COSTS DECLARED UNDER A GRANT AGREEMENT FINANCED UNDER THE HORIZON 2020 RESEARCH FRAMEWORK PROGRAMME .....	7

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

**Terms of Reference for an Independent Report of Factual Findings on costs declared under a Grant Agreement financed under the Horizon 2020 Research and Innovation Framework Programme**

This document sets out the ‘**Terms of Reference (ToR)**’ under which

[OPTION 1: [insert name of the beneficiary] (*‘the Beneficiary’*)] [OPTION 2: [insert name of the linked third party] (*‘the Linked Third Party’*), third party linked to the Beneficiary [insert name of the beneficiary] (*‘the Beneficiary’*)]

agrees to engage

[insert legal name of the auditor] (*‘the Auditor’*)

to produce an independent report of factual findings (*‘the Report’*) concerning the Financial Statement(s)<sup>1</sup> drawn up by the [Beneficiary] [Linked Third Party] for the Horizon 2020 grant agreement [insert number of the grant agreement, title of the action, acronym and duration from/to] (*‘the Agreement’*), and

to issue a Certificate on the Financial Statements’ (*‘CFS’*) referred to in Article 20.4 of the Agreement based on the compulsory reporting template stipulated by the Commission.

The Agreement has been concluded under the Horizon 2020 Research and Innovation Framework Programme (H2020) between the Beneficiary and [OPTION 1: *the European Union, represented by the European Commission (‘the Commission’)*][OPTION 2: *the European Atomic Energy Community (Euratom,) represented by the European Commission (‘the Commission’)*][OPTION 3: *the [Research Executive Agency (REA)] [European Research Council Executive Agency (ERCEA)] [Innovation and Networks Executive Agency (INEA)] [Executive Agency for Small and Medium-sized Enterprises (EASME)] (‘the Agency’), under the powers delegated by the European Commission (‘the Commission’).*]

<sup>1</sup> By which costs under the Agreement are declared (see template ‘Model Financial Statements’ in Annex 4 to the Grant Agreement).

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

The *[Commission]* *[Agency]* is mentioned as a signatory of the Agreement with the Beneficiary only.  
The *[European Union]**[Euratom]**[Agency]* is not a party to this engagement.

### 1.1 Subject of the engagement

The coordinator must submit to the *[Commission]**[Agency]* the final report within 60 days following the end of the last reporting period which should include, amongst other documents, a CFS for each beneficiary and for each linked third party that requests a total contribution of EUR 325 000 or more, as reimbursement of actual costs and unit costs calculated on the basis of its usual cost accounting practices (see Article 20.4 of the Agreement). The CFS must cover all reporting periods of the beneficiary or linked third party indicated above.

The Beneficiary must submit to the coordinator the CFS for itself and for its linked third party(ies), if the CFS must be included in the final report according to Article 20.4 of the Agreement..

The CFS is composed of two separate documents:

- The Terms of Reference ('the ToR') to be signed by the *[Beneficiary]* *[Linked Third Party]* and the Auditor;
- The Auditor's Independent Report of Factual Findings ('the Report') to be issued on the Auditor's letterhead, dated, stamped and signed by the Auditor (or the competent public officer) which includes the agreed-upon procedures ('the Procedures') to be performed by the Auditor, and the standard factual findings ('the Findings') to be confirmed by the Auditor.

If the CFS must be included in the final report according to Article 20.4 of the Agreement, the request for payment of the balance relating to the Agreement cannot be made without the CFS. However, the payment for reimbursement of costs covered by the CFS does not preclude the *[Commission]*,*[Agency]*, the European Anti-Fraud Office and the European Court of Auditors from carrying out checks, reviews, audits and investigations in accordance with Article 22 of the Agreement.

### 1.2 Responsibilities

The *[Beneficiary]* *[Linked Third Party]*:



H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

- must draw up the Financial Statement(s) for the action financed by the Agreement in compliance with the obligations under the Agreement. The Financial Statement(s) must be drawn up according to the *[Beneficiary's] [Linked Third Party's]* accounting and book-keeping system and the underlying accounts and records;
- must send the Financial Statement(s) to the Auditor;
- is responsible and liable for the accuracy of the Financial Statement(s);
- is responsible for the completeness and accuracy of the information provided to enable the Auditor to carry out the Procedures. It must provide the Auditor with a written representation letter supporting these statements. The written representation letter must state the period covered by the statements and must be dated;
- accepts that the Auditor cannot carry out the Procedures unless it is given full access to the *[Beneficiary's] [Linked Third Party's]* staff and accounting as well as any other relevant records and documentation.

The Auditor:

- *[Option 1 by default: is qualified to carry out statutory audits of accounting documents in accordance with Directive 2006/43/EC of the European Parliament and of the Council of 17 May 2006 on statutory audits of annual accounts and consolidated accounts, amending Council Directives 78/660/EEC and 83/349/EEC and repealing Council Directive 84/253/EEC or similar national regulations].*
- *[Option 2 if the Beneficiary or Linked Third Party has an independent Public Officer: is a competent and independent Public Officer for which the relevant national authorities have established the legal capacity to audit the Beneficiary].*
- *[Option 3 if the Beneficiary or Linked Third Party is an international organisation: is an [internal] [external] auditor in accordance with the internal financial regulations and procedures of the international organisation].*

The Auditor:

- must be independent from the Beneficiary *[and the Linked Third Party]*, in particular, it must not have been involved in preparing the *[Beneficiary's] [Linked Third Party's]* Financial Statement(s);
- must plan work so that the Procedures may be carried out and the Findings may be assessed;
- must adhere to the Procedures laid down and the compulsory report format;
- must carry out the engagement in accordance with this ToR;
- must document matters which are important to support the Report;
- must base its Report on the evidence gathered;
- must submit the Report to the *[Beneficiary] [Linked Third Party]*.

The Commission sets out the Procedures to be carried out by the Auditor. The Auditor is not responsible for their suitability or pertinence. As this engagement is not an assurance engagement, the Auditor does not provide an audit opinion or a statement of assurance.

### 1.3 Applicable Standards

## H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

The Auditor must comply with these Terms of Reference and with<sup>2</sup>:

- the International Standard on Related Services ('ISRS') 4400 *Engagements to perform Agreed-upon Procedures regarding Financial Information* as issued by the International Auditing and Assurance Standards Board (IAASB);
- the *Code of Ethics for Professional Accountants* issued by the International Ethics Standards Board for Accountants (IESBA). Although ISRS 4400 states that independence is not a requirement for engagements to carry out agreed-upon procedures, the [Commission][Agency] requires that the Auditor also complies with the Code's independence requirements.

The Auditor's Report must state that there is no conflict of interests in establishing this Report between the Auditor and the Beneficiary *[and the Linked Third Party]*, and must specify - if the service is invoiced - the total fee paid to the Auditor for providing the Report.

### 1.4 Reporting

The Report must be written in the language of the Agreement (see Article 20.7).

Under Article 22 of the Agreement, the [Commission] [Agency], the European Anti-Fraud Office and the Court of Auditors have the right to audit any work that is carried out under the action and for which costs are declared from [the European Union] [Euratom] budget. This includes work related to this engagement. The Auditor must provide access to all working papers (e.g. recalculation of hourly rates, verification of the time declared for the action) related to this assignment if the [Commission] [Agency], the European Anti-Fraud Office or the European Court of Auditors requests them.

### 1.5 Timing

The Report must be provided by [dd Month yyyy].

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<sup>2</sup> Supreme Audit Institutions applying INTOSAI-standards may carry out the Procedures according to the corresponding International Standards of Supreme Audit Institutions and code of ethics issued by INTOSAI instead of the International Standard on Related Services ('ISRS') 4400 and the Code of Ethics for Professional Accountants issued by the IAASB and the IESBA.

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

## 1.6 Other terms

*[The [Beneficiary] [Linked Third Party] and the Auditor can use this section to agree other specific terms, such as the Auditor's fees, liability, applicable law, etc. Those specific terms must not contradict the terms specified above.]*

[legal name of the Auditor]

[legal name of the [Beneficiary][Linked Third Party]]

[name & function of authorised representative] [name & function of authorised representative]

[dd Month yyyy]

[dd Month yyyy]

Signature of the Auditor

Signature of the [Beneficiary][Linked Third Party]

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

**Independent Report of Factual Findings on costs declared under Horizon 2020 Research and  
Innovation Framework Programme**

*(To be printed on the Auditor's letterhead)*

To

[ name of contact person(s)], [Position]

[ *Beneficiary's* *Linked Third Party's* name ]

[ Address]

[ dd Month yyyy]

Dear [Name of contact person(s)],

As agreed under the terms of reference dated [dd Month yyyy]

with [OPTION 1: *insert name of the beneficiary*] ('the Beneficiary')] [OPTION 2: *insert name of the  
linked third party*] ('the Linked Third Party'), third party linked to the Beneficiary [*insert name of the  
beneficiary*] ('the Beneficiary'),

we

[name of the auditor] ('the Auditor'),

established at

[full address/city/state/province/country],

represented by

[name and function of an authorised representative],

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

have carried out the procedures agreed with you regarding the costs declared in the Financial Statement(s)<sup>3</sup> of the [Beneficiary] [Linked Third Party] concerning the grant agreement

[insert grant agreement reference: number, title of the action and acronym] ('the Agreement'),

with a total cost declared of

[total amount] EUR,

and a total of actual costs and 'direct personnel costs declared as unit costs calculated in accordance with the [Beneficiary's] [Linked Third Party's] usual cost accounting practices' declared of

[sum of total actual costs and total direct personnel costs declared as unit costs calculated in accordance with the [Beneficiary's] [Linked Third Party's] usual cost accounting practices] EUR

and **hereby provide our Independent Report of Factual Findings ('the Report')** using the compulsory report format agreed with you.

### **The Report**

Our engagement was carried out in accordance with the terms of reference ('the ToR') appended to this Report. The Report includes the agreed-upon procedures ('the Procedures') carried out and the standard factual findings ('the Findings') examined.

The Procedures were carried out solely to assist the [Commission] [Agency] in evaluating whether the [Beneficiary's] [Linked Third Party's] costs in the accompanying Financial Statement(s) were declared in accordance with the Agreement. The [Commission] [Agency] draws its own conclusions from the Report and any additional information it may require.

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<sup>3</sup> By which the Beneficiary declares costs under the Agreement (see template 'Model Financial Statement' in Annex 4 to the Agreement).

## H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

The scope of the Procedures was defined by the Commission. Therefore, the Auditor is not responsible for their suitability or pertinence. Since the Procedures carried out constitute neither an audit nor a review made in accordance with International Standards on Auditing or International Standards on Review Engagements, the Auditor does not give a statement of assurance on the Financial Statements.

Had the Auditor carried out additional procedures or an audit of the *[Beneficiary's] [Linked Third Party's]* Financial Statements in accordance with International Standards on Auditing or International Standards on Review Engagements, other matters might have come to its attention and would have been included in the Report.

### **Not applicable Findings**

We examined the Financial Statement(s) stated above and considered the following Findings not applicable:

*Explanation (to be removed from the Report):*

*If a Finding was not applicable, it must be marked as 'N.A.' ('Not applicable') in the corresponding row on the right-hand column of the table and means that the Finding did not have to be corroborated by the Auditor and the related Procedure(s) did not have to be carried out.*

*The reasons of the non-application of a certain Finding must be obvious i.e.*

- i) if no cost was declared under a certain category then the related Finding(s) and Procedure(s) are not applicable;*
- ii) if the condition set to apply certain Procedure(s) are not met the related Finding(s) and those Procedure(s) are not applicable. For instance, for 'beneficiaries with accounts established in a currency other than euro' the Procedure and Finding related to 'beneficiaries with accounts established in euro' are not applicable. Similarly, if no additional remuneration is paid, the related Finding(s) and Procedure(s) for additional remuneration are not applicable.*

**List here all Findings considered not applicable for the present engagement and explain the reasons of the non-applicability.**

....

### **Exceptions**

Apart from the exceptions listed below, the *[Beneficiary] [Linked Third Party]* provided the Auditor all the documentation and accounting information needed by the Auditor to carry out the requested Procedures and evaluate the Findings.

## H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

### Explanation (to be removed from the Report):

- If the Auditor was not able to successfully complete a procedure requested, it must be marked as 'E' ('Exception') in the corresponding row on the right-hand column of the table. The reason such as the inability to reconcile key information or the unavailability of data that prevents the Auditor from carrying out the Procedure must be indicated below.
- If the Auditor cannot corroborate a standard finding after having carried out the corresponding procedure, it must also be marked as 'E' ('Exception') and, where possible, the reasons why the Finding was not fulfilled and its possible impact must be explained here below.

**List here any exceptions and add any information on the cause and possible consequences of each exception, if known. If the exception is quantifiable, include the corresponding amount.**

....

### Example (to be removed from the Report):

1. The Beneficiary was unable to substantiate the Finding number 1 on ... because ....
2. Finding number 30 was not fulfilled because the methodology used by the Beneficiary to calculate unit costs was different from the one approved by the Commission. The differences were as follows: ...
3. After carrying out the agreed procedures to confirm the Finding number 31, the Auditor found a difference of \_\_\_\_\_ EUR. The difference can be explained by ...

### Further Remarks

In addition to reporting on the results of the specific procedures carried out, the Auditor would like to make the following general remarks:

### Example (to be removed from the Report):

1. Regarding Finding number 8 the conditions for additional remuneration were considered as fulfilled because ...
2. In order to be able to confirm the Finding number 15 we carried out the following additional procedures: ....

### Use of this Report

This Report may be used only for the purpose described in the above objective. It was prepared solely for the confidential use of the [Beneficiary] [Linked Third Party] and the [Commission] [Agency], and only to be submitted to the [Commission] [Agency] in connection with the requirements set out in Article 20.4 of the Agreement. The Report may not be used by the [Beneficiary] [Linked Third Party] or by the [Commission] [Agency] for any other purpose, nor may it

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

be distributed to any other parties. The [Commission] [Agency] may only disclose the Report to authorised parties, in particular to the European Anti-Fraud Office (OLAF) and the European Court of Auditors.

This Report relates only to the Financial Statement(s) submitted to the [Commission] [Agency] by the [Beneficiary] [Linked Third Party] for the Agreement. Therefore, it does not extend to any other of the [Beneficiary's] [Linked Third Party's] Financial Statement(s).

There was no conflict of interest<sup>4</sup> between the Auditor and the Beneficiary [and Linked Third Party] in establishing this Report. The total fee paid to the Auditor for providing the Report was EUR [ ] (including EUR [ ] of deductible VAT).

We look forward to discussing our Report with you and would be pleased to provide any further information or assistance.

[legal name of the Auditor]

[name and function of an authorised representative]

[dd Month yyyy]

Signature of the Auditor

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<sup>4</sup> A conflict of interest arises when the Auditor's objectivity to establish the certificate is compromised in fact or in appearance when the Auditor for instance:

- was involved in the preparation of the Financial Statements;
- stands to benefit directly should the certificate be accepted;
- has a close relationship with any person representing the beneficiary;
- is a director, trustee or partner of the beneficiary; or
- is in any other situation that compromises his or her independence or ability to establish the certificate impartially.



**Agreed-upon procedures to be performed and standard factual findings to be confirmed by the Auditor**

The European Commission reserves the right to i) provide the auditor with additional guidance regarding the procedures to be followed or the facts to be ascertained and the way in which to present them (this may include sample coverage and findings) or to ii) change the procedures, by notifying the Beneficiary in writing. The procedures carried out by the auditor to confirm the standard factual finding are listed in the table below.

If this certificate relates to a Linked Third Party, any reference here below to 'the Beneficiary' is to be considered as a reference to 'the Linked Third Party'.

The 'result' column has three different options: 'C', 'E' and 'N.A.':

- 'C' stands for 'confirmed' and means that the auditor can confirm the 'standard factual finding' and, therefore, there is no exception to be reported.
- 'E' stands for 'exception' and means that the Auditor carried out the procedures but cannot confirm the 'standard factual finding', or that the Auditor was not able to carry out a specific procedure (e.g. because it was impossible to reconcile key information or data were unavailable),
- 'N.A.' stands for 'not applicable' and means that the Finding did not have to be examined by the Auditor and the related Procedure(s) did not have to be carried out. The reasons of the non-application of a certain Finding must be obvious i.e. i) if no cost was declared under a certain category then the related Finding(s) and Procedure(s) are not applicable; ii) if the condition set to apply certain Procedure(s) are not met then the related Finding(s) and Procedure(s) are not applicable. For instance, for 'beneficiaries with accounts established in a currency other than the euro' the Procedure related to 'beneficiaries with accounts established in euro' is not applicable. Similarly, if no additional remuneration is paid, the related Finding(s) and Procedure(s) for additional remuneration are not applicable.

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
A	ACTUAL PERSONNEL COSTS AND UNIT COSTS CALCULATED BY THE BENEFICIARY IN ACCORDANCE WITH ITS USUAL COST ACCOUNTING PRACTICE		

## H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>The Auditor draws a sample of persons whose costs were declared in the Financial Statement(s) to carry out the procedures indicated in the consecutive points of this section A.</p> <p><i>(The sample should be selected randomly so that it is representative. Full coverage is required if there are fewer than 10 people (including employees, natural persons working under a direct contract and personnel seconded by a third party), otherwise the sample should have a minimum of 10 people, or 10% of the total, whichever number is the highest)</i></p> <p>The Auditor sampled [ ] people out of the total of [ ] people.</p>		
A.1	<p><b>PERSONNEL COSTS</b></p> <p><u>For the persons included in the sample and working under an employment contract or equivalent act (general procedures for individual actual personnel costs and personnel costs declared as unit costs)</u></p> <p>To confirm standard factual findings 1-5 listed in the next column, the Auditor reviewed following information/documents provided by the Beneficiary:</p> <ul style="list-style-type: none"> <li>○ a list of the persons included in the sample indicating the period(s) during which they worked for the action, their position (classification or category) and type of contract;</li> <li>○ the payslips of the employees included in the sample;</li> <li>○ reconciliation of the personnel costs declared in the Financial Statement(s) with the accounting system (project accounting and general ledger) and payroll system;</li> <li>○ information concerning the employment status and employment conditions of personnel included in the sample, in particular their employment contracts or equivalent;</li> </ul>	1) The employees were i) directly hired by the Beneficiary in accordance with its national legislation, ii) under the Beneficiary's sole technical supervision and responsibility and iii) remunerated in accordance with the Beneficiary's usual practices.	
		2) Personnel costs were recorded in the Beneficiary's accounts/payroll system.	
		3) Costs were adequately supported and reconciled with the accounts and payroll	

## H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> <li>the Beneficiary's usual policy regarding payroll matters (e.g. salary policy, overtime policy, variable pay);</li> <li>applicable national law on taxes, labour and social security and</li> <li>any other document that supports the personnel costs declared.</li> </ul> <p>The Auditor also verified the eligibility of all components of the retribution (see Article 6 GA) and recalculated the personnel costs for employees included in the sample.</p>	records.	
		4) Personnel costs did not contain any ineligible elements.	
		5) There were no discrepancies between the personnel costs charged to the action and the costs recalculated by the Auditor.	
	<p><i>Further procedures if 'additional remuneration' is paid</i></p> <p>To confirm standard factual findings 6-9 listed in the next column, the Auditor:</p> <ul style="list-style-type: none"> <li>reviewed relevant documents provided by the Beneficiary (legal form, legal/statutory obligations, the Beneficiary's usual policy on additional remuneration, criteria used for its calculation...);</li> <li>recalculated the amount of additional remuneration eligible for the action based on the supporting documents received (full-time or part-time work, exclusive or non-exclusive dedication to the action, etc.) to arrive at the applicable FTE/year and pro-rata rate (see data collected in the course of carrying out the procedures under A.2 'Productive hours' and A.4 'Time recording system').</li> </ul>	6) The Beneficiary paying "additional remuneration" was a non-profit legal entity.	
		7) The amount of additional remuneration paid corresponded to the Beneficiary's usual remuneration practices and was consistently paid whenever the same kind of work or expertise was required.	

## H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p><i>IF ANY PART OF THE REMUNERATION PAID TO THE EMPLOYEE IS NOT MANDATORY ACCORDING TO THE NATIONAL LAW OR THE EMPLOYMENT CONTRACT ("ADDITIONAL REMUNERATION") AND IS ELIGIBLE UNDER THE PROVISIONS OF ARTICLE 6.2.A.1, THIS CAN BE CHARGED AS ELIGIBLE COST TO THE ACTION UP TO THE FOLLOWING AMOUNT:</i></p> <p>(A) <i>IF THE PERSON WORKS FULL TIME AND EXCLUSIVELY ON THE ACTION DURING THE FULL YEAR: UP TO EUR 8 000/YEAR;</i></p> <p>(B) <i>IF THE PERSON WORKS EXCLUSIVELY ON THE ACTION BUT NOT FULL-TIME OR NOT FOR THE FULL YEAR: UP TO THE CORRESPONDING PRO-RATA AMOUNT OF EUR 8 000, OR</i></p> <p>(C) <i>IF THE PERSON DOES NOT WORK EXCLUSIVELY ON THE ACTION: UP TO A PRO-RATA AMOUNT CALCULATED IN ACCORDANCE TO ARTICLE 6.2.A.1.</i></p>	8) The criteria used to calculate the additional remuneration were objective and generally applied by the Beneficiary regardless of the source of funding used.	
		9) The amount of additional remuneration included in the personnel costs charged to the action was capped at EUR 8,000 per FTE/year (up to the equivalent pro-rata amount if the person did not work on the action full-time during the year or did not work exclusively on the action).	
	<p><i>Additional procedures in case “unit costs calculated by the Beneficiary in accordance with its usual cost accounting practices” is applied:</i></p> <p>Apart from carrying out the procedures indicated above to confirm standard factual findings 1-5 and, if applicable, also 6-9, the Auditor carried out following procedures to confirm standard factual findings 10-13 listed in the next column:</p>	10) The personnel costs included in the Financial Statement were calculated in accordance with the Beneficiary's usual cost accounting practice. This methodology was consistently used in all H2020 actions.	

## H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> <li>obtained a description of the Beneficiary's usual cost accounting practice to calculate unit costs;</li> <li>reviewed whether the Beneficiary's usual cost accounting practice was applied for the Financial Statements subject of the present CFS;</li> <li>verified the employees included in the sample were charged under the correct category (in accordance with the criteria used by the Beneficiary to establish personnel categories) by reviewing the contract/HR-record or analytical accounting records;</li> <li>verified that there is no difference between the total amount of personnel costs used in calculating the cost per unit and the total amount of personnel costs recorded in the statutory accounts;</li> <li>verified whether actual personnel costs were adjusted on the basis of budgeted or estimated elements and, if so, verified whether those elements used are actually relevant for the calculation, objective and supported by documents.</li> </ul>	11) The employees were charged under the correct category.	
		12) Total personnel costs used in calculating the unit costs were consistent with the expenses recorded in the statutory accounts.	
		13) Any estimated or budgeted element used by the Beneficiary in its unit-cost calculation were relevant for calculating personnel costs and corresponded to objective and verifiable information.	
	<p><u>For natural persons included in the sample and working with the Beneficiary under a direct contract other than an employment contract, such as consultants (no subcontractors).</u></p> <p>To confirm standard factual findings 14-18 listed in the next column the Auditor reviewed following information/documents provided by the Beneficiary:</p> <ul style="list-style-type: none"> <li>the contracts, especially the cost, contract duration, work description, place of work, ownership of the results and reporting obligations to the Beneficiary;</li> </ul>	14) The natural persons reported to the Beneficiary (worked under the Beneficiary's instructions).	
		15) They worked on the Beneficiary's premises (unless otherwise agreed with the Beneficiary).	

## H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> <li>the employment conditions of staff in the same category to compare costs and;</li> <li>any other document that supports the costs declared and its registration (e.g. invoices, accounting records, etc.).</li> </ul>	16) The results of work carried out belong to the Beneficiary.	
		17) Their costs were not significantly different from those for staff who performed similar tasks under an employment contract with the Beneficiary.	
		18) The costs were supported by audit evidence and registered in the accounts.	
	<p><u>For personnel seconded by a third party and included in the sample (not subcontractors)</u></p> <p>To confirm standard factual findings 19-22 listed in the next column, the Auditor reviewed following information/documents provided by the Beneficiary:</p> <ul style="list-style-type: none"> <li>their secondment contract(s) notably regarding costs, duration, work description, place of work and ownership of the results;</li> <li>if there is reimbursement by the Beneficiary to the third party for the resource made available (in-kind contribution against payment): any documentation that supports the costs declared (e.g. contract, invoice, bank payment, and proof of registration in its accounting/payroll, etc.) and reconciliation of the Financial Statement(s) with the accounting system (project accounting and general ledger) as well as any proof that the amount invoiced by the third party did not include any profit;</li> </ul>	19) Seconded personnel reported to the Beneficiary and worked on the Beneficiary's premises (unless otherwise agreed with the Beneficiary).	
		20) The results of work carried out belong to the Beneficiary.	
		<p><i>If personnel is seconded against payment:</i></p> <p>21) The costs declared were supported with documentation and recorded in the</p>	

## H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> <li>○ if there is no reimbursement by the Beneficiary to the third party for the resource made available (in-kind contribution free of charge): a proof of the actual cost borne by the Third Party for the resource made available free of charge to the Beneficiary such as a statement of costs incurred by the Third Party and proof of the registration in the Third Party's accounting/payroll;</li> <li>○ any other document that supports the costs declared (e.g. invoices, etc.).</li> </ul>	<p>Beneficiary's accounts. The third party did not include any profit.</p> <p><i>If personnel is seconded free of charge:</i></p> <p>22) The costs declared did not exceed the third party's cost as recorded in the accounts of the third party and were supported with documentation.</p>	
<b>A.2</b>	<p><b>PRODUCTIVE HOURS</b></p> <p>To confirm standard factual findings 23-28 listed in the next column, the Auditor reviewed relevant documents, especially national legislation, labour agreements and contracts and time records of the persons included in the sample, to verify that:</p> <ul style="list-style-type: none"> <li>○ the annual productive hours applied were calculated in accordance with one of the methods described below,</li> <li>○ the full-time equivalent (FTEs) ratios for employees not working full-time were correctly calculated.</li> </ul>	<p>23) The Beneficiary applied method <i>[choose one option and delete the others]</i></p> <p><b>[A: 1720 hours]</b></p> <p><b>[B: the 'total number of hours worked']</b></p> <p><b>[C: 'annual productive hours' used correspond to usual accounting practices]</b></p>	

## H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>If the Beneficiary applied method B, the auditor verified that the correctness in which the total number of hours worked was calculated and that the contracts specified the annual workable hours.</p> <p>If the Beneficiary applied method C, the auditor verified that the ‘annual productive hours’ applied when calculating the hourly rate were equivalent to at least 90 % of the ‘standard annual workable hours’. The Auditor can only do this if the calculation of the standard annual workable hours can be supported by records, such as national legislation, labour agreements, and contracts.</p> <p><i>BENEFICIARY’S PRODUCTIVE HOURS’ FOR PERSONS WORKING FULL TIME SHALL BE ONE OF THE FOLLOWING METHODS:</i></p> <p><b>A. 1720 ANNUAL PRODUCTIVE HOURS (PRO-RATA FOR PERSONS NOT WORKING FULL-TIME)</b></p> <p><b>B. THE TOTAL NUMBER OF HOURS WORKED BY THE PERSON FOR THE BENEFICIARY IN THE YEAR (THIS METHOD IS ALSO REFERRED TO AS ‘TOTAL NUMBER OF HOURS WORKED’ IN THE NEXT COLUMN). THE CALCULATION OF THE TOTAL NUMBER OF HOURS WORKED WAS DONE AS FOLLOWS: ANNUAL WORKABLE HOURS OF THE PERSON ACCORDING TO THE EMPLOYMENT CONTRACT, APPLICABLE LABOUR AGREEMENT OR NATIONAL LAW PLUS OVERTIME WORKED MINUS ABSENCES (SUCH AS SICK LEAVE OR SPECIAL LEAVE).</b></p>	24) Productive hours were calculated annually.	
		25) For employees not working full-time the full-time equivalent (FTE) ratio was correctly applied.	
		<p><i>If the Beneficiary applied method B.</i></p> <p>26) The calculation of the number of ‘annual workable hours’, overtime and absences was verifiable based on the documents provided by the Beneficiary.</p>	
		<p><i>If the Beneficiary applied method C.</i></p> <p>27) The calculation of the number of ‘standard annual workable hours’ was verifiable based on the documents provided by the Beneficiary.</p>	



## H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p><i>C. THE STANDARD NUMBER OF ANNUAL HOURS GENERALLY APPLIED BY THE BENEFICIARY FOR ITS PERSONNEL IN ACCORDANCE WITH ITS USUAL COST ACCOUNTING PRACTICES (THIS METHOD IS ALSO REFERRED TO AS 'TOTAL ANNUAL PRODUCTIVE HOURS' IN THE NEXT COLUMN). THIS NUMBER MUST BE AT LEAST 90% OF THE STANDARD ANNUAL WORKABLE HOURS.</i></p> <p><i>'ANNUAL WORKABLE HOURS' MEANS THE PERIOD DURING WHICH THE PERSONNEL MUST BE WORKING, AT THE EMPLOYER'S DISPOSAL AND CARRYING OUT HIS/HER ACTIVITY OR DUTIES UNDER THE EMPLOYMENT CONTRACT, APPLICABLE COLLECTIVE LABOUR AGREEMENT OR NATIONAL WORKING TIME LEGISLATION.</i></p>	28) The 'annual productive hours' used for calculating the hourly rate were consistent with the usual cost accounting practices of the Beneficiary and were equivalent to at least 90 % of the 'annual workable hours'.	
<b>A.3</b>	<p><b>HOURLY PERSONNEL RATES</b></p> <p><u>I) For unit costs calculated in accordance to the Beneficiary's usual cost accounting practice (unit costs):</u></p> <p>If the Beneficiary has a "Certificate on Methodology to calculate unit costs " (CoMUC) approved by the Commission, the Beneficiary provides the Auditor with a description of the approved methodology and the Commission's letter of acceptance. The Auditor verified that the Beneficiary has indeed used the methodology approved. If so, no further verification is necessary.</p> <p>If the Beneficiary does not have a "Certificate on Methodology" (CoMUC) approved by the</p>	<p>29) The Beneficiary applied [choose one option and delete the other]:</p> <p>[Option I: "Unit costs (hourly rates) were calculated in accordance with the Beneficiary's usual cost accounting practices"]</p> <p>[Option II: Individual hourly rates were applied]</p>	

## H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>Commission, or if the methodology approved was not applied, then the Auditor:</p> <ul style="list-style-type: none"> <li>○ reviewed the documentation provided by the Beneficiary, including manuals and internal guidelines that explain how to calculate hourly rates;</li> <li>○ recalculated the unit costs (hourly rates) of staff included in the sample following the results of the procedures carried out in A.1 and A.2.</li> </ul> <p><u>II) For individual hourly rates:</u></p> <p>The Auditor:</p> <ul style="list-style-type: none"> <li>○ reviewed the documentation provided by the Beneficiary, including manuals and internal guidelines that explain how to calculate hourly rates;</li> <li>○ recalculated the hourly rates of staff included in the sample following the results of the procedures carried out in A.1 and A.2.</li> </ul>	<p><i>For option I concerning unit costs and if the Beneficiary applies the methodology approved by the Commission (CoMUC):</i></p> <p>30) The Beneficiary used the Commission-approved methodology to calculate hourly rates. It corresponded to the organisation's usual cost accounting practices and was applied consistently for all activities irrespective of the source of funding.</p>	
	<p><u>“UNIT COSTS CALCULATED BY THE BENEFICIARY IN ACCORDANCE WITH ITS USUAL COST ACCOUNTING PRACTICES”:</u></p> <p><i>IT IS CALCULATED BY DIVIDING THE TOTAL AMOUNT OF PERSONNEL COSTS OF THE CATEGORY TO WHICH THE EMPLOYEE BELONGS VERIFIED IN LINE WITH PROCEDURE A.1 BY THE NUMBER OF FTE AND THE ANNUAL TOTAL PRODUCTIVE HOURS OF THE SAME CATEGORY CALCULATED BY THE BENEFICIARY IN ACCORDANCE WITH PROCEDURE A.2.</i></p> <p><u>HOURLY RATE FOR INDIVIDUAL ACTUAL PERSONAL COSTS:</u></p> <p><i>IT IS CALCULATED BY DIVIDING THE TOTAL AMOUNT OF PERSONNEL COSTS OF AN EMPLOYEE VERIFIED IN LINE WITH</i></p>	<p><i>For option I concerning unit costs and if the Beneficiary applies a methodology not approved by the Commission:</i></p> <p>31) The unit costs re-calculated by the Auditor were the same as the rates applied by the Beneficiary.</p>	
		<p><i>For option II concerning individual hourly rates:</i></p>	

## H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<i>PROCEDURE A.1 BY THE NUMBER OF ANNUAL PRODUCTIVE HOURS VERIFIED IN LINE WITH PROCEDURE A.2.</i>	32) The individual rates re-calculated by the Auditor were the same as the rates applied by the Beneficiary.	
<b>A.4</b>	<b>TIME RECORDING SYSTEM</b>  To verify that the time recording system ensures the fulfilment of all minimum requirements and that the hours declared for the action were correct, accurate and properly authorised and supported by documentation, the Auditor made the following checks for the persons included in the sample that declare time as worked for the action on the basis of time records: <ul style="list-style-type: none"> <li>○ description of the time recording system provided by the Beneficiary (registration, authorisation, processing in the HR-system);</li> <li>○ its actual implementation;</li> <li>○ time records were signed at least monthly by the employees (on paper or electronically) and authorised by the project manager or another manager;</li> <li>○ the hours declared were worked within the project period;</li> <li>○ there were no hours declared as worked for the action if HR-records showed absence due to holidays or sickness (further cross-checks with travels are carried out in B.1 below) ;</li> </ul>	33) All persons recorded their time dedicated to the action on a <b>daily/ weekly/ monthly</b> basis using a <b>paper/computer-based</b> system. <i>(delete the answers that are not applicable)</i>	
		34) Their time-records were authorised at least monthly by the project manager or other superior.	
		35) Hours declared were worked within the project period and were consistent with the presences/absences recorded in HR-records.	

## H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> <li>the hours charged to the action matched those in the time recording system.</li> </ul> <p><i>ONLY THE HOURS WORKED ON THE ACTION CAN BE CHARGED. ALL WORKING TIME TO BE CHARGED SHOULD BE RECORDED THROUGHOUT THE DURATION OF THE PROJECT, ADEQUATELY SUPPORTED BY EVIDENCE OF THEIR REALITY AND RELIABILITY (SEE SPECIFIC PROVISIONS BELOW FOR PERSONS WORKING EXCLUSIVELY FOR THE ACTION WITHOUT TIME RECORDS).</i></p>	36) There were no discrepancies between the number of hours charged to the action and the number of hours recorded.	
	<p><u>If the persons are working exclusively for the action and without time records</u></p> <p>For the persons selected that worked exclusively for the action without time records, the Auditor verified evidence available demonstrating that they were in reality exclusively dedicated to the action and that the Beneficiary signed a declaration confirming that they have worked exclusively for the action.</p>	37) The exclusive dedication is supported by a declaration signed by the Beneficiary's and by any other evidence gathered.	
<b>B</b>	<b>COSTS OF SUBCONTRACTING</b>		
<b>B.1</b>	<p><b>The Auditor obtained the detail/breakdown of subcontracting costs and sampled [ ] cost items selected randomly</b> (<i>full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest</i>).</p> <p>To confirm standard factual findings 38-42 listed in the next column, the Auditor reviewed the</p>	38) The use of claimed subcontracting costs was foreseen in Annex 1 and costs were declared in the Financial Statements under the subcontracting category.	

## H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>following for the items included in the sample:</p> <ul style="list-style-type: none"> <li>the use of subcontractors was foreseen in Annex 1;</li> <li>subcontracting costs were declared in the subcontracting category of the Financial Statement;</li> <li>supporting documents on the selection and award procedure were followed;</li> <li>the Beneficiary ensured best value for money (key elements to appreciate the respect of this principle are the award of the subcontract to the bid offering best price-quality ratio, under conditions of transparency and equal treatment. In case an existing framework contract was used the Beneficiary ensured it was established on the basis of the principle of best value for money under conditions of transparency and equal treatment).</li> </ul> <p>In particular,</p> <ol style="list-style-type: none"> <li>if the Beneficiary acted as a contracting authority within the meaning of Directive 2004/18/EC or of Directive 2004/17/EC, the Auditor verified that the applicable national law on public procurement was followed and that the subcontracting complied with the Terms and Conditions of the Agreement.</li> <li>if the Beneficiary did not fall under the above-mentioned category the Auditor verified that the Beneficiary followed their usual procurement rules and respected the Terms and Conditions of the Agreement..</li> </ol> <p>For the items included in the sample the Auditor also verified that:</p> <ul style="list-style-type: none"> <li>the subcontracts were not awarded to other Beneficiaries in the consortium;</li> </ul>	<p>39) There were documents of requests to different providers, different offers and assessment of the offers before selection of the provider in line with internal procedures and procurement rules. Subcontracts were awarded in accordance with the principle of best value for money.</p> <p><i>(When different offers were not collected the Auditor explains the reasons provided by the Beneficiary under the caption "Exceptions" of the Report. The Commission will analyse this information to evaluate whether these costs might be accepted as eligible)</i></p>	
		<p>40) The subcontracts were not awarded to other Beneficiaries of the consortium.</p>	

## H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> <li>○ there were signed agreements between the Beneficiary and the subcontractor;</li> <li>○ there was evidence that the services were provided by subcontractor;</li> </ul>	41) All subcontracts were supported by signed agreements between the Beneficiary and the subcontractor.	
		42) There was evidence that the services were provided by the subcontractors.	
<b>C</b>	<b>COSTS OF PROVIDING FINANCIAL SUPPORT TO THIRD PARTIES</b>		
<b>C.1</b>	<p><b>The Auditor obtained the detail/breakdown of the costs of providing financial support to third parties and sampled [ ] cost items selected randomly</b> (<i>full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest</i>).</p> <p>The Auditor verified that the following minimum conditions were met:</p> <ul style="list-style-type: none"> <li>a) the maximum amount of financial support for each third party did not exceed EUR 60 000, unless explicitly mentioned in Annex 1;</li> <li>b) the financial support to third parties was agreed in Annex 1 of the Agreement and the other provisions on financial support to third parties included in Annex 1 were</li> </ul>	43) All minimum conditions were met	

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	respected.		

## H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

D	OTHER ACTUAL DIRECT COSTS		
D.1	<p><b>COSTS OF TRAVEL AND RELATED SUBSISTENCE ALLOWANCES</b></p> <p><b>The Auditor sampled [ ] cost items selected randomly</b> <i>(full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is the highest).</i></p> <p>The Auditor inspected the sample and verified that:</p> <ul style="list-style-type: none"> <li>○ travel and subsistence costs were consistent with the Beneficiary's usual policy for travel. In this context, the Beneficiary provided evidence of its normal policy for travel costs (e.g. use of first class tickets, reimbursement by the Beneficiary on the basis of actual costs, a lump sum or per diem) to enable the Auditor to compare the travel costs charged with this policy;</li> <li>○ travel costs are correctly identified and allocated to the action (e.g. trips are directly linked to the action) by reviewing relevant supporting documents such as minutes of meetings, workshops or conferences, their registration in the correct project account, their consistency with time records or with the dates/duration of the workshop/conference;</li> <li>○ no ineligible costs or excessive or reckless expenditure was declared.</li> </ul>	44) Costs were incurred, approved and reimbursed in line with the Beneficiary's usual policy for travels.	
		45) There was a link between the trip and the action.	
		46) The supporting documents were consistent with each other regarding subject of the trip, dates, duration and reconciled with time records and accounting.	
		47) No ineligible costs or excessive or reckless expenditure was declared.	
D.2	<p><b>DEPRECIATION COSTS FOR EQUIPMENT, INFRASTRUCTURE OR OTHER ASSETS</b></p> <p><b>The Auditor sampled [ ] cost items selected randomly</b> <i>(full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is the highest).</i></p> <p>For “equipment, infrastructure or other assets” [from now on called “asset(s)”] selected in the</p>	48) Procurement rules, principles and guides were followed.	
		49) There was a link between the grant agreement and the asset charged to the action.	



## H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

	<p>sample the Auditor verified that:</p> <ul style="list-style-type: none"> <li>○ the assets were acquired in conformity with the Beneficiary's internal guidelines and procedures;</li> <li>○ they were correctly allocated to the action (with supporting documents such as delivery note invoice or any other proof demonstrating the link to the action)</li> <li>○ they were entered in the accounting system;</li> <li>○ the extent to which the assets were used for the action (as a percentage) was supported by reliable documentation (e.g. usage overview table);</li> </ul> <p>The Auditor recalculated the depreciation costs and verified that they were in line with the applicable rules in the Beneficiary's country and with the Beneficiary's usual accounting policy (e.g. depreciation calculated on the acquisition value).</p> <p>The Auditor verified that no ineligible costs such as deductible VAT, exchange rate losses, excessive or reckless expenditure were declared (see Article 6.5 GA).</p>	50) The asset charged to the action was traceable to the accounting records and the underlying documents.	
		51) The depreciation method used to charge the asset to the action was in line with the applicable rules of the Beneficiary's country and the Beneficiary's usual accounting policy.	
		52) The amount charged corresponded to the actual usage for the action.	
		53) No ineligible costs or excessive or reckless expenditure were declared.	
<b>D.3</b>	<p><b>COSTS OF OTHER GOODS AND SERVICES</b></p> <p><b>The Auditor sampled [ ] cost items selected randomly</b> (<i>full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest</i>).</p> <p>For the purchase of goods, works or services included in the sample the Auditor verified that:</p> <ul style="list-style-type: none"> <li>○ the contracts did not cover tasks described in Annex 1;</li> </ul>	54) Contracts for works or services did not cover tasks described in Annex 1.	
		55) Costs were allocated to the correct action and the goods were not placed in the inventory of durable equipment.	

## H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

	<ul style="list-style-type: none"> <li>○ they were correctly identified, allocated to the proper action, entered in the accounting system (traceable to underlying documents such as purchase orders, invoices and accounting);</li> <li>○ the goods were not placed in the inventory of durable equipment;</li> <li>○ the costs charged to the action were accounted in line with the Beneficiary's usual accounting practices;</li> <li>○ no ineligible costs or excessive or reckless expenditure were declared (see Article 6 GA).</li> </ul> <p>In addition, the Auditor verified that these goods and services were acquired in conformity with the Beneficiary's internal guidelines and procedures, in particular:</p> <ul style="list-style-type: none"> <li>○ if Beneficiary acted as a contracting authority within the meaning of Directive 2004/18/EC or of Directive 2004/17/EC, the Auditor verified that the applicable national law on public procurement was followed and that the procurement contract complied with the Terms and Conditions of the Agreement.</li> <li>○ if the Beneficiary did not fall into the category above, the Auditor verified that the Beneficiary followed their usual procurement rules and respected the Terms and Conditions of the Agreement.</li> </ul> <p>For the items included in the sample the Auditor also verified that:</p> <ul style="list-style-type: none"> <li>○ the Beneficiary ensured best value for money (key elements to appreciate the respect of this principle are the award of the contract to the bid offering best price-quality ratio, under conditions of transparency and equal treatment. In case an existing framework contract was used the Auditor also verified that the Beneficiary ensured it was established on the basis of the principle of best value for money under conditions of transparency and equal treatment);</li> </ul> <p><i>SUCH GOODS AND SERVICES INCLUDE, FOR INSTANCE, CONSUMABLES AND SUPPLIES, DISSEMINATION (INCLUDING OPEN ACCESS), PROTECTION OF RESULTS, SPECIFIC EVALUATION OF THE ACTION IF IT IS REQUIRED BY THE</i></p>	<p>56) The costs were charged in line with the Beneficiary's accounting policy and were adequately supported.</p> <p>57) No ineligible costs or excessive or reckless expenditure were declared. For internal invoices/charges only the cost element was charged, without any mark-ups.</p> <p>58) Procurement rules, principles and guides were followed. There were documents of requests to different providers, different offers and assessment of the offers before selection of the provider in line with internal procedures and procurement rules. The purchases were made in accordance with the principle of best value for money.</p> <p><i>(When different offers were not collected the Auditor explains the reasons provided by the Beneficiary under the</i></p>	
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## H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

	<p>AGREEMENT, CERTIFICATES ON THE FINANCIAL STATEMENTS IF THEY ARE REQUIRED BY THE AGREEMENT AND CERTIFICATES ON THE METHODOLOGY, TRANSLATIONS, REPRODUCTION.</p>	<p><i>caption “Exceptions” of the Report. The Commission will analyse this information to evaluate whether these costs might be accepted as eligible)</i></p>	
D.4	<p><b>AGGREGATED CAPITALISED AND OPERATING COSTS OF RESEARCH INFRASTRUCTURE</b></p> <p>The Auditor ensured the existence of a positive ex-ante assessment (issued by the EC Services) of the cost accounting methodology of the Beneficiary allowing it to apply the guidelines on direct costing for large research infrastructures in Horizon 2020.</p> <p><i><b>In the cases that a positive ex-ante assessment has been issued</b> (see the standard factual findings 59-60 on the next column),</i></p> <p>The Auditor ensured that the beneficiary has applied consistently the methodology that is explained and approved in the positive ex ante assessment;</p> <p><i><b>In the cases that a positive ex-ante assessment has NOT been issued</b> (see the standard factual findings 61 on the next column),</i></p> <p>The Auditor verified that no costs of Large Research Infrastructure have been charged as direct costs in any costs category;</p>	<p>59) The costs declared as direct costs for Large Research Infrastructures (in the appropriate line of the Financial Statement) comply with the methodology described in the positive ex-ante assessment report.</p>	
		<p>60) Any difference between the methodology applied and the one positively assessed was extensively described and adjusted accordingly.</p>	
		<p>61) The direct costs declared were free from any indirect costs items related to the Large Research Infrastructure.</p>	

## H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

	<p><b><i>In the cases that a draft ex-ante assessment report has been issued with recommendation for further changes (see the standard factual findings 61 on the next column),</i></b></p> <ul style="list-style-type: none"> <li>The Auditor followed the same procedure as above (when a positive ex-ante assessment has NOT yet been issued) and paid particular attention (testing reinforced) to the cost items for which the draft ex-ante assessment either rejected the inclusion as direct costs for Large Research Infrastructures or issued recommendations.</li> </ul>		
<b>E</b>	<b>USE OF EXCHANGE RATES</b>		
<b>E.1</b>	<p><b>a) For Beneficiaries with accounts established in a currency other than euros</b></p> <p><b>The Auditor sampled [ ] cost items selected randomly and verified that the exchange rates used for converting other currencies into euros were in accordance with the following rules established in the Agreement ( full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest):</b></p> <p><i>COSTS INCURRED IN ANOTHER CURRENCY SHALL BE CONVERTED INTO EURO AT THE AVERAGE OF THE DAILY EXCHANGE RATES PUBLISHED IN THE C SERIES OF OFFICIAL JOURNAL OF THE EUROPEAN UNION (<a href="https://www.ecb.int/stats/exchange/eurofxref/html/index.en.html">https://www.ecb.int/stats/exchange/eurofxref/html/index.en.html</a> ), DETERMINED OVER THE CORRESPONDING REPORTING PERIOD.</i></p> <p><i>IF NO DAILY EURO EXCHANGE RATE IS PUBLISHED IN THE OFFICIAL JOURNAL OF THE EUROPEAN UNION FOR THE CURRENCY IN QUESTION, CONVERSION SHALL BE MADE AT THE AVERAGE OF THE MONTHLY ACCOUNTING RATES ESTABLISHED BY THE COMMISSION AND PUBLISHED ON ITS WEBSITE (<a href="http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/inforeuro_en.cfm">http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/inforeuro_en.cfm</a> ),</i></p>	62) The exchange rates used to convert other currencies into Euros were in accordance with the rules established of the Grant Agreement and there was no difference in the final figures.	

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

	DETERMINED OVER THE CORRESPONDING REPORTING PERIOD.		
	<p><u>b) For Beneficiaries with accounts established in euros</u></p> <p><b>The Auditor sampled [ ] cost items selected randomly and verified that the exchange rates used for converting other currencies into euros were in accordance with the following rules established in the Agreement ( full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest):</b></p> <p><i>COSTS INCURRED IN ANOTHER CURRENCY SHALL BE CONVERTED INTO EURO BY APPLYING THE BENEFICIARY’S USUAL ACCOUNTING PRACTICES.</i></p>	63) The Beneficiary applied its usual accounting practices.	

**[legal name of the audit firm]**

**[name and function of an authorised representative]**

**[dd Month yyyy]**

**<Signature of the Auditor>**

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

## ANNEX 6

### MODEL FOR THE CERTIFICATE ON THE METHODOLOGY

- For options [*in italics in square brackets*]: choose the applicable option. Options not chosen should be deleted.
- For fields in [grey in square brackets]: enter the appropriate data.

#### TABLE OF CONTENTS

TERMS OF REFERENCE FOR AN AUDIT ENGAGEMENT FOR A METHODOLOGY CERTIFICATE IN CONNECTION WITH ONE OR MORE GRANT AGREEMENTS FINANCED UNDER THE HORIZON 2020 RESEARCH AND INNOVATION FRAMEWORK PROGRAMME.....	2
INDEPENDENT REPORT OF FACTUAL FINDINGS ON THE METHODOLOGY CONCERNING GRANT AGREEMENTS FINANCED UNDER THE HORIZON 2020 RESEARCH AND INNOVATION FRAMEWORK PROGRAMME .....	7

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

**Terms of reference for an audit engagement for a methodology certificate in connection with one or more grant agreements financed under the Horizon 2020 Research and Innovation Framework Programme**

This document sets out the ‘**Terms of Reference (ToR)**’ under which

[OPTION 1: *[insert name of the beneficiary]* (*‘the Beneficiary’*)] [OPTION 2: *[insert name of the linked third party]* (*‘the Linked Third Party’*), third party linked to the Beneficiary *[insert name of the beneficiary]* (*‘the Beneficiary’*)]

agrees to engage

**[insert legal name of the auditor]** (*‘the Auditor’*)

to produce an independent report of factual findings (*‘the Report’*) concerning the *[Beneficiary’s]* *[Linked Third Party’s]* usual accounting practices for calculating and claiming direct personnel costs declared as unit costs (*‘the Methodology’*) in connection with grant agreements financed under the Horizon 2020 Research and Innovation Framework Programme.

The procedures to be carried out for the assessment of the methodology will be based on the grant agreement(s) detailed below:

**[title and number of the grant agreement(s)]** (*‘the Agreement(s)’*)

The Agreement(s) has(have) been concluded between the Beneficiary and [OPTION 1: *the European Union, represented by the European Commission (‘the Commission’)*][OPTION 2: *the European Atomic Energy Community (Euratom,) represented by the European Commission (‘the Commission’)*][OPTION 3: *the [Research Executive Agency (REA)] [European Research Council Executive Agency (ERCEA)] [Innovation and Networks Executive Agency (INEA)] [Executive Agency for Small and Medium-sized Enterprises (EASME)]* (*‘the Agency’*), under the powers delegated by the European Commission (*‘the Commission’*)].

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

The *[Commission] [Agency]* is mentioned as a signatory of the Agreement with the Beneficiary only.  
The *[European Union] [Euratom] [Agency]* is not a party to this engagement.

### 1.1 Subject of the engagement

According to Article 18.1.2 of the Agreement, beneficiaries *[and linked third parties]* that declare direct personnel costs as unit costs calculated in accordance with their usual cost accounting practices may submit to the *[Commission] [Agency]*, for approval, a certificate on the methodology ('CoMUC') stating that there are adequate records and documentation to prove that their cost accounting practices used comply with the conditions set out in Point A of Article 6.2.

The subject of this engagement is the CoMUC which is composed of two separate documents:

- the Terms of Reference ('the ToR') to be signed by the *[Beneficiary] [Linked Third Party]* and the Auditor;
- the Auditor's Independent Report of Factual Findings ('the Report') issued on the Auditor's letterhead, dated, stamped and signed by the Auditor which includes; the standard statements ('the Statements') evaluated and signed by the *[Beneficiary] [Linked Third Party]*, the agreed-upon procedures ('the Procedures') performed by the Auditor and the standard factual findings ('the Findings') assessed by the Auditor. The Statements, Procedures and Findings are summarised in the table that forms part of the Report.

The information provided through the Statements, the Procedures and the Findings will enable the Commission to draw conclusions regarding the existence of the *[Beneficiary's] [Linked Third Party's]* usual cost accounting practice and its suitability to ensure that direct personnel costs claimed on that basis comply with the provisions of the Agreement. The Commission draws its own conclusions from the Report and any additional information it may require.

### 1.2 Responsibilities

The parties to this agreement are the *[Beneficiary] [Linked Third Party]* and the Auditor.

The *[Beneficiary] [Linked Third Party]*:



H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

- is responsible for preparing financial statements for the Agreement(s) ('the Financial Statements') in compliance with those Agreements;
- is responsible for providing the Financial Statement(s) to the Auditor and enabling the Auditor to reconcile them with the [Beneficiary's] [Linked Third Party's] accounting and bookkeeping system and the underlying accounts and records. The Financial Statement(s) will be used as a basis for the procedures which the Auditor will carry out under this ToR;
- is responsible for its Methodology and liable for the accuracy of the Financial Statement(s);
- is responsible for endorsing or refuting the Statements indicated under the heading 'Statements to be made by the Beneficiary/ Linked Third Party' in the first column of the table that forms part of the Report;
- must provide the Auditor with a signed and dated representation letter;
- accepts that the ability of the Auditor to carry out the Procedures effectively depends upon the [Beneficiary] [Linked Third Party] providing full and free access to the [Beneficiary's] [Linked Third Party's] staff and to its accounting and other relevant records.

The Auditor:

- *[Option 1 by default: is qualified to carry out statutory audits of accounting documents in accordance with Directive 2006/43/EC of the European Parliament and of the Council of 17 May 2006 on statutory audits of annual accounts and consolidated accounts, amending Council Directives 78/660/EEC and 83/349/EEC and repealing Council Directive 84/253/EEC or similar national regulations].*
- *[Option 2 if the Beneficiary or Linked Third Party has an independent Public Officer: is a competent and independent Public Officer for which the relevant national authorities have established the legal capacity to audit the Beneficiary].*
- *[Option 3 if the Beneficiary or Linked Third Party is an international organisation: is an [internal] [external] auditor in accordance with the internal financial regulations and procedures of the international organisation].*

The Auditor:

- must be independent from the Beneficiary *[and the Linked Third Party]*, in particular, it must not have been involved in preparing the Beneficiary's *[and Linked Third Party's]* Financial Statement(s);
- must plan work so that the Procedures may be carried out and the Findings may be assessed;
- must adhere to the Procedures laid down and the compulsory report format;
- must carry out the engagement in accordance with these ToR;
- must document matters which are important to support the Report;
- must base its Report on the evidence gathered;
- must submit the Report to the *[Beneficiary] [Linked Third Party]*.

The Commission sets out the Procedures to be carried out and the Findings to be endorsed by the Auditor. The Auditor is not responsible for their suitability or pertinence. As this engagement is not an assurance engagement the Auditor does not provide an audit opinion or a statement of assurance.

### 1.3 Applicable Standards

The Auditor must comply with these Terms of Reference and with<sup>1</sup>:

- the International Standard on Related Services ('ISRS') 4400 *Engagements to perform Agreed-upon Procedures regarding Financial Information* as issued by the International Auditing and Assurance Standards Board (IAASB);
- the *Code of Ethics for Professional Accountants* issued by the International Ethics Standards Board for Accountants (IESBA). Although ISRS 4400 states that independence is not a requirement for engagements to carry out agreed-upon procedures, the Commission requires that the Auditor also complies with the Code's independence requirements.

The Auditor's Report must state that there was no conflict of interests in establishing this Report between the Auditor and the Beneficiary [*and the Linked Third Party*] that could have a bearing on the Report, and must specify – if the service is invoiced - the total fee paid to the Auditor for providing the Report.

### 1.4 Reporting

The Report must be written in the language of the Agreement (see Article 20.7 of the Agreement).

Under Article 22 of the Agreement, the Commission, [*the Agency*], the European Anti-Fraud Office and the Court of Auditors have the right to audit any work that is carried out under the action and for which costs are claimed from [*the European Union*] [*Euratom*] budget. This includes work related to this engagement. The Auditor must provide access to all working papers related to this assignment if the Commission, [*the Agency*], the European Anti-Fraud Office or the European Court of Auditors requests them.

### 1.5 Timing

The Report must be provided by [dd Month yyyy].

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<sup>1</sup> Supreme Audit Institutions applying INTOSAI-standards may carry out the Procedures according to the corresponding International Standards of Supreme Audit Institutions and code of ethics issued by INTOSAI instead of the International Standard on Related Services ('ISRS') 4400 and the Code of Ethics for Professional Accountants issued by the IAASB and the IESBA.

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

## 1.6 Other Terms

*[The [Beneficiary] [Linked Third Party] and the Auditor can use this section to agree other specific terms, such as the Auditor's fees, liability, applicable law, etc. Those specific terms must not contradict the terms specified above.]*

[legal name of the Auditor]

[legal name of the [Beneficiary] [Linked Third Party]]

[name & title of authorised representative]

[name & title of authorised representative]

[dd Month yyyy]

[dd Month yyyy]

Signature of the Auditor Signature

Signature of the [Beneficiary] [Linked Third Party]

**Independent report of factual findings on the methodology concerning grant agreements financed under the Horizon 2020 Research and Innovation Framework Programme**

*(To be printed on letterhead paper of the auditor)*

To

[ name of contact person(s)], [Position]

[[Beneficiary's] [Linked Third Party's] name]

[ Address]

[ dd Month yyyy]

Dear [Name of contact person(s)],

As agreed under the terms of reference dated [dd Month yyyy]

with [OPTION 1: [insert name of the beneficiary] ('the Beneficiary')] [OPTION 2: [insert name of the linked third party] ('the Linked Third Party'), third party linked to the Beneficiary [insert name of the beneficiary] ('the Beneficiary')],

we

[ name of the auditor] ('the Auditor'),

established at

[full address/city/state/province/country],

represented by

[name and function of an authorised representative],

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

have carried out the agreed-upon procedures ('the Procedures') and provide hereby our Independent Report of Factual Findings ('the Report'), concerning the *[Beneficiary's] [Linked Third Party's]* usual accounting practices for calculating and declaring direct personnel costs declared as unit costs ('the Methodology').

You requested certain procedures to be carried out in connection with the grant(s)

[title and number of the grant agreement(s)] ('the Agreement(s)').

## The Report

Our engagement was carried out in accordance with the terms of reference ('the ToR') appended to this Report. The Report includes: the standard statements ('the Statements') made by the *[Beneficiary] [Linked Third Party]*, the agreed-upon procedures ('the Procedures') carried out and the standard factual findings ('the Findings') confirmed by us.

The engagement involved carrying out the Procedures and assessing the Findings and the documentation requested appended to this Report, the results of which the Commission uses to draw conclusions regarding the acceptability of the Methodology applied by the *[Beneficiary] [Linked Third Party]*.

The Report covers the methodology used from [dd Month yyyy]. In the event that the *[Beneficiary] [Linked Third Party]* changes this methodology, the Report will not be applicable to any Financial Statement<sup>2</sup> submitted thereafter.

The scope of the Procedures and the definition of the standard statements and findings were determined solely by the Commission. Therefore, the Auditor is not responsible for their suitability or pertinence.

Since the Procedures carried out constitute neither an audit nor a review made in accordance with International Standards on Auditing or International Standards on Review Engagements, we do not

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<sup>2</sup> Financial Statement in this context refers solely to Annex 4 of the Agreement by which the Beneficiary declares costs under the Agreement.

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

give a statement of assurance on the costs declared on the basis of the *[Beneficiary's] [Linked Third Party's]* Methodology. Had we carried out additional procedures or had we performed an audit or review in accordance with these standards, other matters might have come to its attention and would have been included in the Report.

## Exceptions

Apart from the exceptions listed below, the *[Beneficiary] [Linked Third Party]* agreed with the standard Statements and provided the Auditor all the documentation and accounting information needed by the Auditor to carry out the requested Procedures and corroborate the standard Findings.

**List here any exception and add any information on the cause and possible consequences of each exception, if known. If the exception is quantifiable, also indicate the corresponding amount.**

....

*Explanation of possible exceptions in the form of examples (to be removed from the Report):*

- i. the [Beneficiary] [Linked Third Party] did not agree with the standard Statement number ... because...;*
- ii. the Auditor could not carry out the procedure ... established because .... (e.g. due to the inability to reconcile key information or the unavailability or inconsistency of data);*
- iii. the Auditor could not confirm or corroborate the standard Finding number ... because ....*

## Remarks

We would like to add the following remarks relevant for the proper understanding of the Methodology applied by the *[Beneficiary] [Linked Third Party]* or the results reported:

*Example (to be removed from the Report):*

*Regarding the methodology applied to calculate hourly rates ...*

*Regarding standard Finding 15 it has to be noted that ...*

*The [Beneficiary] [Linked Third Party] explained the deviation from the benchmark statement XXIV concerning time recording for personnel with no exclusive dedication to the action in the following manner:*

...

## Annexes

[H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014](#)

Please provide the following documents to the auditor and annex them to the report when submitting this CoMUC to the Commission:

1. Brief description of the methodology for calculating personnel costs, productive hours and hourly rates;
2. Brief description of the time recording system in place;
3. An example of the time records used by the [Beneficiary] [Linked Third Party];
4. Description of any budgeted or estimated elements applied, together with an explanation as to why they are relevant for calculating the personnel costs and how they are based on objective and verifiable information;
5. A summary sheet with the hourly rate for direct personnel declared by the [Beneficiary] [Linked Third Party] and recalculated by the Auditor for each staff member included in the sample (the names do not need to be reported);
6. A comparative table summarising for each person selected in the sample a) the time claimed by the [Beneficiary] [Linked Third Party] in the Financial Statement(s) and b) the time according to the time record verified by the Auditor;
7. A copy of the letter of representation provided to the Auditor.

### Use of this Report

This Report has been drawn up solely for the purpose given under Point 1.1 Reasons for the engagement.

### The Report:

- is confidential and is intended to be submitted to the Commission by the [Beneficiary] [Linked Third Party] in connection with Article 18.1.2 of the Agreement;
- may not be used by the [Beneficiary] [Linked Third Party] or by the Commission for any other purpose, nor distributed to any other parties;
- may be disclosed by the Commission only to authorised parties, in particular the European Anti-Fraud Office (OLAF) and the European Court of Auditors.
- relates only to the usual cost accounting practices specified above and does not constitute a report on the Financial Statements of the [Beneficiary] [Linked Third Party].

No conflict of interest<sup>3</sup> exists between the Auditor and the Beneficiary [and the Linked Third Party] that could have a bearing on the Report. The total fee paid to the Auditor for producing the Report was EUR [ ] (including EUR [ ] of deductible VAT).

<sup>3</sup> A conflict of interest arises when the Auditor's objectivity to establish the certificate is compromised in fact or in appearance when the Auditor for instance:

- was involved in the preparation of the Financial Statements;

[H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014](#)

We look forward to discussing our Report with you and would be pleased to provide any further information or assistance which may be required.

Yours sincerely

[legal name of the Auditor]

[name and title of the authorised representative]

[dd Month yyyy]

Signature of the Auditor

- 
- stands to benefit directly should the certificate be accepted;
  - has a close relationship with any person representing the beneficiary;
  - is a director, trustee or partner of the beneficiary; or
  - is in any other situation that compromises his or her independence or ability to establish the certificate impartially.



H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

**Statements to be made by the Beneficiary/Linked Third Party ('the Statements') and Procedures to be carried out by the Auditor ('the Procedures') and standard factual findings ('the Findings') to be confirmed by the Auditor**

The Commission reserves the right to provide the auditor with guidance regarding the Statements to be made, the Procedures to be carried out or the Findings to be ascertained and the way in which to present them. The Commission reserves the right to vary the Statements, Procedures or Findings by written notification to the Beneficiary/Linked Third Party to adapt the procedures to changes in the grant agreement(s) or to any other circumstances.

If this methodology certificate relates to the Linked Third Party's usual accounting practices for calculating and claiming direct personnel costs declared as unit costs any reference here below to 'the Beneficiary' is to be considered as a reference to 'the Linked Third Party'.

<b>Please explain any discrepancies in the body of the Report.</b>	
<b>Statements to be made by Beneficiary</b>	<b>Procedures to be carried out and Findings to be confirmed by the Auditor</b>
<b>A. Use of the Methodology</b>  I. The cost accounting practice described below has been in use since [dd Month yyyy].  II. The next planned alteration to the methodology used by the Beneficiary will be from [dd Month yyyy].	<b>Procedure:</b>  ✓ The Auditor checked these dates against the documentation the Beneficiary has provided.  <b>Factual finding:</b>  1. The dates provided by the Beneficiary were consistent with the documentation.
<b>B. Description of the Methodology</b>  III. The methodology to calculate unit costs is being used in a consistent manner and is reflected in the relevant procedures.  <i>[Please describe the methodology your entity uses to calculate <u>personnel</u> costs, productive hours and hourly rates, present your description to the Auditor and annex it to this certificate]</i>  <i>[If the statement of section "B. Description of the methodology" cannot be endorsed by the Beneficiary or there is no written methodology to calculate unit costs it should be listed here below and reported as exception by the Auditor in the main Report of</i>	<b>Procedure:</b>  ✓ The Auditor reviewed the description, the relevant manuals and/or internal guidance documents describing the methodology.  <b>Factual finding:</b>  2. The brief description was consistent with the relevant manuals, internal guidance and/or other documentary evidence the Auditor has reviewed.  3. The methodology was generally applied by the Beneficiary as part of its usual costs accounting practices.

## H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

<b>Please explain any discrepancies in the body of the Report.</b>	
<b>Statements to be made by Beneficiary</b>	<b>Procedures to be carried out and Findings to be confirmed by the Auditor</b>
<b>Factual Findings:</b>  - ...]	
<b>C. Personnel costs</b> <u>General</u> <p>IV. The unit costs (hourly rates) are limited to salaries including during parental leave, social security contributions, taxes and other costs included in the remuneration required under national law and the employment contract or equivalent appointing act;</p> <p>V. Employees are hired directly by the Beneficiary in accordance with national law, and work under its sole supervision and responsibility;</p> <p>VI. The Beneficiary remunerates its employees in accordance with its usual practices. This means that personnel costs are charged in line with the Beneficiary's usual payroll policy (e.g. salary policy, overtime policy, variable pay) and no special conditions exist for employees assigned to tasks relating to the European Union or Euratom, unless explicitly provided for in the grant agreement(s);</p> <p>VII. The Beneficiary allocates its employees to the relevant group/category/cost centre for the purpose of the unit cost calculation in line with the usual cost accounting practice;</p> <p>VIII. Personnel costs are based on the payroll system and accounting system.</p> <p>IX. Any exceptional adjustments of actual personnel costs resulted from relevant budgeted or estimated elements and were based on objective and verifiable information. <i>[Please describe the 'budgeted or estimated elements' and their relevance to personnel costs, and explain how they were reasonable and based on objective and verifiable information, present your explanation to the Auditor and annex it to this certificate].</i></p> <p>X. Personnel costs claimed do not contain any of the following ineligible costs: costs related to return on capital; debt and debt service charges; provisions for future losses</p>	<p><b>Procedure:</b></p> <p><i>The Auditor draws a sample of employees to carry out the procedures indicated in this section C and the following sections D to F.</i></p> <p><i>[The Auditor has drawn a random sample of 10 full-time equivalents made up of employees assigned to the action(s). If fewer than 10 full-time equivalents are assigned to the action(s), the Auditor has selected a sample of 10 full-time equivalents consisting of all employees assigned to the action(s), complemented by other employees irrespective of their assignments.]. For this sample:</i></p> <ul style="list-style-type: none"> <li>✓ the Auditor reviewed all documents relating to personnel costs such as employment contracts, payslips, payroll policy (e.g. salary policy, overtime policy, variable pay policy), accounting and payroll records, applicable national tax, labour and social security law and any other documents corroborating the personnel costs claimed;</li> <li>✓ in particular, the Auditor reviewed the employment contracts of the employees in the sample to verify that: <ul style="list-style-type: none"> <li>i. they were employed directly by the Beneficiary in accordance with applicable national legislation;</li> <li>ii. they were working under the sole technical supervision and responsibility of the latter;</li> <li>iii. they were remunerated in accordance with the Beneficiary's usual practices;</li> <li>iv. they were allocated to the correct group/category/cost centre for the purposes of calculating the unit cost in line with the Beneficiary's usual cost accounting practices;</li> </ul> </li> <li>✓ the Auditor verified that any ineligible items or any costs claimed under other costs categories or costs covered by other types of grant or by other grants financed from the European Union budget have not been taken</li> </ul>

## H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

<b>Please explain any discrepancies in the body of the Report.</b>	
<b>Statements to be made by Beneficiary</b>	<b>Procedures to be carried out and Findings to be confirmed by the Auditor</b>
<p>or debts; interest owed; doubtful debts; currency exchange losses; bank costs charged by the Beneficiary's bank for transfers from the Commission/Agency; excessive or reckless expenditure; deductible VAT or costs incurred during suspension of the implementation of the action.</p> <p>XI. Personnel costs were not declared under another EU or Euratom grant (including grants awarded by a Member State and financed by the EU budget and grants awarded by bodies other than the Commission/Agency for the purpose of implementing the EU budget).</p> <p><u>If additional remuneration as referred to in the grant agreement(s) is paid</u></p> <p>XII. The Beneficiary is a non-profit legal entity;</p> <p>XIII. The additional remuneration is part of the beneficiary's usual remuneration practices and paid consistently whenever the relevant work or expertise is required;</p> <p>XIV. The criteria used to calculate the additional remuneration are objective and generally applied regardless of the source of funding;</p> <p>XV. The additional remuneration included in the personnel costs used to calculate the hourly rates for the grant agreement(s) is capped at EUR 8 000 per full-time equivalent (reduced proportionately if the employee is not assigned exclusively to the action).</p> <p><u>If certain statement(s) of section "C. Personnel costs" cannot be endorsed by the Beneficiary they should be listed here below and reported as exception by the Auditor in the main Report of</u></p>	<p>into account when calculating the personnel costs;</p> <ul style="list-style-type: none"> <li>✓ the Auditor numerically reconciled the total amount of personnel costs used to calculate the unit cost with the total amount of personnel costs recorded in the statutory accounts and the payroll system.</li> <li>✓ to the extent that actual personnel costs were adjusted on the basis of budgeted or estimated elements, the Auditor carefully examined those elements and checked the information source to confirm that they correspond to objective and verifiable information;</li> <li>✓ if additional remuneration has been claimed, the Auditor verified that the Beneficiary was a non-profit legal entity, that the amount was capped at EUR 8000 per full-time equivalent and that it was reduced proportionately for employees not assigned exclusively to the action(s).</li> <li>✓ the Auditor recalculated the personnel costs for the employees in the sample.</li> </ul> <p><b>Factual finding:</b></p> <ol style="list-style-type: none"> <li>4. All the components of the remuneration that have been claimed as personnel costs are supported by underlying documentation.</li> <li>5. The employees in the sample were employed directly by the Beneficiary in accordance with applicable national law and were working under its sole supervision and responsibility.</li> <li>6. Their employment contracts were in line with the Beneficiary's usual policy;</li> <li>7. Personnel costs were duly documented and consisted solely of salaries, social security contributions (pension contributions, health insurance, unemployment fund contributions, etc.), taxes and other statutory costs included in the remuneration (holiday pay, thirteenth month's pay, etc.);</li> <li>8. The totals used to calculate the personnel unit costs are consistent with those registered in the payroll and accounting records;</li> <li>9. To the extent that actual personnel costs were adjusted on the basis of budgeted or estimated elements, those elements were</li> </ol>

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

<b>Please explain any discrepancies in the body of the Report.</b>	
<b>Statements to be made by Beneficiary</b>	<b>Procedures to be carried out and Findings to be confirmed by the Auditor</b>
<p><b>Factual Findings:</b></p> <p>- ...]</p>	<p>relevant for calculating the personnel costs and correspond to objective and verifiable information. The budgeted or estimated elements used are: — (indicate the elements and their values).</p> <p>10. Personnel costs contained no ineligible elements;</p> <p>11. Specific conditions for eligibility were fulfilled when additional remuneration was paid: a) the Beneficiary is registered in the grant agreements as a non-profit legal entity; b) it was paid according to objective criteria generally applied regardless of the source of funding used and c) remuneration was capped at EUR 8000 per full-time equivalent (or up to up to the equivalent pro-rata amount if the person did not work on the action full-time during the year or did not work exclusively on the action).</p>
<p><b>D. Productive hours</b></p> <p>XVI. The number of productive hours per full-time employee applied is <i>[delete as appropriate]</i>:</p> <p>A. 1720 productive hours per year for a person working full-time (corresponding pro-rata for persons not working full time).</p> <p>B. the total number of hours worked in the year by a person for the Beneficiary</p> <p>C. the standard number of annual hours generally applied by the beneficiary for its personnel in accordance with its usual cost accounting practices. This number must be at least 90% of the standard annual workable hours.</p> <p><u>If method B is applied</u></p> <p>XVII. The calculation of the total number of hours worked was done as follows: annual workable hours of the person according to the employment contract, applicable labour agreement or national law plus overtime worked minus absences (such as sick leave and special leave).</p> <p>XVIII. 'Annual workable hours' are hours</p>	<p><b>Procedure (same sample basis as for Section C: Personnel costs):</b></p> <ul style="list-style-type: none"> <li>✓ The Auditor verified that the number of productive hours applied is in accordance with method A, B or C.</li> <li>✓ The Auditor checked that the number of productive hours per full-time employee is correct and that it is reduced proportionately for employees not exclusively assigned to the action(s).</li> <li>✓ If method B is applied the Auditor verified i) the manner in which the total number of hours worked was done and ii) that the contract specified the annual workable hours by inspecting all the relevant documents, national legislation, labour agreements and contracts.</li> <li>✓ If method C is applied the Auditor reviewed the manner in which the standard number of working hours per year has been calculated by inspecting all the relevant documents, national legislation, labour agreements and contracts and verified that the number of productive hours per year used for these calculations was at least 90% of the standard number of working hours per year.</li> </ul>

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

<b>Please explain any discrepancies in the body of the Report.</b>	
<b>Statements to be made by Beneficiary</b>	<b>Procedures to be carried out and Findings to be confirmed by the Auditor</b>
<p>during which the personnel must be working, at the employer's disposal and carrying out his/her activity or duties under the employment contract, applicable collective labour agreement or national working time legislation.</p> <p>XIX. The contract (applicable collective labour agreement or national working time legislation) do specify the working time enabling to calculate the annual workable hours.</p> <p><u>If method C is applied</u></p> <p>XX. The standard number of productive hours per year is that of a full-time equivalent; for employees not assigned exclusively to the action(s) this number is reduced proportionately.</p> <p>XXI. The number of productive hours per year on which the hourly rate is based i) corresponds to the Beneficiary's usual accounting practices; ii) is at least 90% of the standard number of workable (working) hours per year.</p> <p>XXII. Standard workable (working) hours are hours during which personnel are at the Beneficiary's disposal performing the duties described in the relevant employment contract, collective labour agreement or national labour legislation. The number of standard annual workable (working) hours that the Beneficiary claims is supported by labour contracts, national legislation and other documentary evidence.</p> <p><i>[If certain statement(s) of section "D. Productive hours" cannot be endorsed by the Beneficiary they should be listed here below and reported as exception by the Auditor:</i></p> <p>- ...]</p>	<p><b>Factual finding:</b></p> <p><u>General</u></p> <p>12. The Beneficiary applied a number of productive hours consistent with method A, B or C detailed in the left-hand column.</p> <p>13. The number of productive hours per year per full-time employee was accurate and was proportionately reduced for employees not working full-time or exclusively for the action.</p> <p><u>If method B is applied</u></p> <p>14. The number of 'annual workable hours', overtime and absences was verifiable based on the documents provided by the Beneficiary and the calculation of the total number of hours worked was accurate.</p> <p>15. The contract specified the working time enabling to calculate the annual workable hours.</p> <p><u>If method C is applied</u></p> <p>16. The calculation of the number of productive hours per year corresponded to the usual costs accounting practice of the Beneficiary.</p> <p>17. The calculation of the standard number of workable (working) hours per year was corroborated by the documents presented by the Beneficiary.</p> <p>18. The number of productive hours per year used for the calculation of the hourly rate was at least 90% of the number of workable (working) hours per year.</p>
<p><b>E. Hourly rates</b></p> <p>The hourly rates are correct because:</p> <p>XXIII. Hourly rates are correctly calculated since they result from dividing annual personnel</p>	<p><b>Procedure</b></p> <p>✓ The Auditor has obtained a list of all personnel rates calculated by the Beneficiary in accordance with the methodology used.</p> <p>✓ The Auditor has obtained a list of all the relevant employees, based on which the</p>

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

<b>Please explain any discrepancies in the body of the Report.</b>	
<b>Statements to be made by Beneficiary</b>	<b>Procedures to be carried out and Findings to be confirmed by the Auditor</b>
<p>costs by the productive hours of a given year and group (e.g. staff category or department or cost centre depending on the methodology applied) and they are in line with the statements made in section C. and D. above.</p> <p><i>[If the statement of section 'E. Hourly rates' cannot be endorsed by the Beneficiary they should be listed here below and reported as exception by the Auditor:</i></p> <p>- ...]</p>	<p>personnel rate(s) are calculated.</p> <p>For 10 full-time equivalent employees selected at random (same sample basis as Section C: Personnel costs):</p> <ul style="list-style-type: none"> <li>✓ The Auditor recalculated the hourly rates.</li> <li>✓ The Auditor verified that the methodology applied corresponds to the usual accounting practices of the organisation and is applied consistently for all activities of the organisation on the basis of objective criteria irrespective of the source of funding.</li> </ul> <p><b>Factual finding:</b></p> <p>19. No differences arose from the recalculation of the hourly rate for the employees included in the sample.</p>
<p><b>F. Time recording</b></p> <p>XXIV. Time recording is in place for all persons with no exclusive dedication to one Horizon 2020 action. At least all hours worked in connection with the grant agreement(s) are registered on a <b>daily/weekly/monthly</b> basis <i>[delete as appropriate]</i> using a <b>paper/computer-based system</b> <i>[delete as appropriate]</i>;</p> <p>XXV. For persons exclusively assigned to one Horizon 2020 activity the Beneficiary has either signed a declaration to that effect or has put arrangements in place to record their working time;</p> <p>XXVI. Records of time worked have been signed by the person concerned (on paper or electronically) and approved by the action manager or line manager at least monthly;</p> <p>XXVII. Measures are in place to prevent staff from:</p> <ul style="list-style-type: none"> <li>i. recording the same hours twice,</li> <li>ii. recording working hours during absence periods (e.g. holidays, sick leave),</li> <li>iii. recording more than the number of productive hours per year used to calculate the hourly rates, and</li> </ul>	<p><b>Procedure</b></p> <ul style="list-style-type: none"> <li>✓ The Auditor reviewed the brief description, all relevant manuals and/or internal guidance describing the methodology used to record time.</li> </ul> <p>The Auditor reviewed the time records of the random sample of 10 full-time equivalents referred to under Section C: Personnel costs, and verified in particular:</p> <ul style="list-style-type: none"> <li>✓ that time records were available for all persons with not exclusive assignment to the action;</li> <li>✓ that time records were available for persons working exclusively for a Horizon 2020 action, or, alternatively, that a declaration signed by the Beneficiary was available for them certifying that they were working exclusively for a Horizon 2020 action;</li> <li>✓ that time records were signed and approved in due time and that all minimum requirements were fulfilled;</li> <li>✓ that the persons worked for the action in the periods claimed;</li> <li>✓ that no more hours were claimed than the productive hours used to calculate the hourly</li> </ul>



H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

<b>Please explain any discrepancies in the body of the Report.</b>	
<b>Statements to be made by Beneficiary</b>	<b>Procedures to be carried out and Findings to be confirmed by the Auditor</b>
<p>iv. recording hours worked outside the action period.</p> <p>XXVIII. No working time was recorded outside the action period;</p> <p>XXIX. No more hours were claimed than the productive hours used to calculate the hourly personnel rates.</p> <p><i>[Please provide a brief description of the <u>time recording system</u> in place together with the measures applied to ensure its reliability to the Auditor and annex it to the present certificate<sup>4</sup>].</i></p> <p><i>[If certain statement(s) of section “F. Time recording” cannot be endorsed by the Beneficiary they should be listed here below and reported as exception by the Auditor:</i></p> <p>- ...]</p>	<p>personnel rates;</p> <ul style="list-style-type: none"> <li>✓ that internal controls were in place to prevent that time is recorded twice, during absences for holidays or sick leave; that more hours are claimed per person per year for Horizon 2020 actions than the number of productive hours per year used to calculate the hourly rates; that working time is recorded outside the action period;</li> <li>✓ the Auditor cross-checked the information with human-resources records to verify consistency and to ensure that the internal controls have been effective. In addition, the Auditor has verified that no more hours were charged to Horizon 2020 actions per person per year than the number of productive hours per year used to calculate the hourly rates, and verified that no time worked outside the action period was charged to the action.</li> </ul> <p><b>Factual finding:</b></p> <ol style="list-style-type: none"> <li>20. The brief description, manuals and/or internal guidance on time recording provided by the Beneficiary were consistent with management reports/records and other documents reviewed and were generally applied by the Beneficiary to produce the financial statements.</li> <li>21. For the random sample time was recorded or, in the case of employees working exclusively for the action, either a signed declaration or time records were available;</li> <li>22. For the random sample the time records were signed by the employee and the action manager/line manager, at least monthly.</li> <li>23. Working time claimed for the action occurred in the periods claimed;</li> <li>24. No more hours were claimed than the number productive hours used to calculate the hourly</li> </ol>

<sup>4</sup> The description of the time recording system must state among others information on the content of the time records, its coverage (full or action time-recording, for all personnel or only for personnel involved in H2020 actions), its degree of detail (whether there is a reference to the particular tasks accomplished), its form, periodicity of the time registration and authorisation (paper or a computer-based system; on a daily, weekly or monthly basis; signed and countersigned by whom), controls applied to prevent double-charging of time or ensure consistency with HR-records such as absences and travels as well as its information flow up to its use for the preparation of the Financial Statements.

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

<i>Please explain any discrepancies in the body of the Report.</i>	
Statements to be made by Beneficiary	Procedures to be carried out and Findings to be confirmed by the Auditor
	<p>personnel rates;</p> <p>25. There is proof that the Beneficiary has checked that working time has not been claimed twice, that it is consistent with absence records and the number of productive hours per year, and that no working time has been claimed outside the action period.</p> <p>26. Working time claimed is consistent with that on record at the human-resources department.</p>

**[official name of the [Beneficiary] [Linked Third Party]]**

**[official name of the Auditor]**

**[name and title of authorised representative]**

**[name and title of authorised representative]**

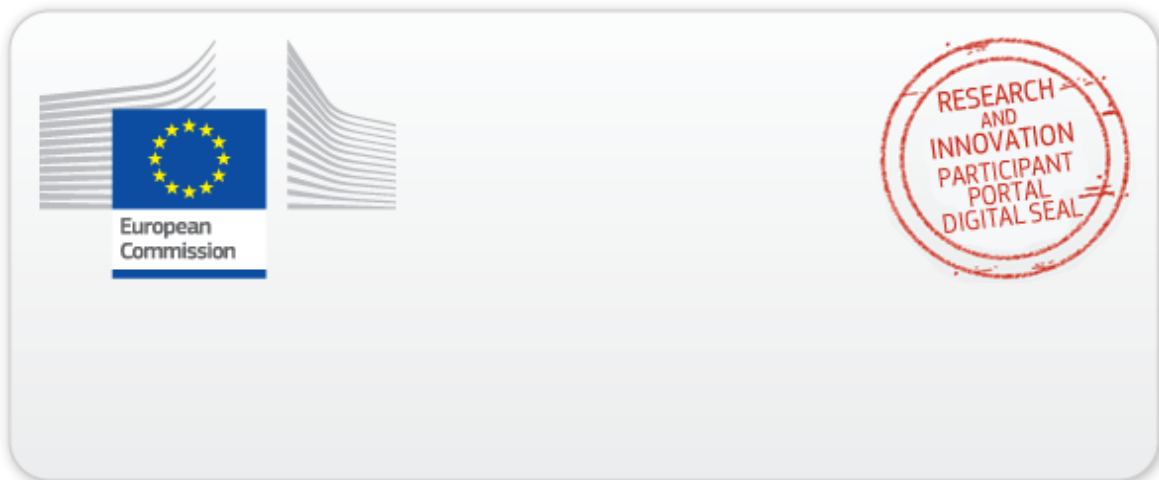
**[dd Month yyyy]**

**[dd Month yyyy]**

**<Signature of the [Beneficiary] [Linked Third Party]>**

**<Signature of the Auditor>**





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