



EUROPEAN COMMISSION  
Research Executive Agency  
  
Director



## GRANT AGREEMENT

NUMBER 101004509 — CHANSE

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

**on the one part,**

the **Research Executive Agency (REA)** ('the Agency'), under the powers delegated by the European Commission ('the Commission'), represented for the purposes of signature of this Agreement by Head of Unit, Research Executive Agency, Industrial Leadership and Societal Challenges, Inclusive, Innovative and Reflective Societies, Corinna AMTING,

**and**

**on the other part,**

1. 'the coordinator':

**NARODOWE CENTRUM NAUKI (NCN)**, established in UL TWARDOWSKIEGO 16, KRAKOW 30 312, Poland, VAT number: PL6762429638, represented for the purposes of signing the Agreement by Director, Zbigniew BŁOCKI

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

2. **FONDS ZUR FÖRDERUNG DER WISSENSCHAFTLICHEN FORSCHUNG (FWF)**, established in SENSENGASSE 1, WIEN 1090, Austria, VAT number: ATU37675903,

3. **FONDS DE LA RECHERCHE SCIENTIFIQUE- FNRS (FNRS)**, established in RUE D'EGMONT 5, BRUXELLES 1000, Belgium,

4. **FONDS VOOR WETENSCHAPPELIJK ONDERZOEK-VLAANDEREN (FWO)**, established in EGMONTSTRAAT 5, BRUSSEL 1000, Belgium, VAT number: BE0880212840,

5. **BULGARIAN NATIONAL SCIENCE FUND (BNSF)**, established in BLVD KNYAZ DONDUKOV 2 A, SOFIA 1000, Bulgaria, VAT number: BG175467353,

6. **HRVATSKA AKADEMIJA ZNANOSTI I UMJETNOSTI (HAZU)**, established in TRG NIKOLE SUBICA ZRINSKOG 11, ZAGREB 10000, Croatia,

7. **HRVATSKA ZAKLADA ZA ZNANOST (HRZZ)**, established in ILICA 24, ZAGREB 10000, Croatia, VAT number: HR88776522763,

8. **AKADEMIE VED CESKE REPUBLIKY (AVCR)**, established in NARODNI 3, PRAHA 1 117 20, Czech Republic,
9. **STYRELSEN FOR FORSKNING OG UDDANNELSE (DAFSHE)**, established in HARALDSGADE 53, KOBENHAVN 2100, Denmark, VAT number: DK19918440,
10. **SIHTASUTUS EESTI TEADUSAGENTUUR (ETAg)**, established in SOOLA 8, TARTU 51004, Estonia,
11. **SUOMEN AKATEMIA (AKA)**, established in HAKANIEMENRANTA 6, HELSINKI 00531, Finland, VAT number: FI02458939,
12. **DEUTSCHES ZENTRUM FUR LUFT - UND RAUMFAHRT EV (DLR)**, established in LINDER HOHE, KOLN 51147, Germany, VAT number: DE121965658,
13. **NEMZETI KUTATASI FEJLESZTESI ES INNOVACIOS HIVATAL (NKFIH)**, established in KETHLY ANNA TER 1, BUDAPEST 1077, Hungary, VAT number: HU15831000,
14. **RANNSOKNAMIDSTOD ISLANDS (Rannis)**, established in BORGARTUNI 30, REYKJAVIK 105, Iceland,
15. **VALSTS IZGLITIBAS ATTISTIBAS AGENTURA (VIAA)**, established in VALNU IELA 1, RIGA 1050, Latvia,
16. **Lietuvos mokslo taryba (LMT)**, established in Gedimino 3, Vilnius LT-01103, Lithuania,
17. **FONDS NATIONAL DE LA RECHERCHE (FNR)**, established in 2 AVENUE DE L'UNIVERSITE, ESCH-SUR-ALZETTE 4365, Luxembourg, VAT number: LU20686731,
18. **NEDERLANDSE ORGANISATIE VOOR WETENSCHAPPELIJK ONDERZOEK (NWO)**, established in Laan van Nieuw Oost Indie 300, DEN HAAG 2593 CE, Netherlands,
19. **NORGES FORSKNINGSRAD (RCN)**, established in DRAMMENSVEIEN 288, OSLO 0283, Norway, VAT number: NO970141669MVA,
20. **Unitatea Executiva pentru Finantarea Invatamantului Superior, a Cercetarii, Dezvoltarii si Inovarii (UEFISCDI)**, established in Mendeleev Street 21-25, Bucharest 010362, Romania,
21. **SLOVENSKA AKADEMIA VIED (SAS)**, established in STEFANIKOVA 49, BRATISLAVA 814 38, Slovakia, VAT number: N/A,
22. **Ministrstvo za izobrazevanje, znanost in sport (MIZS)**, established in Masarykova 16, Ljubljana 1000, Slovenia, VAT number: SI14246821,
23. **JAVNA AGENCIJA ZA RAZISKOVALNO DEJAVNOST REPUBLIKE SLOVENIJE (ARRS)**, established in BLEIWEISOVA CESTA 30, LJUBLJANA 1000, Slovenia, VAT number: SI88431452,
24. **AGENCIA ESTATAL DE INVESTIGACION (AEI)**, established in TORRELAGUNA 58 BIS, MADRID 28071, Spain, VAT number: ESQ2802338J,

**25. SCHWEIZERISCHER NATIONALFONDS ZUR FORDERUNG DER WISSENSCHAFTLICHEN FORSCHUNG (SNSF)**, established in Wildhainweg 3, Bern 3012, Switzerland, VAT number: CH249693,

**26. FORSKINGSRADET FOR HALSA ARBETSLIV OCH VALFARD (FORTE)**, established in OSTRÅ JÄRNVAGSGATAN 27, STOCKHOLM 101 37, Sweden, VAT number: N/A,

**27. UNITED KINGDOM RESEARCH AND INNOVATION (UKRI)**, established in POLARIS HOUSE NORTH STAR AVENUE, SWINDON SN2 1FL, United Kingdom, VAT number: GB287461957,

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
	2a Additional information on the estimated budget
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
Annex 7	Model for the commitment on availability of funds
Annex 8	Model for the statement on the use of the previous pre-financing payment

## TERMS AND CONDITIONS

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## **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 ‘**Collaboration of Humanities And Social Sciences in Europe**’ — ‘**CHANSE**’ (‘**action**’), as described in Annex 1.

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

The duration of the action will be **62 months** as of 1 January 2021 (‘**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 — without an amendment (see Article 55) — by transfers of amounts between beneficiaries, budget categories and/or forms of costs set out in Annex 2, 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 10 000 000.00** (ten million EURO).

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

The grant reimburses **33%** 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 **30 303 042.00** (thirty million three hundred and three thousand forty two EURO).

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

- (a) for **costs of providing financial support to third parties implementing trans-national projects**: as actually incurred costs (**'actual costs'**);
- (b) for **direct personnel costs for the implementation of trans-national projects by the beneficiaries**:
  - 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'**).
- (c) for **direct costs of subcontracting for the implementation of trans-national projects by the beneficiaries**: as actually incurred costs (**actual costs**);
- (d) for **other direct costs for the implementation of trans-national projects by the beneficiaries**:
  - for costs of internally invoiced goods and services: on the basis of an amount per unit calculated by the beneficiary in accordance with its usual cost accounting practices (**'unit costs'**);
  - for all other costs: as actually incurred costs (**actual costs**);
- (e) for **direct coordination costs for additional activities** on the basis of the amount per unit set out in Annex 2a (**unit costs**);
- (f) for **indirect costs**: on the basis of a flat-rate applied as set out in Point C of Article 6.2 (**'flat-rate costs'**).

### 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 substantial errors, irregularities or fraud or serious breach of 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 substantial errors, irregularities or fraud or serious breach of 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 errors, irregularities or fraud or 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 the errors, irregularities or fraud or 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**:

- (i) they must be actually incurred by the beneficiary;
- (ii) they must be incurred in the period set out in Article 3, with the exception of costs relating to the submission of the final report (see Article 20);
- (iii) they must be indicated in the estimated budget set out in Annex 2;
- (iv) they must be incurred in connection with the action as described in Annex 1 and necessary for its implementation;
- (v) 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;
- (vi) they must comply with the applicable national law on taxes, labour and social security, and
- (vii) 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:**

**(i) they must be calculated as follows:**

{amounts per unit set out in Annex 2a or calculated by the beneficiary in accordance with its usual cost accounting practices (see Article 6.2, Point A and Article 6.2.A.2.3.5)}

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 costs related to trans-national projects;
- B. direct coordination costs for additional activities;
- C. indirect costs.

‘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 C below).

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

### **A. Direct costs related to trans-national projects**

**A.1 Direct costs of providing financial support to third parties implementing trans-national projects** are eligible if the conditions set out in Article 15.1.1 are met.

**A.2 Direct costs for the implementation of trans-national projects by the beneficiaries** are eligible, if they comply with the conditions set out in Article 15.1.1 and the following:

**A.2.1 Direct personnel costs for the implementation of trans-national projects by the beneficiaries**

#### **Types of eligible personnel costs**

A.2.1.1 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 implementation of trans-national projects (**'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>1</sup> may also declare as personnel costs **additional remuneration** for personnel assigned to the implementation of trans-national projects (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' means any part of the remuneration which exceeds what the person would be paid for time worked in projects funded by national schemes.

Additional remuneration for personnel assigned to the implementation of trans-national projects is eligible up to the following amount:

- (a) if the person works full time and exclusively on the implementation of trans-national projects during the full year: up to EUR 8 000;
- (b) if the person works exclusively on the implementation of trans-national projects 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 implementation of trans-national projects: 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 trans-national projects during the year}.

A.2.1.2 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 conditions similar to those of an employee (in particular regarding the way the work is organised, the tasks that are performed and the premises where they are performed);

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<sup>1</sup> For the definition, see Article 2.1(14) of Regulation (EU) No 1290/2013 of the European Parliament and of the Council of 11 December 2013 laying down the rules for the participation and dissemination in "Horizon 2020 – the Framework Programme for Research and Innovation (2014-2020)" (**'Rules for Participation Regulation No 1290/2013'**) (OJ L 347, 20.12.2013 p.81): '**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.

- (b) the result of the work carried out belongs to the beneficiary (unless exceptionally agreed otherwise), and
- (c) the costs are not significantly different from those for personnel performing similar tasks under an employment contract with the beneficiary.

A.2.1.3 The **costs of personnel seconded by a third party against payment** are eligible personnel costs if the conditions in Article 11.1 are met.

### **Calculation**

Personnel costs must be calculated by the beneficiaries as follows:

{hourly rate  
multiplied by  
number of actual hours worked on the implementation of trans-national projects},  
plus  
for non-profit legal entities: additional remuneration to personnel assigned to the implementation of trans-national projects under the conditions set out above (Point A.2.1.1)}.

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**: (i.e. budget categories A.2.1.1, A.2.1.2 and A.2.1.3): the hourly rate is calculated *per full financial year* as follows:

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

using the personnel costs and the number of productive hours for each full financial year covered by the reporting period concerned. 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 implementation of trans-national projects may be deducted from the number of annual productive hours.

As an alternative, beneficiaries may calculate the hourly rate *per month*, as follows:

{actual monthly personnel cost (excluding additional remuneration) for the person

divided by

{number of annual productive hours / 12}}.

using the personnel costs for each month and (one twelfth of) the annual productive hours calculated according to either option (i) or (iii) above, i.e.:

- fixed number of hours or
- standard annual productive hours.

Time spent on parental leave may not be deducted when calculating the hourly rate per month. However, beneficiaries may declare personnel costs incurred in periods of parental leave in proportion to the time the person worked on the action in that financial year.

If parts of a basic remuneration are generated over a period longer than a month, the

beneficiaries may include only the share which is generated in the month (irrespective of the amount actually paid for that month).

Each beneficiary must use only one option (per full financial year or per month) during each full financial year;

(b) for personnel costs declared on the basis of **unit costs** (i.e. budget categories A.2.1.1 and A.2.1.2) calculated in accordance with 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).

**A.2.2 Direct costs of subcontracting for the implementation of trans-national projects by the beneficiaries** (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.

**A.2.3 Other direct costs for the implementation of trans-national projects by the beneficiaries**

**A.2.3.1 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.

**A.2.3.2 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 trans-national projects implemented by the beneficiary and rate of actual use for the purposes of the transnational projects implemented by the beneficiary.

**A.2.3.3 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 trans-national projects implemented by the beneficiary 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.

**A.2.3.4 Capitalised and operating costs of ‘large research infrastructure’<sup>2</sup>** directly used for the trans-national projects implemented by the beneficiary 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>3</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 trans-national projects implemented by the beneficiary and the rate of actual use for the purposes of the trans-national projects implemented by the beneficiary, and
- (d) they comply with the conditions as further detailed in the annotations to the H2020 Grant Agreements.

**A.2.3.5 Costs of internally invoiced goods and services** directly used for the action are eligible, if:

- (a) they are declared on the basis of a unit cost calculated in accordance with the beneficiary’s usual cost accounting practices;
- (b) the cost accounting practices used are applied in a consistent manner, based on objective criteria, regardless of the source of funding;
- (c) the unit cost is calculated using the actual costs for the good or service recorded in the beneficiary’s accounts, excluding any ineligible cost or costs included in other budget categories.

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<sup>2</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>3</sup> For the definition see Article 2(6) of the H2020 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’.

The actual costs may be adjusted by the beneficiary on the basis of budgeted or estimated elements. Those elements must be relevant for calculating the costs, reasonable and correspond to objective and verifiable information;

- (d) the unit cost excludes any costs of items which are not directly linked to the production of the invoiced goods or service.

‘Internally invoiced goods and services’ means goods or services which are provided by the beneficiary directly for the action and which the beneficiary values on the basis of its usual cost accounting practices.

## **B. Direct coordination costs for additional activities**

**Direct coordination costs for additional activities** are eligible, if they correspond to the amount per unit set out in Annex 2a multiplied by the number of actual years in which the beneficiary has carried out the ‘additional activities’ described in Annex 1.

Beneficiaries that implement transnational projects (partially or fully) themselves cannot declare direct coordination costs for additional activities.

## **C. 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 and B above), from which are excluded:

- (a) costs of subcontracting for the implementation of trans-national projects by the beneficiaries;
- (b) costs of in-kind contributions provided by third parties which are not used on the beneficiary’s premises and
- (c) costs of financial support to third parties implementing trans-national projects.

Beneficiaries receiving an operating grant<sup>4</sup> financed by the EU or Euratom budget cannot declare indirect costs for the period covered by the operating grant, unless they can demonstrate that the operating grant does not cover any costs of the action.

## **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

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<sup>4</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 (‘**Financial Regulation No 966/2012**’) (OJ L 218, 26.10.2012, p.1): ‘**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.

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 reimbursed 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, unless it can demonstrate that the operating grant does not cover any costs of the action.

## **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 for the implementation of the trans-national projects by the beneficiaries, they 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);
- call upon international partners to implement action tasks described in Annex 1 (see Article 14a).

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 for the implementation of trans-national projects by the beneficiaries, they 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>5</sup> (or 2014/24/EU<sup>6</sup>) or ‘contracting entities’ within the meaning of Directive 2004/17/EC<sup>7</sup> (or 2014/25/EU<sup>8</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 for the implementation of trans-national projects by the beneficiaries, they 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 final 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.

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

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<sup>5</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>6</sup> Directive 2014/24/EU of the European Parliament and of the Council of 26 February 2014 on public procurement and repealing Directive 2004/18/EC. (OJ L 94, 28.03.2014, p. 65).

<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).

<sup>8</sup> Directive 2014/25/EU of the European Parliament and of the Council of 26 February 2014 on procurement by entities operating in the water, energy, transport and postal services sectors and repealing Directive 2004/17/EC (OJ L 94, 28.03.2014, p. 243).

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 for the implementation of trans-national projects by the beneficiaries, they 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 final 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 for the implementation of trans-national projects by the beneficiaries, they may award subcontracts covering the implementation of certain action tasks described in Annex 1.

Subcontracting may cover only a limited part of the trans-national projects.

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 final 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 2014/24/EU) or ‘contracting entities’ within the meaning of Directive 2004/17/EC (or 2014/25/EU) 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:

- FUNDACION ESPANOLA PARA LA CIENCIA Y LA TECNOLOGIA, F.S.P., FECYT (FECYT), affiliated or linked to AEI

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<sup>9</sup> For the definition see Article 2.1(2) 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.

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 14a — IMPLEMENTATION OF ACTION TASKS BY INTERNATIONAL PARTNERS**

Not applicable

## **ARTICLE 15 — SUPPORT TO OR IMPLEMENTATION OF TRANS-NATIONAL PROJECTS**

### **15.1 Rules for providing support to or implementation of trans-national projects**

15.1.1 The beneficiaries must provide financial support to trans-national projects or implement such projects (partially or fully) themselves, in accordance with the following conditions:

- (a) types of activity that qualify for financial support and persons or categories of persons that may receive financial support:

The projects must be trans-national projects, involving at least two independent entities from two different EU Member States or associated countries;

- (b) selection procedure and criteria:

The projects must be selected following a single joint transnational call for proposals.

The beneficiaries must make the selection through a two-step procedure:

- Step 1: review at national or trans-national level
- Step 2: single international peer review.

Only entities that are eligible for funding under the national programmes involved in the joint call may be invited to Step 2.

In Step 2, the beneficiaries must evaluate proposals with the assistance of at least three independent experts, on the basis of the following award criteria:

- (a) excellence;
- (b) impact;
- (c) quality and efficiency of the implementation.

Proposals must be ranked according to the evaluation results. The selection must be made on the basis of this ranking.

The selection procedure must be followed by an independent expert observer, who must make a report (see Article 20.2a);

- (c) other conditions:

In the case of support to entities that are third parties, 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 Article 22 and 23 also towards the third parties receiving financial support.

Financial support to entities that are third parties must comply with national funding rules.

The maximum amount of financial support to a third party and the criteria for determining the exact amount under national funding rules are set out in Annex 1.

15.1.2 In addition, the beneficiaries must:

- publish a joint call on a dedicated webpage and promote it at national/regional level via their usual channels of communications to potential proposers;
- keep the joint call open for at least 60 days;
- take all lawful steps to ensure confidentiality of information and documents obtained during the evaluation and selection procedures of the joint call.

## **15.2 Consequences of non-compliance**

If a beneficiary breaches its obligations under Article 15.1.1, the costs of the beneficiary for its financial support to the trans-national projects or for the implementation of its trans-national projects will be ineligible (see Article 6) and will be rejected (see Article 42).

If the beneficiary breaches its obligations under Article 15.1.2, the grant may be reduced (see Article 43).

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

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

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 Participant Portal 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 Article 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 **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.

The beneficiaries and linked third parties may submit to the Commission, 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:

- at least 30 days before the expected date of publication of the joint call: **information on the call** and its content;
- at the end of the selection: **information on each selected project** (including data on each participant and abstracts of the project proposal, in a format specified by the Agency), for publication and evaluation purposes;
- in month 36 a '**progress report**' containing:
  - an **explanation of the work** carried out by the beneficiaries;
  - an **overview of the progress** towards the objectives of the action, including milestones and other 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;

- a **summary** for publication by the Agency;
- at the end of the action: **information on each implemented project** (including data on each participant and overview of the results, in a format specified by the Agency), for publication and evaluation purposes, and
- any **other 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 reports set out in this Article. These reports include the requests for payments 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 18
- RP2: from month 19 to month 62

#### 20.2a Periodic reports — Requests for second pre-financing payment

The coordinator must submit a periodic report within 60 days following the end of the first 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 other 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 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**’;

The report must indicate the communication activities;

- (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) the **ranking list(s)** of the projects;
  - (c) the **observers’ report on the evaluation**;
  - (d) the **joint selection list** of the projects to be funded;
  - (e) from each beneficiary participating in the joint call, a formal and duly signed ‘**commitment on availability of funds**’ (see Annex 7), and

- (f) a ‘**statement on the use of the first pre-financing payment**’ (see Annex 8), including the **request for a second pre-financing payment**.

The coordinator must certify that the information provided is full, reliable and true and that it can be substantiated by adequate supporting documentation that will be produced upon request or in the context of checks, reviews, audits and investigations (see Articles 17, 18 and 22).

### 20.3 Request for interim payments

Not applicable

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

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) an ‘**individual financial statement**’ (see Annex 4), from each beneficiary and from each linked third party, for all reporting periods.

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.

The individual financial statements 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 (in particular, in case of financial support to third parties, that it has been paid in compliance with the applicable national funding rules; see Article 15);
- 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

- 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;
- (iii) not applicable;
- (iv) a ‘**summary financial statement**’, created automatically by the electronic exchange system, consolidating the individual financial statements and including the **request for payment of the balance**;
- (v) 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).

## 20.5 Information on cumulative expenditure incurred

In addition to the reporting requirements set out above (Article 18.1 to 18.3), the coordinator must inform the Agency by 31 December each year of the cumulative expenditure incurred by the beneficiaries from the starting date of the action.

This information is required for the Commission’s accounting purposes and will not be used to calculate the final grant amount.

## 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

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, the Agency may terminate the Agreement (see Article 50) or apply any of the other measures described in Chapter 6.

## **ARTICLE 21 — PAYMENTS AND PAYMENT ARRANGEMENTS**

### **21.1 Payments to be made**

The following payments will be made to the coordinator:

- a **first pre-financing** payment;
- a **second pre-financing** payment, on the basis of the request for a second pre-financing payment (see Article 20);
- 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 Agency will — 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 — make a first pre-financing payment to the coordinator of EUR **1 500 000.00** (one million five hundred thousand EURO), except if Article 48 applies.

From this amount, an amount of EUR **500 000.00** (five hundred thousand EURO), corresponding to the 5% of the maximum grant amount (see Article 5.1), is retained by the Agency and transferred into the '**Guarantee Fund**'.

The Agency will — within 60 days after receiving the request (see Article 20) — make a second pre-financing payment to the coordinator of EUR **7 500 000.00** (seven million five hundred thousand EURO), except if Article 47 or 48 apply.

If the statement on the use of the previous pre-financing payment shows that less than 70 % of the previous payment has been used to cover the costs of the action, the amount of the new pre-financing to be paid will be reduced by the difference between the 70 % threshold and the amount used.

### **21.3 Interim payments — Amount — Calculation**

Not applicable

### **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 already made, from the final grant amount determined in accordance with Article 5.3:

{final grant amount (see Article 5.3)  
minus  
pre-financing 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 beneficiaries' consent — against any other amount owed by a 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 the second pre-financing 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 45.

## **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: BANK GOSPODARSTWA KRAJOWEGO  
Full name of the account holder: NARODOWE CENTRUM NAUKI  
IBAN code: PL12113011500012124314200014

## **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>12</sup> and No 2185/96<sup>13</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.

## **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>14</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).

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<sup>12</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>13</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).

<sup>14</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 (OJ L 298, 26.10.2012, p. 1).

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.

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 Agency or the Commission may then start a rejection procedure in accordance with Article 42, on the basis of:

- the revised financial statements, if approved;

- the proposed alternative correction method, if accepted

or

- the initially notified correction rate for extrapolation, if it 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.

22.5.3.2 If the findings concern **substantial errors, irregularities or fraud or serious breach of obligations**: 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.

The Agency or the Commission may then start a reduction procedure in accordance with Article 43, on the basis of:

- the proposed alternative flat-rate, if accepted

or

- the initially notified flat-rate, if it does not receive any observations or does not accept the observations or the proposed 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>15</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**

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<sup>15</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.

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 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>16</sup> established in an EU Member State or ‘**associated country**’<sup>17</sup>, if this is needed to exploit the results generated by the beneficiaries to which they are affiliated.

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).

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<sup>16</sup> For the definition, see ‘affiliated entity’ footnote (Article 14.1).

<sup>17</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.

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.

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 take place 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 101004509”.

## **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 101004509”.

### **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**

Not applicable;

## **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 101004509”.

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 access 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>19</sup>, in particular regarding:

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

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<sup>19</sup> Commission Recommendation 2005/251/EC of 11 March 2005 on the European Charter for Researchers and on a Code of Conduct for the Recruitment of Researchers (OJ L 75, 22.3.2005, p. 67).

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.

## **ARTICLE 34 — ETHICS AND RESEARCH INTEGRITY**

### **34.1 Obligation to comply with ethical and research integrity principles**

The beneficiaries must carry out the action in compliance with:

(a) ethical principles (including the highest standards of research integrity)

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 or for activities which destroy human embryos (for example, for obtaining stem cells).

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.

In addition, the beneficiaries must respect the fundamental principle of research integrity — as set out, for instance, in the European Code of Conduct for Research Integrity<sup>20</sup>.

This implies compliance with the following fundamental principles:

- **reliability** in ensuring the quality of research reflected in the design, the methodology, the analysis and the use of resources;
- **honesty** in developing, undertaking, reviewing, reporting and communicating research in a transparent, fair and unbiased way;
- **respect** for colleagues, research participants, society, ecosystems, cultural heritage and the environment;
- **accountability** for the research from idea to publication, for its management and organisation, for training, supervision and mentoring, and for its wider impacts

and means that beneficiaries must ensure that persons carrying out research tasks follow the good research practices and refrain from the research integrity violations described in this Code.

This does not change the other obligations under this Agreement or obligations under applicable international, EU or national law, all of which still apply.

### 34.2 Activities raising ethical issues

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

Before the beginning of an activity raising an ethical issue, each beneficiary must have obtained:

- (a) any ethics committee opinion required under national law and
  - (b) any notification or authorisation for activities raising ethical issues required under national and/or European law
- needed for implementing the action tasks in question.

The documents must be kept on file and be submitted upon request by the coordinator to the Agency (see Article 52). If they are not in English, they must be submitted together with an English summary, which shows that the action tasks in question are covered and includes the conclusions of the committee or authority concerned (if available).

### 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, in addition to Article 34.1, only if:

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

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<sup>20</sup> European Code of Conduct for Research Integrity of ALLEA (All European Academies)  
[http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-ethics\\_code-of-conduct\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-ethics_code-of-conduct_en.pdf)

### **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. It may disclose confidential information to 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>21</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.

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

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

Not applicable

### **37.2 Classified information**

Not applicable

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

Not applicable

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<sup>21</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).

### **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 101004509”.

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 101004509”.

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 and Commission responsibility**

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

## 38.2 Communication activities by the Agency and the Commission

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

The Agency and the Commission 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 received 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.

If the Agency's or the Commission's use of these materials, documents or information would risk compromising legitimate interests, the beneficiary concerned may request the Agency or the Commission 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, the Commission 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>23</sup>, without the right to reproduce or exploit;
- (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 or the Commission.

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).

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<sup>23</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.

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

“© – [year] – [name of the copyright owner]. All rights reserved. Licensed to the Research Executive Agency (REA) and the European Union (EU) 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>24</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 or protecting the financial interests of the EU or Euratom (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 privacy statement(s) 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).

### **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 privacy statement(s) (see above), before transmitting their data to the Agency or the Commission.

### **39.3 Consequences of non-compliance**

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<sup>24</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).

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** **— RELATIONSHIP WITH COMPLEMENTARY BENEFICIARIES —** **RELATIONSHIP WITH PARTNERS OF A JOINT ACTION**

#### **ARTICLE 41 — DIVISION OF BENEFICIARIES' ROLES AND RESPONSIBILITIES** **— RELATIONSHIP WITH COMPLEMENTARY BENEFICIARIES —** **RELATIONSHIP WITH PARTNERS OF A JOINT ACTION**

##### **41.1 Roles and responsibility 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 Article 44.

##### **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 Participant Portal 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 or subcontract the above-mentioned tasks to any other beneficiary or third party (including linked third parties).

### 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 — SANCTIONS — DAMAGES — SUSPENSION — TERMINATION — FORCE MAJEURE**

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

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

##### **42.1 Conditions**

The Agency will — **after termination of the participation of a beneficiary, 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).

The rejection may also be based on the **extension of findings from other grants to this grant** (see Article 22.5.2).

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

Ineligible costs will be rejected in full.

If the rejection of costs does not lead to a recovery (see Article 44), the Agency will formally notify the coordinator or beneficiary concerned of 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 rejection of costs does lead to a recovery, the Agency will follow the contradictory procedure with ‘pre-information letter’ set out in Article 44.

##### **42.3 Effects**

If the Agency rejects costs **after termination of the participation of a beneficiary**, it will deduct them from the costs declared by the beneficiary and its linked third parties in the termination report and include the rejection in the calculation after termination (see Article 50.2 and 50.3).

If the Agency rejects costs **at the payment of the balance**, it will deduct them from the total eligible

costs declared, for the action, in the summary financial statement (see Article 20.4). It will then calculate the payment of the balance as set out in Article 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

The Agency may — **after termination of the participation of a beneficiary, at the payment of the balance or afterwards** — reduce the grant, if :

- (a) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) has committed:
  - (i) substantial errors, irregularities or fraud or
  - (ii) serious breach of obligations under the Agreement or during the award procedure (including improper implementation of the action, submission of false information, failure to provide requested information, breach of ethical principles) or
- (b) a beneficiary (or a natural person who has the power to represent or take decision on its behalf) 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).

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

The amount of the reduction will be proportionate to the seriousness of the errors, irregularities or fraud or breach of obligations.

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 **after termination of the participation of a beneficiary**, it will calculate the reduced grant amount for that beneficiary and then determine the amount due to that beneficiary (see Article 50.2 and 50.3).

If the Agency reduces the grant **at 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 or the Commission 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>25</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:

{ { { {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

<sup>25</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).

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

minus

pre-financing 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 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 or the Commission 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 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 or the Commission 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 SANCTIONS**

In addition to contractual measures, the Agency or the Commission may also adopt administrative sanctions under Articles 106 and 131(4) of the Financial Regulation No 966/2012 (i.e. exclusion from future procurement contracts, grants, prizes and expert contracts and/or financial penalties).

## **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**

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.

## **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 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 payments, in whole or in part and for one or more beneficiaries, if:

- (a) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) has committed or is suspected of having committed:
  - (i) substantial errors, irregularities or fraud or
  - (ii) serious breach of obligations under the Agreement or during the award procedure (including improper implementation of the action, submission of false information, failure to provide requested information, breach of ethical principles) or
- (b) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) 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).

If payments are suspended for one or more beneficiaries, the Agency will make partial payment(s) for the part(s) not suspended. If suspension concerns the payment of the balance, — once suspension is lifted — the payment or the recovery of the amount(s) concerned will be considered the payment of the balance that closes the action.

### 48.2 Procedure

Before suspending payments, the Agency will formally notify the coordinator or beneficiary concerned:

- 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 Agency will formally notify the coordinator or beneficiary concerned.

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, if:

- (a) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) has committed or is suspected of having committed:
  - (i) substantial errors, irregularities or fraud or
  - (ii) serious breach of obligations under the Agreement or during the award procedure

(including improper implementation of the action, submission of false information, failure to provide requested information, breach of ethical principles);

- (b) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) 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) 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 or beneficiary concerned:

- 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 (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 or beneficiary concerned 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 the final report (see Article 20.4).

If the Agency does not receive the report within the deadline (see above), no costs 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 report 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, 40, 42, 43 and 44) 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 all the reporting periods 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 20.2a and 20.4).

The information in the termination report must also be included in the final report (see Article 20.4).

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 — on the basis of the the termination report and the report on the distribution of payments — **calculate** the amount which is due to the beneficiary and if the pre-financing payments received by the beneficiary exceed this amount.

The **amount which is due** is calculated in the following steps:

Step 1 — Application of the reimbursement rate to the eligible costs

The grant amount for the beneficiary is calculated by applying the reimbursement rate(s) to the total eligible costs declared by the beneficiary and its linked third parties in the termination report 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.

Step 2 — Reduction due to substantial errors, irregularities or fraud or serious breach of obligations

In case of a reduction (see Article 43), the Agency will calculate the reduced grant amount for the beneficiary by deducting the amount of the reduction (calculated in proportion to the seriousness of the errors, irregularities or fraud or breach

of obligations, in accordance with Article 43.2) from the grant amount for the beneficiary.

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 payments received **do not exceed the amounts due**: amounts owed to the beneficiary concerned will be included in the final payment.

If the Agency does not receive the termination report within the deadline (see above), no costs 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, 40, 42, 43 and 44) continue to apply.

### **50.3 Termination of the Agreement or of 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;
- (l) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) has committed:
  - (i) substantial errors, irregularities or fraud or
  - (ii) serious breach of obligations under the Agreement or during the award procedure (including improper implementation of the action, submission of false information, failure to provide required information, breach of ethical principles);
- (m) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) 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);
- (n) despite a specific request by the Agency, a beneficiary does not request — through the coordinator — an amendment to the Agreement to end the participation of one if its linked third parties or international partners that is in one of the situations under points (e), (f), (g), (k), (l) or (m) and to reallocate its tasks.

### 50.3.2 Procedure

Before terminating the Agreement or participation of one or more beneficiaries, the Agency will formally notify the coordinator or beneficiary concerned:

- 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 or beneficiary concerned **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), (l.ii) and (n) 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.

### 50.3.3 Effects

#### (a) for **termination of the Agreement**:

The coordinator must — within 60 days from when termination takes effect — submit a final report (see Article 20.4).

If the Agreement is terminated for breach of the obligation to submit 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 report within the deadline (see above), no costs 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 Agency's right to reduce the grant (see Article 43) or to impose administrative sanctions (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, 40, 42, 43 and 44) 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 all the reporting periods 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 final report (see Article 20.4).

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 — on the basis of the the termination report and the report on the distribution of payments — **calculate** the amount which is due to the beneficiary and if the pre-financing payments received by the beneficiary exceed this amount.

The **amount which is due** is calculated in the following steps:

Step 1 — Application of the reimbursement rate to the eligible costs

The grant amount for the beneficiary is calculated by applying the reimbursement rate(s) to the total eligible costs declared by the beneficiary and its linked third parties in the termination report 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.

Step 2 — Reduction due to substantial errors, irregularities or fraud or serious breach of obligations

In case of a reduction (see Article 43), the Agency will calculate the reduced grant amount for the beneficiary by deducting the amount of the reduction (calculated in proportion to the seriousness of the errors, irregularities or fraud or breach of obligations, in accordance with Article 43.2) from the grant amount for the beneficiary.

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 payments received **do not exceed the amounts due**: amounts owed to the beneficiary concerned will be included in the final payment.

If the Agency does not receive the termination report within the deadline (see above), no costs 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, 40, 42, 43 and 44) 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.

All communication must be made through the Participant Portal **electronic** exchange system and using the forms and templates provided there.

If — after the payment of the balance — the Agency finds that a formal notification was not accessed, a second formal notification will be made by registered post with proof of delivery (‘formal notification on **paper**’). Deadlines will be calculated from the moment of the second notification.

Communications in the electronic exchange system must be made by persons authorised according to the Participant Portal Terms & Conditions. 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 Participant Portal Terms & Conditions).

If the electronic exchange system is temporarily unavailable, instructions will be given on the Agency and 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/info/funding-tenders/opportunities/portal/screen/myarea/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 official mailing address indicated on the Agency's website.

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 Participant Portal 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>26</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.

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<sup>26</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).

## 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, and
- 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 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).

As an exception, if such a dispute is between the Agency and RANNSOKNAMIDSTOD ISLANDS, NORGES FORSKNINGSRAD, SCHWEIZERISCHER NATIONALFONDS ZUR FORDERUNG DER WISSENSCHAFTLICHEN FORSCHUNG, the competent Belgian courts have sole jurisdiction.

If a dispute concerns administrative sanctions, 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 offsetting and 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

**The Director**



**ANNEX 1 (part A)**

**ERA-NET Cofund**

**NUMBER — 101004509 — CHANSE**

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# 1.1. The project summary

Project Number <sup>1</sup>	101004509	Project Acronym <sup>2</sup>	CHANSE
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## One form per project

### General information

Project title <sup>3</sup>	Collaboration of Humanities And Social Sciences in Europe
Starting date <sup>4</sup>	01/01/2021
Duration in months <sup>5</sup>	62
Call (part) identifier <sup>6</sup>	H2020-SC6-TRANSFORMATIONS-2020
Topic	TRANSFORMATIONS-15-2020 Society and innovations: understanding the contexts, processes and consequences
Fixed EC Keywords	HUMANITIES, Social sciences, interdisciplinary
Free keywords	digital transformations, digital innovations, social and cultural dynamics, digital age, co-funded call, ERA-NET Cofund

### Abstract <sup>7</sup>

CHANSE, Collaboration of Humanities and Social Sciences in Europe, is a joint initiative of 27 research funding organisations from 24 countries. The CHANSE Programme builds on the experience of two existing networks: HERA (Humanities in the European Research Area) and NORFACE (New Opportunities for Research Funding Agency Cooperation in Europe) supporting research in humanities and social sciences respectively. The main goal of the CHANSE initiative is to launch a transnational call for collaborative projects focused on the topic of Transformations: Social and cultural dynamics in the digital age. The objective of this call will be to help understand how digital innovations give rise to social and cultural changes, and are also influenced by society and culture. The joint research call combines the analytic and transformative powers of the humanities and social sciences in understanding processes of change and considering solutions when societies face the introduction of innovations. With a budget of over EUR 36 million, including expected EC co-funding, CHANSE consortium plans to fund excellent research projects conducted by research teams from at least three countries involved in the Programme.

CHANSE will strive to produce a lasting effect on the research landscape by cultivating durable research collaboration across multiple national and regional borders, disciplinary boundaries, and stakeholders, thus supporting the sharing of excellence and promoting widening participation in the European Research Area. CHANSE will also strongly support knowledge exchange activities and foster relationships between academia and relevant stakeholders, as well as explore and develop new joint actions. By offering new opportunities for international research cooperation in a critical area of enquiry, the CHANSE Programme will deliver a broad range of academic, societal and economic impacts within, across and beyond the partner countries.

## 1.2. List of Beneficiaries

Project Number <sup>1</sup>	101004509	Project Acronym <sup>2</sup>	CHANSE
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### List of Beneficiaries

No	Name	Short name	Country	Project entry month <sup>8</sup>	Project exit month
1	NARODOWE CENTRUM NAUKI	NCN	Poland	1	62
2	FONDS ZUR FÖRDERUNG DER WISSENSCHAFTLICHEN FORSCHUNG	FWF	Austria	1	62
3	FONDS DE LA RECHERCHE SCIENTIFIQUE- FNRS	FNRS	Belgium	1	62
4	FONDS VOOR WETENSCHAPPELIJK ONDERZOEK-VLAANDEREN	FWO	Belgium	1	62
5	BULGARIAN NATIONAL SCIENCE FUND	BNSF	Bulgaria	1	62
6	HRVATSKA AKADEMIJA ZNANOSTI I UMJETNOSTI	HAZU	Croatia	1	62
7	HRVATSKA ZAKLADA ZA ZNANOST	HRZZ	Croatia	1	62
8	AKADEMIE VED CESKE REPUBLIKY	AVCR	Czech Republic	1	62
9	STYRELSEN FOR FORSKNING OG UDDANNELSE	DAFSHE	Denmark	1	62
10	SIHTASUTUS EESTI TEADUSAGENTUUR	ETAg	Estonia	1	62
11	SUOMEN AKATEMIA	AKA	Finland	1	62
12	DEUTSCHES ZENTRUM FÜR LUFT - UND RAUMFAHRT EV	DLR	Germany	1	62
13	NEMZETI KUTATASI FEJLESZTESI ES INNOVACIOS HIVATAL	NKFIH	Hungary	1	62
14	RANNSOKNAMIDSTOD ISLANDS	Rannís	Iceland	1	62
15	VALSTS IZGLITIBAS ATTISTIBAS AGENTURA	VIAA	Latvia	1	62
16	Lietuvos mokslo taryba	LMT	Lithuania	1	62
17	FONDS NATIONAL DE LA RECHERCHE	FNR	Luxembourg	1	62
18	NEDERLANDSE ORGANISATIE VOOR WETENSCHAPPELIJK ONDERZOEK	NWO	Netherlands	1	62
19	NORGES FORSKNINGSRAD	RCN	Norway	1	62
20	Unitatea Executiva pentru Finantarea Invatamantului Superior, a Cercetarii, Dezvoltarii si Inovarii	UEFISCDI	Romania	1	62
21	SLOVENSKA AKADEMIA VIED	SAS	Slovakia	1	62
22	Ministrstvo za izobraževanje, znanost in sport	MIZS	Slovenia	1	62
23	JAVNA AGENCIJA ZA RAZISKOVALNO DEJAVNOST REPUBLIKE SLOVENIJE	ARRS	Slovenia	1	62
24	AGENCIA ESTATAL DE INVESTIGACION	AEI	Spain	1	62

## 1.2. List of Beneficiaries

 Associated with document Ref. Ares(2020)6525766 - 10/11/2020

No	Name	Short name	Country	Project entry month <sup>8</sup>	Project exit month
25	SCHWEIZERISCHER NATIONALFONDS ZUR FORDERUNG DER WISSENSCHAFTLICHEN FORSCHUNG	SNSF	Switzerland	1	62
26	FORSKINGSRADET FOR HALSA ARBETSLIVOCCH VALFARD	FORTE	Sweden	1	62
27	UNITED KINGDOM RESEARCH AND INNOVATION	UKRI	United Kingdom	1	62

## 1.3. Workplan Tables - Detailed implementation

Associated with document Ref. Ares(2020)6525766 - 10/11/2020

### 1.3.1. WT1 List of work packages

WP Number <sup>9</sup>	WP Title	Lead beneficiary <sup>10</sup>	Start month <sup>12</sup>	End month <sup>13</sup>
WP1	Management	1 - NCN	1	62
WP2	Preparation and launch of the co-funded call	1 - NCN	1	21
WP3	Evaluation and proposal selection for the co-funded call	1 - NCN	1	22
WP4	Follow-up and monitoring of projects resulting from the co-funded call	9 - DAFSHE	1	62
WP5	Communication, Exploitation and Dissemination of the results	1 - NCN	1	62
WP6	Additional Activities	12 - DLR	1	62
WP7	Ethics requirements	1 - NCN	1	62

### 1.3.2. WT2 list of deliverables

Deliverable Number <sup>14</sup>	Deliverable Title	WP number <sup>9</sup>	Lead beneficiary	Type <sup>15</sup>	Dissemination level <sup>16</sup>	Due Date (in months) <sup>17</sup>
D1.1	CHANSE Programme Committee Terms of Reference	WP1	1 - NCN	Report	Public	4
D1.2	Update report on CHANSE activities	WP1	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	13
D1.3	CHANSE Progress Report	WP1	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	36
D1.4	Information on the Cumulative Expenditure Year 1	WP1	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	14
D1.5	Information on the Cumulative Expenditure Year 2	WP1	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	26
D1.6	Information on the Cumulative Expenditure Year 3	WP1	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	38
D1.7	Information on the Cumulative Expenditure Year 4	WP1	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	50
D1.8	Information on the Cumulative Expenditure Year 5	WP1	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	62
D2.1	Information on the Co-funded Call and its content	WP2	1 - NCN	Report	Confidential, only for members of the consortium	2

<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>
					(including the Commission Services)	
D2.2	CHANSE Co-Funded Call Documents (MoU, PoC, Call Announcement)	WP2	1 - NCN	Report	Public	3
D2.3	Guidelines for CHANSE Co-Funded Call Applicants, including guidance on the EPSS	WP2	10 - ETAg	Report	Public	3
D2.4	CHANSE Co-funded Call Communication Plan	WP2	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	3
D2.5	CHANSE Co-funded Call Communication Toolkit	WP2	1 - NCN	Report	Public	3
D2.6	CHANSE Partner Search Tool	WP2	1 - NCN	Websites, patents filling, etc.	Public	3
D2.7	Procedural recommendations for potential future CHANSE joint call(s)	WP2	24 - AEI	Report	Public	21
D3.1	List of members of the Review Panel	WP3	24 - AEI	Report	Confidential, only for members of the consortium (including the Commission Services)	16
D3.2	Review Panel Operational Document	WP3	24 - AEI	Report	Confidential, only for members of the consortium (including the Commission Services)	6
D3.3	Ranking List of Full Proposals	WP3	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	16

<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>
D3.4	List of the Projects Recommended for Funding	WP3	1 - NCN	Report	Public	18
D3.5	Information on Projects Recommended for Funding (Project's Summaries)	WP3	1 - NCN	Report	Public	18
D3.6	Independent Observer's Report on Evaluation	WP3	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	19
D3.7	Formal and duly signed commitment on availability of funds for the selected projects (from each Funder)	WP3	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	19
D3.8	Detailed data of the selected projects (information on each selected project, incl. data on each participant and overview of the results, in a format specified by the EC)	WP3	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	18
D4.1	CHANSE Monitoring & Impact Assessment Strategy	WP4	9 - DAFSHE	Report	Public	18
D4.2	CHANSE Report from Projects' Mid-term Review	WP4	20 - UEFISCDI	Report	Public	45
D4.3	CHANSE Report from Projects' Final Review	WP4	20 - UEFISCDI	Report	Public	62
D4.4	CHANSE Impact Assessment Report	WP4	9 - DAFSHE	Report	Public	62
D4.5	CHANSE Knowledge Exchange Strategy	WP4	27 - UKRI	Report	Public	25
D4.6	On-line Guide on Knowledge Exchange for CHANSE applicants	WP4	27 - UKRI	Report	Public	3
D4.7	Final information on each implemented project (incl. data on each participant and overview of the results,	WP4	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	62

<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>
	in a format specified by the EC)					
D5.1	CHANSE PR material (brochure, leaflet, posters)	WP5	1 - NCN	Report	Public	3
D5.2	CHANSE Projects' Catalogue	WP5	1 - NCN	Report	Public	23
D5.3	CHANSE website (print screen + link)	WP5	1 - NCN	Websites, patents filling, etc.	Public	2
D5.4	CHANSE Plan for Communication and Dissemination	WP5	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	4
D6.1	Roadmap for additional CHANSE joint call(s) and activities	WP6	12 - DLR	Report	Confidential, only for members of the consortium (including the Commission Services)	36
D6.2	Report on the activities for "Towards a European Partnership in SSH"	WP6	12 - DLR	Report	Public	62
D6.3	Report on capacity building activities for less performing countries within CHANSE	WP6	1 - NCN	Report	Public	62
D6.4	Roadmap of network specific activities for HERA and NORFACE	WP6	18 - NWO	Report	Public	62
D6.5	Toolbox with best practices and case studies collected from the HERA and NORFACE calls	WP6	18 - NWO	Report	Public	62
D7.1	GEN - Requirement No. 1	WP7	1 - NCN	Ethics	Confidential, only for members of the consortium (including the Commission Services)	3

### 1.3.3. WT3 Work package descriptions

<b>Work package number</b> <sup>9</sup>	WP1	<b>Lead beneficiary</b> <sup>10</sup>	1 - NCN
<b>Work package title</b>	Management		
<b>Start month</b>	1	<b>End month</b>	62

#### Objectives

The overall objective of this WP is the optimized and harmonious coordination of the CHANSE Programme in line with the provisions of the Grant Agreement (GA) (to be signed with the EC) and the Consortium Agreement (CA) (to be agreed and signed by CHANSE partners). WP1 will be led by the CHANSE Coordinator (NCN, Poland) and they will ensure:

- The effective management of CHANSE as an ERA-NET Cofund instrument (incl. fulfilling all contractual obligations towards the EC);
- The coordination of the CHANSE consortium (based on the rules accepted by the consortium in the CA) for optimal implementation of the Programme;
- Coordination, supervision and support for the WP Leaders and Task Leaders (TLs) in the implementation of the description of work (DoW);
- The monitoring of the overall progress of the Programme and on-going risk management;
- The coherence and efficiency of the Programme as a whole.

#### Description of work and role of partners

##### **WP1 - Management** [Months: 1-62]

##### **NCN**

The work will be organised under the following tasks:

- Task 1.1 Management of the CHANSE Programme
- Task 1.2 Coordination of the CHANSE Consortium
- Task 1.3 Financial management and budget control
- Task 1.4 Internal communication

Under this WP, the effective coordination of the CHANSE Programme will be ensured, i. e. the management of all Programme-related technical, administrative and financial issues such as: the handling of the payments, incl. the cofund; overseeing compliance with funding rules; liaising with partners, decision-making bodies and the European Commission (EC) in all organisational, contractual and financial aspects; ensuring high standards of scientific excellence in the evaluation and decision-making process and maintaining these throughout the activities of the Programme. The Coordinator (NCN, Poland) will be the main contact point for all communication coming from the EC.

The management of the Programme will take under consideration the environmental impact of the implemented activities, incl. the carbon footprint of business trips. CHANSE Partners will be reminded to carefully choose the travel mode (e.g. train instead of plane, no stopover flights) and short, one-day meetings will be substituted by other means of communication, whenever possible. Paper free conferences and events will be preferred, gadgets will be avoided.

##### **Task 1.1 Management of the CHANSE Programme**

Task Leader: NCN, Poland, Contributing: All

The main objective of this task is to ensure a smooth implementation of the CHANSE Programme in line with the provisions of the GA (incl. description of work, estimated budget, work schedule), through the well-coordinated management of time, resources and work. Simultaneously, this task includes providing a continuous information flow between CHANSE and the EC and satisfying all contractual requirements stemming from the GA.

This will be primarily performed by the Coordinator (NCN Poland), experienced in leading an ERA-NET Cofund initiative, in close collaboration with other consortium partners. Additionally, while preparing this application, the best management practices from HERA, NORFACE and other ERA-NET Cofunds were analyzed, adjusted and appropriately adopted to make use of the solutions that had already been developed and tested, and had proved to be successful.

The most important tools of effective management will be as follows:

- A well-designed governance structure, involving different stakeholders in a balanced way;
- Effective internal and external communication and reporting channels facilitated by various instruments;

- Clear rules of cooperation to be described in the CA;
- Effective distribution of tasks and clear division of responsibilities reflected in the DoW;
- Time, resources and work management, flexibly responsive to potential changes and challenges;
- Continuous supervision of the Coordinator, directly responsible for the proper implementation of the Programme, aided by adequate project management tools (such as work plans, schedules, management budget, monitoring tools, etc.).

Altogether, this set of management tools, complemented by the Coordinator's and partners' previous experiences, will ensure the effective cooperation of CHANSE partners and successful execution of the GA. Additionally, the CHANSE Coordinator will be constantly on a watch for recommendations coming from the ERA-LEARN initiative and Public-public Partnership community regarding the Programme management and implementation to make the best use of available collective experience.

Task 1.1 is an "umbrella task" for all the other activities within the Programme. It involves overseeing interdependencies between tasks and WPs and proper time, resources and work management. After the CHANSE project is launched, all WP Leaders will be asked to prepare detailed schedules for their share of activities, which will be then integrated into one living document updated on a regular basis (i. e. Detailed Work Plan). From one meeting to another, "to-do-lists" will be created for partners to have a constant reminder of their tasks, deadlines and deliverables. Constant communication will be supported. Partners will be asked to report all difficulties and obstacles in delivering outputs in time.

#### Task 1.2 Coordination of the CHANSE Consortium

Task Leader: NCN, Poland, Contributing: All

This task focuses on ensuring the effective cooperation of all partners constituting the CHANSE consortium through:

- Establishing a set of rules of cooperation that will be commonly adopted and described in the CA;
- Implementing working structures and ensuring undisturbed information flow, facilitated by various instruments (face-to-face meetings, video-conferences, phone calls, e-mailing, etc.);
- Overseeing the intra-consortium reporting and payments, stemming from the CA.

The Coordinator will be primarily responsible for implementing this task. For the best result, NCN will apply its experience from coordinating the QuantERA ERA-NET Cofund in Quantum Technologies initiative and the recommendations from the ERA-LEARN project (where NCN leads the task aiming at supporting the participation of EU13 countries in partnership programmes), and the good practice shared by HERA and NORFACE.

##### Elaboration of the Consortium Agreement

One of the task's objectives is to establish a commonly accepted set of rules of cooperation, decision-making and conflict resolution and other operational procedures that will be described in the CHANSE Consortium Agreement. The CA will be discussed and approved at the beginning of the Programme within the Steering Group (SG), which will be composed of delegates from each partner (i. e. all parties to the GA).

Besides the GA, the CA will become the basis for the Programme implementation and a framework for the everyday work of the CHANSE partners. It will also regulate the most important aspects of the co-funded call, such as partners' share in funding the projects and the top-up distribution mechanism. The Management Budget (attachment to the CA) will redistribute direct coordination costs for additional activities (unit costs) and secure financing for each partner's partial management expenses. The Management Budget will be divided based on each partner's real involvement in the implementation of the Programme.

##### Implementation of the working structures

The CHANSE working structures will be established at the beginning of the implementation of the Programme, according to the outline proposed in section 3.2. Detailed information on each body's tasks, rights and operational model will be included in the CA after they are agreed upon by the CHANSE consortium.

The governance structure involves different stakeholders (Research Funding Organisations, hereinafter referred to as RFOs, the research community, representatives from the HERA and NORFACE networks) in a balanced way. It has been designed so that the equity of governance would be fully respected. The Coordinator will manage a Coordination Office, comprised of experienced staff responsible for the operational management and administrative coordination of the Programme. The group of WP Leaders and Task Leaders chaired by the Coordinator will form the Coordination Group (CG). The highest authority of CHANSE will lie with the Steering Group (SG) with all partners represented. The Programme Committee (PC), including the Chairs of HERA and NORFACE, will be invited to advise on strategic and scientific issues. The cooperation with the PC will be described in the PC Terms of Reference.

#### Task 1.3 Financial management and budget control

Task Leader: NCN, Poland, Contributing: All

Financial management will be carried out by the Coordinator in close cooperation with all CHANSE partners. The Coordinator will be primarily responsible for handling all financial matters and communication with the EC regarding the transfer(s) of funds, amendment(s) to the GA, and financial and technical reporting. Additionally, based on the CA,

the Coordinator will monitor the overall usage of the Management Budget to secure resources for the uninterrupted implementation of additional activities. Therefore, this task will consist of three main groups of activities:

- Submission of reports according to the requirements of the GA to the EC;
- Distribution of pre-financing and payments received from the EC among CHANSE partners in accordance with the terms of the CA;
- Overall financial management of the Programme and consortium in line with the provisions of GA and CA;
- Budget monitoring, incl. collecting input from partners (cost statements, audit certificates etc.) in accordance with the terms of the CA.

#### Task 1.4 Internal communication

Task Leader: NCN, Poland, Contributing: All

The objective of this task is to ensure effective communication in the Programme. This assignment will be duly performed by the Coordinator, which is responsible for sustaining a continuous information flow. Various communication channels will be established:

- from the Coordinator to all partners;
- among all CHANSE consortium partners;
- across CHANSE governance bodies;
- between the CHANSE consortium and the EC, including the timely delivery of the consortium's reports.

The Coordinator will combine traditional and new forms of communication for the best possible outcomes (face-to-face meetings, phone calls, e-mails, videoconferencing, website). The results of the meetings will be recorded (minutes), archived and available for partners. The CHANSE website will serve as a document exchange area for the consortium to facilitate internal communications. For this purpose, a part of the website will be password-protected with access granted solely to the consortium members (described further in task 5.2). Additionally, the Coordinator will inform the EC about key developments in the Programme, invite EC representatives and other stakeholders to CHANSE events, and gather up-to-date information about policy developments at the EC level which have a potential impact on developments in the SSH community.

### Participation per Partner

Partner number and short name <sup>10</sup>
1 - NCN
2 - FWF
3 - FNRS
4 - FWO
5 - BNSF
6 - HAZU
7 - HRZZ
8 - AVCR
9 - DAFSHE
10 - ETAg
11 - AKA
12 - DLR
13 - NKFIH
14 - Rannis
15 - VIAA
16 - LMT
17 - FNR

Partner number and short name <sup>10</sup>
18 - NWO
19 - RCN
20 - UEFISCDI
21 - SAS
22 - MIZS
23 - ARRS
24 - AEI
25 - SNSF
26 - FORTE
27 - UKRI

### 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	CHANSE Programme Committee Terms of Reference	1 - NCN	Report	Public	4
D1.2	Update report on CHANSE activities	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	13
D1.3	CHANSE Progress Report	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	36
D1.4	Information on the Cumulative Expenditure Year 1	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	14
D1.5	Information on the Cumulative Expenditure Year 2	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	26
D1.6	Information on the Cumulative Expenditure Year 3	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	38

### 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>
D1.7	Information on the Cumulative Expenditure Year 4	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	50
D1.8	Information on the Cumulative Expenditure Year 5	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	62

### Description of deliverables

Within WP1 the Coordinator will submit the deliverables related to the management of the Programme, incl technical and financial reporting.

D1.1 : CHANSE Programme Committee Terms of Reference [4]

In this document the role, membership and scope of work of the PC will be described.

D1.2 : Update report on CHANSE activities [13]

Update report on CHANSE activities, incl. explanation of the work carried out by the beneficiaries and overview of the progress, an update on additional activities (if applicable).

D1.3 : CHANSE Progress Report [36]

CHANSE Progress Report, incl. explanation of the work carried out by the beneficiaries and overview of the progress; Overview of the project results; Explanation of the work carried per WP; Impact; Update of the plan for exploitation and dissemination of result (if applicable); Deviations from Annex 1 and Annex 2 (if applicable).

D1.4 : Information on the Cumulative Expenditure Year 1 [14]

This report will provide information from the 1st year of the implementation of the Programme.

D1.5 : Information on the Cumulative Expenditure Year 2 [26]

This report will provide information from the 2nd year of the implementation of the Programme.

D1.6 : Information on the Cumulative Expenditure Year 3 [38]

This report will provide information from the 3rd year of the implementation of the Programme.

D1.7 : Information on the Cumulative Expenditure Year 4 [50]

This report will provide information from the 4th year of the implementation of the Programme.

D1.8 : Information on the Cumulative Expenditure Year 5 [62]

This report will provide information from the 5th year of the implementation of the Programme.

### Schedule of relevant Milestones

Milestone number <sup>18</sup>	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS1	CHANSE website launched	1 - NCN	2	Website
MS11	CHANSE Projects' Launch Event	20 - UEFISCDI	23	Meeting: agenda, attendance list, photos, summary on the

### Schedule of relevant Milestones

Milestone number <sup>18</sup>	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
				website, presentations from the event, etc.
MS12	CHANSE Mid-Term Event, incl. Projects' Mid-Term Review	20 - UEFISCDI	43	Meeting: agenda, attendance list, photos, summary on the website, presentations from the event, etc.
MS13	CHANSE Final Event, incl. Projects' Final Review	1 - NCN	60	Meeting: agenda, attendance list, photos, summary on the website, presentations from the event, etc.

<b>Work package number</b> <sup>9</sup>	WP2	<b>Lead beneficiary</b> <sup>10</sup>	1 - NCN
<b>Work package title</b>	Preparation and launch of the co-funded call		
<b>Start month</b>	1	<b>End month</b>	21

### Objectives

- To finalize the text of CHANSE co-funded call for proposals;
- To ensure effective organisation and launch of the co-funded call;
- To ensure a wide promotion of the call among the scientific community.

### Description of work and role of partners

#### **WP2 - Preparation and launch of the co-funded call** [Months: 1-21]

##### **NCN**

The work will be organised under the following Tasks:

Task 2.1 Co-funded Call preparation

Task 2.2 Customization of the Electronic Proposal Submission System (EPSS)

Task 2.3 Publication and promotion of the co-funded call

Task 2.4 Assessment of procedures of the co-funded call

Task 2.1 Co-funded Call preparation

Task Leader: NCN, Poland, Contributing: AEI, ETAg, All

The objective of this task is to finalize the co-funded call documents which maximize the call's impact on the research community in Europe. Preparatory actions for the launch of the CHANSE co-funded call have already been carried out before the submission of this application, and as a result, the preliminary version of the scientific call text is ready and approved by the consortium. Within task 2.1, the Coordinator will develop the contractual framework of the co-funded call (i.e. the call documentation) in close cooperation with the PC and the rest of the CHANSE partners within the SG. The process of finalizing the call documents will be initiated before the official start of CHANSE, so that the Call can be launched soon after. The contractual framework will aim at ensuring the high quality, equity and public accountability of all processes. The call documentation will include the Memorandum of Understanding (MoU) and its annexes (the Call Announcement, the Procedures of the Call and the Consortium Agreement):

- The MoU, to be signed by all partners participating in the co-funded call, will become a mutual statement of commitment specifying the terms of cooperation and funding declarations. TL will be in charge of initiating and facilitating the completion of the MoU signature process, which is needed for formalizing the agreement on the call documents, and ensuring it is published at national levels;
- The Call Announcement will present the research topics targeted in the call (incl. targeted outcomes and expected impacts), the eligibility criteria for applicants, the Funders' overview and the application procedure. It will also provide a list of the evaluation criteria and describe the evaluation and selection processes. Information on the management and reporting of the selected projects and a list of national contact points and regulations (national eligibility criteria) will also be included. Outline and full proposal templates will be designed.
- The Procedures of the Call will describe all call-related processes in detail (incl. call publication, proposals' eligibility check, the evaluation and selection procedure, the formation of the Review Panel and engaging external experts, and the national budget negotiations phase (if this is a practice at the national level, etc.). The document will serve as a comprehensive instruction for the implementation of the co-funded call.
- The Consortium Agreement (see task 1.2) will include (i. a.) provisions on the most important aspects of the implementation of the co-funded call, for example: distribution of the EC co-fund (i.e. EC top-up).

At the same time as the development of the call documents, the co-funded call administrative structures will be established (i.e. Steering Group, Call Secretariat, national contact points). Guidelines for the members of the Review Panel and external experts will be prepared (incl. the evaluation grid, the reviewer code of conduct, and the confidentiality agreement). The co-funded call will be open to research consortia composed of at least 3 research teams from at least 3 countries participating in the co-funded call. CHANSE partners (future GA beneficiaries) will not be eligible to apply for funding under the co-funded call with an exception of HAZU, Croatia. For this case, additional measures to mitigate the risk of, perception of, or de facto conflict of interest or unequal treatment of applicants will be taken and described in the CA. HAZU, Croatia, a beneficiary of the CHANSE project, will remain eligible to apply for funding under the co-funded call, however, it will not be a Funder within the call. To avoid possible conflicts of interest, the role of the Funder for the Croatians applicants (incl. but not limited to HAZU) has been taken on by HRZZ,

Croatia – a RFO separate and independent from HAZU. While HAZU is a part of the CHANSE Consortium, it has been and will remain to be excluded from all discussions, communication and decision-making processes related to the co-funded call, incl. the preparation of the call documents (i.e. Call Announcement, the Procedures of the Call, the Review Panel Operational Document, etc.). HAZU will be also excluded from the proposals' evaluation and monitoring processes: it will neither nominate nor select the members of the Review Panel and HAZU's representative won't participate in the Review Panel meetings. Last but not least, HAZU will not be included in the decisions on the list of the projects recommended for funding and the distribution of the top-up. HAZU's involvement in the CHANSE's activities will be therefore focused on the WP5 & WP6, i. e. Communication and Additional Activities. As HAZU won't be included in any communication regarding the co-funded call, all sensitive information will be non-accessible for HAZU's representatives and the risk of unequal treatment of the applicants will be avoided. The abovementioned measures to mitigate the risk of, perception of, or de facto conflict of interest or unequal treatment of applicants will be taken and described in the CA and the respective call documents. These measures will ensure that information is kept non-accessible to the members of the consortium that will apply to the co-funded call as well as an independent and fair treatment of complaints related to the call, in particular for complaints relating to unequal treatment of applicants. It is worth noting that all successful CHANSE projects will need to sign a consortium agreement addressing the following topics as a minimum requirement: the internal organisation and management of the consortium, intellectual property and open access arrangements, and the settlement of internal disputes. A DESCA model will be promoted on the CHANSE website as a template for project consortia. DESCA (Development of a Simplified Consortium Agreement) is a comprehensive Model Consortium Agreement which offers a reliable frame of reference for project consortia. DESCA enjoys broad support within the FP community. More information about this document can be found at: [www.desca-2020.eu](http://www.desca-2020.eu).

The Task Leader will make sure that all Cofund and EC requirements are respected in the final call documents. As part of this task and Task 6.3, the consortium will also consider mechanisms and solutions for increasing the participation of the less performing countries. The final revision of the call text will include any unanticipated requirements resulting from the partners' negotiations on the CA and the final amounts of the national contributions. Additionally, the timeline towards publication of the CHANSE co-funded call has been designed to allow for the accommodation of recommendations coming out of the evaluation of the ERA-NET Cofund application. Information on the call and its content will be sent to the European Commission at least 30 days before the expected date of publication.

Establishment and maintenance of the Co-funded Call Secretariat

A CHANSE Co-Funded Call Secretariat (CS) will be hosted jointly by NCN, Poland (Call Secretariat Leader), AEI, Spain and ETAG, Estonia. It will involve dedicated personnel with experience in implementing co-funded calls within ERA-NET initiatives. The CS will serve as a central contact point and helpdesk for applicants, and will be assisted in this role by the national contact points established at the participating organisations. CS will closely cooperate with the SG and the WP3 Task Leaders to ensure the smooth implementation of the evaluation and selection processes. The main activities of the CS will be to:

- Facilitate the implementation of the call by providing a supporting IT environment (i.e. EPSS: Electronic Proposal Submission System),
- Advise the potential applicants and national contact points on the call's general requirements,
- Oversee the review process, including eligibility check checks for the submitted proposals,
- Organise the meetings of the Review Panel (draft agenda and minutes, logistics, travel arrangements, etc.),
- Manage the flow of call-related information (instructions for reviewers, feedback to the SG, etc.),
- Communicate with the applicants, the RP and the external experts, the SG and the national contact points.

Task 2.2 Customization of the Electronic Proposal Submission System (EPSS)

Task Leader: ETAG, Estonia; Contributing: NCN, AEI, All

The aim of this activity is to provide a user-friendly online electronic submission system (EPSS) for applicants of the CHANSE co-funded call. The EPSS will be adopted not only to collect the proposals and reviews but also to share these documents with the CHANSE partners, members of the Review Panel and external experts, as appropriate. For this purpose, the consortium will adopt an online platform that has been successfully used in other large transnational calls for proposal. ETAG will be responsible for tasks related to provision of the platform. The EPSS will be adjusted to reflect the specifics of the CHANSE co-funded call and all the requirements included in the Call Announcement. Guidelines for the applicants on how to access the EPSS and submit an application will be provided. All of the data collected in the system – in regards to the applicants as well as RP members and the external experts – will be secured and processed with respect to the data protection and privacy measures in accordance with the Directive 95/46/EC and the General Data Protection Regulation.

Task 2.3 Publication and promotion of the co-funded call

Task Leader: NCN, Poland; Contributing: AEI, ETAG, All

This task covers the publication of the co-funded call on the CHANSE Programme's website and its wide dissemination through international and national channels and various media. To determine and list all promotional activities, a Co-funded Call Communication Plan will be created at the beginning of the Programme and updated once the Call is closed. This document will be filled in by all CHANSE partners. It will provide extensive and complete information on all international and national activities that are taken to raise the visibility of the call.

The co-funded call will be first promoted through a pre-announcement that will be published online about one month before the Call Announcement, which should give the researchers enough time to build their consortia. The pre-announcement will comprise the scientific content of the upcoming call, a tentative list of participating countries, and general recommendations and/or eligibility criteria. It will be available on the CHANSE website and sent to all CHANSE partners for further dissemination.

Once the Call is launched, it will be published on the CHANSE website (further described in WP5) that will gather all relevant co-funded call information and documents. The call will remain open for the submission of proposals for at least 60 days. To facilitate communication at a national level, the Task Leader will compile a Co-funded Call Communication Toolkit (press release, call leaflet, text for the website in English) that will be distributed among CHANSE partners. This will equip CHANSE partners with the necessary communication tools to disseminate the co-funded call among their national/ regional scientific communities. Further call communication and promotion will include: targeted e-mailing, the use of social media, the publication of news items on relevant websites (for example: CORDIS, ERA-LEARN) and the promotion of the co-funded call at scientific and/or EU-events at both, national and international levels. Every opportunity to advertise the co-funded call will be seized including promotion through HERA and NORFACE.

#### Launch and maintenance of the Partner Search Tool

The aim of this activity is to secure a dedicated networking space (a Partner Search Tool) for all potential CHANSE applicants to share their project ideas and search for partners. This tool will build on the NCN's experience gathered when managing similar applications for other transnational calls for proposals within ERA-NET Cofund initiatives (for example QuantERA and JPI-EC-AMR). The CHANSE Partner Search Tool will be promoted in the Co-funded Call Announcement, on the CHANSE webpage and through the Co-funded Call Communication Toolkit. It will be open from the pre-announcement onwards.

#### Task 2.4 Assessment of procedures of the co-funded call

Task Leader: AEI, Spain; Contributing: All

As a part of the CHANSE Impact Assessment Report (described further in Task 4.3), the Task Leader will conduct a survey among the CHANSE partners to assess the quality and efficiency of the implementation of the CHANSE co-funded call. The survey will be conducted soon after the call's conclusion. It will address the timeline and procedures of the call, from the topic definition to the final funding decision. Feedback from CHANSE partners will help in recording all encountered difficulties and identifying the bottlenecks of the process. It will also serve as a basis for formulating procedural recommendations for potential future CHANSE joint call(s). The results of this task will be integrated into the CHANSE Impact Assessment Report.

### Participation per Partner

Partner number and short name <sup>10</sup>
1 - NCN
2 - FWF
3 - FNRS
4 - FWO
5 - BNSF
7 - HRZZ
8 - AVCR
9 - DAFSHE
10 - ETAg
11 - AKA
12 - DLR

Partner number and short name <sup>10</sup>
13 - NKFIH
14 - Rannis
15 - VIAA
16 - LMT
17 - FNR
19 - RCN
20 - UEFISCDI
21 - SAS
22 - MIZS
23 - ARRS
24 - AEI
25 - SNSF
26 - FORTE
27 - UKRI

#### 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	Information on the Co-funded Call and its content	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	2
D2.2	CHANSE Co-Funded Call Documents (MoU, PoC, Call Announcement)	1 - NCN	Report	Public	3
D2.3	Guidelines for CHANSE Co-Funded Call Applicants, including guidance on the EPSS	10 - ETAg	Report	Public	3
D2.4	CHANSE Co-funded Call Communication Plan	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	3
D2.5	CHANSE Co-funded Call Communication Toolkit	1 - NCN	Report	Public	3

### 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>
D2.6	CHANSE Partner Search Tool	1 - NCN	Websites, patents filling, etc.	Public	3
D2.7	Procedural recommendations for potential future CHANSE joint call(s)	24 - AEI	Report	Public	21

### Description of deliverables

Within WP2, the Task Leaders will provide the deliverables related to the preparation and launch of the co-funded call.

D2.1 : Information on the Co-funded Call and its content [2]

This document will include basic information of the co-funded call, incl. the topic description.

D2.2 : CHANSE Co-Funded Call Documents (MoU, PoC, Call Announcement) [3]

The Call documentation will include the Call Announcement, Memorandum of Understanding and the Procedures of the Call.

D2.3 : Guidelines for CHANSE Co-Funded Call Applicants, including guidance on the EPSS [3]

This document will provide guidance to the applicants on how to submit a valid application to the CHANSE call.

D2.4 : CHANSE Co-funded Call Communication Plan [3]

This document will include information on how the co-funded call will be promoted on the national and international levels.

D2.5 : CHANSE Co-funded Call Communication Toolkit [3]

The toolkit will include i.a. a press release, an e-leaflet and a news item that should be translated into national languages and published on-line on the Partners' websites.

D2.6 : CHANSE Partner Search Tool [3]

This on-line tool will facilitate the process of forming the project consortia by enabling potential applicants to publish and respond to research cooperation offers.

D2.7 : Procedural recommendations for potential future CHANSE joint call(s) [21]

The aim of this document is to analyse the procedures of the co-funded call and come up with recommendations that could improve the process in future.

### Schedule of relevant Milestones

Milestone number <sup>18</sup>	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS2	Partner Search Tool available	1 - NCN	3	Website
MS3	EPSS available	10 - ETAg	3	Website
MS4	Co-funded Call announced & promoted	1 - NCN	3	published on the Programme's website

<b>Work package number</b> <sup>9</sup>	WP3	<b>Lead beneficiary</b> <sup>10</sup>	1 - NCN
<b>Work package title</b>	Evaluation and proposal selection for the co-funded call		
<b>Start month</b>	1	<b>End month</b>	22

### Objectives

- To ensure the quality, effectiveness and fairness of the CHANSE evaluation and selection procedure;
- To evaluate the proposals submitted in response to the CHANSE co-funded call;
- To recommend proposals for funding based on the ranking list provided by the Review Panel;
- To ensure proper contracting arrangements between the selected projects and the CHANSE partners;
- To successfully facilitate the start of the projects;
- To gather the deliverables required for requesting the second pre-financing payment: the ranking list of proposals; the independent observer's report on the evaluation; the list of projects recommended for funding; a commitment on the availability of funds for the selected projects from each consortium partner participating in the co-funded call.

### Description of work and role of partners

#### **WP3 - Evaluation and proposal selection for the co-funded call** [Months: 1-22]

##### **NCN**

The work will be organised under the following tasks:

- Task 3.1 Submission and eligibility check of the proposals
- Task 3.2 Formation of the Review Panel and organisation of its activities
- Task 3.3 Proposals evaluation: review of outline proposals
- Task 3.4 Proposals evaluation: review of full proposals
- Task 3.5 Proposals selection including the use of the EC top-up
- Task 3.6 The contracting and start of the CHANSE projects

The evaluation and selection procedures for the CHANSE co-funded call were based on:

- The CHANSE Programme management structure (described further in section 3.2);
- Lessons learned from previous HERA and NORFACE calls and other ERA-NET Cofund initiatives;
- The rules and regulations set forth by the EC.

The submission and evaluation of proposals will be conducted in two steps: the outline proposals stage and the full proposals stage (task 3.1, 3.3 and task 3.4). The outline proposals will be evaluated by the Review Panel (RP) at the 1st stage and the full proposals will be evaluated by the RP, assisted by external experts, at the 2nd stage. Outline and full proposals will be evaluated according to the same evaluation criteria, aligned with the scoring and criterion system given in Annex H of the General Annexes of the Horizon 2020 Work Programme 2018-2020 (i.e. Excellence, Impact, Quality and Efficiency of the Implementation), and complemented with the "Relevance to the Call Topic" criterion which will be added at the outline proposal stage. The CHANSE consortium will guarantee an optimal quality control in proposal evaluation, and will ensure that with respect to the submitted applications, data protection and privacy measures are taken in accordance with the Directive 95/46/EC and the General Data Protection Regulation. Appropriate steps will be taken to ensure the confidentiality of information included in the proposals as well as details of the evaluation process itself and its outcome. Complying with the EC regulations for the ERA-NET Cofund, an expert will be appointed by the SG (in consultation with the EC) to act as an independent observer in order to report to the EC on the co-funded call procedures and implementation.

The environmental impact of all activities, incl. the carbon footprint of business trips, will be considered. CHANSE Partners and members of the Review Panel will be reminded to carefully choose the travel mode (e.g. train instead of plane, no stopover flights) and short, one-day meetings will be substituted by other means of communication, whenever possible. Paper free events will be preferred.

##### **Task 3.1 Submission and Eligibility Check of the Proposals**

Task Leader: ETAG, Estonia; Contributing: NCN, AEI, All

Submission of proposals to the CHANSE Co-funded Call will be conducted in two steps: first the applicants will submit the outline proposals. At the second step, selected consortia will be invited to prepare and submit a developed version of their proposal (i.e. full proposal).

At both stages (outline and full proposals), applicants will submit their applications via EPSS, to which a link will be provided on the CHANSE website. At the second stage, the EPSS will enable only the invited project consortia to submit

their full proposals. Each proposal will have to indicate the Project Leader (PL), who will be the main contact point for all communication coming from the Call Secretariat. Applicants will be also asked if specific ethical considerations are relevant for their proposal. If so, the appropriateness of the proposed procedures will be evaluated by the RP.

At both stages, the CS will perform admissibility and eligibility checks. Following the deadline for submitting the outline/full proposals, the CS will first check and report to the SG on the admissibility (submission date, page limit, completeness, etc.) and eligibility (according to general requirements included in the Call Announcement) of the outline/full proposals. In parallel, the SG members will perform their national eligibility checks to verify that the outline/full proposals comply with their respective national regulations.

Only outline/ full proposals that have successfully passed the eligibility checks will be made available to the RP members and external experts, after a process of determining potential conflicts of interest and collecting signed confidentiality agreements.

### Task 3.2 Formation of the Review Panel and organisation of its activities

Task Leader: AEI, Spain; Contributing: NCN, ETAg, All

Proposals submitted to the CHANSE co-funded call will be evaluated by a Review Panel (RP) consisting of internationally recognized researchers with appropriate degrees of scientific, technical and strategic expertise. Diverse membership will be ensured, including consideration of disciplines and thematic coverage, gender and geographical balance. To support research integrity, the functioning of the RP will include strict confidentiality and conflict of interest management rules.

The main aim of this task will be to coordinate the formation of the RP and prepare a comprehensive briefing for the RP members, incl. all necessary information (about the call and the evaluation procedure) and instructions (on confidentiality and conflicts of interest). Briefing will take the form of dedicated webinars or presentations described further below. The TL will also assist the Call Secretariat Leader in organizing the RP activities, including organizing the two meetings of the RP (1st Review Panel meeting in the outline proposals stage and 2nd Review Panel meeting in the full proposals stage). At the 2nd evaluation stage, the CS will coordinate the process of selecting external experts for a remote full proposals evaluation (task 3. 4).

Suggestions of potential panellists will be collected by the TL from the Steering Group (SG) and the Programme Committee (PC), who will be encouraged to include a significant proportion of experts from countries not participating in the call (in Europe and overseas) to achieve a broad range of knowledge and expertise, involve excellent experts at different stages of their career, and ensure the gender balance of the panel. The TL, in cooperation with the CS and in consultation with the PC, will prioritize the suggested candidates and propose an ordered list of potential RP members to the SG for approval. Once the list is approved, the RP will be formed by inviting the panel members in the list by order of priority. The PC will suggest and the SG will approve, the RP chairperson.

The TL, in cooperation with the Call Secretariat, will also coordinate the process of augmenting and/ or adjusting the RP, should this be recommended by the RP and approved by the SG (e.g. in-between the two steps of the evaluation). The RP formation will be finalized after the call deadline, once the approximate number of needed reviews is known, to ensure an appropriate size and sufficient thematic coverage. The functioning of the Review Panel will be described in detail in the Review Panel Operational Document.

The composition of the Review Panel will be made public on the CHANSE website once all applicants are informed about the final results of the call.

#### Briefing for the members of the Review Panel and external experts

The aim of this activity is to equip the members of the RP and the external experts with all of the information necessary for the fair and transparent peer review of the proposals submitted to the CHANSE co-funded call, including information about:

- the CHANSE co-funded call and the procedures of the call;
- the rules of RP functioning;
- the guidelines on the EPSS system (how to access the system and submit a review etc.);
- their expected input (individual reviews and consensus reports);
- the confidentiality issues and confidentiality agreement;
- the guidelines on handling possible conflicts of interest (at both stages of the evaluation, the TL will examine whether the Conflict of Interest guidelines are being adhered to).

Within this task, dedicated materials will be prepared in a form of a webinar, presentation, etc. The Call Secretariat Leader will share these materials with the members of the RP before the 1st RP meeting and again before the 2nd RP meeting, and with the external experts during the 2nd evaluation stage.

### Task 3.3 Proposal evaluation: review of outline proposals

Task Leader: NCN, Poland; Contributing: AEI, ETAg, All

The outline proposals that have successfully passed the eligibility checks will be made available to the RP members after the eligibility check, the determination of potential conflicts of interest and the signing of the confidentiality agreements. Each outline proposal will be evaluated by at least two members of the RP (written reviews with marks submitted within the EPSS) prior to the RP meeting. Outline proposals will be assessed according to a set of four criteria (i.e. relevance to the call, excellence, impact, and quality and efficiency of the implementation) aimed at ensuring a thorough selection of excellent research proposals. All of the four criteria will need to be taken into consideration. The RP members will be requested to score each criterion on a scale from one to five, with a minimum overall threshold being necessary for the application to be considered for an invitation to the full proposal stage. During the RP meeting, the panellists will:

- discuss the quality of the outline proposals,
- produce a ranking list of all outline proposals above the quality threshold and
- produce a consensus report for each proposal, summarizing feedback from the panel,
- suggest external experts for each outline proposal above the threshold.

For the comparative assessment of the outline proposals, the panellists may readjust their scores during the discussion. The RP meeting will be attended by the Independent Observer. It will be possible for the CHANSE partners to participate in the RP meeting as observers to monitor the quality of the selection process.

Based on the ranking list provided by the RP and given the available call budget, the SG will decide on the outline proposals that will be invited to prepare and submit a full proposal. The SG will strive to keep the total amount of the funding requested in the 2nd stage lower than 3 times the call budget. Once the list of the proposals invited to the 2nd stage is approved by the SG, the CS will inform the applicants about the outcome of the eligibility checks and the SG's decision, along with the anonymized consensus reports.

The 1st RP meeting will be organised by the TL in cooperation with the host organisation. The related administrative work, (i.e. the reimbursement of panel members' travels and the reimbursement of evaluation costs), will be preferably the responsibility of the host of the meeting. The outcome of the 1st stage of the evaluation process will be:

- the minutes of the 1st RP meeting,
- the ranking list of eligible outline proposals,
- consensus reports for all outline proposals,
- part one of the Independent Observer's report and
- a list of the projects invited to the 2nd stage.

#### Task 3.4 Proposals evaluation: review of full proposals

Task Leader: NCN, Poland; Contributing: AEI, ETAg, All

After the eligibility check, the determination of potential conflicts of interest and the signing of the confidentiality agreements, the full proposals will be first made available to the external experts (at least two per project) for their review (written reviews with marks submitted within the EPSS). External experts' reviews will be then anonymized and forwarded to the applicants, who will be given a chance to comment and address any inaccuracies and questions raised via a short written statement (e.g. two A4 pages) in a so-called "rebuttal stage".

Each full proposal will be assigned to at least two members of the RP. Before the RP meeting, the RP members will be given access to the full proposals, the reviews of the external experts and applicants' rebuttals. Full proposals will be assessed according to a set of three criteria (i.e. excellence, impact, and quality and efficiency of the implementation), taking into consideration the reviews of the external experts and applicants' rebuttal. The RP will be requested to score each criterion on a scale from one to five, with a minimum threshold of three for each criterion being necessary for the application to be considered for funding. During the 2nd RP meeting, the panellists will:

- discuss the quality of the full proposals,
- produce a ranking list of all full proposals above the quality threshold and
- produce a consensus report for each proposal, summarizing feedback from the panel and based on the application, external reviews, rebuttal and panel discussion.

The RP meeting will be attended by the Independent Observer to assess the conformity of the implementation of the co-funded call with the EC regulations and, in particular, review the implementation of the independent international peer review and the establishment of the ranking list of transnational projects. It will be possible for CHANSE partners to participate in the RP meeting as observers to monitor the quality of the selection process.

The 2nd RP meeting will be organised by the TL in cooperation with the host organisation. The related administrative work, (i.e. the reimbursement of experts' travels and reimbursement of evaluation costs), will be preferably the responsibility of the host of the meeting. The outcomes of the 2nd stage of the evaluation process will consist of:

- the minutes of the 2nd RP meeting,
- the ranking list of eligible full proposals,
- consensus reports for all full proposals,
- part two of the Independent Observer's report.

### Task 3.5 Proposal selection including the use of the EC top-up

Task Leader: NCN, Poland; Contributing: AEI, ETAg, All

Based strictly on the ranking list provided by the RP and given the available call budget, the SG will decide on the proposals that will be recommended for funding. The proposals will be funded in ranking order, first by allocating national budgets and proportionally distributed EC top-up through a mixed mode mechanism. When a national budget is depleted, the gap-filling part of the EC top-up will be used, so as to ensure that as many proposals from the ranking list as possible will be funded. The rules of distributing the EC top-up will be agreed by the SG in the CA, and the final distribution will be decided at the full proposals selection stage based on the scientific evaluation results. To fund as many projects as possible with a fairly and proportionally distributed EC top-up, the SG may decide to implement adequate mitigation measures. For example, re-negotiating the projects' budgets on the national level(s), as will be described in the CA.

Once the list of the projects recommended for funding is approved by the SG, the CS will inform the applicants about the outcome of the call along with the anonymized consensus reports.

The list of projects recommended for funding will be communicated to the EC, and published on the CHANSE website and the relevant EC portal(s). The outcomes of the Proposal Selection stage of the co-funded call will be as follows:

- the list of the projects recommended for funding,
- the Independent Observer's compiled report on the evaluation and
- from each SG member, a formal and duly signed commitment on the availability of funds for the selected projects.

### Task 3.6 Contracting and start of the CHANSE projects

Task Leader: NCN, Poland; Contributing: AEI, ETAg, All

Projects will start following the communication of the decisions by the CS. Short descriptions of the CHANSE projects will be published on the Programme website. The Call Secretariat will monitor the contracting and start of the funded projects across the participating countries. Although administrative procedures and formal requirements will differ from country to country which might result in some differences between collaborating partners in starting the projects, the CS will strive to provide effective advice and assistance to facilitate the contracting process and remove obstacles preventing the launch of the projects. Each problematic case will be considered individually by the CS in constant dialogue with the respective PL and CHANSE partner.

At this point, the CS will also collect the consortium agreements signed within CHANSE projects. A DESCA 2020 model consortium agreement will be promoted as a template for the project consortia.

## Participation per Partner

Partner number and short name <sup>10</sup>
1 - NCN
2 - FWF
3 - FNRS
4 - FWO
5 - BNSF
7 - HRZZ
8 - AVCR
9 - DAFSHE
10 - ETAg
11 - AKA
12 - DLR
13 - NKFIH
14 - Rannis
15 - VIAA

Partner number and short name <sup>10</sup>
16 - LMT
17 - FNR
19 - RCN
20 - UEFISCDI
21 - SAS
22 - MIZS
23 - ARRS
24 - AEI
25 - SNSF
26 - FORTE
27 - UKRI

#### 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	List of members of the Review Panel	24 - AEI	Report	Confidential, only for members of the consortium (including the Commission Services)	16
D3.2	Review Panel Operational Document	24 - AEI	Report	Confidential, only for members of the consortium (including the Commission Services)	6
D3.3	Ranking List of Full Proposals	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	16
D3.4	List of the Projects Recommended for Funding	1 - NCN	Report	Public	18
D3.5	Information on Projects Recommended for Funding (Project's Summaries)	1 - NCN	Report	Public	18
D3.6	Independent Observer's Report on Evaluation	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	19

### 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>
D3.7	Formal and duly signed commitment on availability of funds for the selected projects (from each Funder)	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	19
D3.8	Detailed data of the selected projects (information on each selected project, incl. data on each participant and overview of the results, in a format specified by the EC)	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	18

### Description of deliverables

Within WP3, the Task Leaders will submit the deliverables related to the evaluation and selection of the transnational projects.

D3.1 : List of members of the Review Panel [16]

This document will include the names of the members of the Review Panel.

D3.2 : Review Panel Operational Document [6]

This document will include the most important information on how the Review Panel should proceed in the evaluation process.

D3.3 : Ranking List of Full Proposals [16]

This document will be the final effect of the work of the Review Panel.

D3.4 : List of the Projects Recommended for Funding [18]

This document will be the result of the Steering Group meeting. It will be based on the Ranking List while taking into the account the available budgets.

D3.5 : Information on Projects Recommended for Funding (Project's Summaries) [18]

This document will include the summaries of all projects recommended for funding.

D3.6 : Independent Observer's Report on Evaluation [19]

This report will be the result of work of the Independent Observer.

D3.7 : Formal and duly signed commitment on availability of funds for the selected projects (from each Funder) [19]

These confirmations will be submitted on-line through the F&T system within the 1st Periodic Report.

D3.8 : Detailed data of the selected projects (information on each selected project, incl. data on each participant and overview of the results, in a format specified by the EC) [18]

This file will include all data required by the EC available in the EPSS system.

### Schedule of relevant Milestones

Milestone number <sup>18</sup>	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS3	EPSS available	10 - ETAg	3	Website

### 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>
MS5	Deadline for submitting Outline Proposals	1 - NCN	5	information published on the Programme's website
MS6	Ranking List of the Outline Proposals	1 - NCN	9	internal document
MS7	Deadline for submitting Full Proposals	1 - NCN	12	information published on the Programme's website
MS8	Ranking List of the Full Proposals	1 - NCN	16	internal document
MS9	List of the projects recommended for funding & results of the co-funded call announced	1 - NCN	18	published on the Programme's website
MS10	Formal and duly signed commitments on the availability of funds for projects selected in the co-funded call	1 - NCN	19	available within the Funding & tender opportunities

<b>Work package number</b> <sup>9</sup>	WP4	<b>Lead beneficiary</b> <sup>10</sup>	9 - DAFSHE
<b>Work package title</b>	Follow-up and monitoring of projects resulting from the co-funded call		
<b>Start month</b>	1	<b>End month</b>	62

### Objectives

- To monitor and guarantee the quality and progress of the funded projects and the effective use of funds;
- To assess the impact of the CHANSE Programme at the projects' level and at the Programme's level;
- To ensure that research funded through CHANSE can make an impact beyond academia (i.e. in social, cultural or economic sphere);
- To enable networking opportunities and other activities where there are common interests across projects and funders.

### Description of work and role of partners

#### **WP4 - Follow-up and monitoring of projects resulting from the co-funded call** [Months: 1-62]

##### **DAFSHE**

The work will be organised under the following tasks:

Task 4.1 Development of the CHANSE Monitoring & Impact Assessment Strategy

Task 4.2 Monitoring of the CHANSE Projects

Task 4.3 Impact assessment of the CHANSE Programme

Task 4.4 Knowledge Exchange strategy and activities

Task 4.1 Development of the CHANSE Monitoring & Impact Assessment Strategy

Task Leader: DAFSHE, Denmark; Contributing: UEFISCDI, SNSF, DLR-PT, All

CHANSE partners are strongly committed to funding excellent SSH research that can translate into social, economic and cultural benefits. In a highly competitive and dynamically evolving scientific community, systematic and wide-ranging monitoring of the EC co-funded projects is gaining even greater importance as it could influence the future shape of the P2P research funding instruments in Europe. Keeping that in mind, the CHANSE consortium acknowledges the significance of a well-designed monitoring process that will ensure that the EC contribution and the respective national budgets are allocated to yield the best possible research outcomes.

The main aim of this task is to develop a comprehensive strategy that will enable a detailed impact assessment of the CHANSE Programme, including but not limited to the results of the CHANSE projects. For this exercise to work, it is important to define the indicators and design tools (ex. surveys, report templates, etc.) that will ensure that all necessary data are collected and all relevant variables are measured in a systematic way across the Programme's five year duration. This exercise needs to be completed early in the Programme so that all of the relevant data is captured. For this purpose, the CHANSE consortium will develop a CHANSE Monitoring & Impact Assessment Strategy that will comprehensively define all of the monitoring and impact assessment processes to be undertaken. The strategy will be developed by the TL, who will be advised and assisted by the Knowledge Exchange Group (KEG). It will be based on different models and systems represented by the CHANSE partners, as well as best practices employed within the HERA and NORFACE networks and recommendations of ERA-LEARN. It is anticipated that the strategy will provide a detailed methodological framework for the following two tasks:

- Monitoring of the CHANSE Projects (task 4.2)
- Impact assessment of the CHANSE Programme (task 4.3)

Task 4.2 Monitoring of the CHANSE Projects

Task Leader: UEFISCDI, Romania; Contributing: DAFSHE, All

In CHANSE Programme, as in all ERA-NET Co-fund initiatives, all partners will monitor the progress of their funded beneficiaries at the national levels, in line with their own respective procedures. However, it is recognized that there is also a strong need to follow the progress of the projects at the Programme level. The results of this monitoring will help to identify strategic areas of scientific development across Europe, and will feed into CHANSE discussions on how best to support SSH in future national, regional and international initiatives.

To ensure a systematic approach, the CHANSE Monitoring & Impact Assessment Strategy will define:

- The parties responsible for collecting (i.e. TL) and providing data (i.e. PLs on behalf of the whole project consortia);
- The data that will be collected from the PLs on the international level (indicators);
- Control Points, i.e. exact points on the project's timeline when data will be collected (mid-term & final);
- Methods and Tools that will be used for collecting data from the PLs (written report, presentation).

The information collected from each PL will include updates on the progress, knowledge exchange activities, achieved impact, and the quality and efficiency of their project's implementation, as well as hurdles that may have been experienced (such as delays in receiving funding, changes in the institutional affiliation of researchers or in the composition of the research teams). A list of indicators to monitor the progress and impact of the funded projects will be prepared and circulated within the consortium for their input and final approval, and then embedded in the design of the written reports.

CHANSE project reporting will be done by the PLs who will respond on behalf of the whole project consortia. Data will be collected twice, at the mid-point and end of the projects in the form of written reports (submitted on-line) and complementary presentations during the Mid-Term and Final Events (further described in task 5.3).

Once collected, the written reports for the projects will be forwarded to the Programme Committee members for review. If such a need arises, the PC's expertise will be complemented with feedback from additional experts who might be invited to join the process. The PC will be also asked to participate in the CHANSE Mid-Term and Final Events to review the CHANSE projects' presentations. Additional consultations between the PLs and the PC members will be organised if needed. On the basis of the written reports, presentations and additional consultations, the PC members will evaluate the progress reported by the CHANSE projects, and then prepare a short review for the SG and concise feedback for the project consortia. In case of a negative review or major administrative problems, the PC and SG will propose appropriate corrective measures to the PL. This procedure and its outcome will be summarized in the CHANSE Report from Projects' Mid-term Review and the CHANSE Report from Projects' Final Review, both of which will be presented to the EC as deliverables. The reports will provide input for task 4.3 and will also be forwarded to the Knowledge Exchange Group for further dissemination.

All CHANSE projects will be informed about their reporting obligations in the Call Announcement, their contracts, and later during the CHANSE Projects' Launch Event (task 5.3). All collected data will be protected and secured in order to avoid its malevolent use, following the guidelines on data management in Horizon 2020 and the Directive 95/46/EC and the General Data Protection Regulation. All CHANSE partners will be provided full access to the written reports.

#### Task 4.3 Impact assessment of the CHANSE Programme

Task Leader: DAFSHE, Denmark; Contributing: DLR-PT, All

The main objective of this task is to measure the impact of the network and its activities against the potential evaluation criteria: efficiency of achieving the desired effects, coherence of actions and relevance to the needs of the European Research Area (ERA). It is expected that this assessment will provide knowledge that could be used in future CHANSE collaborations. To ensure a systematic approach, the basic ideas will be defined in the CHANSE Monitoring & Impact Assessment Strategy, including:

- Parties responsible for collecting (i.e. TL) and providing data (i.e. CHANSE Partners, Project Leaders, other stakeholders);
- Data that will be collected (defined as a set of indicators), including input from task 2.4, task 4.2 and task 5.1;
- Control points, i.e. the exact points on the Programme's timeline when data will be collected;
- Methods and tools that will be used for collecting data (surveys, reports, other);

The collected data will be analyzed, interpreted and integrated in a draft report which will be discussed in one of the CHANSE meetings where Programme Committee members are also present. Based on their input, a final impact assessment report will be presented to the EC as a deliverable.

#### Task 4.4 Knowledge exchange strategy & activities

Task Leader: UKRI, UK; Contributing: All

The aim of this task is to enable knowledge exchange activities within a strategic and supportive framework. Effort will be invested in stimulating knowledge exchange between projects and stakeholders from outside the academic community. The aim is to encourage projects to engage in the co-production of knowledge from the inception of their project, and to facilitate the transfer of research outputs to the wider community, (e.g. cultural institutions, policymakers and the general public across Europe). It is also anticipated that this work package will to encourage the development of new opportunities and exchange of good KE practices across and beyond CHANSE.

Knowledge Exchange will be embedded within the Programme's structure from the very beginning. In the CHANSE Co-funded Call Announcement, it will be noted that knowledge exchange activities must be a distinct and inherent feature of all CHANSE projects. Each proposal will be required to include a Plan on Communication, Dissemination and Knowledge Exchange in their proposal. Applicants will be supported in that task via an online Guide on Knowledge Exchange, which will be based on HERA's existing Knowledge Exchange toolkit, and both networks' experiences from previous calls. The quality of these Communication, Dissemination and Knowledge Exchange plans will be assessed at the proposals' evaluation stage (within the Quality and Efficiency of Implementation criterion). Once the funding of the selected projects begins, the effective implementation of their Plans on Communication, Dissemination and Knowledge

Exchange will be facilitated by close cooperation with the CHANSE Knowledge Exchange Group (described below), and monitored twice at the projects' mid- and final-term reviews.

The SG will appoint a Knowledge Exchange Group (KEG) chaired by the TL. The KEG will involve the TL, Coordinator and two representatives of the PC and SG. Possible involvement of additional stakeholders in the KEG's activities will be explored. The KEG's main task will be to formulate a CHANSE Knowledge Exchange Strategy. Once the CHANSE projects are selected, the KEG will develop the strategy further, in close collaboration with the Project Leaders. The nature and composition of the knowledge exchange carried out will depend on the scope of the CHANSE projects, and will be reviewed and adjusted throughout the Programme. The KEG will specifically aim at enabling, facilitating and providing conditions for CHANSE Project Leaders to do knowledge exchange, and create opportunities where there are common interests across projects, rather than KEG translating or transferring research results itself. The KEG will also identify a Knowledge Exchange Facilitator whose role will be to support funded consortia in knowledge exchange with stakeholders within academia and beyond.

When CHANSE events are developed and organised (see task 5.3) additional resources will be invested in running events and encouraging stakeholders from the government, academia and other related projects to participate and present their own views and experiences (during seminars, workshops and/ or dedicated sessions, etc.). These activities will support knowledge diffusion and transfer, and the sharing of best practices, as well as generating opportunities for the possible involvement of different stakeholders in the Programme.

The KEG will also oversee and monitor the implementation of the CHANSE Knowledge Exchange Strategy throughout the Programme, and will assist in assessing its impact within the CHANSE Impact Assessment exercise (task 4.3).

#### Participation per Partner

Partner number and short name <sup>10</sup>
1 - NCN
2 - FWF
3 - FNRS
4 - FWO
5 - BNSF
6 - HAZU
7 - HRZZ
8 - AVCR
9 - DAFSHE
10 - ETAg
11 - AKA
12 - DLR
13 - NKFIH
14 - Rannis
15 - VIAA
16 - LMT
17 - FNR
18 - NWO
19 - RCN
20 - UEFISCDI
21 - SAS

Partner number and short name <sup>10</sup>
22 - MIZS
23 - ARRS
24 - AEI
25 - SNSF
26 - FORTE
27 - UKRI

#### 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	CHANSE Monitoring & Impact Assessment Strategy	9 - DAFSHE	Report	Public	18
D4.2	CHANSE Report from Projects' Mid-term Review	20 - UEFISCDI	Report	Public	45
D4.3	CHANSE Report from Projects' Final Review	20 - UEFISCDI	Report	Public	62
D4.4	CHANSE Impact Assessment Report	9 - DAFSHE	Report	Public	62
D4.5	CHANSE Knowledge Exchange Strategy	27 - UKRI	Report	Public	25
D4.6	On-line Guide on Knowledge Exchange for CHANSE applicants	27 - UKRI	Report	Public	3
D4.7	Final information on each implemented project (incl. data on each participant and overview of the results, in a format specified by the EC)	1 - NCN	Report	Confidential, only for members of the consortium (including the Commission Services)	62

#### Description of deliverables

Within WP4, the Task Leaders will submit the deliverables related to the process of monitoring of the funded projects as well as knowledge exchange activities and impact assessment of the Programme.

D4.1 : CHANSE Monitoring & Impact Assessment Strategy [18]

The strategy will include i.a. a list of progress indicators (Key Performance Indicators).

D4.2 : CHANSE Report from Projects' Mid-term Review [45]

This report will summarize the process of the mid-term evaluation of the funded projects.

D4.3 : CHANSE Report from Projects' Final Review [62]

This report will summarize the results of the funded projects' final evaluation.

D4.4 : CHANSE Impact Assessment Report [62]

This report will estimate the overall impact of the Programme, incl. the impact of the funded projects.

D4.5 : CHANSE Knowledge Exchange Strategy [25]

This document will include the main activities, means and target groups for the knowledge exchange in CHANSE.

D4.6 : On-line Guide on Knowledge Exchange for CHANSE applicants [3]

This document will advise the applicants on how to integrate the knowledge exchange activities into their proposals.

D4.7 : Final information on each implemented project (incl. data on each participant and overview of the results, in a format specified by the EC) [62]

This file will include all data required by the EC available in the EPSS system.

#### Schedule of relevant Milestones

Milestone number <sup>18</sup>	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS11	CHANSE Projects' Launch Event	20 - UEFISCDI	23	Meeting: agenda, attendance list, photos, summary on the website, presentations from the event, etc.
MS12	CHANSE Mid-Term Event, incl. Projects' Mid-Term Review	20 - UEFISCDI	43	Meeting: agenda, attendance list, photos, summary on the website, presentations from the event, etc.
MS13	CHANSE Final Event, incl. Projects' Final Review	1 - NCN	60	Meeting: agenda, attendance list, photos, summary on the website, presentations from the event, etc.
MS14	Concrete plans on engaging the policy makers developed	1 - NCN	24	internal document

<b>Work package number</b> <sup>9</sup>	WP5	<b>Lead beneficiary</b> <sup>10</sup>	1 - NCN
<b>Work package title</b>	Communication, Exploitation and Dissemination of the results		
<b>Start month</b>	1	<b>End month</b>	62

### Objectives

- to reinforce public engagement and general awareness of SSH research and EU funding;
- to enable networking opportunities and other activities where there are common interests across projects and funders;
- to build and sustain the visibility of CHANSE and promote the impact of SSH research in Europe.

### Description of work and role of partners

#### **WP5 - Communication, Exploitation and Dissemination of the results** [Months: 1-62]

##### **NCN**

The work will be organised under the following tasks:

Task 5.1 Communication & Dissemination

Task 5.2 CHANSE online presence (website and social media management)

Task 5.3 Programme visibility & dissemination of projects' results through events

CHANSE partners are strongly committed to funding excellent SSH research and to disseminating the results of this research far beyond the consortium to generate social, economic and cultural benefits. The consortium recognizes that the involvement of different stakeholders from outside the network and general public is essential not only for success of the Programme but also for raising awareness of the importance of SSH research and EU funding in general. All of the activities described in this Work Package are also complemented by other Work Packages, in particular task 4.4 (knowledge exchange strategy and activities), task 1.4 (internal communication) and task 2.3 (promotion of the co-funded call).

WP5 consists of:

- Communication activities focused on building the Programme's visibility to raise public awareness of SSH activities and EU funding, and to generate improved interactions with policy-makers;
- Dissemination of the projects' and Programme's results for maximum impact.

Task 5.1 Communication, exploitation & dissemination of results

Task Leader: NCN, Poland; Contributing: All

The main aim of this task is to create public awareness and build CHANSE's visibility as a new EU Co-fund in the field of SSH research funding. This will be done through various means, such as a coherent visual identity (logo, etc.), a robust website, a presence on social media platforms, PR materials and representation during EU and SSH events. Efficient communication channels will be established to enable smooth interactions between CHANSE, the SSH research community, various stakeholders (society, policy, etc.) and the general public (including EU citizens, civil society and mass media). The Task Leader will first analyze the needs of different target audiences, including groups from beyond the projects' communities, and will then propose specific communication measures best suited to the identified needs. Scientific language prioritizing accuracy will only be used when targeting the scientific community and policymakers (i.e. during dissemination activities), while most of the communication will use accessible, non-specialized language to ensure the Programme's maximum outreach.

Apart from communication, the CHANSE Consortium will engage in exploitation and dissemination activities at two levels:

At the project level, by requiring CHANSE projects to:

- Include a Communication, dissemination and knowledge exchange plan in their proposals and reviewing implementation of that plan at the project's mid-point and end;
- Adhere to the Horizon 2020 regulation on Open Access (all publications resulting from the Programme must be published via green or gold open access, with exceptions for confidentiality, security or personal data);

At the Programme level, by:

- Creating opportunities for the Project Leaders to interact and exchange with groups of different stakeholders (see task 5.3 and 4.4);
- Supporting the PLs with the KEG's advice on key exploitable project results, and tools relevant for dissemination and knowledge exchange activities.

CHANSE's visual identification system

To build consistency and general recognition, CHANSE will create a visual identification system, comprised of a logo, color palette, typography and imagery. This will help in establishing CHANSE as a recognizable, positively associated and remembered brand. A matching CHANSE brochure, co-funded call leaflet, posters, a CHANSE Projects' Catalogue, letterhead and a .ppt template will be created to complement the set of promotional materials. The design of the CHANSE's website will be in line with the overall visual identification system. All PR material will be distributed among the partners and used for communication and dissemination activities.

#### Task 5.2 CHANSE on-line presence (website and social media management)

Task Leader: NCN, Poland; Contributing: All

As the CHANSE consortium is a new network of research funding organisations and does not possess a communication platform, one of the first steps will be to build an efficient and user-friendly Internet website to serve as a main source of information about the Programme and co-funded call.

The website will be managed and updated on a regular basis throughout the entire duration of the Programme. It will include a) general information about the Programme, b) information about the CHANSE consortium (with contact details and links to partners' websites), c) news section, d) co-funded call documents, e) PR materials (e-leaflet, brochure, posters, etc.), f) funded projects' descriptions, and g) a section on the Programme's additional activities. The website will be transparent, easily operated and compliant with the Web Content Accessibility Guidelines (WCAG). For secure communication and safer data storage, it will be encrypted using HTTPS protocol. The CHANSE website will also be used as a CHANSE document exchange area for the consortium to facilitate internal communications. For this purpose, a part of the website will be password-protected, with access granted solely to the consortium members.

CHANSE's visibility will be also maintained through engagement with various social media platforms, including Facebook and Twitter, in line with the recommendations from the H2020 Programme Guidance Social media guide for EU funded R&I projects. This will help in reaching a variety of stakeholders at the EU level and beyond, raising the visibility of the Programme and its results.

#### Task 5.3: Programme visibility & dissemination of projects' results through events

Task Leader: NCN, Poland; Contributing: HAZU, UEFISCDI, All

Within the scope of this task, the CHANSE Consortium will organise three high-profile events:

- CHANSE Projects' Launch Event, after the conclusion of the co-funded call;
- CHANSE Mid-Term Event, linked with the Projects' Mid-Term Review (see task 4.2);
- and CHANSE Final Event, linked with the Projects' Final Review (see task 4.2) and the Programme's Evaluation (see task 4.3).

The events will bring together a wide representation of various stakeholders, incl. local/ regional governments, the European Commission, CHANSE projects, RFOs, NGOs and scientific communities, and will aim at:

- The promotion of the CHANSE projects and their results;
- Creating opportunities for the dissemination of projects' results and knowledge exchange (for example through workshops/ sessions dedicated to specific groups of stakeholders, match-making exercises between researchers and practitioners etc.);
- Bringing CHANSE projects and their results to the attention of decision makers and funding sources (public and private) at European, national, and regional levels;
- Building and sustaining the visibility of the CHANSE Programme;
- Enabling networking possibilities (between CHANSE partners, CHANSE projects, previous HERA and NORFACE projects, the wider SSH scientific community, policymakers and other stakeholders).

CHANSE will strive to organise each event in a different EU-13 country, which will help in engaging local communities (in these countries) with CHANSE activities, and possibly increase their future participation in the Programme.

### Participation per Partner

#### Partner number and short name<sup>10</sup>

1 - NCN

2 - FWF

3 - FNRS

4 - FWO

5 - BNSF

Partner number and short name <sup>10</sup>
6 - HAZU
7 - HRZZ
8 - AVCR
9 - DAFSHE
10 - ETAg
11 - AKA
12 - DLR
13 - NKFIH
14 - Rannis
15 - VIAA
16 - LMT
17 - FNR
18 - NWO
19 - RCN
20 - UEFISCDI
21 - SAS
22 - MIZS
23 - ARRS
24 - AEI
25 - SNSF
26 - FORTE
27 - UKRI

#### 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	CHANSE PR material (brochure, leaflet, posters)	1 - NCN	Report	Public	3
D5.2	CHANSE Projects' Catalogue	1 - NCN	Report	Public	23
D5.3	CHANSE website (print screen + link)	1 - NCN	Websites, patents filling, etc.	Public	2
D5.4	CHANSE Plan for Communication and Dissemination	1 - NCN	Report	Confidential, only for members of the consortium (including	4

### 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>
				the Commission Services)	

### Description of deliverables

Within WP5, the WP Leader will provide the deliverables related to the communication, promotion, exploitation and dissemination of the Programme results.

D5.1 : CHANSE PR material (brochure, leaflet, posters) [3]

To facilitate the promotion of the Programme and the co-funded call, an e-brochure, e-leaflet and an e-poster will be created and disseminated.

D5.2 : CHANSE Projects' Catalogue [23]

This file will be a publishable document with basic information about all funded projects.

D5.3 : CHANSE website (print screen + link) [2]

The website's address will be [www.chanse.org](http://www.chanse.org). It will include vital information about the programme and the call(s) in a user-friendly format.

D5.4 : CHANSE Plan for Communication and Dissemination [4]

The document will include i.a. targets for dissemination and communication indicators.

### Schedule of relevant Milestones

Milestone number <sup>18</sup>	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS1	CHANSE website launched	1 - NCN	2	Website
MS11	CHANSE Projects' Launch Event	20 - UEFISCDI	23	Meeting: agenda, attendance list, photos, summary on the website, presentations from the event, etc.
MS12	CHANSE Mid-Term Event, incl. Projects' Mid-Term Review	20 - UEFISCDI	43	Meeting: agenda, attendance list, photos, summary on the website, presentations from the event, etc.
MS13	CHANSE Final Event, incl. Projects' Final Review	1 - NCN	60	Meeting: agenda, attendance list, photos, summary on the website, presentations from the event, etc.
MS14	Concrete plans on engaging the policy makers developed	1 - NCN	24	internal document

<b>Work package number</b> <sup>9</sup>	WP6	<b>Lead beneficiary</b> <sup>10</sup>	12 - DLR
<b>Work package title</b>	Additional Activities		
<b>Start month</b>	1	<b>End month</b>	62

### Objectives

- to support the CHANSE Consortium in activities beyond the first co-funded call;
- to facilitate a Europe-wide, common discussion on the future of social sciences and humanities research funding in the context of Horizon Europe;
- to spread research excellence across Europe, especially by capacity building activities for less performing countries;
- to effectively liaise with the well-established HERA and NORFACE networks for making the best use of European collective experience in social sciences and humanities transnational research funding.

### Description of work and role of partners

#### **WP6 - Additional Activities** [Months: 1-62]

##### **DLR**

The work will be organised under the following tasks:

Task 6.1 Exploring the possibility of additional activities including joint funding activities

Task 6.2. Towards a European Partnership in SSH

Task 6.3 Spreading research excellence across ERA

Task 6.4 Supporting activities initiated by HERA and NORFACE networks

The CHANSE consortium agrees that SSH research and research funding, given its potential and complexity, need a long-term strategy. The main objective of WP6 is to support CHANSE beyond the co-funded call by creating a long-term vision for funding SSH research in Europe and advocating for its societal merits. Exploring and setting up additional activities will include investigating the potential of non-co-funded joint call(s) within the framework of the CHANSE Programme. The consortium will reach out to funding agencies and scientific communities not included in this proposal, to broaden the geographical coverage (and hence the impact) of its activities. All of these efforts will be combined with strengthening the capacities of the Widening Countries (incl. EU13 countries) for their increased participation in European research collaboration and EU-funded SSH research, and by close liaison with the well-established HERA and NORFACE networks to make the best use of European collective experience. Last but not least, CHANSE will invite other stakeholders in the field of SSH to ignite a common discussion about the future of SSH funding in Europe in the context of emerging European Partnerships.

Task 6.1 Exploring the possibility of additional activities including funding activities

Task Leader: DLR-PT, Germany; Contributing: All

All CHANSE partners are strongly committed to funding excellent transnational research projects in the field of SSH. Given the partners' engagement, CHANSE will strive to go beyond the first co-funded call and propose additional non co-funded joint endeavour(s). To allow for flexibility and to respect countries' fast changing priorities, additional call(s) may include variable geometries of partners (e. g. when smaller groups of partners find specific common grounds or if some partners do not have the capacity or interest to participate in a particular call). In this context, CHANSE will also support activities that HERA and NORFACE might propose, separately, together, or in any kind of variable geometry. Also, CHANSE will strive to broaden the coverage of its call(s) by reaching out towards new Funding Agencies from Europe, Associated Countries and beyond, ex. CHANSE will invite the representatives of such institution to Programme events, seminars and/or workshops. Potential new partners will be also involved through other tasks in WP6, namely: Task 6.2 Towards a European Partnership in SSH and Task 6.3 Spreading research excellence across ERA. The Consortium members will also review other ERA-NETs they participate in to look for potential new CHANSE members. Together with HERA and NORFACE, CHANSE will work towards identifying priorities for a strategic research agenda or a shared vision which then will also aid in supporting task 6.2. Task 6.1. will also assess CHANSE partners' interest in the future development of the CHANSE Programme through other forms of collaborations that strengthen SSH in Europe, such as mobility mechanisms for young scientists, and the alignment of national priorities, etc. The ERA-LEARN2020 mapping tool and guidelines (<https://www.era-learn.eu/alignment>) will be used as a basis for developing an in-depth comparative assessment that may guide the partners in their choice of alignment approaches, actions and instruments.

Task 6.2 Towards a European Partnership in SSH

Task Leader: DLR-PT, Germany; Contributing: All

The upcoming launch of Horizon Europe by the European Commission will profoundly change the SSH research funding landscape in Europe, urging HERA, NORFACE and CHANSE as well as other networks to position themselves within the new framework. Within this task, CHANSE will work together with HERA and NORFACE towards organizing meetings or workshops to facilitate discussion about the future of SSH research in the context of Horizon Europe. This process will require inviting all major stakeholders, including the representatives of HERA, NORFACE, JPI CH and other relevant existing networks and emerging partnerships as well as the European Commission. During these events, CHANSE will strive to create an open platform for dialogue that will result in a long-term vision of SSH research funding in Europe and, potentially, first collaborative actions. We believe that CHANSE might be an important stepping stone in launching an even broader all-encompassing action for SSH within Horizon Europe.

Task 6.3 Spreading research excellence across ERA

Task Leader: NCN, Poland, Contributing: HAZU, All

Commitment to equality, diversity and inclusion underpins all of the Programme's key objectives and lies at the heart of the CHANSE Programme's knowledge exchange strategy (see task 4.4). This commitment includes, but is not limited to, supporting inclusiveness and greater participation of the less represented countries in the network (i. e. Widening Countries). CHANSE believes that only a truly inclusive research culture which fosters principles of fairness, social justice and dignity can lead to the type of innovation and creativity needed to address the global challenges. Within this task, the Task Leader will strive to actively spread research excellence across the European Research Area in a genuinely sustainable and responsible manner. The main activities include:

- Making CHANSE partners and research communities aware of the already existing mechanisms to promote inclusiveness, promoted within the framework of ERA-LEARN and other ERA-NET Cofund initiatives;
- Advocating in favour of those mechanisms and adopting them within the co-funded call and other joint funding endeavours to foster the greater participation of the Widening Countries;
- Organising at least 2-3 capacity building activities & actions supporting less performing countries (for example: workshops, dedicated meetings, guidelines, etc.).

This task will be led by NCN, Poland which has been involved in the ERA-LEARN CSA project as a leader of the task devoted to supporting the participation of EU13 countries in partnership initiatives.

Task 6.4 Supporting activities initiated by HERA and NORFACE networks

Task Leader: NWO, the Netherlands, Contributing: All

While the new joint initiative has been put forward in this proposal, the consortium believes it should be rooted in two networks, HERA and NORFACE, focusing on their specific fields of expertise. Therefore, one of the additional activities within CHANSE is a continued coordination of HERA and NORFACE, the formulation of network-specific activities and the sharing of best practices on impact and legacy support. The role of the Task Leader has been accepted by NWO, Netherlands – who for many years has acted both as the coordination office for NORFACE and as the leading partner in the HERA coordination team.

Central network coordination office activities

Over the years both HERA and NORFACE have extended their partnership to a considerable size. As a result the coordination tasks have grown and become more complex. The aim of this subtask will be to ensure that both networks remain strong and influential actors in a global field of funding and policy organisations, including further distribution of the coordination tasks and future takeover of the coordinator role. NWO will lead on the selection process to select the new network coordinators and will ensure a proper handover of these tasks. In addition NWO will remain an active and committed partner in all tasks of each of the networks and in the CHANSE Programme.

Organising network meetings for HERA and NORFACE

For both, the NORFACE network and the HERA network, meetings will be organised throughout the duration of the Programme and further specific activities will be planned. To ensure efficiency, meetings will be preferably co-organised both in location and in time. This holds especially for meetings that need to be coordinated with the meetings of the Steering Group of CHANSE. TL will ensure that administrative and logistic support for the organization of both the HERA and the NORFACE meetings is provided.

Best practices of NORFACE and HERA joint research programmes

Over the years both HERA and NORFACE have funded 10 transnational research programmes. Both networks are carrying out activities to monitor and evaluate the long(er) term impact and legacy of these programmes. Within this task, a set of best practices developed within the joint programmes will be created and shared in the spirit of continuous learning for both networks and CHANSE to build on.

Partner number and short name <sup>10</sup>
1 - NCN
2 - FWF
3 - FNRS
4 - FWO
5 - BNSF
6 - HAZU
7 - HRZZ
8 - AVCR
9 - DAFSHE
10 - ETAg
11 - AKA
12 - DLR
13 - NKFIH
14 - Rannis
15 - VIAA
16 - LMT
17 - FNR
18 - NWO
19 - RCN
20 - UEFISCDI
21 - SAS
22 - MIZS
23 - ARRS
24 - AEI
25 - SNSF
26 - FORTE
27 - UKRI

#### 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	Roadmap for additional CHANSE joint call(s) and activities	12 - DLR	Report	Confidential, only for members of the consortium (including the Commission Services)	36

### 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>
D6.2	Report on the activities for “Towards a European Partnership in SSH”	12 - DLR	Report	Public	62
D6.3	Report on capacity building activities for less performing countries within CHANSE	1 - NCN	Report	Public	62
D6.4	Roadmap of network specific activities for HERA and NORFACE	18 - NWO	Report	Public	62
D6.5	Toolbox with best practices and case studies collected from the HERA and NORFACE calls	18 - NWO	Report	Public	62

### Description of deliverables

Within WP6, the Task Leaders will provide the deliverables related to the implemented additional activities.

D6.1 : Roadmap for additional CHANSE joint call(s) and activities [36]

This document will provide a roadmap for CHASE's additional activities.

D6.2 : Report on the activities for “Towards a European Partnership in SSH” [62]

This report will summarize all activities implemented within task 6.2.

D6.3 : Report on capacity building activities for less performing countries within CHANSE [62]

This report will summarize all activities implemented within task 6.3.

D6.4 : Roadmap of network specific activities for HERA and NORFACE [62]

This report will summarize all activities implemented within task 6.4.

D6.5 : Toolbox with best practices and case studies collected from the HERA and NORFACE calls [62]

This document will gather and elaborate on the best practices collected from the HERA and NORFACE calls.

### Schedule of relevant Milestones

Milestone number <sup>18</sup>	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS14	Concrete plans on engaging the policy makers developed	1 - NCN	24	internal document

<b>Work package number</b> <sup>9</sup>	WP7	<b>Lead beneficiary</b> <sup>10</sup>	1 - NCN
<b>Work package title</b>	Ethics requirements		
<b>Start month</b>	1	<b>End month</b>	62

### Objectives

The objective is to ensure compliance with the 'ethics requirements' set out in this work package.

### Description of work and role of partners

**WP7 - Ethics requirements** [Months: 1-62]

NCN

This work package sets out the 'ethics requirements' that the project must comply with.

### List of deliverables

<b>Deliverable Number</b> <sup>14</sup>	<b>Deliverable Title</b>	<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>
D7.1	GEN - Requirement No. 1	1 - NCN	Ethics	Confidential, only for members of the consortium (including the Commission Services)	3

### Description of deliverables

The 'ethics requirements' that the project must comply with are included as deliverables in this work package.

D7.1 : GEN - Requirement No. 1 [3]

Details on the procedures that will be implemented to ensure that the funded projects will rigorously apply the ethical standards and guidelines of H2020 must be submitted as a deliverable.

### Schedule of relevant Milestones

<b>Milestone number</b> <sup>18</sup>	<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	CHANSE website launched	WP1, WP5	1 - NCN	2	Website
MS2	Partner Search Tool available	WP2	1 - NCN	3	Website
MS3	EPSS available	WP2, WP3	10 - ETAg	3	Website
MS4	Co-funded Call announced & promoted	WP2	1 - NCN	3	published on the Programme's website
MS5	Deadline for submitting Outline Proposals	WP3	1 - NCN	5	information published on the Programme's website
MS6	Ranking List of the Outline Proposals	WP3	1 - NCN	9	internal document
MS7	Deadline for submitting Full Proposals	WP3	1 - NCN	12	information published on the Programme's website
MS8	Ranking List of the Full Proposals	WP3	1 - NCN	16	internal document
MS9	List of the projects recommended for funding & results of the co-funded call announced	WP3	1 - NCN	18	published on the Programme's website
MS10	Formal and duly signed commitments on the availability of funds for projects selected in the co-funded call	WP3	1 - NCN	19	available within the Funding & tender opportunities
MS11	CHANSE Projects' Launch Event	WP1, WP4, WP5	20 - UEFISCDI	23	Meeting: agenda, attendance list, photos, summary on the website, presentations from the event, etc.
MS12	CHANSE Mid-Term Event, incl. Projects' Mid-Term Review	WP1, WP4, WP5	20 - UEFISCDI	43	Meeting: agenda, attendance list, photos, summary on the website, presentations from the event, etc.
MS13	CHANSE Final Event, incl. Projects' Final Review	WP1, WP4, WP5	1 - NCN	60	Meeting: agenda, attendance list, photos, summary on the website, presentations from the event, etc.
MS14	Concrete plans on engaging the policy makers developed	WP4, WP5, WP6	1 - NCN	24	internal document

### 1.3.5. WT5 Critical Implementation risks and mitigation actions

Risk number	Description of risk	WP Number	Proposed risk-mitigation measures
1	Ensuring excellence and relevance of proposals (medium)	WP2, WP3, WP5	To ensure the highest possible quality and relevance of proposals, measures will be taken to provide the applicants with sufficient time to setup their consortia and prepare applications. This will be done through the following measures: - A pre-announcement will be drafted and disseminated through national and international channels; - The Call Announcement will be promoted through various national and international channels, incl. Programme's website; Partners' websites and EC portals; - The Call will remain open for the submission of proposals for at least 60 days; - The time between opening the call and the deadline for Outline Proposals will be set to at least 60 days; - The time for submitting a Full Proposal will be set to at least 60 days. All of these activities will allow sufficient time to prepare high quality proposals. "Relevance to the call topic" will be introduced as a fourth evaluation criterion at the Outline Proposals' evaluation stage (next to Excellence, Quality and Efficiency of Implementation, and Impact) to make sure that only proposals that are relevant to the call are invited to the Full Proposals stage.
2	Over-subscription (medium)	WP1, WP2, WP3	Judging by the number of proposals submitted to the previous HERA and NORFACE calls, over-subscription might be a challenge for the time schedule and success rate of the CHANSE Co-funded Call. The following measures will be taken to mitigate this risk: - CHANSE Partners will ensure the focus of the call is not too broad and open; - The aims of the call will be communicated clearly in the Call Announcement so that only relevant proposals are submitted; - The relevance of the proposal to the call topic will be evaluated at the outline proposals' stage; - A 2-stage evaluation process will ensure that only a fair percentage of excellent projects will proceed to the 2nd stage, and will therefore reduce the work load for the Review Panel as well as the effort of researchers writing full proposals; - In the case of over-subscription, more panel members than originally envisioned will be invited to evaluate the proposals.
3	Inability to exploit full potential available in the widening countries (medium)	WP1, WP2, WP3, WP4, WP6	To mitigate this risk, already in the preparation of the proposal, RFOs from the widening countries have been approached and invited to join the Programme to ensure their wide representation in the co-funded call. Throughout the Programme implementation, good relations with the RFOs from the widening countries will be maintained and developed, mostly within task 6.3. CHANSE,

Risk number	Description of risk	WP Number	Proposed risk-mitigation measures
			ex. by organising capacity building activities & actions. To maximise the involvement of the research teams from the widening countries in the co-funded call and their presence on the ranking list, the Consortium will consider introducing some of the already existing mechanisms to promote inclusiveness, promoted by ERA-LEARN and other ERA-NET Co-fund initiatives.
4	Failure to keep to the schedule (medium)	WP1, WP2, WP3	In order to prevent such risks, the Consortium will make every effort aimed at: accurate and detailed planning, careful monitoring of progress in all tasks, and regular communication among Partners (especially concerning deliverables).
5	Gender inequality (low)	WP3, WP4	Gender equality will be promoted throughout the Programme. In the composition of the Review Panel and the selection of external experts, the gender balance will be monitored and secured. Gender balance indicators for the funded projects will be monitored and measured at their mid- and final term.
6	Hazards in governance and management of the Programme (low)	WP1	Due to high commitment of all of the CHANSE Partners and the prior experience of the Coordinator, hazards related to the governance and management of the Programme are estimated as low. These hazards and respective mitigation measures are as follows: - Unforeseen restriction on human resources at a task or WP leading partner If needed, a new task or WP leader will be appointed. The experience shows that partnerships offer a range of possibilities in that respect. In-between or temporarily, the Coordinator will provide support to respectively the task or WP leader. - Incapacitation or departure of Coordinator This case will be foreseen in the Consortium Agreement, which will empower the Steering Group of CHANSE to respond appropriately. - Withdrawal of a partner All Partners will be requested to sign a Consortium Agreement that will include clauses on the consequences of a Party's withdrawal and breach of the CA's provisions. The former Party's obligations (ex. with regards to the personal data processing) will continue to apply after its withdrawal, although it will no longer participate in the action. Additionally, for the co-funded call, the participating partners will be requested to sign a Memorandum of Understanding. The MoU will be signed right before the launch of the call, which will limit the risk of having later invalidation of the decision(s) related to the call. - Misuse of resources Bearing in mind the quality and reputation of Partners (all are public bodies) this risk is limited. In order to avoid any misuse of resources, Partners provide

Risk number	Description of risk	WP Number	Proposed risk-mitigation measures
			internal financial accounting and auditing, with particular attention paid to dealing with the EC co-funded programmes. Aside from national and international regulations, the Consortium as a whole will implement its own internal reporting procedures.
7	Hazards for dissemination of the research results of the Programme (low)	WP5	The KEG will encourage project teams to think creatively about knowledge exchange and to share information on how this may be done to ensure the research results are taken up by a wider public. The KEG will formulate a strategy and initiate a number of activities to foster knowledge exchange.
8	Under-subscription (low)	WP1, WP2, WP3	Considering the number of proposals submitted to the previous HERA and NORFACE calls and the communication activities that are planned within the Programme, this risk is considered to be very low. An effort will be made to ensure participation from all countries.

### 1.3.6. WT6 Summary of project effort contribution

	WP1	WP2	WP3	WP4	WP5	WP6	WP7
1 - NCN	✓	✓	✓	✓	✓	✓	✓
2 - FWF	✓	✓	✓	✓	✓	✓	✓
3 - FNRS	✓	✓	✓	✓	✓	✓	✓
4 - FWO	✓	✓	✓	✓	✓	✓	✓
5 - BNSF	✓	✓	✓	✓	✓	✓	✓
6 - HAZU	✓			✓	✓	✓	✓
7 - HRZZ	✓	✓	✓	✓	✓	✓	✓
8 - AVCR	✓	✓	✓	✓	✓	✓	✓
9 - DAFSHE	✓	✓	✓	✓	✓	✓	✓
10 - ETAg	✓	✓	✓	✓	✓	✓	✓
11 - AKA	✓	✓	✓	✓	✓	✓	✓
12 - DLR	✓	✓	✓	✓	✓	✓	✓
13 - NKFIH	✓	✓	✓	✓	✓	✓	✓
14 - Rannis	✓	✓	✓	✓	✓	✓	✓
15 - VIAA	✓	✓	✓	✓	✓	✓	✓
16 - LMT	✓	✓	✓	✓	✓	✓	✓
17 - FNR	✓	✓	✓	✓	✓	✓	✓
18 - NWO	✓			✓	✓	✓	✓
19 - RCN	✓	✓	✓	✓	✓	✓	✓
20 - UEFISCDI	✓	✓	✓	✓	✓	✓	✓

	<b>WP1</b>	<b>WP2</b>	<b>WP3</b>	<b>WP4</b>	<b>WP5</b>	<b>WP6</b>	<b>WP7</b>
21 - SAS	✓	✓	✓	✓	✓	✓	✓
22 - MIZS	✓	✓	✓	✓	✓	✓	✓
23 - ARRS	✓	✓	✓	✓	✓	✓	✓
24 - AEI	✓	✓	✓	✓	✓	✓	✓
FECYT	✓	✓	✓	✓	✓	✓	✓
25 - SNSF	✓	✓	✓	✓	✓	✓	✓
26 - FORTE	✓	✓	✓	✓	✓	✓	✓
27 - UKRI	✓	✓	✓	✓	✓	✓	✓

### *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	21	Brussels (TBC)	TBC
RV2	62	Brussels (TBC)	TBC

### 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 Agency). 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	
ETHICS	Ethics requirement
ORDP	Open Research Data Pilot
DATA	data sets, microdata, etc.

## 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)
- EU-RES Classified Information: RESTREINT UE (Commission Decision 2005/444/EC)
- EU-CON Classified Information: CONFIDENTIEL UE (Commission Decision 2005/444/EC)
- EU-SEC Classified Information: SECRET UE (Commission Decision 2005/444/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

- 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,
- VA-uc if virtual access with access costs declared on the basis of unit cost,
- VA-ac if virtual access with access costs declared as actual costs, and
- VA-cb if virtual 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.

# COLLABORATION OF HUMANITIES AND SOCIAL SCIENCES IN EUROPE (CHANSE)

HISTORY OF CHANGES		
DATE	SECTION	DESCRIPTION of CHANGE
	Table of Contents	The page numbers have been updated.
21/09/2020	1.2	The following sentence has been added: <i>“It will be a unique funding opportunity as in this field of research, no activities of a similar scope are implemented on either the national, regional or EU level, incl. the on-going actions co-funded by the EU under this Horizon 2020 Societal Challenge 6.”</i>
	1.3	<p>New paragraphs added: <i>“The present call has had a very long and intensive preparation, its inception originating in wrestling over pressing societal concerns requiring inter- and transdisciplinary research. Both the EU Commission and the Programme Committee for Societal Challenge 6 “Europe in a Changing World” were involved in developing the frame of the topic which HERA and NORFACE then focused on. Both networks had individual scoping exercises concerning thematic priorities; in order to answer the EU call together – with views from different disciplines, methodologies, thematic orientations – the networks set up an expert group to get into the many issues concerning “innovations”. Since both networks have extensive experience with the oversubscription of calls, a more concise focus was needed which was developed over the course of 2018/2019, with the aid of the outside expert group and intensive discussions within and among the two networks. The result of this process is the present programme with its focus on social and cultural dynamics of one area of innovation, i.e. digitalization.</i></p> <p><i>This timely and highly urgent topic (with a new impetus from the COVID-19 crisis) builds on a widespread current interest within social science and humanities research communities across Europe, and answers a need for new policies and practices derived from a deep understanding of the drivers and causes, consequences and means, and opportunities of digitalisation processes”</i></p>
	Plan for Exploitation and Dissemination of the Results	Programme Kick-Off meeting has been removed from the table.
	3	<p>The duration of the Programme has been extended from 60 months to 62 months.</p> <p>A detailed list of Additional Activities for the 1<sup>st</sup> Reporting Period has been added.</p>
	Figure 2	The Tentative Timeline has been updated.
	3.1	<p>The number of Work Packages has been updated from 6 to 7.</p> <p>New Work Package (WP7: Ethics) has been added.</p>

	Table 3.1a	Table 3.1a has been removed.
	Figure 3	New Work Package (WP7: Ethics) has been added to the CHANSE Gantt Chart. The start and end months have been adjusted to the amended Timeline.
	Table 3.1b Table 3.1c	<p>Deliverable D1.1 Consortium Agreement has been deleted and the numbers of the deliverables in WP1 were adjusted.</p> <p>Five deliverables were added:</p> <ul style="list-style-type: none"> <li>• D1.2 Update report on CHANSE activities, M13</li> <li>• D1.8 Information on the Cumulative Expenditure Year 5, M62</li> <li>• D4.7 Final information on each implemented project (incl. data on each participant and overview of the results, in a format specified by the EC), M62</li> <li>• D5.4 CHANSE Plan for Communication and Dissemination, M4</li> <li>• D7.1 GEN - Requirement No. 1, M3</li> </ul> <p>The delivery months for all co-funded call related deliverables have been updated (according to the new start date of the Programme and the adjusted Timeline).</p> <p>Description of deliverable D3.8 has been changed:</p> <ul style="list-style-type: none"> <li>• from D3.8 Detailed data of the selected projects (as required by the EC) to D3.8 Detailed data of the selected projects (information on each selected project, incl. data on each participant and overview of the results, in a format specified by the EC)</li> </ul> <p>Dissemination Level has been changed (from 'Public' to 'Confidential') for three deliverables:</p> <ul style="list-style-type: none"> <li>• D1.3 CHANSE Progress Report</li> <li>• D2.4 CHANSE Co-funded Call Communication Plan</li> <li>• D3.1 List of members of the Review Panel</li> </ul> <p>Deliverables D4.5 and D4.6 have been wrongly assigned to WP5 instead of the WP4 in the table 3.1c so this was corrected.</p>
	Figure 4 Figure 5	Figure 4: <i>Main Programme &amp; Co-funded Call Documents</i> and Figure 5: <i>Proposals Submission, Evaluation and Selection Scheme</i> (and figure references) have been deleted from the descriptions of the Work Packages as the F&T system doesn't allow to include any graphics in the WP description field.
	Table 3.1b	<p>Description of the WP1 has been supplemented with the following paragraph:</p> <p><i>"The management of the Programme will take under consideration the environmental impact of the implemented activities, incl. the carbon footprint of business trips. CHANSE Partners will be reminded to carefully choose the travel mode (e.g. train instead of plane, no stopover flights) and short, one-day meetings will be substituted by other means of communication, whenever possible. Paper free conferences and events will be preferred, gadgets will be avoided."</i></p> <p>Description of the Task 2.1 has been supplemented with the following sentences: <i>"HAZU, Croatia, a beneficiary of the CHANSE project, will remain eligible to apply for funding under the co-funded call, however, it will not be a Funder within the call. To avoid possible conflicts of interest, the role of the</i></p>

		<p><i>Funder for the Croatian applicants (incl. but not limited to HAZU) has been taken on by HRZZ, Croatia – a RFO separate and independent from HAZU. While HAZU is a part of the CHANSE Consortium, it has been and will remain to be excluded from all discussions, communication and decision-making processes related to the co-funded call, incl. the preparation of the call documents (i.e. Call Announcement, the Procedures of the Call, the Review Panel Operational Document, etc.). HAZU will be also excluded from the proposals' evaluation and monitoring processes: it will neither nominate nor select the members of the Review Panel and HAZU's representative won't participate in the Review Panel meetings. Last but not least, HAZU will not be included in the decisions on the list of the projects recommended for funding and the distribution of the top-up. HAZU's involvement in the CHANSE's activities will be therefore focused on the WP5 &amp; WP6, i. e. Communication and Additional Activities.</i></p> <p><i>As HAZU won't be included in any communication regarding the co-funded call, all sensitive information will be non-accessible for HAZU's representatives and the risk of unequal treatment of the applicants will be avoided. The abovementioned measures to mitigate the risk of, perception of, or de facto conflict of interest or unequal treatment of applicants will be taken and described in the CA and the respective call documents. These measures will ensure that information is kept non-accessible to the members of the consortium that will apply to the co-funded call as well as an independent and fair treatment of complaints related to the call, in particular for complaints relating to unequal treatment of applicants."</i></p> <p><i>Description of the WP3 has been supplemented with the following paragraph: "The environmental impact of all activities, incl. the carbon footprint of business trips, will be considered. CHANSE Partners and members of the Review Panel will be reminded to carefully choose the travel mode (e.g. train instead of plane, no stopover flights) and short, one-day meetings will be substituted by other means of communication, whenever possible. Paper free events will be preferred."</i></p> <p><i>Description of the task 6.1 has been supplemented with the following statement: "ex. CHANSE will invite the representatives of such institution to Programme events, seminars and/or workshops. Potential new partners will be also involved through other tasks in WP6, namely: Task 6.2 Towards a European Partnership in SSH and Task 6.3 Spreading research excellence across ERA. The Consortium members will also review other ERA-NETs they participate in to look for potential new CHANSE members."</i></p> <p><i>Delivery months of the deliverables have been updated.</i></p> <p><i>Finally, table 3.1b has been removed and is included in part A.</i></p>
	3.2	<p><i>Description of the composition of the Steering Group has been changed from</i></p> <p><i>"RFOs not participating in the co-funded call will be excluded from discussions about all co-funded call related issues and making relevant decisions"</i></p> <p><i>to</i></p> <p><i>"RFOs planning to respond to the call themselves will be excluded from discussions about all co-funded call related issues and making relevant decisions".</i></p> <p><i>Description of the composition of the Coordination Group has been supplemented with the following sentence:</i></p>

		<p><i>“RFOs not participating in the co-funded call or planning to respond to the call themselves will be excluded from discussions about all co-funded call related issues and making relevant decisions”.</i></p> <p>Description of the composition of the Programme Committee has been changed by deleting the sentence:  <i>“Only HERA or NORFACE Board members representing agencies involved in the CHANSE Programme may be nominated to the PC”</i></p> <p>and adding the following ones:  <i>“Representatives of the Beneficiaries must constitute the majority of delegates of each network. (...) The membership in the PC cannot be combined with the membership in the SG.”</i></p>
	Section 3.2a	<p>Milestone MS1: Consortium Agreement signed and MS3: Programme Kick-Off meeting were deleted and the numbers of the following milestones were adjusted.</p> <p>Milestone MS14: Concrete plans on engaging the policy makers developed, M24 has been added.</p> <p>The delivery months has been changed for several milestones (according to the new start date of the Programme and the adjusted Timeline).</p>
	Table 3.2b	<p>Proposed risk-mitigation measures for the risk entitled <i>“Hazards in governance and management of the Programme”</i> has been supplemented with a following sentence: <i>“The former Party’s obligations (ex. with regards to the personal data processing) will continue to apply after its withdrawal, although it will no longer participate in the action.”</i></p> <p>Finally table 3.2b has been removed.</p>
	Table 4.1	<p>Changes in the description of Partners.</p> <p>Partner no 6, HAZU, Croatia:</p> <ul style="list-style-type: none"> <li>- a change of the Programme Owner from the Croatian Science Foundation to the Ministry of Science and Education of the Republic of Croatia;</li> </ul> <p>Partner no 7, HRZZ, Croatia:</p> <ul style="list-style-type: none"> <li>- a change of the Programme Owner from the Croatian Science Foundation to the Ministry of Science and Education of the Republic of Croatia.</li> </ul>
		<p>Partner no 11, AKA, Finland:</p> <ul style="list-style-type: none"> <li>- a sentence added: <i>“The Academy of Finland participates in CHANSE with research funding granted by the Research Council for Culture and Society from its regular budget for supporting scientific research.”</i></li> </ul> <p>Partner no 23, ARRS, Slovenia:</p> <ul style="list-style-type: none"> <li>- a sentence added: <i>“ARRS has no specific national programme regarding the topics related to CHANSE. However, cooperation of ARRS in international cooperation consortia is regulated in Article 146 of the ARRS rules on procedures (<a href="http://www.arrs.si/en/akti/rules-cofinanc-junij18.asp">http://www.arrs.si/en/akti/rules-cofinanc-junij18.asp</a>).</i></li> </ul> <p>Partner no 25, SNSF, Switzerland:</p> <ul style="list-style-type: none"> <li>- a sentence added: <i>“At the SNSF, the term “Programmes” refers to funding schemes whose basic parameters are pre-defined. These parameters may be of a thematic or conceptual/organisational nature. In CHANSE, we are participating with the programme “ERA-NET” which follows the rules of the SNSF’s most basic funding scheme, the project funding scheme.”</i></li> </ul> <p>Partner no 26, Forte, Sweden:</p>

		<p>- a sentence added: <i>Fortes is participating through its main research funding budget that is allocated to various national and international calls. The call has specific relevance for Fortes national research programme for working life research as it has a working life component.</i></p> <p>Partner no 5, BNSF, Bulgaria</p> <p>- a sentence added: <i>“BNSF participates in CHANSE with its standard research funding scheme”.</i></p> <p>Partner no 6, HAZU, Croatia</p> <p>- a sentence added: <i>“HAZU will not participate in CHANSE call(s)”.</i></p> <p>Partner no 8, CAS, Czechia</p> <p>- a sentence added: <i>“CAS participates in CHANSE through Strategy AV21 project launched in 2015 to support cutting-edge research focused on the problems and challenges facing contemporary society. Strategy AV21 is based on a set of research programmes using interdisciplinary and interinstitutional synergies. The research programmes of the CAS are open to partners from universities, corporations, and institutions of regional administration, as well as foreign research groups and organisations.”</i></p> <p>Partner no 9, DAFSHE, Denmark</p> <p>- a sentence added: <i>“DAFSHE participates in CHANSE on the basis of the standard research funding schemes offered by Independent Research Fund Denmark”.</i></p> <p>Partner no 18, NWO, the Netherlands</p> <p>- a sentence added: <i>“NWO will not participate in CHANSE co-funded call”.</i></p> <p>Partner no 20, UEFISCDI, Romania</p> <p>- a sentence added: <i>“UEFISCDI participates in CHANSE with its standard research funding scheme”.</i></p>
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Participant No *	Participant organisation name	Country
1	NARODOWE CENTRUM NAUKI (Coordinator)	Poland
2	FONDS ZUR FÖRDERUNG DER WISSENSCHAFTLICHEN FORSCHUNG	Austria
3	FONDS DE LA RECHERCHE SCIENTIFIQUE- FNRS	Belgium
4	FONDS VOOR WETENSCHAPPELIJK ONDERZOEK- VLAANDEREN	Belgium
5	BULGARIAN NATIONAL SCIENCE FUND	Bulgaria
6	HRVATSKA AKADEMIJA ZNANOSTI I UMJETNOSTI	Croatia
7	HRVATSKA ZAKLADA ZA ZNANOST	Croatia
8	AKADEMIE VED CESKE REPUBLIKY	Czechia
9	STYRELSEN FOR FORSKNING OG UDDANNELSE	Denmark
10	SIHTASUTUS EESTI TEADUSAGENTUUR	Estonia
11	SUOMEN AKATEMIA	Finland
12	DEUTSCHES ZENTRUM FUER LUFT - UND RAUMFAHRT EV	Germany
13	NEMZETI KUTATASI FEJLESZTESI ES INNOVACIOS HIVATAL	Hungary
14	RANNSOKNAMIDSTOD ISLANDS	Iceland
15	VALSTS IZGLITIBAS ATTISTIBAS AGENTURA	Latvia
16	Lietuvos mokslo taryba	Lithuania
17	FONDS NATIONAL DE LA RECHERCHE	Luxembourg
18	NEDERLANDSE ORGANISATIE VOOR WETENSCHAPPELIJK ONDERZOEK	Netherlands
19	NORGES FORSKNINGSRAD	Norway
20	Unitatea Executiva pentru Finantarea Invatamantului Superior, a Cercetarii, Dezvoltarii si Inovarii	Romania
21	SLOVENSKA AKADEMIA VIED	Slovakia
22	Ministrstvo za izobrazevanje, znanost in sport	Slovenia
23	JAVNA AGENCIJA ZA RAZISKOVALNO DEJAVNOST REPUBLIKE SLOVENIJE	Slovenia
24	AGENCIA ESTATAL DE INVESTIGACION	Spain
25	SCHWEIZERISCHER NATIONALFONDS ZUR FORDERUNG DER WISSENSCHAFTLICHEN FORSCHUNG	Switzerland
26	FORSKINGSRADET FOR HALSA ARBETSLIV OCH VALFARD	Sweden
27	UNITED KINGDOM RESEARCH AND INNOVATION	United Kingdom

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CA: Consortium Agreement  
CG: Coordination Group  
CoI: Conflict of Interest  
CS: Call Secretariat  
DoW: Description of Work  
EC: European Commission  
EPSS: Electronic Proposal Submission System  
GA: Grant Agreement  
JRP: Joint Research Programme  
KE: Knowledge Exchange  
KEG: Knowledge Exchange Group  
PC: Programme Committee  
PL: Project Leader  
RFO: Research Funding Organisation  
RP: Review Panel  
SG: Steering Group  
SSH: Social Sciences & Humanities  
TL: Task Leader  
WP: Work Package

Today, we live in an era of social, economic, technological and cultural changes which generate opportunities as well as new challenges for people, society and culture. Technological changes affect all spheres of human life and activity; in particular digital innovations bring economic progress but also societal anxieties and feelings of insecurity. Technological change is not a new phenomenon and throughout history, societies have been required to respond creatively to the challenges and opportunities this presents. The recent acceleration of digitalisation processes has however opened new dimensions for, and extended the impact of, societal transformations driven by technological innovation. Such processes have opened discussions on values and identities, principles of democracy, questions of social justice, cohesion and inclusion, knowledge and information and the meaning of work and leisure. There are also changes in the way people communicate with each other (and, increasingly, with machines and robots) and find meaning in their lives. To ensure that future innovations and decision-making are imaginative, culturally and historically informed, ethically grounded and context-specific, a knowledge base on the contexts, processes and consequences of innovations is needed.

The aim of the proposed CHANSE Programme will be to investigate the problems and challenges of modern transformations with specific reference to societal and cultural dynamics in the current digital age. The Programme has been designed to facilitate a broad range of approaches to digital transformations by understanding the contexts, processes and consequences of these transformations. It is set forth by a networking structure of 27 research funding organizations from 24 countries. The CHANSE Programme builds on the experience of two existing networks: HERA (Humanities in the European Research Area) and NORFACE (New Opportunities for Research Funding Agency Cooperation in Europe) supporting research in humanities and social sciences respectively.

HERA – “Humanities in the European Research Area” – is a network of national agencies that fund humanities research. Since its establishment in 2002, HERA has led and developed opportunities for humanities researchers across Europe, investing 92,9 million euros in 75 projects funded through four Joint Research Programmes (JRs). These Programmes have built European capacity for trans-national and interdisciplinary research, advocated for the societal value of the humanities and promoted excellence in research management practices. By pooling national research funds to create transnational partnerships, over the last decade HERA has added significant value to national funding Programmes and to the European Framework Programmes. The network members also collaborate – as individual funders and collectively through the HERA network – with other initiatives (e.g. the Trans-Atlantic Platform, EQUIP, the JPI Cultural Heritage and Net4Society) to influence and shape future agendas for European research.

NORFACE – “New Opportunities for Research Funding Agency Cooperation in Europe” - is a collaborative partnership of national research funding agencies in the area of social and behavioural sciences. Since its establishment in 2004, NORFACE has been committed to leading and developing opportunities for social scientists in Europe by developing thematic Joint Research Programmes; building capacity for transnational and interdisciplinary research; advocating for the societal value of the social sciences; and sharing excellence in research management practices and procedures. The NORFACE Network has received core funding under the European Union’s ERA-NET scheme since 2004, and has developed a close partnership and network of European national agencies responsible for funding research activities in the social sciences. NORFACE has jointly launched five transnational Programmes and partners have jointly funded 52 transnational, collaborative multi-disciplinary research projects with a total investment of 71.4 million euros. These programmes were in line with the ideas of the ERA. Not only were financial resources pooled, but joint evaluation and management procedures were carried out and knowledge exchange between the projects and non-academic stakeholders have been actively encouraged.

Learning from the invaluable experience of the previous achievements of both networks, the new CHANSE Programme will create new knowledge around the social and cultural dynamics of digitalisation processes, and establish partnerships across research and societal partners. Simultaneously, it will also develop impact policies, strengthen the HERA and the NORFACE networks’ endeavours and act as a platform for new activities that will enhance the ERA in the future. Continuing the cooperation between and within both networks will be a guarantee of effective communication between all the involved stakeholders.

## 1.1 OBJECTIVES

THE CHANSE consortium will establish a Joint Research Programme that will fund excellent, multi-disciplinary research projects addressing the topic “**Transformations: Social and cultural dynamics in the digital age**”, and it will execute a number of complementary activities aimed at monitoring funded research and

strengthening its impact. Already 27 funding organisations from 24 European countries have committed to the new endeavour.

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The CHANSE Programme will have the following core objectives:

- To demonstrate the value, efficacy and impact of social sciences and humanities (hereinafter referred to as SSH) research in and for society;
- To establish a Joint Research Programme with an aim to support research on the meanings, workings and consequences of transformations and innovations in the digital age, an area of significant importance to current challenges in Europe and beyond;
- To promote diversity in research and encourage collaborative consortia, which are balanced with respect to gender, are diverse geographically and include researchers at various stages of their research careers;
- To effectively pool resources and fund excellent transnational, multidisciplinary research projects that address the topic of “Transformations: Social and cultural dynamics in the digital age” in innovative, creative and impactful ways;
- To build capacity and overcome the fragmentation of research and research funding; to have a lasting effect on the research landscape by cultivating durable research collaboration across multiple national and regional borders, disciplinary boundaries, and stakeholders, thus supporting the sharing of excellence and promoting widening participation in the ERA;
- To enable the sharing of experience among funding agencies and between researchers and funders;
- To encourage, scale up and facilitate opportunities for knowledge exchange and engagement between academic and non-academic communities; to maximise meaningful communication with, and impact on, policy and practice;
- To promote the role of humanities and social sciences research in European research programming, including Horizon Europe and other Programmes;
- To stimulate action and debate around broader humanities and social sciences research issues, including capacity-building among researchers and funders, and strategic reflection for the SSH domains;
- To enable effective coordination of national research agendas and funding actions across Europe via additional joint research calls and other activities;
- To coordinate knowledge and strategic planning and actively collaborate with CHANSE-related European funding and networking activities such as the T-AP Trans-Atlantic Platform, EqUIP (EU-India Platform for Social Sciences and Humanities), Net4Society, JPI Cultural Heritage, JPI Urban Europe, EASSH (European Alliance for Social Sciences and Humanities), etc.

## 1.2 RELATION TO THE WORK PROGRAMME

The CHANSE Programme directly addresses the ERA-NET Cofund opportunity TRANSFORMATIONS-15-2020 topic “Society and innovations: understanding the contexts, processes and consequences”.

The objective of this call is to help understand how digital innovations give rise to social and cultural changes and at the same time how they are influenced by society and culture. The social sciences as well as the humanities are domains which are well-positioned to analyse such large cultural and societal questions, and to meaningfully add knowledge to other scientific approaches to the study of digital innovations by investigating issues of integration, fragmentation, human relations, democratic institutions and governance, markets, social cohesion, work and health, education and knowledge, culture, religion and beliefs, language, artistic impressions, customs and traditions, memory and ideology and related issues. Through collaborative cross-disciplinary research based on cross-national, historical and/or longitudinal comparison, the Programme will develop theoretically ambitious and empirically founded insights which will substantially enrich the knowledge base upon which to build new policies and practices and reshape existing ones for a reflective, inclusive and innovative society. In its concepts and methodology outlined below, the CHANSE proposal addresses all the main concepts and themes (see also 1.3.1 and 1.3.2) of this topic in terms of the breadth of its definition of the digital transformation and its acknowledgement of the complex operations of culture and society.

A Joint Research Programme addressing societal and cultural dynamics in the current digital age is essential in order to be able to understand societal transformations taking place; the pooling of national funding not only allows for greater investment but also enables a comprehensive and comparative approach to these issues as required by the work Programme. Indicative problems and questions will be articulated in the call documentation, but applicants will also be expected to bring their own innovative approaches and novel research questions. The Programme will encourage multi-disciplinary approaches prioritising a wide range of disciplines from the arts and humanities, social sciences and inter-sectoral partnerships. It will be a unique funding opportunity as in this field of research, no activities of a similar scope are implemented on either the national,

CHANSE offers a unique opportunity to address innovations and technological change from a joint humanities and social sciences perspective, and create a laboratory for inter- and transdisciplinary co-creation and research.

### 1.3 CONCEPT AND APPROACH

Joining the humanities and social sciences under one call allows for groundbreaking research. Therefore HERA and NORFACE have combined their resources and networks to propose this Programme. In response to the TRANSFORMATIONS-15-2020 Horizon 2020 WP 2018-2020 call for proposals and after extensive consultation within and between the research funding organisations who participate in the HERA and NORFACE networks, it has been decided that the theme of the cofunded planned Joint Research Programme should focus on the topic of the social and cultural dynamics of digitalisation.

This timely and highly urgent topic responds to a widespread current interest within social science and humanities research communities across Europe, and to a need for new policies and practices derived from a deep understanding of the drivers and causes, consequences and means, and opportunities of digitalisation processes. HERA and NORFACE networks expect that it will result in a Programme that not only has the potential to offer unique insights into the transformations of the digital era, but also fits very well in the line of topics that the networks have chosen for their previous programmes including Cultural Dynamics: Inheritance and Identity, Humanities as a Source of Creativity and Innovation, Cultural Encounters, Uses of the Past, Public Spaces, Re-emergence of Religion, Migration in Europe, Welfare State Futures, Dynamics of Inequality across the Life-course, Democratic Governance in a Turbulent Age. It is therefore anticipated that the Programme will build upon and extend the body of research that has already been funded by both networks.

This topic has high societal relevance. Today's societies are marked by the coexistence of divergent cultures, ideologies, beliefs and environments, which leads to social, political, and cultural heterogeneity. Digitalisation enhances these dynamics, as it brings in a new dimension of interaction between individuals, groups, communities and cultures. The societal effects of such developments range from those which are positive, such as creativity, renewal and innovation, to the more challenging experiences of tension and conflict.

From their establishment, both HERA and NORFACE have had a vision of researchers working across countries and across disciplines within the humanities and social sciences as part of achieving the European Research Area. On the basis of the high number of applications received through their respective calls for proposals and the quality of the proposed research already generated, both networks have had the ability to choose timely and current topics for Europe today, and the CHANSE Programme is clearly responding to a need for transnational funding opportunities for social science and humanities research. The pooling of funding from 24 countries complemented by EU co-funding will enable the CHANSE Programme to address societal and cultural issues in ways not normally possible within conventional EU and national funding Programmes and borders. The CHANSE Programme, combining national funding rules with EU principles, will create opportunities for capacity building and the establishment of international networks of researchers, thus contributing to creation of a strong research community tackling cultural and societal challenges in the digital age.

The present call has had a very long and intensive preparation, its inception originating in wrestling over pressing societal concerns requiring inter- and transdisciplinary research. Both the EU Commission and the Programme Committee for Societal Challenge 6 "Europe in a Changing World" were involved in developing the frame of the topic which HERA and NORFACE then focused on. Both networks had individual scoping exercises concerning thematic priorities; in order to answer the EU call together – with views from different disciplines, methodologies, thematic orientations – the networks set up an expert group to get into the many issues concerning "innovations". Since both networks have extensive experience with the oversubscription of calls, a more concise focus was needed which was developed over the course of 2018/2019, with the aid of the outside expert group and intensive discussions within and among the two networks. The result of this process is the present programme with its focus on social and cultural dynamics of one area of innovation, i.e. digitalization.

This timely and highly urgent topic (with a new impetus from the COVID-19 crisis) builds on a widespread current interest within social science and humanities research communities across Europe, and answers a need for new policies and practices derived from a deep understanding of the drivers and causes, consequences and means, and opportunities of digitalisation processes.

#### 1.3.1 CONCEPT

CHANCE will support new innovative research into the workings, meaning and consequences of transformations and innovations in the present digital age through the lens of the social and cultural dynamics. Whilst the Programme does not preclude comparison or investigation into other regions, every proposal must demonstrate a strong European dimension (i.e. investigating the changes taking place / affecting Europe as a whole, or at the level of a European country, city, community, etc.).

The defined focus of the call is detailed below.

## **SPECIFIC CHALLENGE**

Over centuries, various technological changes have affected and still continue to affect all spheres of human activity. At the same time, society has been and is shaping technological changes. This is particularly important now, since today's social, economic, political, technological and cultural transformations generate opportunities as well as challenges. Digitalisation, which refers to the cultural and societal changes brought about by the pervasive use of digital technologies, brings economic progress but also social anxieties and feelings of insecurity. Digitalisation yields new forms of communication, expressing emotions and creativity, as well as new forms of acquiring knowledge and distributing information. On the other hand, digital transformations raise questions about values and identities, about individuality versus public interest and solidarity, about participation, social justice and inclusion. These changes do not occur simultaneously in or uniformly across all countries and in all parts of societies, resulting in new social divisions and differences between various social groups and communities.

The present transnational call in the humanities and social sciences focuses on research into the workings, meaning and consequences of transformations and innovations in the present digital age. The objective of this call is to help understand how digital innovations give rise to social and cultural changes, and are also influenced by society and culture; comparative approaches referring to the past are also welcome. The two areas within this large theme – cultural and social transformations – are detailed in the scope section below.

## **SCOPE**

### **I. Cultural Transformations in the Digital Age**

Cultural transformations are a constant phenomenon in human history. Nevertheless, today, digital tools, the processes of digitalisation and the digitalisation of processes have – really or apparently - contributed to the acceleration of these transformations. We are approaching a culture of algorithms that influences our daily lives, behaviours, cultural practices, judgements and values. The questions to be asked are: the extent of the impact that such processes are having on us and our cultures; how radically new they are relative to past innovations such as literacy, print, railways, and television; and the influence of different cultural traditions on technological transformations.

#### ***Identity, values and worldviews***

As digital tools permeate virtually every aspect of our lives, we are connected through devices which constantly yield data that are being captured, analysed, and returned to us in processed forms such as personalized ads and recommendations. How does this affect our identity, and individual sovereignty? How does it shape our encounters with and understandings of the other? Digital communication holds the promise of social interaction, global integration and human solidarity. However, it makes inequality more visible and can also isolate individuals and groups – regional, political, ethnic, class-based – in echo chambers or 'filter bubbles', compromising the existence of a common space for public debate and enabling the spread of fake news, hate speech, populism, and xenophobia. How do we create and secure spaces for free and creative thoughts in a digitalised world? How are freedom and creativity even defined, as algorithms learn and use our patterns of communication? How do we address issues about responsibility, trust, and transparency? How does one develop legal and ethical standards that can cope with these challenges? Does historical comparison help understand these processes and problems?

#### ***New stories, new aesthetics: Remaining human***

From ancient times to the science fiction of Jules Verne, H. G. Wells and the Cyberpunk, the arts, literature, philosophy, etc. have been a fundamental source of imagination and imagery, inspiring technological inventions and trying to foresee their social, cultural, and linguistic consequences. Today, utopian as well as dystopian understandings of technological developments and digitalisation resurface in the different currents of Posthumanism and what is becoming known as the Posthumanities. Digital visualization, machine learning, robotics and AI are major innovations fast developing in the fields of technical and natural sciences, whilst, at the same time, constantly interacting with emotions, creativity and imagination. At such junctures, new aesthetics and narratives emerge, questioning how we want to live and how we can live together. What are the

cultural, ethical and futuristic accounts of a digitalised world. How do they interact with the processes of digitalisation? To what extent are technological transformations responsible for reshaping the worlds of our imagination, and to what extent is technology giving shape to transformations already anticipated in earlier imaginative thinking – utopian and dystopian?

### ***The Humanities and technological transformations: past, present, future***

Throughout its history, humanity has experienced many forms of inventions, some of which have brought major technical transformations. Scholars have always reflected upon the relations between humans and their cultural environments investigating the impact of technological change on the generation, storage and transmission of knowledge. For example, a highly representative strand of the Humanities of the 20th Century has developed a thorough critique of modernity and technological progress, calling into question the very humanistic foundations of European cultures and societies. What has been, is and might still be the role of the Humanities in assessing large systemic transformations: can we compare current developments in the digital era with historical phenomena? How do we move from passive observation and critical distancing to active participation in shaping the processes of digitalisation, reflecting on the human use and adoption of new technologies in order to move towards a more equal, democratic, knowledge-based access to and use of them? Is there a place in all this for Humanism or will it be replaced by some thoroughly non-anthropocentric vision of humanity and its interactions with the non-human?

## **II. Digitalisation and Social Transformation**

The changing relationship between technology and society potentially transforms the social, political, legal, economic and psychological conditions of life and raises questions about the role of technological innovation for societal progress. For example, do technological innovations save time in our daily lives, leaving us ever freer for social and cultural pursuits – or does the massive distraction of endless digital interruptions actually drive out creativity and innovation and jeopardise education and productive work? Does digitalisation constitute a threat for individual and communal freedom or lead to citizen-driven transformations? How can we optimise the positive outcomes of technological transformation whilst simultaneously understanding and mitigating the potential downsides for individuals, communities, organisations, institutions and society as a whole through robust empirical research?

### ***Digitalisation and social relations***

The debate about digitalisation resembles previous controversies about large-scale social transformations like modernization, industrialization and globalization. On one side there are enthusiasts praising the immense potential of innovations for growth and enhanced social progress. On the other there are sceptics fearing for the loss of essential human qualities at the hand of technology. Observers have noted how digitalisation is altering social life and the use of time, but more rigorous research is needed to understand the antecedents and effects of technological innovation for social relations and the pace of life. Has digitalisation led to a new form of temporality? What kind of effects does digitization have on the very understanding of time and space? How does digitalisation impact the quantity and quality of the time we spend with family and friends? How does digitalisation affect intra-generational communication? How do digital innovations create or solve social inequalities? How do innovations shape gender-differences, our work-life balance and ways in which we use time?

### ***Digitalised work and organizations***

New technology has created novel challenges for the labour market, giving a new edge to the ongoing debate about skill-biased technological change. Digitalisation is having significant ramifications for organizations in both the public and corporate sphere. The changing nature of work has already become a salient public issue, with the rise of outsourcing and the gig economy. Current technological transformations increasingly affect our perceptions of quality of work and of productivity, altering the temporal and spatial dimensions of work and collaboration. We need to increase our understanding of fundamental questions addressing the meaning and productive potential of work in the digital age. Does new technology always effectively lead to greater efficiency or does digitilisation have counter-productive side-effects and negative unintended consequences? What kind of effects does digitalisation have on the workings of public policy, institutions and the economy? What is the impact of digital transformation on job displacement, on wages, on wealth distribution and poverty? How can we understand new forms of organisational memory in times of massive data generation? What are the main driving forces behind digitalisation and what actors promote it through public policies?

### ***Knowledge and learning in the digital age***

Digitalisation affects not only the production of data but also its accessibility and the consumption of information, and thus the very nature of knowledge production. Innovations such as high-speed internet, electronic books and digital newspapers and mobile devices have fundamentally changed the way knowledge is acquired and information is consumed. The diffusion of “content” is immediate and virtually everyone has the potential to influence public opinion through social media. The potential for knowledge manipulation through new technologies also raises political questions, such as the impact of digitalisation on elections, justice and ethics. From a legal point of view, new questions regarding copyright law and freedom of expression have emerged in the digital era. New technology has also raised new challenges for education and learning. How do education systems adapt to meet emerging skill requirements? What and how do we teach, in relation to what we as a society consider important to safeguard against? Do technologies help us to acquire knowledge more quickly? What are the effects of technological transformation on attention, memory and cognitive and emotional capacities? Research is needed as well to identify the potential adverse impacts of digital innovations. This line of inquiry may interrogate the ownership of the huge data-intensive digital platforms that control access to the new world of knowledge and learning, and shape how data about ourselves are processed, interpreted and transformed into accepted knowledge in society. Finally, the emergence of artificial intelligence and data mining has also affected the epistemological and methodological bases of social science research itself, and new studies may elucidate the ways in which the production of scientific knowledge is impacted by new forms of human-computer interaction.

The joint CHANSE call will effectively strengthen trans-national, pan-European research networking and synergies among national/regional and EU research Programmes in the humanities and social sciences. The joint research call combines the analytic and transformative powers of the humanities and social sciences in understanding processes of change and considering solutions when societies face the introduction of innovations. It aligns national funding strategies on the topic of digital transformations and their impacts. Projects funded under this call will help to understand the makings, workings, meaning and consequences of innovations in relation to society and culture. By contributing to a knowledge base for policymaking, the call will help formulate more enlightened and effective policies for the future. Finally, this call will play a major role in promoting societal impact as a key element of planning and delivery in humanities and social sciences research projects, and in enabling new collaborations between academic and non-academic stakeholders.

### 1.3.2 APPROACH AND METHOD

This joint initiative has been designed to attract innovative and ambitious projects that will develop the field conceptually and empirically. It will invite research focusing on the ethical, legal, social, economic, educational, political, psychological, cultural, religious and historical contexts and consequences (or impacts) of innovations. This inclusive approach will facilitate wide-ranging, innovative and interdisciplinary responses to the joint co-funded call. The Programme encourages proposals based on a comparative perspective, both cross-national and across time. Inter- and transdisciplinary research will be especially welcome, for example, on the consequences of the digital turn on individual lives, democratic values and procedures (such as e.g. political participation), inequalities, social cohesion, knowledge and education, work and employment, entrepreneurship, and perception of time, as well as on memories, identities, narratives, legal issues and ethical concerns, cultural practices, the arts, communication media, public discourse, etc.

Proposals can emphasize theoretical developments, qualitative investigation, quantitative data and experimental design as well as mixed methods and summaries of existing empirical evidence, including reviews and meta-analyses. They will therefore produce added value through the development of European cross-national research collaborations exploring the impacts of variations in the psychological, social, economic, cultural and political contexts of digitalisation. Such interdisciplinary and comparative perspectives will also allow projects to identify the cultural and social roots of ingenuity, build creative environments, and foster conditions for social and technological innovation, sustainable economic development and preparedness for change.

Research cutting across several of the themes outlined in the Programme, examining the interactions and interrelationships between different challenges will be strongly encouraged. A cross-national comparative focus is central to the Programme design. Proposals under the Programme will be expected to include at least three countries in the outlined research, which will allow for a valid assessment of the variability in the intensity of the challenges, the contexts in which they are posed, and the mechanisms by which they affect attitudes and behaviour. Research projects that extend comparisons beyond European countries are welcome, although this Programme is in principle focused on the European context. Proposals are expected to devote significant attention to discussing how their findings could help develop responses to the major challenges at the heart of this Programme.

The innovation expected of proposals may come in many ways, including through pursuing new research agendas in the field, developing fresh approaches to familiar issues, bringing comparative approaches to bear on issues that have been characterised by configurational studies, applying new methodologies or using established techniques imaginatively in previously unfamiliar areas. Applicants to the Programme are also encouraged to develop close relationships with relevant stakeholders and research users.

At both outline and full proposal stage of the application process, applicants will be asked to flag any ethical issues which may appear in their proposals and describe measures which will be taken to address these issues in their research projects. This component of a research proposal will be then assessed by the Review Panel and External Experts at both stages of the call evaluation process. Finally, in mid-term and final reports funded consortia will be asked to present how ethics issues were addressed in the course of their projects.

### 1.3.3 ADVOCACY AND COLLABORATION

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CHANSE will network effectively with other relevant initiatives. Both HERA and NORFACE networks already have well established relationships with the Trans-Atlantic Platform, EQUIP, JPI Cultural Heritage and Net4Society. In January 2018, a joint effort between NORFACE and HERA has resulted in the joint paper *Research beyond borders – the value of European networks in the social sciences and humanities* (<http://heranet.info/2018/02/08/hera-and-norface-publish-research-beyond-borders/>). This paper has been a stepping stone for other joint activities in advocating for social sciences and humanities research in Europe and beyond. Although CHANSE integrates the social sciences and humanities, the proposed co-funded call encompasses a thematic scope that has potential to reach beyond SSH, and the consortium expects that this will lead to cooperation with networks beyond SSH area.

### 1.3.4 GENDER EQUALITY

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Promoting gender equality in research and innovation (R&I) is part of the Commission's Strategic engagement for gender equality:

[https://ec.europa.eu/anti-trafficking/sites/antitrafficking/files/strategic\\_engagement\\_for\\_gender\\_equality\\_en.pdf](https://ec.europa.eu/anti-trafficking/sites/antitrafficking/files/strategic_engagement_for_gender_equality_en.pdf)

which pursues three objectives specifically for this sector, namely 1) gender equality in scientific careers, 2) gender balance in decision making, and 3) integration of the gender dimension into the content of R&I (<http://ec.europa.eu/research/swafs/index.cfm?pg=policy&lib=gender>).

CHANSE partners underline the importance of these objectives and strive to apply them in network activities when possible.

With regards to the first objective, HERA and NORFACE have consistently worked to ensure equal opportunities and the balanced participation of women and men in consortia in previous programmes, and will do so in this proposed Programme. In the call documentation, female researchers will be explicitly encouraged to apply. Concerning the second objective, CHANSE not only aims towards a balance in gender as well as geographic representation in evaluation panels at every stage of the assessment procedure, but also to raise awareness among the evaluation panelists as to what gender bias is and how to consider it in reports and scoring. Many CHANSE partners have guidance in their application manuals for project descriptions to consider gender and diversity issues. The independent EU observer that shall be appointed to be present at the evaluation stage of the Outline and Full Proposals will be asked to also report on the take-up of gender matters in the call procedures. With respect to the third objective, CHANSE will call attention to the inclusion of a gender dimension in research projects when appropriate, and integrate analysis of gender in monitoring and evaluation.

Drawing from best practices employed by the HERA and NORFACE networks, the CHANSE Programme will ensure that its procedures champion gender equality and fully comply with measures adopted in the NORFACE Statement on Gender Equality:

- To carry out gender impact assessment on the call documentation. In line with that principle, the call embraces a broad range of disciplines and methodological approaches which reflect the gender composition and practices of the humanities and social sciences research base. The consortium will also ensure that the call documentation does not use gendered language.
- To monitor the gender balance of peer review, with the aim of progressively moving towards a more even gender balance, without overburdening particular individuals.

- To monitor gender balance of its expert evaluation panels, with the aim of achieving an even gender balance (with respect to both seniority as well as numbers) and be mindful of not overburdening particular individuals.
- To encourage all panel members to challenge ‘unconscious bias’ where that is deemed to be evidenced in the discussion of applications. Panel members will be provided with the NORFACE Statement on Gender Equality in advance of each meeting, and the Panel chair will explicitly give attention to it at the start of each Panel meeting, to remind panel members of the groups’ commitment to recognise and challenge unconscious bias.
- To publish gender statistics regarding (including information about outline and full proposals, as well funded projects) on the CHANSE website.

## 1.4 AMBITION

The CHANSE Programme has the ambition of joining the social sciences and humanities in one multidisciplinary effort of tackling the contemporary problems of social and cultural dynamics in the digital age that cannot be fully analysed from the perspective of one discipline or even domain. With the creation of the joint call involving the separate humanities and social sciences networks, we will mobilise the intellectual energies and collaborative potential of a wide range of SSH disciplines in new ways, foster interdisciplinary and transdisciplinary inquiries, and further develop the knowledge base of the European Research Area by investigating the relationships between culture, society and innovations. As shown below, both networks have been successful in pooling transnational European research collaboration, and by joining forces the knowledge base and impact should reach beyond what has been achieved until now.

As the networks have grown in the number of partners and activities HERA and NORFACE have developed into higher-level organisations with a membership that extends beyond the individual funders, and both act as fora for discussion and knowledge exchange among funding agencies, alongside their research Programmes. Both networks actively seek to keep learning and improve procedures and policies. HERA and NORFACE have been taking part in advocating for humanities and social science research in Europe from their creation, and the CHANSE Consortium is determined to remain a voice and extend activities in this regard.

Currently, next to the development of new research Programmes, HERA and NORFACE coordinate transnational research programmes in different stages of their lifespan, as well as actively taking on exercises in exchanging best practice and learning from previous activities. In the NORFACE and HERA joint paper “*Research beyond borders. The value of European Networks in social sciences and humanities*”, the networks have expressed that they will aim to do the following in the coming years:

- Develop innovative research programmes on important subjects and continue to secure support from the European community, through both the Framework Programmes and partner co-funding;
- Create new opportunities, by involving wide participation of European Member States as well as partners outside of Europe, whilst remaining effective;
- Improve procedures, including around the development and assessment of research programmes and the sharing of best practice across other international activities;
- Advocate for humanities and social sciences-led research within the European Research Area, together and as individual networks representing their respective disciplines;
- Explore joint multi-disciplinary opportunities.

We envisage CHANSE will take forward knowledge exchange and impact activities firmly rooted in research that have been supported through previous programmes carried out by both networks. Demonstrating the impact, relevance, significance and importance of the social sciences and the humanities research through the “social and cultural dynamics” element of the Programme is vital, and will maximise the wealth of impact knowledge that the Programme funders’ network and the European Research Area has available.

## 2. IMPACT

### 2.1 EXPECTED IMPACTS

By offering new opportunities for international research cooperation in a critical area of enquiry, the CHANSE Programme ‘Transformations: Social and cultural dynamics in the digital age’ will deliver a broad range of academic, societal and economic impacts within, across and beyond the partner countries. These impacts will include the facilitation of new, transnational, pan-European research networks and synergy between research programmes which foster European added value and embed innovation and excellence in interdisciplinary

engagements that bridge research domains. Critically, the focus of the Programme on current transformations both in cultural and societal domains through the lens of the digitalisation presents questions of huge social, political and economic significance to contemporary Europe. As such, the Programme has been conceived to challenge and change existing structures, policies and practices, and to foster new relationships between academia and relevant stakeholders by foregrounding the engagement of communities, policy makers and industry in the research process.

The CHANSE consortium wishes to operate on a broad spectrum, offering their national scientific communities a range of new opportunities for research cooperation. All partners are committed to funding research with the greatest possible impact and acknowledge that impact comes in many forms and may be realised in many different ways. In order to provide the greatest possible opportunities for a wide variety of impacts to arise, the partners intend the Programme to provide opportunities for funding both fundamental and more applied research. Applicants will be encouraged to make use of a full range of appropriate measures to maximise the impact of their research, starting with the integration of stakeholders into the project design. Including appropriate mechanisms to ensure the most effective translation of research outcomes into societal, economic and cultural benefits will be a critical part of any project supported by the Programme. As such, the consortium has put in place a range of actions intended to maximise the generation of long-lasting impact by exchanging knowledge amongst partners of the consortium and the research project teams, and building capacity within both the CHANSE network and the project consortia involved in the Programme.

Our ambition to generate long-lasting impact with the CHANSE Programme is reflected in the following four aims:

- European added value and new perspectives on societal and cultural changes in the digital age;
- Multinational engagement and geographical breadth;
- Policy, economic and societal impact;
- Pooling resources and achieving synergy across national research programmes.

### **2.1.1 EUROPEAN ADDED VALUE AND NEW PERSPECTIVES ON SOCIETAL AND CULTURAL CHANGES IN THE DIGITAL AGE**

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The CHANSE Programme aims to mobilise the wide range of transnational and multidisciplinary perspectives necessary to understand the relationships that exist between and across the workings, meanings and consequences of transformations and innovations in the present digital age. The objective of the co-funded call is to help understand how digital innovations give rise to social and cultural changes and at the same time how they are influenced by society and culture. It will stimulate public, political and scholarly debate about the future prospects of the European project in the digital age, whilst also analysing historical (and contemporary) models of the ways that societies have been and are shaping technological changes, and are simultaneously changing as a response to these.

By forming international research partnerships around such issues, the CHANSE Programme will bring critical new insights, both of immediate value and with the potential to build platforms for engagement that extend well beyond the funding period.

Fundamentally, the Programme will generate deep and wide-ranging impacts by supporting research that recognizes the consequences of, and the social and cultural conditions underpinning digital innovations, in order to identify the cultural and social roots of ingenuity, build creative environments, and foster conditions for social and technological innovation, sustainable development and preparedness for change.

### **2.1.2 MULTINATIONAL ENGAGEMENT AND GEOGRAPHICAL BREADTH**

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CHANSE is a consortium comprised of 27 research funding organisations from 24 countries. It brings together 20 countries from EU member states, incl. 13 so-called Widening Countries, and 3 from associated countries and the UK. A high ratio of Widening Countries will increase the impact of transnational European funding across the respective countries. It is also expected that involvement of Widening Countries in the CHANSE Programme will support their participation in other EU funding schemes, such as Spreading Excellence and Widening Participation, as well as new opportunities in Horizon Europe.

Questions relating to the workings, meaning and consequences of transformations and innovations in the present digital age transcend national boundaries, and are most effectively addressed by international research teams. Drawing on the experience of 4 successful previous Joint Research Programmes implemented by HERA and 6 programmes launched by NORFACE, the CHANSE consortium is uniquely well-placed to facilitate such

partnerships and to broker world-leading research. Both HERA and NORFACE funding calls have generated a huge amount of interest and have been highly competitive. The Programme will bring together some of the best researchers across Europe and stimulate their combined capacity to achieve sustained critical mass and cutting-edge research. This multilateral engagement and collaborative working across disciplinary boundaries means that researchers will generate dynamic interrogations of the challenges around transformations.

Similarly, the CHANSE Programme will embed geographical breadth and diversity within the research itself. In particular, the minimum participation of researchers from at least 3 countries involved in the CHANSE Programme will encourage research relating to, and involving partners from, Southern, Central and Eastern Europe, thus providing wide and comparable contexts to the dynamics between society, culture and digitalisation. The CHANSE consortium will strive to encourage the participation of researchers from underrepresented countries, including Widening Countries. Capacity building activities engaging research communities from this group of countries will be planned within WP6 Additional Activities.

### **2.1.3 POLICY, ECONOMIC, AND SOCIETAL IMPACT**

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As outlined above, by bringing new insights to the challenge of current social and cultural dynamics related to digital transformations, the CHANSE Programme offers great potential for delivering research of significance at a policy, economic and wider societal level. Drawing on examples of best practice generated through previous funding Programmes implemented by both networks, impact and knowledge exchange will be in the foreground in the application and assessment process. It is expected that partner organisations and stakeholders including, but not limited to, policy groups, NGOs, voluntary organisations, media, the creative industries and museums, libraries and archives, will be integrated into the research, not only as ‘user groups’, but also in the design and delivery of the research itself. The consortium will provide additional guidance around involving non-academic partners so applicants can fully consider this from the outline stage. CHANSE applicants and funded consortia will be provided with an on-line Guide on Knowledge Exchange, developed based on HERA and NORFACE documents, such as *Knowledge Exchange: A Toolkit for HERA Projects* ([http://heranet.info/assets/uploads/2019/09/Toolkits\\_13Dec2019.html](http://heranet.info/assets/uploads/2019/09/Toolkits_13Dec2019.html)) or *The Dynamics of Exchange: A review of Knowledge Exchange activities for the HERA Cultural Encounters Joint Research Programme, and Research Beyond Borders. The value of European networks in the social sciences and humanities* (<http://heranet.info/assets/uploads/2018/02/The-Dynamics-of-Exchange-HERA-JRP-report-Feb-2016-copy.pdf>).

In order to strengthen the impact of funded projects, the CHANSE Consortium will form a Knowledge Exchange Group (KEG), led by Knowledge Exchange Task Leader (for more information please see task 4.4 description). KEG will be responsible for preparing CHANSE knowledge exchange strategy and stimulating knowledge exchange between projects and stakeholders from outside the academic community. In addition KEG will identify a Knowledge Exchange Facilitator, a representative of the SSH research community, who will provide guidance and advice to individual Project Leaders, Principal Investigators and Associated Partners, enabling the sharing of experience and opening up new opportunities. As part of their role here, the Knowledge Exchange Facilitator will work to foster interactions between the Project Teams, and thereby encourage the cross-pollination and integration of the projects funded under CHANSE. In addition, the Knowledge Exchange Facilitator will also facilitate and support knowledge exchange between funded consortia and potential stakeholders

Measures to realise this potential will be applied not only at a project level, but also at the Programme level. This will be achieved, for example, by fostering cross-project dialogue and providing pathways for projects to engage in outreach activities via, for example, the media, policy briefings and targeted events to reach a wide range of relevant audiences (see ‘measures to maximise impact’ for further detail).

To ensure that future innovations and decision-making are imaginative, socially, culturally and historically informed, ethically grounded and context-specific, we need a knowledge base about the nature, contexts, processes and consequences of innovation, including digital innovation. As such, it is proposed that research funded through the CHANSE Programme will generate an extremely diverse range of impacts which could include, for example: new or enhanced policy frameworks based on better understanding of societal and cultural changes due to advanced digitalisation processes and a greater understanding of how digital innovations transform all sectors, from health and transportation to science and education, how digitization is and will be shaping and reshaping our societies and cultures with fundamental consequences for people, cultures and the planet, and how culture and society shapes and uses digitalisation. Various policy groups and voluntary organisations will be particularly interested in bringing this understanding to fruition. Other forms of impact

could be new models of best practice to deal with societal phenomena driven by digital innovation. This may include innovation affecting employment and production, legal frameworks, ethics, decision-making processes, social protection mechanisms and education.

#### **2.1.4 POOLING RESOURCES AND ACHIEVING SYNERGY ACROSS NATIONAL RESEARCH PROGRAMMES**

The CHANSE Programme is a collaboration of research funding partners from 27 funding partners from 24 countries, including 20 EU member states and 3 Associated Countries and the UK. It has been designed as a large-scale, focused research endeavour that avoids duplication of resources and effort across the component partners. By pooling resources and expertise and synthesising national research priorities, the model offers efficiency and value for money, and it facilitates research projects of a far greater scale, reach and impact than could be achieved through smaller and less integrated pots of national funding. Building on the experience of 4 previous Joint Research Programmes, carried out by HERA and 6 Programmes launched by NORFACE, the CHANSE Programme is uniquely well-placed to build a coordinated research effort around the challenge of social and cultural dynamics generated by the digital innovation. CHANSE consortium partners have committed a considerable sum of funding for research in support of this effort. Together with the requested EU co-funding, this will provide a budget of over 36 000 000 EUR for excellent transnational research projects.

In addition, within WP6 activities, possibilities for further joint call(s) beyond the co-funded call will be taken into consideration. Also, the involvement of new funding partners in additional calls will be explored.

#### **2.1.5 POTENTIAL BARRIERS/OBSTACLES TO THE ACHIEVEMENT OF IMPACT**

CHANSE is strongly committed to impact and engagement with wider stakeholders as an essential part of the Programme. It is recognised that the concepts of ‘impact’ and ‘knowledge exchange’ vary across research communities. In previous projects the value of these relationships was not unanimously acknowledged. Some funders considered engagement with stakeholders as of great value (particularly when involved from the start and embedded in a project) and others were less convinced (usually where non-academic partners were treated as a means to deliver dissemination). There is however a growing consensus around how to define knowledge exchange and impact, and of their centrality to the research process, and this has been communicated to HERA and NORFACE research communities in call documentation as well as specific guidelines, such as *Knowledge Exchange: A toolkit for HERA Projects*.

In order to ensure that impact potential is maximised, the CHANSE Consortium will undertake additional activities that add value and encourage projects to move from “passive” to “active” impact. As mentioned above, this will be achieved through activities performed by the Knowledge Exchange Group which will formulate a Knowledge Exchange (KE) Strategy and identify a Knowledge Exchange Facilitator who will support the projects and researchers in the implementation of KE and impact, for example through joint workshops/seminars aimed at specific audiences (further detail is provided below).

### **2.2 MEASURES TO MAXIMISE IMPACT**

#### **2.2.1 DISSEMINATION AND EXPLOITATION OF RESULTS**

Through the co-funded call, the CHANSE consortium is committed to ensuring that measures and processes are in place to maximise the potential impact of the projects it funds. Impact and Knowledge Exchange (KE) will be an integral component of the application and assessment process, and engagement with wider stakeholders an essential part of the Programme. This will be facilitated by the two-stage application process (outline proposal stage and full proposal stage) – and the panel and peer review feedback – which will be designed to achieve excellence both in research quality and approaches to impact.

In their applications, project teams will be required to articulate the involvement of non-academic partners as well as their approach to dissemination, knowledge exchange and impact. It is expected that this involvement will not be generic but project-specific, and projects will be evaluated to ensure good progress, both in academic and non-academic dissemination and exploitation. Knowledge exchange is about ensuring that the flows of communication between the researchers and the projects stakeholders are continuous, reciprocal and mutually beneficial. So whilst discrete activities are an important part of an effective approach to knowledge exchange, there is also a need to acknowledge that the dialogue with stakeholders is broader than just events and that there are appropriate mechanisms to enable stakeholder views to influence and shape the direction of the research. To aid this, the CHANSE consortium will provide applicants with guidelines about working with non-academic

partners, based on previous documents and toolkits developed by both networks. The Knowledge Exchange Facilitator will work with funded projects to ensure that they are engaging with non-academic audiences at the appropriate time, and that they understand how to tailor their outputs for different audiences. Shared learning across the grant holders from all HERA and NORFACE network Programmes will be facilitated.

In support of this, the overarching Programme strategy will follow these principles:

- Responsibility for the dissemination and exploitation of project results will lie principally with the individual projects but the CHANSE consortium will ensure that processes are in place to fully support this and will engage with projects on an ongoing basis;
- The CHANSE consortium will identify wider advocacy actions across various stakeholders, e.g. sharing best practice;
- The dissemination and exploitation of the Programme's results will be carried out throughout the entire duration of the Programme (please see WP5 for detailed description);
- CHANSE partners will work through the KEG to deliver a coordinated knowledge exchange strategy and to identify all potential activities and opportunities for capacity building.

In support of this process, the CHANSE consortium will ensure that applicants and funded consortia are encouraged to:

- involve stakeholders as early as possible in order to fully understand their needs;
- adapt messages for specific stakeholders;
- choose the best mechanisms of dissemination and exploitation for particular audiences;
- focus on communicating results rather than processes.

The CHANSE Consortium, together with both networks, is committed to a process of continual improvement in respect to its impact and KE responsibilities. CHANSE will build upon previous activities and implement new mechanisms at a Programme level to ensure that impact is realised as fully as possible across its constituent projects. This will include:

- The establishment of a Knowledge Exchange Group (KEG) with responsibility for supporting the KE, dissemination and exploitation activities of funded projects; this Group will identify a Knowledge Exchange Facilitator;
- The creation of a 'Transformations: Social and cultural dynamics in the digital age' community comprising a cohort of funded projects that can share learning; the CHANSE consortium will create regular opportunities for knowledge and experience sharing and reflection, as the projects progress to identify lessons learned, best practice and unanticipated synergies that can be exploited from both an intellectual and impact perspective (where appropriate this community will include previous HERA or NORFACE funded projects);
- Through the KEG, the delivery of additional overarching activities such as focused seminars/workshops which might be built, for example, around the dissemination of research outcomes to policymakers, museum professionals, schools etc.;
- A CHANSE website will be established and used to facilitate connections between projects, HERA and NORFACE grant holders and other partners (see further information in 'communications' below)
- A more visible presence in the digital sphere will also be generated through social media networks;
- Practical support mechanisms for applicants and funded consortia such as 'how to' toolkits which could include, for example, best practices in KE, case studies from previous programmes, developing effective project websites and/or the benefits of social media, understanding copyright and intellectual property, open access publishing, and engaging with the media/new audiences.
- The production and dissemination of reports and guidance documents designed to enhance the KE and impact process; these would build on documents delivered by the HERA and NORFACE networks in relation to Knowledge Exchange;
- The further consolidation of links between CHANSE and other relevant European platforms such as e.g. EQUIP, T-AP, JPI Urban Europe and JPI Cultural Heritage and other P2Ps (also CSA like ERA-LEARN) in order to share best practice and support dissemination and outreach;
- More extensive use of reporting, scoping and comparative exercises - for example relating to best practice - to ensure that KE and communications activities are as robust as possible.

The combination of Programme level and project level approaches on this basis will result in effective co-ordination, reduced duplication and maximal impact. More specific detail on the tools for delivery is contained in the communications section.

Data in SSH research is very varied and often less standardised than in other disciplines. In the humanities, for many projects, the access to resources is more significant than the generation of data. Active developments in Digital Humanities are however quickly changing the research landscape in this respect. In the social sciences, research varies from theoretical elaboration to experimental design, from qualitative or quantitative investigation, to summaries of existing empirical evidence, including reviews and meta-analyses.

CHANSE adopts the principle that publicly funded research data is a public good, produced in the public interest, which should be made openly available with as few restrictions as possible in a timely and responsible manner that does not harm intellectual property. It considers that the grant holders have the responsibility for management of this data. All transnational projects will need to establish a consortium agreement and this will contain information on how Intellectual property, resources and data are to be handled. The consortium's policy will be in line with the Horizon 2020 Requirements on Digital Data: [http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/oa\\_pilot/h2020-hi-oa-pilot-guide\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf). The consortium requires all publications resulting from CHANSE funding to be published via green or gold open access (with exceptions for confidentiality, security or personal data), in adherence to the Horizon 2020 regulation on Open Access. This policy will be clearly stated in the call text and terms and conditions of award. Funded consortia will be required to provide links to open access data and publications and the Programme website will be updated to include these. Costs for open access publication can be included in proposals, where allowed under relevant national guidelines. All transnational research projects will be encouraged to formulate a Data Management Plan (DMP) for their research data when applicable. As the CHANSE Programme does not involve research data, the consortium itself will apply to opt out of submitting a DMP.

### 2.2.3 COMMUNICATION ACTIVITIES

In line with the previous experiences of both networks participating in the presented Programme, a communication and knowledge exchange strategy will be developed in collaboration with all partners. The strategy will have two sections:

#### i. Co-funded call promotion (described in detail in task 2.3)

Since the main activity of the Programme will be the co-funded call, the first section will cover communications around the call and the promotion and use of the website and on-line application system to facilitate the preparation and submission of the proposals. To determine and list all promotional activities, **a Co-funded Call Communication Plan** will be created at the beginning of the Programme and updated once the call is closed. The co-funded call will be first promoted through a pre-announcement that will be published online about one month before the Call Announcement, which should give researchers enough time to mobilize relevant communities and facilitate consortia building. To encourage and enable multilateral and multidisciplinary collaborations, a researcher-led match making tool (i.e. Partner Search Tool) will be provided (see task 2.1). National Contact Points will have responsibilities for national promotion, but the information material will be developed centrally by the CHANSE Call Secretariat responsible for the call.

#### ii. Wider consortium communication and dissemination activities

All participating partners will be involved in communicating the CHANSE Programme and call results. Target audiences for wider CHANSE activities include:

- The humanities and social sciences research communities;
- Stakeholders in the cultural, creative and heritage sectors, educational sector, business sector, policy makers, NGOs, stakeholders in governmental agencies at local, regional, national and transnational levels, civil society organisations, public, private and voluntary organisations engaged with digitalisation; advocacy organisations for marginalized groups; and the media;
- Research organisations, university and think-tanks;
- Research funders;
- Wider society.

The aim of these communication activities will be to:

- Stimulate knowledge exchange regarding the project results;

- Engage in regular activities, information flows, etc. to build and sustain the visibility of the CHANSE Programme;
- Promote best practices, information sharing, etc., as a result of funding activity so that CHANSE funded projects are seen as positive exemplars for large-scale social sciences and humanities funding;
- Promote broader CHANSE level engagement, activity and profile beyond the funded projects;
- Build creative environments, and foster conditions for social and technological innovation, sustainable economic development and preparedness for change.

Specific media to be used will include:

- A CHANSE dedicated website (described further in task 5.2) will be the ‘hub’ of the Programme with clear, extensive and regularly updated information regarding projects and their activities. It will be used as a dissemination and promotion tool for workshops, publications, exhibitions and other activities, and to build the profile of the CHANSE consortium and its activities. To avoid duplication/mixed messages at a national level, particularly during the application phase, the CHANSE website will be the main depository for all information.
- CHANSE Events (described further in task 5.3) will be key activities to promote the funded projects and their outcomes, and a useful tool for dissemination and exchange between the project researchers and the public and private partners in the project. Given HERA’s and NORFACE’s growing experience in this area, reflection on “lessons learned” from previous funding Programmes will inform the planning and organisation of activities.
- Workshops – it is envisaged that targeted workshops/seminars will be developed as the outcomes of the projects are revealed. These will be targeted at specific audiences and tailored accordingly (e.g. policymakers). Where possible events will be co-organised with related (international) initiatives.
- Films – CHANSE will consider commissioning short films to showcase the results and impact of the funded projects and Programme as a whole.
- Press – Press releases will be developed during the implementation of the CHANSE Programme. These will be developed at the project and consortium levels and will be effectively shared amongst partners to ensure national promotion.
- Social Media – CHANSE’s visibility will be also maintained across various social media platforms, including Facebook and Twitter, in line with the recommendations from the *H2020 Programme Guidance Social media guide for EU funded R&I projects*. This will help in reaching a variety of stakeholders at the EU level and beyond, raising the visibility of the Programme and its results.
- Brochure/Leaflet/Poster/Projects’ Catalogue – Promotional material for the CHANSE Programme will be developed. All PR material will be distributed among the partners and used for communication and dissemination activities.

Plan for the Exploitation & Dissemination of results of the Programme				
Result	Purpose	Identified means of dissemination & communication	Audience	W P
Launch of the co-funded call	<ul style="list-style-type: none"> <li>✓ Increase knowledge &amp; understanding of the call topic</li> <li>✓ Increase research collaborations at the European level (incl. Widening Countries)</li> <li>✓ Community building around the interdisciplinary call topic</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Pre- Announcement &amp; Call Announcement</b> published on-line on the Programme website, on the Partners' &amp; EU websites (ERA-Learn, CORDIS);</li> <li>• Co-funded <b>Call Communication Plan</b> prepared &amp; implemented;</li> <li>• <b>PR materials</b> created &amp; distributed: brochure, film, poster &amp; leaflet;</li> <li>• <b>Press release</b> &amp; information in the <b>social media</b>;</li> <li>• <b>Partner Search Tool</b>.</li> </ul>	<ul style="list-style-type: none"> <li>• Research Funding Organisations (RFOs)</li> <li>• Potential applicants</li> <li>• Potential intermediaries (National Contact Points, European support services, etc.)</li> <li>• Policymakers at regional/ national &amp; EU level &amp; other relevant stakeholders</li> <li>• General public</li> </ul>	2, 5
Funded Projects	<ul style="list-style-type: none"> <li>✓ Increased visibility of the Programme &amp; funded research</li> <li>✓ Dissemination &amp; exploitation of project research results</li> <li>✓ Increased impact of the SSH research in Europe</li> </ul>	<ul style="list-style-type: none"> <li>• <b>PR materials:</b> on-line/ printed catalogue of funded projects, up-to-date information on the Programme's website;</li> <li>• <b>Projects' Launch, Mid-Term &amp; Final Events:</b> project presentations, intra- &amp; cross-topic exchanges between the projects, bringing the projects' results to the attention of decision makers;</li> <li>• Promotion of opportunities for the projects by <b>dedicated knowledge exchange activities</b> (ex. workshops, seminars).</li> </ul>	<ul style="list-style-type: none"> <li>• Researchers of the funded projects</li> <li>• Partners &amp; RFOs inside &amp; outside the Programme</li> <li>• SSH research community &amp; stakeholders from cultural, creative and heritage sectors, educational sector, policy makers, NGOs, stakeholders in governmental agencies at local, regional, national and transnational levels, employers; public, private and voluntary organisations engaged with digitalisation; advocacy organisations for marginalized groups; and the media.</li> <li>• EC services</li> <li>• General public</li> </ul>	4, 5
Programme & Additional Activities	<ul style="list-style-type: none"> <li>✓ Establish a forum for Europe-wide discussion on the future of SSH funding in the context of Horizon Europe</li> <li>✓ Increase international collaboration</li> <li>✓ Spread research excellence across Europe</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Liaising activities</b> with HERA &amp; NORFACE networks;</li> <li>• <b>Creating opportunities</b> &amp; involving Partners in <b>additional joint activities</b>, incl. funding activities.</li> <li>• Publication (online) of <b>the results of the impact assessment</b> of the Programme;</li> <li>• Publication (online) of the <b>recommendations for a follow-up initiative</b> in Horizon Europe;</li> <li>• <b>Capacity building activities</b> supporting widening countries.</li> </ul>	<ul style="list-style-type: none"> <li>• Partners &amp; RFOs inside &amp; outside the Programme</li> <li>• SSH community, incl. HERA, NORFACE, EQUIP, JPI Cultural Heritage, JPI Urban Europe, Net4Society, other</li> <li>• EC services</li> <li>• Policy makers at national/ regional &amp; EU levels</li> <li>• Researchers</li> <li>• General public</li> </ul>	5, 6

## 3.1 PROJECT PLAN

The CHANSE Programme is clearly structured into 7 work packages (WP), each with its own tasks and deliverables:

**WP1: Management**

- Task 1.1 Management of the CHANSE Programme
- Task 1.2 Coordination of the CHANSE Consortium
- Task 1.3 Financial management and budget control
- Task 1.4 Internal communication

**WP2: Preparation and launch of the co-funded call**

- Task 2.1 Co-funded Call preparation
- Task 2.2 Customization of the Electronic Proposal Submission System (EPSS)
- Task 2.3 Publication and promotion of the co-funded call
- Task 2.4 Assessment of procedures of the co-funded call

**WP3: Evaluation and proposal selection for the co-funded call**

- Task 3.1 Submission and eligibility check of the proposals
- Task 3.2 Formation of the Review Panel and organisation of its activities
- Task 3.3 Proposals evaluation: review of outline proposals
- Task 3.4 Proposals evaluation: review of full proposals
- Task 3.5 Proposals selection including the use of the EC top-up
- Task 3.6 Contracting and start of the CHANSE projects

**WP4: Follow-up and monitoring of projects resulting from the co-funded call**

- Task 4.1 Development of the CHANSE Monitoring & Impact Assessment Strategy
- Task 4.2 Monitoring of the CHANSE Projects
- Task 4.3 Impact assessment of the CHANSE Programme
- Task 4.4 Knowledge exchange strategy & activities

**WP5: Communication, Exploitation and Dissemination of the results**

- Task 5.1 Communication, exploitation and dissemination of results
- Task 5.2 CHANSE on-line presence (website and social media management)
- Task 5.3 Programme visibility & dissemination of projects' results through events

**WP6: Additional activities**

- Task 6.1 Exploring the possibility of additional activities including funding activities
- Task 6.2 Towards a European Partnership in SSH
- Task 6.3 Spreading research excellence across ERA
- Task 6.4 Supporting activities initiated by HERA and NORFACE networks

**WP7: Ethics**

All WPs are strongly interlinked (see Figure 1). Each task has its own objectives interconnected with the overall ambition of the Programme. The WP Leader, together with the Coordinator, is responsible for the activities of the relevant WP and its respective tasks. The WP Leader will report to the Coordinator about the deliverables and results of the respective WP.

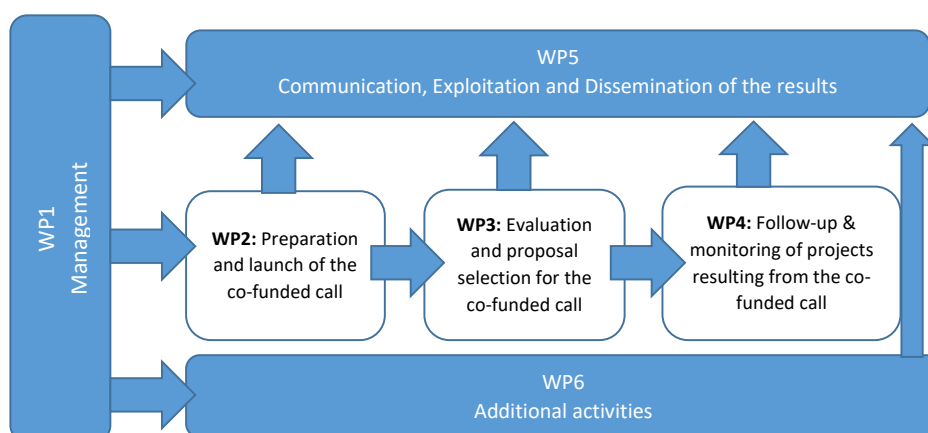


Figure 1: Interrelations between Work Packages

Within the planned 62 month Programme duration, the CHANSE consortium will implement one co-funded call with EC top-up funding (please see Figure 2 for the tentative timeline). Additional activities will also be implemented continuously throughout the entire Programme lifetime, including exploring opportunities for additional joint funding activities. Figure 3 (Gantt Chart) provides the detailed overall structure of the work plan and an overview of the timing of the different WPs and their components during the 62 months of the Programme's duration. The CHANSE work plan reflects a logical progression by way of a step-by-step approach towards the start and follow-up of transnational research projects funded through the framework of the Programme. The work plan incorporates the lessons learned and best practices from both previous HERA and NORFACE research Programmes, and it is anticipated that the joint Programme will yield new best practices for future endeavours.

As an ERA-NET Cofund, CHANSE will gather national resources, complemented with the EC top-up, to fund excellent transnational projects in the SSH area. CHANSE finds it crucial to build strong cooperation amongst its partnering countries and regions. An acknowledgement of differences, openness and a win-win negotiation style will be therefore the foundation of trust and successful collaboration in the consortium. While Europe is facing a danger of strong fragmentation of research funding, CHANSE will be an intermediary instrument to align national funding policies in SSH research, and thereby give Europe a deeper look into the challenges and opportunities which social and technological innovations bring to society.

January 2021	Launch of the CHANSE Programme
January 2021	Expected pre-announcement of the CHANSE co-funded call
March 2021	Expected announcement of the CHANSE co-funded call
May 2021	Deadline for submission of the outline proposals
May - September 2021	Evaluation of the CHANSE outline proposals
September 2021	Feedback to the applicants
December 2021	Deadline for submission of the full proposals
January - March 2022	Peer-review of the CHANSE full proposals
March 2022	Rebuttal by the applicants
April 2022	Evaluation of the full proposals
May - June 2022	Feedback to the applicants
September - October 2022	Start of the CHANSE funded projects

*Figure 2. Tentative timeline*

GANTT Chart					2021				2022				2023				2024				2025				2026
WP	Work Package Title	Leader	Other Participants	start/end	Q1-3	Q2-6	Q3-9	Q4-12	Q1-15	Q2-18	Q3-21	Q4-24	Q1-27	Q2-30	Q3-33	Q4-36	Q1-39	Q2-42	Q3-45	Q4-48	Q1-51	Q2-54	Q3-57	Q4-60	Q1-62
<b>WP 1</b>	<b>Management</b>	<b>NCN</b>																							
Task 1.1	Management of the CHANSE Programme	NCN	All	1/62																					
Task 1.2	Coordination of the CHANSE Consortium	NCN	All	1/62																					
Task 1.3	Financial management and budget control	NCN	All	1/62																					
Task 1.4	Internal Communication	NCN	All	1/62																					
<b>WP 2</b>	<b>Preparation and launch of the co-funded call</b>	<b>NCN</b>																							
Task 2.1	Co-funded Call preparation	NCN	AEI, ETAG, All	1/3																					
Task 2.2	Customization of EPSS	ETAG	AEI, NCN, All	1/17																					
Task 2.3	Publication and promotion of the co-funded call	NCN	AEI, ETAG, All	1/4																					
Task 2.4	Assessment of procedures of the co-funded call	AEI	All	17/21																					
<b>WP 3</b>	<b>Evaluation and proposal selection for the co-funded call</b>	<b>NCN</b>																							
Task 3.1	Submission and eligibility check of the proposals	ETAG	AEI, NCN, All	3/13																					
Task 3.2	Formation of the Review Panel and organisation of its activities	AEI	ETAG, NCN, All	1/16																					
Task 3.3	Proposals evaluation: review of outline proposals	NCN	AEI, ETAG, All	6/9																					
Task 3.4	Proposals evaluation: review of full proposals	NCN	AEI, ETAG, All	13/16																					
Task 3.5	Proposal selection including the use of the EC top-up	NCN	AEI, ETAG All	15/16																					
Task 3.6	Contracting and start of the CHANSE projects	NCN	AEI, ETAG All	21/22																					
<b>WP 4</b>	<b>Follow-up and monitoring of projects resulting from the co-funded call</b>	<b>DAFSHE</b>																							
Task 4.1	Development of the CHANSE Monitoring & Impact Assessment Strategy	DAFSHE	UEFISCDI, SNSF, DLR-PT, All	1/18																					
Task 4.2	Monitoring of CHANSE projects	UEFISCDI	DAFSHE, All	20/62																					
Task 4.3	Impact assessment of the CHANSE Programme	DAFSHE	DLR-PT, All	17/62																					
Task 4.4	Knowledge exchange strategy & activities	UKRI	All	1/62																					
<b>WP 5</b>	<b>Communication, Exploitation and Dissemination of the results</b>	<b>NCN</b>																							
Task 5.1	Communication, Exploitation & Dissemination of Results	NCN	All	1/62																					
Task 5.2	CHANSE on-line presence (website and social media management)	NCN	All	1/62																					
Task 5.3	Programme visibility & dissemination of projects' results through events	NCN	HAZU, UEFISCDI, All	1/62																					
<b>WP 6</b>	<b>Additional activities</b>	<b>DLR PT</b>																							
Task 6.1	Exploring the possibility of additional activities, incl. funding activities	DLR PT	All	1/62																					
Task 6.2	Towards a European Partnership in SSH	DLR PT	All	1/62																					
Task 6.3	Spreading research excellence across ERA	NCN	HAZU, All	1/62																					
Task 6.4	Supporting activities initiated by HERA & NORFACE	NWO	All	1/62																					
<b>WP 7</b>	<b>Ethics</b>	<b>NCN</b>	All	1/62																					

Figure 3: CHANSE Gantt Chart

## DETAILED LIST OF ADDITIONAL ACTIVITIES FOR THE 1<sup>ST</sup> REPORTING PERIOD

### Task 6.1 Exploring the possibility of additional activities including funding activities

- Establishing discussion fora for additional activities, including liaison with HERA and NORFACE to explore the synergetic potential for joint activities including future funding activities (ongoing continual process)

*Task Leader: DLR-PT, Germany*

- Coordination of all activities within Task 6.1;

*Contributing: All*

- Providing input, participation in the discussions, sharing good practices.

### Task 6.2 Towards a European Partnership in SSH

- On-going analysis of the Horizon Europe Programme, the role and place of SSH within the EU's research funding policy and the options for future funding collaboration, including exploring the potential for a European Partnership (continuous discussion and exchange with HERA and NORFACE);

*Task Leader: DLR-PT, Germany*

- Coordination of all activities within Task 6.2;

*Contributing: All*

- Providing input, participation in the discussions, sharing good practices.

### Task 6.3 Spreading research excellence across ERA

- Mapping of already existing mechanisms to promote inclusiveness, promoted within the framework of ERA-LEARN and other ERA-NET Cofund initiatives;
- Advocating in favour of those mechanisms and adopting them within the co-funded call procedures;
- On-going dialogue with the ERA-LEARN project and other ERA-NET Co-fund initiatives on the possible ways to increase the inclusiveness and widen the participation of the less represented countries.

*Task Leader: NCN, Poland & HAZU, Croatia*

- Coordination of all activities within Task 6.3 and supervision over integrating the results of Task 6.3 into the activities conducted within other tasks;
- Design and/or selection of appropriate tools and instruments (surveys, interviews, etc.);
- Communication with ERA-LEARN and other ERA-NET Cofund initiatives with regards to the mechanisms of spreading research excellence.

*Contributing: All*

- Providing input, participation in the discussions, sharing good practices.

### Task 6.4 Supporting activities initiated by HERA and NORFACE networks

- Central network coordination office activities for HERA and NORFACE;
- Initial mapping of the HERA, NORFACE & CHANSE joint needs and interests;

*Task Leader: NWO, the Netherlands*

- Coordination of all activities within Task 6.4 and supervision over integrating the results of Task 6.4 into the activities conducted within other tasks;
- Communication with HERA and NORFACE Network Boards.

*Contributing: All*

- Providing input and participation in the discussions.

## 3.2 MANAGEMENT STRUCTURE AND PROCEDURES

CHANSE will implement working structures suitable for all designed activities, ensuring the effective administrative and financial management of the Programme based on a standard approach employed in ERA-NET Co-fund Programmes. The planned structure and decision-making mechanisms are relevant to the complexity and breadth of the Programme (see Figure 6 and 7). The successful realisation of CHANSE depends mostly on the cooperation between the actual and potential Partners, cooperation with the scientific community, links with external stakeholders, and adequate responses to the requirements of external actors potentially interested in the Programme's results. Detailed information about the consortium's operational procedures and

decision making processes, as well as distribution of EU funding, will be included in the CA which will be signed at the beginning of the Programme.

The governance structure involves different stakeholders (RFOs, scientific communities, HERA and NORFACE network representatives) in a balanced way. It has been designed so that the equity of governance will be fully respected. The Coordinator (NCN, Poland) will involve experienced staff responsible for the operational management and administrative coordination of the Programme, and these staff will form the Coordination Office. The group of WP Leaders and Task Leaders chaired by the Coordinator will form the Coordination Group (CG). The highest authority of CHANSE will lie with the Steering Group (SG) with all partners represented. The Programme Committee (PC), bringing together 6 representatives of the HERA Network Board and 6 representatives of the NORFACE Network Board including Chairs, will be entrusted with advising on strategic and scientific issues.

### **Coordinating Institution: the National Science Centre, Poland (NCN)**

NCN is well prepared to manage and coordinate the Programme. NCN is a government agency, supervised by the Ministry of Science and Higher Education, which was set up in 2011 to support curiosity-driven, bottom-up research in Poland. To ensure the excellent quality of the research selected for funding, the Centre has adopted a two-stage, peer review-based procedure for proposal evaluation. One important task of the Centre is to foster international cooperation in research and disseminate information on calls for proposals among researchers. NCN also supports and monitors the progress of research projects financed under its funding opportunities through the review and examination of annual and final reports, as well as through on-site visits to selected host institutions.

NCN has over 8 years of experience in organising calls for research proposals, both at national and international levels. The Centre has already announced 100 editions of national calls and 51 calls in cooperation with international partners. NCN receives and assesses ca. 10 000 applications each year, involving international peer reviewers. With the annual national budget reaching € 300 million, we currently launch 13 domestic and 13 international (bi- or multilateral) calls a year and successfully manage the finances of 8 000 individual research projects, including 40 projects granted under 17 ERA-Net instruments of H2020, to which NCN is a partner. NCN has gained extensive experience in international financial management as the Coordinator of the QuantERA ERA-NET Co-fund in Quantum Technologies, a network of 32 agencies cofunded by Horizon 2020 Programme. We are also an operator of the European Economic Area (EEA) and Norway Grants “Research” Programme for Poland.

The present project portfolio is managed by a staff of 154 individuals working in 18 teams and departments. The Centre owns a separate building with 16 conference rooms to host International Expert Panel Members on a regular basis. Specialised telecommunications equipment enables NCN to organise interviews with applicants, and teleconferences.

	<b>Abbr.</b>	<b>Composition</b>	<b>Role</b>	<b>Communication</b>
<b>Steering Group</b>	<b>SG</b>	Representatives of all Parties to the GA	Decision-making body for the co-funded call and the Programme.	Regular meetings* at least twice a year and irregular meetings on a case-by-case basis.
<b>Programme Committee</b>	<b>PC</b>	Representatives of HERA & NORFACE Network Boards	Scientific Advisory Body	PC will meet depending on the needs, at least once a year.
<b>Coordination Group</b>	<b>CG</b>	NCN + WP and Task Leaders	Executive Body	Regular meetings* twice a year and additional meetings on a case-by-case basis.
<b>Coordinator + Coordination Office</b>	<b>n/a</b>	NCN (employees of the NCN: scientific officer, administrative and financial staff)	Coordination & Management	Ongoing communication with the rest of the bodies.
<b>Call Secretariat</b>	<b>CS</b>	WP2 & WP3 Leaders (incl. Task Leaders)	Secretary Body for the implementation of the co-funded call.	Regular communication between engaged partners; reporting to the Coordinator and the SG.

Knowledge Exchange Group	KEG	Task 4.4 Leader, Coordination Office, 2 representatives of PC and SG.	Executive & Advisory Body for all activities related to the knowledge exchange.	Associated with document Ref. Ares(2020)6525766 - 10/11/2020 Regular communication among the KEG members, reporting to the Coordinator and the SG.
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\*face-to-face meeting and/or a videoconference.

Figure 6: CHANSE Management Structure

### Steering Group (SG)

**Role:** The overall decision-making body of the consortium chaired by the Coordinator of the Programme. SG – advised by the Programme Committee – is in charge of the major decisions concerning the Programme and the co-funded call. **Composition:** Each partner nominates one representative to the SG. RFOs planning to respond to the call themselves will be excluded from discussions about all co-funded call related issues and making relevant decisions. **Responsibilities:** SG decides on the conditions for the implementation of all activities outlined in the CHANSE Proposal, by adopting official documents prepared by the Coordinator, and setting the organisational, procedural and financial frameworks. The main task of the SG is to decide on the development of the CHANSE, especially regarding future call(s) for proposals, enlarging the consortium (also beyond Europe), and widening the scope of CHANSE activities.

A key responsibility of the SG is to decide on the final shape of all the call documents of the co-funded call, such as call procedures, call announcement, evaluation criteria, the proposal template and the call launch communication plan, etc. The SG also has the final decision on the composition of the Review Panels evaluating the proposals and the selection of the projects to be funded (based on the ranking list). It may make a decision in regards to a project's reorganisation or suspension in the event of negative scientific reviews or major administrative problems identified during the mid-term review. When formulating the thematic scope of the co-funded call and planning strategic activities for the Programme, the SG will take into consideration recommendations developed by the PC.

### Programme Committee (PC)

**Role:** PC is the advisory body of the CHANSE Programme. Its role will be defined in the document "Programme Committee Terms of Reference (PC ToR)". The PC enables the consortium to obtain the advice that they need, drawing on a range of perspectives from across key scientific disciplines underlying SSH. It is also responsible for developing the vision and strategy for the Programme. **Composition:** PC will consist of 6 representatives of HERA Network Board and 6 representatives of NORFACE Network Board selected for a term that will be defined in the PC ToR, with the possibility of extending their mandate for the duration of the whole Programme. PC members are nominated by the HERA and NORFACE Boards respectively and include the chairs of both networks. Representatives of the Beneficiaries must constitute the majority of delegates of each network. The membership in the PC cannot be combined with the membership in the SG. Composition of the PC described above ensures balance between the two research domains (humanities and social sciences) supported by HERA and NORFACE Networks. The PC will be co-chaired by the HERA and NORFACE Chairs. The names of PC members will be made available to the general public and published on the CHANSE website. The PC's meetings will be organised by the Coordination Office. The Coordinator will act as the Committee Convener and ensure a communication flow between the PC and the SG. **Responsibilities:** The PC will provide advice on matters such as: the vision and strategy for the Programme, the thematic scope of the co-funded call and potential future funding action(s), the knowledge exchange strategy and the scientific aspects of CHANSE activities such as outreach or cooperation with non-European countries, and new developments and issues related to research that may have a strategic impact on the Programme's activities. The PC will suggest experts for the co-funded call Review Panel. Together with the SG, it will also invite external stakeholders to a discussion about future funding opportunities for SSH. Members of the RP will give feedback on the scientific outcomes and impact of CHANSE projects within the projects' mid- and final-term evaluations, and will be represented in the KEG.

### Coordination Group (CG)

**Role:** A group of key consortium partners, responsible for the Programme implementation. **Composition:** Representatives of all WPs and Tasks' Leaders chosen for their experience and high-level competencies; most of them have considerable experience in other ERA-NET co-fund initiatives as well as previous HERA and

NORFACE Programmes. RFOs not participating in the co-funded call or planning to respond to the call themselves will be excluded from discussions about all co-funded call related issues and making relevant decisions. The CG is chaired by the Coordinator. **Responsibilities:** CG members are responsible for successful implementation of the tasks, in line with the framework conditions set up by the SG. Each WPL is responsible for delivering his relevant WP according to the work plan, in close cooperation with the Task Leaders. The CG is vital for identifying synergies between various interconnected tasks and making key decisions at an operational level. The CG benefits from the assistance of the CO, which facilitates communication between CG members, organises collective efforts along an appropriate timeline and monitors the progress achieved.

### Coordination Office (CO)

**Role:** The CO has a pivotal role in managing and implementing the CHANSE Programme. It will ensure the coherence and efficiency of the Programme as a whole, and will monitor all of the progress made. The CO is the primary point of contact for all of the consortium members, the EC, all stakeholders and potential partners. **Composition:** The CO will be set up at the NCN and will consist of **the Programme Coordinator, Malwina Gębalska, who will be** responsible for the day-to-day operational management of the Programme and the coordination of the CG's work. The Programme will be also managed by Justyna Woźniakowska and Marlena Wosiak, highly competent staff with considerable experience in international cooperation including ERA-NETs, JPIs and bilateral projects. **Responsibilities:** The CO will be responsible for the overall coordination of CHANSE activities, including setting the Programme governance structure and work plan. It will be in charge of the financial and administrative management of the Programme as a whole, including planning the schedule and monitoring the progress achieved by the CG members. One of the CO's main tasks is to maintain communication among various CHANSE stakeholders, including the consortium members, the PC and the EC. Among its responsibilities will be: to gather opinions expressed by the consortium members and other partners, when relevant, on key areas related to program design and implementation, to put forward proposals of acceptable solutions and to draft corresponding documents in cooperation with the CG. The CO will design the CA, as well as its subsequent updates and amendments, and will work to reach a consensus on the legal, financial and organisational framework of the Programme, as well as the scope of cooperation between various CHANSE members. The CO will also take measures to mitigate conflicts that may arise between Partners. The CO also takes charge of contact with the EC on behalf of the whole consortium. The CO will be responsible for the signature of the GA and will take care of the appropriate distribution of co-funding from the EC according to the GA and CA. The CO will also collect various documents from the partners (such as cost statements, audit certificates, reports, etc.) and deliverables, and prepare reports for the EC. The CO's duties also include the preparation and organisation of the SG meetings and the PC meetings, in cooperation with other participating organisations, and ongoing support for the PC with regard to the development of a strategy for the Programme's future development.

### Call Secretariat (CS)

**Role:** The CS will be in charge of main activities related to the co-funded call implementation. **Composition:** NCN, ETAg and AEI will hold the CS for the co-funded call with the support of a group of core partners (CG). They have been chosen for their extensive experience in managing ERA-NET calls. ETAg will be also in charge of technical assistance regarding the electronic submission system. **Responsibilities:** The CS will be responsible for administrative tasks related to the implementation of the co-funded call. ETAg will deliver the call submission system, and together with NCN and AEI, will act as an information point for applicants and maintain communication flow among the involved parties. NCN will be also in charge of activities related to the evaluation of proposals and the organisation of two meetings of the review Panel.

### Knowledge Exchange Group

**Role:** Executive and advisory body for all activities related to the knowledge exchange within the CHANSE Programme. **Composition:** KEG will consist of the Leader of the Task 4.4 (the Chair of the KEG), the Coordinator and two representatives of the PC and SG, as well as Knowledge Exchange Facilitator. KEG's members will be appointed by the SG. **Responsibilities:** The KEG's main task will be to formulate a CHANSE Knowledge Exchange Strategy. Once the CHANSE projects are selected, KEG will develop the strategy further, in close collaboration with the Project Leaders. The nature and parameters of the knowledge exchange carried out will depend on the scope of the CHANSE projects and will be reviewed and adjusted throughout the Programme. KEG will specifically aim at enabling, facilitating and providing conditions for CHANSE Project Leaders to do knowledge exchange, and create opportunities where there are common interests across projects, rather than KEG translating or transferring research results itself.

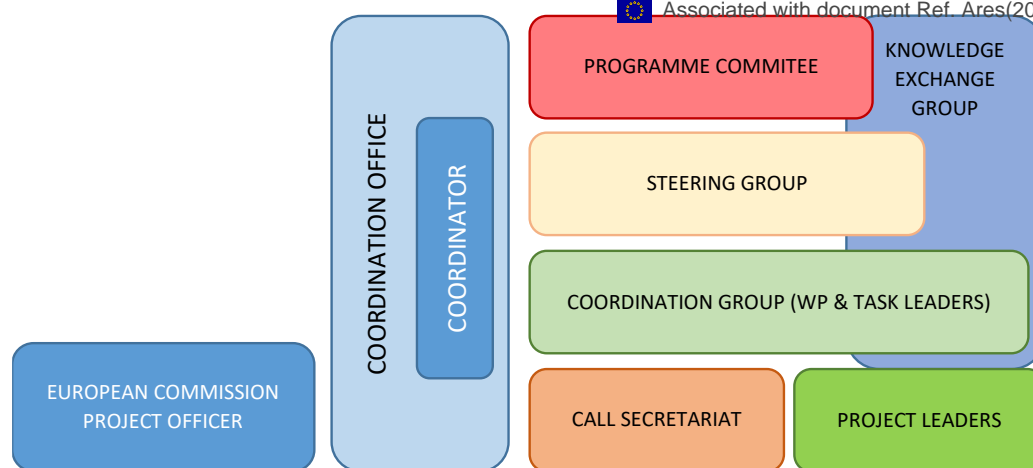


Figure 7: Governing Bodies

## CHANSE Voting Rules

All of the bodies will make decisions upon a simple majority, with a casting vote for the CO in the case of an equal number of votes. It is proposed that for the SG, voting rights are assigned on a national basis: thus, Parties from the same country share the single national vote. The PC will not take decisions; it will formulate recommendations and interact with the CG at an operational level, whereas all decisions will be transferred to the SC.

## CRITICAL RISKS FOR IMPLEMENTATION

Among others, the Coordinator will be responsible for risk identification, mitigation and management. Additionally, each WP and Task Leader will consider possible risks related to their work and report them to the Coordinator. The risk management process will include:

- **Early identification** (continuous monitoring of the Programme's timeline, budget, deliverables as well as constant internal communication- this will make it possible to identify risks at the early stage and deal with them effectively);
- **Communication** (risk analysis will be included in meeting agendas to give partners a chance to openly communicate and discuss it possible risks; all problems that might significantly influence the proper implementation of the Programme will be reported to the EC);
- **Assessment and Prioritization** (risks will be prioritized to help the consortium focus their energy and resources);
- **Planning and Implementing risk responses** (additional responsibilities might be distributed among partners if such a need arises).

### 3.3 CONSORTIUM AS A WHOLE

CHANSE proposal is supported by 27 national/regional research funding organisations (RFOs) from 24 countries, including 20 Member States (AT, BE, BG, HR, CZ, DK, EE, FI, DE, HU, LV, LT, LU, NL, PL, RO, SK, SI, ES, SE, GB), 3 Associated Countries (IS, CH, NO) and the United Kingdom (UK). The consortium covers an important share of the EU27: 74% of the Members States are represented (i.e. 65,4% of the EU27 population). Each partner stands for a major resource for funding research in SSH. For the CHANSE co-funded call, they are pooling a substantial amount of national research funding and providing expertise for conducting the evaluation process and implementing the work plan. CHANSE consortium will remain open for other national funding bodies to enter until 2-3 months before the call is published.

Most of the CHANSE funding organisations have participated in at least one of the HERA and/or NORFACE past calls and have thus already experienced working together. To broaden the geographical coverage of the initiative, strengthen the idea of ERA and to create new opportunities for cooperation, CHANSE consortium reached out to the new partners from the EU and managed to attract 4 new RFOs (who have not participated in HERA and NORFACE calls but have experience in the implementation of transnational calls in other ERA-NET Co-funds). All CHANSE partners have been involved in the elaboration of the work plan and taken responsibilities matching their expertise and availability to commit time to the project. They have agreed on the objectives of the Programme and will work

together to deliver outcomes of quality, which will contribute to reaching the planned goals and to building a large and sustainable European-wide SSH research funding Programme.

The support of CHANSE to the Widening Countries is also reflected in its consortium, work plan and sharing of tasks and event organisation. 12 Widening Countries are represented in the consortium: BG, HR, CZ, EE, HU, LV, LT, LU, PL, RO, SK and SI. NCN (Poland) acts as the Coordinator of the CHANSE Programme, whereas ETAg (Estonia) and UEFISCDI (Romania) are involved in the implementation of the Programme as Task Leaders. CHANSE also includes a task dedicated to supporting Widening Countries (i. e. Task 6.3: Spreading research excellence across ERA). Last but not least, CHANSE will strive to organise each major event in a different EU-13 country, which will help in engaging local communities (in these countries) with CHANSE activities, and possibly increase their future participation in the Programme.



Figure no. 8: CHANSE Partners

### 3.4 RESOURCES TO BE COMMITTED

**TABLE 3.3: SUMMARY OF NATIONAL/REGIONAL CALL CONTRIBUTIONS**

Participant number	Country – short name	(a) Initial national call contribution [€]	(b) indicative additional national call contribution (optional) [€]	(c) Requested EU Contribution [€]	Minimum total call budget [€] (a + c)	Maximum total call budget [€] (a + b + c)
1	PL - NCN	€ 614 737	€ 385 263			
2	AT - FWF	€ 399 579	€ 250 421			
3	BE - FNRS	€ 122 948	€ 77 052			
4	BE - FWO	€ 430 316	€ 269 684			
5	BG - BNSF	€ 141 440	€ 88 641			

6	HAZU - HR	€ 0,00	€ 0,00	Associated with document Ref. Ares(2020)6525766 - 10/11/2020		
7	HRZZ - HR	€ 129 548	€ 81 189			
8	CZ - CAS	€ 288 927	€ 181 073			
9	DK - DAFSHE	€ 783 780	€ 491 205			
10	EE - ETAG	€ 141 389	€ 88 611			
11	FI - AKA	€ 737 684	€ 462 316			
12	DE - DLR	€ 3 196 630	€ 2 003 370			
13	HU - NKFIH	€ 153 685	€ 96 315			
14	IS - RANNIS	€ 153 685	€ 96 315			
15	LV - VIAA	€ 245 895	€ 154 105			
16	LT - RCL	€ 122 948	€ 77 052			
17	LU - FNR	€ 307 369	€ 192 631			
18	NWO - NL	€ 0,00	€ 0,00			
19	NO - RCN	€ 1 344 901	€ 842 867			
20	RO - UEFISCDI	€ 307 369	€ 192 631			
21	SK - SAS	€ 147 537	€ 92 463			
22	SI - MIZS	€ 212 084,00	€ 132 916			
23	SI - ARRS	€ 92 211	€ 57 789			
24	ES - AEI	€ 491 789	€ 308 211			
25	CH - SNSF	€ 843 365	€ 528 548			
26	SE - FORTE	€ 1 311 254	€ 821 780			
27	UK - UKRI	€ 4 303 156	€ 2 696 844			
<b>Total</b>		<b>€ 17 024 226</b>	<b>€ 10 669 292</b>	<b>€ 8 385 066</b>	<b>€ 25 409 292</b>	<b>€ 36 078 584</b>

**TABLE 3.4: SUMMARY OF WORK PACKAGE PARTICIPATION AND NUMBER OF YEARS WITH COORDINATION COSTS**

Participant number	Short name	Participation in Work Packages						Number of years for which coordination costs are declared on the basis of unit costs
		A. Co-funded call and management					B. Additional activities	
		WP1	WP2	WP3	WP4	WP5	WP6	
1	NCN	Y	Y	Y	Y	Y	Y	5
2	FWF	Y	Y	Y	Y	Y	Y	5
3	FNRS	Y	Y	Y	Y	Y	Y	5
4	FWO	Y	Y	Y	Y	Y	Y	5
5	BNSF	Y	Y	Y	Y	Y	Y	5

6	HAZU	Y	N	N	Y	Y	Y	5
7	HRZZ	Y	Y	Y	Y	Y	Y	5
8	CAS	Y	Y	Y	Y	Y	Y	5
9	DAFSHE	Y	Y	Y	Y	Y	Y	5
10	ETAG	Y	Y	Y	Y	Y	Y	5
11	AKA	Y	Y	Y	Y	Y	Y	5
12	DLR	Y	Y	Y	Y	Y	Y	5
13	NKFIH	Y	Y	Y	Y	Y	Y	5
14	RANNIS	Y	Y	Y	Y	Y	Y	5
15	VIAA	Y	Y	Y	Y	Y	Y	5
16	RCL	Y	Y	Y	Y	Y	Y	5
17	FNR	Y	Y	Y	Y	Y	Y	5
18	NWO	Y	N	N	Y	Y	Y	5
19	RCN	Y	Y	Y	Y	Y	Y	5
20	UEFISCDI	Y	Y	Y	Y	Y	Y	5
21	SAS	Y	Y	Y	Y	Y	Y	5
22	MIZS	Y	Y	Y	Y	Y	Y	5
23	ARRS	Y	Y	Y	Y	Y	Y	5
24	AEI	Y	Y	Y	Y	Y	Y	5
25	SNSF	Y	Y	Y	Y	Y	Y	5
26	FORTE	Y	Y	Y	Y	Y	Y	5
27	UKRI	Y	Y	Y	Y	Y	Y	5
<b>Total</b>								135

#### SECTION 4: MEMBERS OF THE CONSORTIUM

**Table 4.1: Description of participants and participating programmes**

##### Partner no. 1: NCN, Poland

<b>Name of organisation</b>	<b>National Science Centre, Poland</b>		
<b>Short name</b>	NCN	<b>Country</b>	Poland
<b>Brief description of the legal entity</b>			
<p>The National Science Centre (Narodowe Centrum Nauki, NCN) is a Polish government executive agency set up in 2010 to fund basic research. The primary task of the Centre is to support research projects. The Centre fulfils its duties by catering for the needs of researchers at every stage of their research career and with different degrees of expertise. It finances basic research carried out in the form research projects, scholarships for PhD students and post-doc internships. To ensure the excellent quality of the research selected for funding, the Centre has adopted a two-stage, peer review-based procedure of proposal evaluation. One important task of the Centre is to foster international cooperation in research and disseminate information on calls for proposals among researchers. The NCN also supports and monitors the progress of research projects financed under its funding opportunities through review and examination of annual and final reports, as well as on-site visits to selected host institutions.</p>			

Identification of the role:	
Programme Owner and Manager	Y
Programme Owner	-
Programme Manager	-
<p>Identify and describe the <b>research programme(s)</b> with which you participate, the main programme objectives, and any previous experience and participation;</p> <p>NCN previous experience and participation in international programmes:  It is one of the foremost objectives of the National Science Centre to significantly support research conducted by Polish researchers in cooperation with international partners. In order to enable the exchange of Polish scholars and encourage them to cooperate with their peers from abroad, the NCN takes part in the proceedings of the ERA-NET consortia and the Joint Programming Initiatives (JPI). The ERA-NETs and JPIs, combining the efforts of European and national funding agencies, launch calls for proposals for international research projects carried out by teams of researchers from at least three different countries involved in the network.  Up to date, the NCN has participated in works of 17 multilateral initiatives in all fields of research such as NORFACE, ERA-NET Smart Urban Futures, Biodiversa, CHIST-ERA as well as JPI AMR, where <b>the Centre has taken up a role of Call Secretariat coordinator and QuantERA, where it acts as a Programme Coordinator.</b></p>	
Main tasks attributed the proposed action and the previous experience relevant to those tasks	
<p>The NCN plays a role of the CHANSE Coordinator. Main tasks attributed to NCN in this action will include: effective coordination of the CHANSE Programme, administrative and financial management of the CHANSE Grant Agreement (GA) signed with the European Commission (EC), satisfying contractual requirements; including communication and reporting to the EC, Coordination of the CHANSE Consortium work. The NCN will be also leading the work packages devoted to organisation of the call and preparation of the evaluation process (WP2 and WP3) as well as the WP5: Communication, Exploitation and Dissemination of results and participate in Work Package 6 on Strategic developments.</p>	
Short profile of staff member(s) who will be undertaking the work	
<p><b>Dr Malwina Gębalska</b> – programme coordinator at the National Science Centre, responsible for coordination of NCN review process in arts, humanities and social sciences; involved in the ERA-LEARN CSA project, where she leads the task aiming to support participation of EU13 countries; former NCN chief international officer responsible for coordination of EU-partnership programmes, she holds a PhD degree in linguistics from Jagiellonian University.</p> <p><b>Marlena Wosiak</b> – Senior International Cooperation Specialist at the National Science Center in Poland, an Officer within the Coordination Office for QuantERA ERA-NET Co-fund in Quantum Technologies; a psychologist with a degree in international relations; former lecturer in the field of fundraising and international project' management. Before NCN she was working at the Maria Curie-Skłodowska University in Lublin, where she was responsible for ongoing overview and acquisition of external financing for research/education projects; administrative management of research projects; establishing and supporting relations with international partners and providing researchers with ongoing administrative support.</p>	
Do your national funding rules specify a maximum amount of financial support to a third party? <sup>1</sup>	N
If yes, please insert the maximum amount [Euro]:	n/a
Criteria for determining the exact amount under national funding rules	

<sup>1</sup> This information is required by the financial regulation.

Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.

-	
Does the participant envisage that part of its work is performed by a linked third parties <sup>2</sup> .	N
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)	N
Does the participant envisage that part of the work is performed by International Partners <sup>3</sup> (Article 14a of the General Model Grant Agreement)?	N

## Partner no. 2: FWF, Austria

<b>Name of organisation</b>	Austrian Science Fund		
<b>Short name</b>	FWF	<b>Country</b>	Austria
<b>Brief description of the legal entity</b>			
<p>The Austrian member of CHANSE is the Fonds zur Förderung der wissenschaftlichen Forschung (Austrian Science Fund, FWF). The Austrian Science Fund is Austria's central funding organisation for basic research. The purpose of the FWF is to support the ongoing development of Austrian science and basic research at a high international level. In this way, the FWF makes a significant contribution to cultural development, to the advancement of our knowledge-based society, and thus to the creation of value and wealth in Austria. The FWF assesses the quality of research solely by means of international standards.</p> <p>The aims of FWF are:</p> <ul style="list-style-type: none"> <li>▪ To strengthen Austria's international performance and capabilities in science and research as well as the country's attractiveness as a location for high-level scientific activities, primarily by funding top-quality research projects for individuals and teams and by enhancing the competitiveness of Austria's innovation system and its research facilities;</li> <li>▪ To develop Austria's human resources for science and research in both qualitative and quantitative terms based on the principle of research-driven education;</li> <li>▪ To emphasize and enhance the interactive effects of science and research with all other areas of culture, the economy and society and in particular to increase the acceptance of science and research through concerted public relations activities.</li> </ul> <p>FWF is organised in three divisions and the funding of projects in the field of Humanities and Social Sciences is mainly allocated to the Division of Humanities and Social Sciences.</p> <p>About 50% of FWF's budget is spent on individual research grants, about 30% for research networks (Special Research Programme and Joint Research Programmes), the rest being mainly attributed to mobility fellowships and to the promotion of women. Additionally, FWF runs programmes for outstanding researchers (START Programme, Wittgenstein Award). Most funding categories of FWF follow the bottom-up approach, all proposals being subjected to an international peer review process only.</p>			
<b>Identification of the role:</b>			
Programme Owner and Manager			<b>Y</b>
Programme Owner			-
Programme Manager			-

<sup>2</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the Model Grant Agreement).

<sup>3</sup> International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation:

-

Identify and describe the **research programme(s)** with which you participate, the main programme objectives, and any previous experience and participation;

The FWF will participate with the funding category “International Programmes”. FWF’s International Programmes aim at the funding of closely integrated, transnational research projects in the area of non-profit oriented scholarly/scientific research jointly with partner organisations abroad. Funding activities of the International Programmes mainly comprise of joint funding of bilateral projects together with national research agencies from Europe and worldwide, as well as participation in multilateral funding partnerships, mainly ERA-Net Calls. According to the bottom-up approach, the FWF in principle aims at thematically open calls which enable broad participation, while conformity with the FWF’s quality standards is paramount at the same time. This bottom-up approach enables FWF to participate in thematic activities in a flexible way, too. The FWF has participated in the NORFACE Migration, WSF, DIAL and Governance Calls and can thus rely on considerable expertise with the procedures of this Network. In the area of SSH, the FWF also participates in HERA and has joined each of the five calls so far; additionally, the FWF participates in a variety of ERA-NETs covering other disciplines.

**Main tasks** attributed the proposed action and the previous experience relevant to those tasks

FWF participates in the CHANSE co-funded call and supports the implementation of the different work packages. Tasks attributed to this action are the following: provide input to the Call documents and funding model; define the academic part of the Call; nominate experts for the review panel and suggest referees; responsibility for communication and advice to applicants; responsibility for eligibility checks according to national criteria in the two phases (Outline and Full Proposals) of project evaluation; and by pro-actively participating in the decision-making process and whenever needed in the execution, monitoring and dissemination activities of the funded transnational research projects.

**Short profile of staff member(s) who will be undertaking the work**

Research council chair for the Humanities and Social Sciences and Vice president of the FWF is Prof. Gerlinde Mautner, who is also member of the HERA Board. Dr. Petra Grabner, Head of Department, is member of the NORFACE Network Board and of the NORFACE Management Team, being the contact person for NORFACE in Austria. Dr. Monika Maruska, Scientific Project Officer, is currently member of the HERA management team and contact person for HERA in Austria. For the CHANSE initiative Dr. Simon Hadler, another Scientific Project Officer in the Department for Humanities and Social Sciences, will join the team.

Do your national funding rules specify a maximum amount of financial support to a third party?<sup>4</sup>

N

If yes, please insert the maximum amount [Euro]:

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Criteria for determining the exact amount under national funding rules

*Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.*

National funding rules applicable to FWF will also be defined in the eligibility guidelines for participants for the CHANSE Call.

Does the participant envisage that part of its work is performed by a linked third parties<sup>5</sup>

N

Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)

N

Does the participant envisage that part of the work is performed by International Partners<sup>6</sup> (Article 14a of the General Model Grant Agreement)?

N

<sup>4</sup> This information is required by the financial regulation.

<sup>5</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

<sup>6</sup> International Partner’ is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

**Partner no. 3: FNRS, Belgium**

<b>Name of organisation</b>	<b>Fonds de la Recherche Scientifique – FNRS</b>		
<b>Short name</b>	F.R.S.-FNRS	<b>Country</b>	Belgium
<b>Brief description of the legal entity</b>			
<p>The Fund for Scientific Research - FNRS (F.R.S.-FNRS) is a research funding agency that promotes and supports basic scientific research in the French-speaking Community of Belgium. Founded in 1928, it mainly receives public subsidies, currently from the French-speaking Community of Belgium, the Walloon Region and the Federal Government of Belgium. The Fund supports individual researchers on the basis of the criterion of excellence by offering temporary or permanent positions; funding to research teams; grants and credits for international collaboration and scientific prizes. F.R.S.-FNRS fosters research in all scientific fields, following a bottom-up approach of investigator-driven research. Further, the Fund supports researchers in an ever growing context of internationalisation through facilitating their mobility, allowing for collaborative transnational projects and supporting a high level international working environment. Since October 2008, Dr. Ir. Véronique Halloin is the Secretary-General of F.R.S.-FNRS.</p>			
<b>Identification of the role:</b>			
Programme Owner and Manager			Y
Programme Owner			-
Programme Manager			-
In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation:			
Identify and describe the <b>research programme(s)</b> with which you participate, the main programme objectives, and any previous experience and participation;			
<p>The Fund for Scientific Research - FNRS runs a programme supporting mainly basic research through project-based funding for the French speaking community of Belgium. Research projects are funded through a bottom-up principle following an open competition in a yearly call for research proposals and grants.</p> <p>The F.R.S.-FNRS is currently involved in a variety of European initiatives and bilateral agreements at the international level. The Fund is and has been full partner practically in almost all the ERANET COFUND initiatives that permit to perform basic science in H2020 (QuantERA (Task Leader), CHIST-ERA IV (WP Leader), FLAG-ERA III (WP Leader), GENDER-NET Plus, HERA, E-RARE 3 (WP Leader), EJP RD (Task Leader), M-ERA.NET 2, NEURON Cofund, among others) and has participated in numerous ERANET calls. The F.R.S.-FNRS also participates in ERA-NETS that the Joint Programming Initiatives such as JPI-AMR; WaterWorks 2015 and 2017; JPCofund 1 and 2; Urban Europe (Smart Cities and Urban Futures) and FACCE Surplus and SusCrop.</p>			
<b>Main tasks</b> attributed the proposed action and the previous experience relevant to those tasks			
Participation in all work packages. Previous experience: please refer to previous section.			
<b>Short profile of staff member(s) who will be undertaking the work</b>			
<p><b>Dr. Florence Quist</b>, PhD in Chemistry, is a scientific officer at the Unit of International and European Affairs in charge of European cooperation, evaluation and monitoring processes. She has extensive experience in material science through several post-docs and as head of R&amp;D Development in an SME specialized in recycling photovoltaic material. In this capacity, she was also responsible for several projects financed by the Walloon region and the European Commission. Florence complements these experiences with a solid background in management through a complementary Certificate at Solvay Business School. Florence participates in many different ERANETs, including FLAG-ERA III and SusCrop, in which the F.R.S.-FNRS is responsible for communication activities, and QuantERA and CHIST-ERA IV, in which the F.R.S.-FNRS is responsible for RRI implementation tasks.</p> <p><b>Joël Groeneveld</b>, M.A. in Political Science, is a policy officer at the Unit of International and European Affairs in charge of international cooperation and bilateral agreements. He acquired a thorough understanding of project management, monitoring and reporting while working as Finance and Program Officer for the Institute for</p>			

Historical Justice and Reconciliation. Prior to this experience, he successfully pursued a degree in Journalism in The Netherlands and performed extensive editing work as media analyst for Report International in Paris for several years while studying history. Joël has a wide ranged experience in participating in ERANETs, in particular the geographically based FP7 ERANETS, and FLAG-ERA III, where F.R.S.-FNRS was responsible for the communication.	
Do your national funding rules specify a maximum amount of financial support to a third party? <sup>7</sup>	N
If yes, please insert the maximum amount [Euro]:	
Criteria for determining the exact amount under national funding rules	
<i>Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.</i>	
<a href="http://www.frs-fnrs.be/index.php">http://www.frs-fnrs.be/index.php</a>	
Does the participant envisage that part of its work is performed by a linked third parties <sup>8</sup> .	N
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)	N
Does the participant envisage that part of the work is performed by International Partners <sup>9</sup> (Article 14a of the General Model Grant Agreement)?	N

#### Partner no. 4: FWO, Belgium

<b>Name of organisation</b>	The Research Foundation - Flanders		
<b>Short name</b>	FWO	<b>Country</b>	Belgium
<b>Brief description of the legal entity</b>			
The Research Foundation - Flanders (FWO) is the agency that supports ground-breaking fundamental and strategic research at the universities and research centres of the Flemish Community, within Belgium. The FWO also stimulates cooperation between the Flemish universities and other research institutes.			
<b>Identification of the role:</b>			
Programme Owner and Manager			Y
Programme Owner			-
Programme Manager			-
Identify and describe the <b>research programme(s)</b> with which you participate, the main programme objectives, and any previous experience and participation;			
The FWO participates with the following research programme(s): <b><u>FWO research projects</u></b> The objective of the FWO's research projects is to advance fundamental scientific research. Researchers who comply with FWO regulations can apply for a regular research project during the annual application round; more specifically one can apply for consumables, equipment and personnel grants. These projects have a maximum total duration of four years.			
<b>Main tasks</b> attributed the proposed action and the previous experience relevant to those tasks			

<sup>7</sup> This information is required by the financial regulation.

<sup>8</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

<sup>9</sup> International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

The FWO has been participating in several ERA-NETs up to now, on a so-called more 'remote' basis. This implies that the FWO doesn't take up a leading role in any of the 'Work Packages'. Our participation is mostly limited to the actual funding of our national/regional research community, besides the administrative basic modalities for participation, e.g.: verifying call docs, eligibility check, acting as national contact point, providing input for deliverables, etc.

Additionally, the FWO has the required experience with project funding due to its management of application rounds for projects, fellowships and mobility grants on a yearly basis and, as already mentioned, also the participation in a multitude of past and current joint ERA-calls.

#### Short profile of staff member(s) who will be undertaking the work

Olivier Boehme: Coordinator Strategy and Policy Cell at FWO and responsible - among other things - for European joint programming and cooperation within FWO.

Toon Monbaliu: Advisor Research Affairs at FWO and responsible for the general, daily follow-up of joint programming, and more specifically ERA-NET, EJP and JPI.

Do your national funding rules specify a maximum amount of financial support to a third party? <sup>10</sup>	N
If yes, please insert the maximum amount [Euro]:	-
Criteria for determining the exact amount under national funding rules	
<i>Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.</i>	
-	
Does the participant envisage that part of its work is performed by a linked third parties <sup>11</sup>	N
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)	N
Does the participant envisage that part of the work is performed by International Partners <sup>12</sup> (Article 14a of the General Model Grant Agreement)?	N

#### Partner no. 5: BNSF, Bulgaria

<b>Name of organisation</b>	<b>Bulgarian National Science Fund</b>		
<b>Short name</b>	BNSF	<b>Country</b>	Bulgaria
<b>Brief description of the legal entity</b>			
Bulgarian National Science Fund is a public institution that supports research projects and programs in all fields of science and humanities on a competitive basis.			
BNSF initiates and promotes activities contributing to the implementation of ratified framework programs in line with the priorities and targets set forth in Europe 2020 Strategy and the National Scientific Research Strategy of Republic of Bulgaria. These activities include, but are not limited to:			
<ul style="list-style-type: none"> <li>- Financial support to academic institutions and research institutes for project-based scientific research on a competitive basis by national research competitions;</li> <li>- Formulation of institutional scientific priority domains and their implementation in national research competitions and research promoting activities;</li> <li>- Participation in framework programs for research and innovation and transnational joint initiatives;</li> <li>- Initiation of research competitions for young scientists and promote coordination activities.</li> </ul>			

<sup>10</sup> This information is required by the financial regulation.

<sup>11</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

<sup>12</sup> International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

<b>Identification of the role:</b>		Associated with document Ref. Ares(2020)6525766 - 10/11/2020	
Programme Owner and Manager			<b>Y</b>
Programme Owner			-
Programme Manager			-
In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation:			
N/A			
Identify and describe the <b>research programme(s)</b> with which you participate, the main programme objectives, and any previous experience and participation;			
BNSF participates in several joint calls under other ERA NETs (Biodiversa; CHIST ERA; Quant ERA; CORE Organic, FLAG-ERA, EuroNanoMed, ICT-AGRI-FOOD, M-ERA.NET) and in additional activities, leading to a task for developing a staff exchange scheme for synergies and integration of consortium partners projects and programs.			
BNSF participates in CHANSE with its standard research funding scheme.			
<b>Main tasks</b> attributed the proposed action and the previous experience relevant to those tasks			
BNSF will participate in the co-fund call and other activities according to the Work Plan.			
<b>Short profile of staff member(s) who will be undertaking the work</b>			
<b>Milena Aleksandrova</b> is a senior expert for the Bulgarian National Science Fund, technical department, since 2016. She has a master degree in Economics and a PhD in Sciences. She has experience in ERA NETs coordination of transnational joint calls (Biodiversa; CHIST ERA; Quant ERA; CORE Organic, FLAG-ERA, EuroNanoMed, ICT-AGRI-FOOD, M-REA.NET).			
Do your national funding rules specify a maximum amount of financial support to a third party? <sup>13</sup>			<b>N</b>
If yes, please insert the maximum amount [Euro]:			-
Criteria for determining the exact amount under national funding rules			
<i>Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.</i>			
-			
Does the participant envisage that part of its work is performed by a linked third parties <sup>14</sup>			<b>N</b>
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)			<b>N</b>
Does the participant envisage that part of the work is performed by International Partners <sup>15</sup> (Article 14a of the General Model Grant Agreement)?			<b>N</b>

#### Partner no. 6: HAZU, Croatia

<b>Name of organisation</b>	<b>CROATIAN ACADEMY OF SCIENCES AND ARTS (HRVATSKA AKADEMIJA ZNANOSTI I UMJETNOSTI)</b>		
<b>Short name</b>	HAZU	<b>Country</b>	CROATIA
<b>Brief description of the legal entity</b>			

<sup>13</sup> This information is required by the financial regulation.

<sup>14</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

<sup>15</sup> International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

The Croatian Academy of Sciences and Arts is the highest scientific and artistic institution in the Republic of Croatia. It was founded in 1861 by Bishop Josip Juraj Strossmayer. The Academy's main tasks are to promote and organize scientific research, to develop artistic and cultural activities, to publish the results of scientific research and artistic creation, to make proposals and give opinions on the promotion of sciences and arts in the field which are of special importance to the Republic of Croatia and to develop international relations with other academies and scientific organizations.

The Academy has nine departments. Within its structure, it has scientific institutes of different scientific fields, as well as the library, the Strossmayer Gallery of Old Masters, Glyptothek, the Croatian Museum of Architecture, Department for Prints and Drawings, the Archives, the Oriental Collection, Arboretum Trsteno and the Memorial Collection of Maksimilijan Vanka, Korčula. The Academy has different categories of membership: regular members or fellows of the Academy (up to 160 members), associate members (up to 100) and corresponding members (up to 100 members).

#### Identification of the role:

Programme Owner and Manager	N
Programme Owner	N
Programme Manager	Y

In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation:

Ministry of Science and Education of the Republic of Croatia

Identify and describe the **research programme(s)** with which you participate, the main programme objectives, and any previous experience and participation;

The Croatian Academy of Sciences and Arts has participated in 4 previous HERA JRPs. The work involved active participation of the Network Board member and the Management Team member in all phases of the research programme planning and later on in the implementation of the call, as well as taking part in additional activities (ie organization of KE workshop and programme meeting in Zagreb, Launch conference of HERA JRP 2 in Dubrovnik, etc.)

HAZU will not participate in CHANSE call(s).

#### Main tasks attributed the proposed action and the previous experience relevant to those tasks

HAZU will be involved in the additional activities of the CHANSE programme, such as project meeting organisation, knowledge exchange activities, programme impact assessment, etc.

#### Short profile of staff member(s) who will be undertaking the work

The additional activities will be performed by Jelena Đukić, Head of the International Cooperation and EU Programmes and Projects. Jelena holds a MA degree in English and Italian Language and Literature and International Relations from the University of Zagreb. She has been employed at the Croatian Academy since 2002. During the employment period, Jelena Đukić has implemented four HERA calls, as a Management Team Member, providing assistance to all humanities researchers during the call; participated as a liaison officer for the European Science Foundation until 2011 and during that period closely collaborated with the Croatian Science Foundation; assisted researchers at the Academy with the project applications (Horizon 2020, ERC, Interreg, Creative Europe), organized many international meetings and is currently involved in the implementation of two structural funds projects (European Fund for Regional Development).

Do your national funding rules specify a maximum amount of financial support to a third party? <sup>16</sup>	N
If yes, please insert the maximum amount [Euro]:	n/a
Criteria for determining the exact amount under national funding rules	
Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.	

<sup>16</sup> This information is required by the financial regulation.

n/a	Associated with document Ref. Ares(2020)6525766 - 10/11/2020
Does the participant envisage that part of its work is performed by a linked third parties <sup>17</sup>	N
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)	N
Does the participant envisage that part of the work is performed by International Partners <sup>18</sup> (Article 14a of the General Model Grant Agreement)?	N

#### Partner no. 7: HRZZ, Croatia

<b>Name of organisation</b>	Croatian Science Foundation		
<b>Short name</b>	HRZZ	<b>Country</b>	Croatia
<b>Brief description of the legal entity</b>			
<p><b>The Croatian Science Foundation (HRZZ)</b> was established by the Croatian Parliament in December 2001. It is the main funding body for competition-based scientific research since July 2013 when the allocation of competitive research grants was transferred from the Ministry of Science and Education of the Republic of Croatia (MSE) to HRZZ. HRZZ's mission is to promote science, higher education and technological development in Croatia in order to ensure the development of economy and to support employment of scientists. The HRZZ provides support to programmes and projects in the field of research, development and innovation and fosters international cooperation. Foundation also finances Young Researchers' Career Development Projects – Training of Doctoral Students.</p>			
<b>Identification of the role:</b>			
Programme Owner and Manager			N
Programme Owner			N
Programme Manager			Y
In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation:			
Ministry of the Science and Education of the Republic of Croatia.			
Identify and describe the <b>research programme(s)</b> with which you participate, the main programme objectives, and any previous experience and participation;			
<p>In the last five years (from 2015 to 2019), Croatian Science Foundation approved more than 1000 projects for financing in the amount of HRK 484 mil (around 65 mil EUR) and financed development of almost 700 doctoral students in the amount of HRK 178 mil (around 24 mil EUR).</p> <p>Furthermore, the Unity through Knowledge Fund (UKF) has been affiliated with the HRZZ in 2014 in order to merge the funding instruments. UKF is a funding instrument that was introduced in 2006 through the World Bank's funded Science and Technology Project. Grants delivered through the UKF programs included scientific diaspora and were internationally highly competitive, providing excellent results in funding research, development and innovation activities. From 2014 to 2016 UKF funded 17 new projects with total value of HRK 22.2 mil (around EUR 3 mil), from 2015 to 2018 additional 9 projects were granted with total value of HRK 11.37 mil (around EUR 1.5 mil), from 2017 to 2019 15 more projects were financed with total value of HRK 3 mil (around EUR 0.4 mil).</p> <p>From 2017 to 2024 the Foundation is implementing two different programmes: the Croatian-Swiss Research Programme 2017-2023 with total value of CHF 4.67 mil in the co-operation with the Swiss National Science Foundation and the Promotion of Tenure Track Model - the Tenure Track Pilot Programme 2017-2024 with the</p>			

<sup>17</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

<sup>18</sup> International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

value of CHF 4.7 mil in partnership with the Ecole Polytechnique Fédérale de Lausanne (EPFL). HRZZ participated in the non cofunded call QuantERA 2019.

HRZZ is a Member of the European Charter for Researchers and Code of Conduct for the Recruitment of Researchers since 2011. In May 2013, the European Commission has granted the Foundation the right to use the “HR Excellence in Research” logo. HRZZ is a Member of Science Europe.

HRZZ participated in the following EU funded projects:

- **ASPERA-2:** European network of national coordination and financing institutions for research projects in astroparticle physics (2009 – 2012).
- “Support for Establishment of National/Regional Social Sciences Data Archives” (2013 – 2014).
- “Stimulating Croatia's Entrepreneurial Activities and Technology Transfer in Education” (2006 – 2009);
- “Capacity building for research in Croatia” (2006 – 2009);
- “**InterProject:** Enhancing Absorption Capacity of EU Programmes in Croatia” (2009);
- “TPFT-ERN - European researchers Night 2019”

#### Main tasks attributed the proposed action and the previous experience relevant to those tasks

Main tasks attributed to the proposed joint action:

- Provide input to the call documents;
- Responsibility for communication and advice to Croatian applicants;
- Responsibility for eligibility checks according to national criteria;
- Participate in the consortium meetings.

#### Short profile of staff member(s) who will be undertaking the work

This project will be implemented within the International Programmes and Funds Department

**Jasminka Boljević** (F) holds a Master’s Degree in International Relations from University of Bologna from 2003. She is the Head of the Department of International Programmes and Funds in HRZZ and has more than 15 years of experience in the field of management of EU funded projects (Phare, IPA programme, CARDS, FP7, Horizon 2020 and Structural Funds). Previous work positions: Project manager at Novamina in the field of Research and Development, Technical Advisor at UNDP in the field of International Co-operation, Senior Advisor at Deloitte in the field of Internal Auditing and Expert Associate and acting Head of Department at the Ministry of Foreign Affairs and European Integration in the field of EU funds. Main responsibilities were: management of resources, time, budget, and risk management. Additional assignments included the preparation of legislation, strategic documentation, analyses, reports as well as management and organization of trainings and meetings.

Do your national funding rules specify a maximum amount of financial support to a third party? <sup>19</sup>	N
If yes, please insert the maximum amount [Euro]:	-
Criteria for determining the exact amount under national funding rules	
<i>Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.</i>	
-	
Does the participant envisage that part of its work is performed by a linked third parties <sup>20</sup>	N
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)	N
Does the participant envisage that part of the work is performed by International Partners <sup>21</sup> (Article 14a of the General Model Grant Agreement)?	N

<sup>19</sup> This information is required by the financial regulation.

<sup>20</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

<sup>21</sup> International Partner’ is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

**Partner no. 8: CAS, Czechia**

<b>Name of organisation</b>	AKADEMIE VED CESKE REPUBLIKY (Czech Academy of Sciences)		
<b>Short name</b>	CAS	<b>Country</b>	Czech Republic
<b>Brief description of the legal entity</b>			
<p>Czech Academy of Sciences (CAS) is a key public non-university research performing institution in the Czech Republic's research, development and innovation system, which comprises a system of 52 research institutes and 2 infrastructure bodies. The CAS' scientific scope encompasses a wide range of areas. Beside physical, technical, biological and chemical sciences the CAS and its 17 institutes conduct research also in area of social sciences and humanities. The primary mission of the CAS and its institutes is to conduct top-quality research and to advance developments in scientific knowledge at the international level, while also taking into account the specific needs of both the Czech society and the national culture.</p> <p>The supreme self-governing body is the Academy Assembly. The executive body of the CAS is the Academy Council with the President of the CAS at its head. Its permanent advisory body is the Council for Sciences, which deals with the scientific policy of the CAS. These all-academic bodies are elected for four-year periods.</p>			
<b>Identification of the role:</b>			
Programme Owner and Manager			<b>Y</b>
Programme Owner			-
Programme Manager			-
In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation:			
-			
Identify and describe the <b>research programme(s)</b> with which you participate, the main programme objectives, and any previous experience and participation;			
<p>The CAS participates in the NORFACE Programmes „DIAL“ and „Governance“ and can thus rely on considerable expertise with the procedures of this Network. In the area of SSH, the CAS also participates in the HERA Programmes “Uses of the Past” and “Public Spaces: Culture and Integration in Europe”.</p> <p>Other transnational activities of the CAS are mainly based on bilateral or multilateral agreements between the CAS and its partner organisations abroad. Cooperation is carried out mainly in the form of joint projects or organisation of joint events – depending on the conditions of a particular agreement.</p> <p>The CAS supports both social sciences and humanities in an equal way. The CAS intends to benefit from the internationalization of its research activities and from broadening of its research focus. The CHANSE call appeals to numerous researchers from CAS research institutes.</p> <p>CAS participates in CHANSE through Strategy AV21 project launched in 2015 to support cutting-edge research focused on the problems and challenges facing contemporary society. Strategy AV21 is based on a set of research programmes using interdisciplinary and interinstitutional synergies. The research programmes of the CAS are open to partners from universities, corporations, and institutions of regional administration, as well as foreign research groups and organisations</p>			
<b>Main tasks</b> attributed the proposed action and the previous experience relevant to those tasks			
<p>Tasks attributed to this action are the following: provide input in the process of drafting the Call documents and funding model; define the thematic focus of the Call; nominate experts for the scientific board and evaluators; secure communication and provide advice to applicants; conduct eligibility checks according to national criteria in the two phases (Outline and Full proposals) of project evaluation; and pro-actively participate in the decision process and whenever needed in the execution, monitoring and dissemination activities of the funded transnational research projects.</p>			
<b>Short profile of staff member(s) who will be undertaking the work</b>			

Dr. Zdenka Mansfeldová is a senior fellow at the Institute of Sociology of the CAS. She is also Vice-President of the Council for Sciences of the CAS responsible for social sciences and humanities. She will represent the CAS in the Programme Committee.

Dr. Alena Žochová is an International Cooperation Officer at the Division of International Cooperation of the CAS. She will act as contact person for applicants and take part in the Call Steering Group.

Do your national funding rules specify a maximum amount of financial support to a third party? <sup>22</sup>	N
If yes, please insert the maximum amount [Euro]:	-
Criteria for determining the exact amount under national funding rules	
<i>Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.</i>	
National funding rules applicable to CAS are defined in the eligibility guidelines for participants for the joint CHANSE Call.	
Does the participant envisage that part of its work is performed by a linked third parties <sup>23</sup>	N
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)	N
Does the participant envisage that part of the work is performed by International Partners <sup>24</sup> (Article 14a of the General Model Grant Agreement)?	N

#### Partner no. 9: DAFSHE, Denmark

<b>Name of organisation</b>	Styrelsen for Forskning og Uddannelse		
<b>Short name</b>	DAFSHE	<b>Country</b>	Denmark
<b>Brief description of the legal entity</b>			
<p>The Danish member of both NORFACE and HERA is Styrelsen for Forskning og Uddannelse (DAFSHE) in collaboration with Independent Research Fund Denmark   Social Sciences and Independent Research Fund Denmark   Humanities. DAFSHE is an agency under the Danish Ministry of Higher Education and Science. The Agency is handling the following activity areas: Public research funding, researcher mobility, dialogue on priorities in research and technology initiatives, regionalisation of research and innovation, commercialisation of research, interaction between knowledge institutions and the business community, innovation policy, EU research policy, international co-operation on research and innovation, and research dissemination, etc. The Agency also functions as secretariat to Danish Research Coordination Committee, Independent Research Fund Denmark, Danish Research Policy Council, and Danish Committees on Scientific Dishonesty.</p> <p>Independent Research Fund Denmark (DFF) consists of a Board of Directors and five scientific research councils (DFF   Humanities; DFF   Social Sciences; DFF   Medical Sciences; DFF   Natural Sciences; DFF   Technology and Production Sciences). DFF   Social Sciences covers basic research within the following main disciplines: Economics, sociology, political science and jurisprudence, as well as the societal aspects of a number of interdisciplinary areas (e.g. communications studies, development studies, gender studies and cultural geography). DFF   Humanities covers basic research with the following main disciplines: art history, architecture and design, media studies, film studies, musicology, ICT in the Humanities, comparative literature, dramaturgy, philology, linguistics, communication research, anthropology, ethnology, archaeology, history, philosophy, history of ideas and science, theology, comparative religion, educational theory, pedagogy, psychology and other related research disciplines within the humanities, such as library research, museology, as well as humanistic research within sports science, public health, urban and physical planning.</p>			

<sup>22</sup> This information is required by the financial regulation.

<sup>23</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

<sup>24</sup> International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

The council supports specific research response-mode activities based on the researchers' own initiatives. Grants are awarded through open competition and the most important criterion of evaluation is scientific excellence. Every year DFF | Social Sciences council evaluates approx. 350 applications for funding and DFF | Humanities evaluates approx. 400. The council also strengthens dissemination and application of research findings and participates in international collaboration. As part of the funding function, the council can participate in international research co-operation programs involving national transfer of the power to allocate grants based on joint national funding decisions.

DFF provides scientific advice in all scientific areas to the Danish Minister for Higher Education and Science, the Danish Parliament and the Danish Government.

#### Identification of the role:

Programme Owner and Manager	Y
Programme Owner	-
Programme Manager	-

In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation:

-

Identify and describe the **research programme(s)** with which you participate, the main programme objectives, and any previous experience and participation;

Under the legal and financial control of DAFSHE, DFF | Social Sciences has participated in the NORFACE Network right from its inception in 2004, as well as in previous NORFACE joint research programs. DFF | Humanities has participated in HERA since its inception in 2002 and has participated in previous HERA joint research programs. Furthermore, DFF has a long track record of participating in international research networks and projects. Active participation in other international networks and programs include, but are not limited to, the Joint Committee for Nordic Research Councils for the Humanities and the Social Sciences (NOS-HS), the Joint Committee of the Nordic Medical Research Councils (NOS-M), and the Joint Committee of the Nordic Research Councils for Natural Sciences (NOS-N). Moreover, Independent Research Fund Denmark has participated in numerous NordForsk transnational programmes, most recently the Nordic Programme for Interdisciplinary Research.

DAFSHE participates in CHANSE on the basis of the standard research funding schemes offered by Independent Research Fund Denmark.

#### Main tasks attributed the proposed action and the previous experience relevant to those tasks

DAFSHE will support the CHANSE Programme and the implementation of the different work packages. DAFSHE will take on the role of work package leader for WP4 (Follow-up and monitoring of projects resulting from the co-funded call) and will take on the role of task leader on task 4.1 (Development of the CHANSE Monitoring & Impact Assessment Strategy) and task 4.3 (Impact assessment of the CHANSE Programme). Independent Research Fund Denmark has a strong record in monitoring and is currently implementing an ambitious new Impact-strategy. Mads de Wolff and Gunvor Helene Platou are both members of DFF Impact team and have strong experience in developing impact indicators.

As the abovementioned list of networks, projects and programs confirms, DAFSHE and DFF have a long tradition of participating in international research collaborations. The 12 members of DFF | Social Sciences and the 12 members of DFF | Humanities are highly respected Danish scientists/researchers who are able to contribute to the call with significant expertise within the many academic fields contained within the SSH area. In addition to being charged with offering administrative, economic and legislative support to DFF in the distribution of approx. €160 million worth of grants a year, the secretariat of DFF (along with DAFSHE in general) actively participate in various international networks, projects and programs.

#### Short profile of staff member(s) who will be undertaking the work

Professor of Economics Christian Møller Dahl (University of Southern Denmark) and member of DFF | Social Sciences represents DAFSHE in the Network Board of NORFACE.  
Associate Professor of Philosophy Anne-Marie Søndergaard Christensen (University of Southern Denmark) and vice-chair of DFF | Humanities represents DAFSHE in the Network Board of NORFACE.

Mads de Wolff, Head of Section in the secretariat of DFF, represents DAFSHE in the Management Team of

Gunvor Helene Platou, Academic Officer in the secretariat of DFF, represents DAFSHE in the Management Team of HERA.

Do your national funding rules specify a maximum amount of financial support to a third party? <sup>25</sup>	N
If yes, please insert the maximum amount [Euro]:	-
Criteria for determining the exact amount under national funding rules	
<i>Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.</i>	
-	
Does the participant envisage that part of its work is performed by a linked third parties <sup>26</sup>	N
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)	N
Does the participant envisage that part of the work is performed by International Partners <sup>27</sup> (Article 14a of the General Model Grant Agreement)?	N

#### Partner no. 10: ETag, Estonia

<b>Name of organisation</b>	Eesti Teadusagentuur		
<b>Short name</b>	ETAg	<b>Country</b>	Estonia
<b>Brief description of the legal entity</b>			
<p>The Estonian Research Council (Eesti Teadusagentuur, ETAg), is a governmental foundation, responsible to the Ministry of Education and Research. It was established in 2012 to concentrate the funding of R&amp;D in Estonia. As research funding organisation, ETAg keeps its predecessor's, Estonian Science Foundation's expertise in supporting the most promising high level research initiatives in all fields of basic and applied research including humanities and social sciences. Apart from this, and among other things, ETAg facilitates Estonian researchers' international collaboration. It represents Estonia in international organisations, coordinates participation in international cooperation programmes and supports international cooperation by means of counselling and funding. Estonian Research Council is responsible for cooperation with Science Europe, participation in Article 185 (BONUS), ERA-NET Cofunds (e.g. BiodivERSA, GENDER-NET Plus and many others) and other international bi- and multi-national cooperation programmes. It has acted as a National Contact Point (NCP) in Framework Programmes and acts as the NCP in Horizon 2020, coordinates participation in the COST, and offers counselling of mobile researchers through the EURAXESS network.</p>			
<b>Identification of the role:</b>			
Programme Owner and Manager	Y		
Programme Owner	-		
Programme Manager	-		
Identify and describe the <b>research programme(s)</b> with which you participate, the main programme objectives, and any previous experience and participation;			
Estonian Research and Development and Innovation Strategy 2014-2020 „Knowledge-Based Estonia“.			

<sup>25</sup> This information is required by the financial regulation.

<sup>26</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

<sup>27</sup> International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

## Main tasks attributed the proposed action and the previous experience relevant to those tasks

Estonian Research Council has long term experience in managing calls and funding high level research in all fields of basic and applied research including humanities and social sciences. ETAg has high expertise in implementation of international peer-review procedures, and management of online submission and evaluation tools: the Estonian Research Information System ETIS for both national and international calls and the Electronic Proposal Submission System EPSS for international ERA-NET calls. Internationally, ETAg is a well experienced partner in Article 185 (BONUS) and many different ERA-NETs and ERA-NET Cofunds. In ERA-NETs and ERA-NET Cofunds, ETAg has mostly participated as a work package partner and joint call partner, but it has also fulfilled tasks with high responsibility (e.g. Call Secretariat in BiodivERsA-2). Most recently ETAg was a co-leader of the Preparation and Launch of the Co-funded Call Work Package, as well as of the Evaluation and Proposal Selection Work Package in GENDER-NET Plus. ETAg has had long-term cooperation with a partner offering Electronic Proposal Submission System service which has high reputation in BiodivERsA, ERASysAPP, BiodivScen and GENDER-NET Plus.

In the CHANSE project, ETAg will be part of the Call Secretariat, actively contributing to tasks related to proposal submission and evaluation and operating the Electronic Proposal Submission System. ETAg will be Task Leader of two tasks: Task 2.2 Customization of EPSS and Task 3.1 Submission and eligibility check of the proposals. Apart from this, ETAg will contribute to all other work packages of the project.

## Short profile of staff member(s) who will be undertaking the work

**Anna Mossolova (F)**, PhD candidate in Socio-Cultural Anthropology, Tallinn University, joined the Department of International Research Cooperation in 2011. In the course of over 8 years, she has been administrating various national and European initiatives, incl. Welcoming Programme, EURAXESS TOP projects, MSCA NCP projects, and so forth. Since September 2018, she has also been serving as an NCP for the Joint Research Center (JRC).

**Katrin Kello (F)**, PhD in Media and Communication from University of Tartu, joined Estonian Research Council in 2017 after more than a decade of research experience in the fields of history, education and social sciences. In Estonian Research Council she first worked with various ERA-NETs that spanned topics from biotechnology and sustainable crop production (CoBioTech, SusCrop) to sex and gender research and humanities (GENDER-NET Plus, HERA). As of spring 2019 she acts as Horizon 2020 NCP for Societal Challenge 6, and the COST National Coordinator for Estonia. Apart from HERA and NORFACE she is currently also involved in the JPI Cultural Heritage Joint Call "Identity and Perception" and the ERA-NET Cofund project GENDER-NET Plus.

Do your national funding rules specify a maximum amount of financial support to a third party? <sup>28</sup>	N
Does the participant envisage that part of its work is performed by a linked third parties <sup>29</sup>	N
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)	N
Does the participant envisage that part of the work is performed by International Partners <sup>30</sup> (Article 14a of the General Model Grant Agreement)?	N

## Partner no. 11: AKA, Finland

<b>Name of organisation</b>	Suomen Akatemia		
<b>Short name</b>	AKA	<b>Country</b>	Finland
<b>Brief description of the legal entity</b>			

<sup>28</sup> This information is required by the financial regulation.

<sup>29</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

<sup>30</sup> International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

The Academy is an expert organisation in scientific research funding and science policy. Its mission is to finance high-quality scientific research, act as a science and science policy expert, and strengthen the position of science and research. The Academy works to contribute to the renewal, diversification and increasing internationalisation of Finnish research. Its operation covers the full spectrum of scientific disciplines.

The Academy of Finland is committed to promoting high-quality and ethically sustainable research; supporting the renewal of research, multi-disciplinarity, new approaches and potential scientific breakthroughs; and reinforcing the role of science in resolving the grand challenges faced by society. The Academy has funding opportunities that provide support for the different stages of the research career as well as for research projects, research programmes, Centres of Excellence in research, foreign visiting professors' work in Finland, and international networking. The Academy operates within the administrative sector of the Ministry of Education and Culture and is funded through the state budget. Our funding for research amounts to 458 million euros in 2019. Each year, our funding contributes to some 2,700 people's work (FTEs) at universities and research institutes in Finland.

The Academy of Finland is committed to promoting the internationalisation of Finnish science and research. We work closely with key funding agencies in Europe and elsewhere with a view to ensuring that researchers in Finland are in the best possible position to carry out high-quality cooperation with colleagues abroad.

#### Identification of the role:

Programme Owner and Manager	Y
Programme Owner	-
Programme Manager	-

In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation:

-

Identify and describe the **research programme(s)** with which you participate, the main programme objectives, and any previous experience and participation;

The Academy of Finland participates in CHANSE with research funding granted by the Research Council for Culture and Society from its regular budget for supporting scientific research.

Internationally AKA has been active in over 40 ERA-NET-, ERA-NET + and INCO-NET projects since the 6th Framework Programme, coordinating four of them. AKA is involved in one Article 185 and six Joint Programming Initiatives (JPIs), participating also in the High Level Group for Joint Programming, GPC.

AKA was the coordinator of the NORFACE Network from 2004 until 2009, coordinated the NORFACE Religion and Migration (Plus) programme and participant in the NORFACE Welfare State Futures, NORFACE DIAL, NORFACE T2S and NORFACE Governance programmes.

AKA is a member in HERA Network and has participated in HERA Joint Research Programme I "Cultural Dynamics & Humanities as a source of creativity", the HERA Joint Research Programme II "Cultural Encounters", HERA Joint Research Programme III "Uses of the Past", and HERA Joint Research Programme IV "Culture, Integration and the European Public Space".

#### Main tasks attributed the proposed action and the previous experience relevant to those tasks

AKA participates in the CHANSE Programme and supports the implementation of the different work packages. Tasks include: input to the programme documents and funding model; suggesting experts for the evaluation panel; responsibility for communication and advice to applicants; responsibility for eligibility checks according to national criteria in the project evaluation; and by pro-actively participating in the decision making process and whenever needed in the execution, monitoring and dissemination activities of the funded transnational research projects.

#### Short profile of staff member(s) who will be undertaking the work

Professor Sami Pihlström represents AKA in the HERA Network Board. Since 2014 he is Professor of Philosophy of Religion at the Faculty of Theology, University of Helsinki. He received his PhD in theoretical philosophy from the University of Helsinki in 1996. He was previously Professor of Practical Philosophy at the University of Jyväskylä (2006-2014) and the Director of the Helsinki Collegium for Advanced Studies (2009-2015). He is currently Chair of the Research Council for Culture and Society at the Academy of Finland (2019-2022) as well as (since 2016) the President of the Philosophical Society of Finland. Professor Pihlström is also member of the Academia Europaea and the Institut International de Philosophie (I.I.P.). He has published widely on pragmatism, realism, metaphysics, ethics, philosophical anthropology, and philosophy of religion.

Dr Kia Lindroos is the current Chair and AKA representative in the NORFACE Network Board. She is University Lecturer and adjunct Professor of Political Science at the University of Jyväskylä since 2009. Dr Lindroos is also a member of the Academy of Finland's Research Council for Culture and Society. She is also the convenor of the international group combining political scientists and art researchers in European network, and participant in The EU-India Platform for Social Sciences and Humanities (EqUIP).

Science Adviser Satu Huuha-Cissokho and Science Adviser Janne Niemi are responsible for administrative issues related to the HERA and NORFACE management teams

Satu Huuha-Cissokho works as a Science Adviser in the Division for Social Sciences and Humanities. She has a long experience in international co-operation in different international networks of funding agencies and also in international peer review process of research funding applications both on the national and European level. Ms Huuha-Cissokho is also experienced in management of EU funded projects.

Janne Niemi works as a Science Adviser in the Division for Social Sciences and Humanities. He has diverse experience in research, administration, programme management and international co-operation in academia, research institutions, international organisations and civil service.

Do your national funding rules specify a maximum amount of financial support to a third party? <sup>31</sup>	Y
If yes, please insert the maximum amount [Euro]:	50 000
Criteria for determining the exact amount under national funding rules	
<i>Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.</i>	
<i>To EU countries: Yes. A maximum of 50,000€ of short-term subcontracting can be requested.</i>	
<i>To Non-EU countries: Yes. A maximum of 50,000€ of short-term subcontracting can be requested.</i>	
<i>Subcontracting special tasks (i.e. IT services, etc): No.</i>	
Does the participant envisage that part of its work is performed by a linked third parties <sup>32</sup>	N
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)	N
Does the participant envisage that part of the work is performed by International Partners <sup>33</sup> (Article 14a of the General Model Grant Agreement)?	N

## Partner no. 12: DLR-PT, Germany

<b>Name of organisation</b>	DEUTSCHES ZENTRUM FUER LUFT - UND RAUMFAHRT EV		
<b>Short name</b>	DLR-PT	<b>Country</b>	Germany.
<b>Brief description of the legal entity</b>			
With close to 8,000 employees and an approximate turnover of €1013.8 million in fiscal year 2018, DLR (German Aerospace Center) is the largest engineering- research organisation in Germany. Across its six main areas of digitalization, aviation, aerospace, power engineering, transport research, and security, DLR carries out research in			

<sup>31</sup> This information is required by the financial regulation.

<sup>32</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

<sup>33</sup> International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

various subject areas and is comprised of 47 institutes and academic institutions. DLR conducts pure research as well as application-based, market-oriented research and development on behalf of and in the interest of the Federal Republic of Germany.

Aside from undertaking research projects, DLR mainly supports federal and state ministries and other public and private clients in the management of research, innovation, and education.

Furthermore, DLR is also responsible for devising and implementing the national space programme as well as the ESA contribution in a fiduciary capacity on behalf of the Federal Government.

DLR also hosts one of Germany's largest project management agencies: DLR-PT (DLR Project Management Agency) is an autonomous division of DLR. It is separate from all other research and development departments, which prevents conflicts of interests with other DLR fields of activity.

DLR-PT provides specialized services for the facilitation of research, innovation and education. The covered spectrum of topics ranges from environment, culture, sustainability, health, education and key technologies to innovation and research transfer. With over 1,000 employees and the management of over 10,000 projects as well as over 1.4 billion Euros of research funds, the Project Management Agency at DLR is the largest institution of its kind in Germany. The agency supports the federal ministries with the implementation of research programmes and works for the European Commission as well as other public institutions and private customers. DLR-PT has been participating in numerous EU-Framework Programmes both as partner and coordinator and carries out scientific, organizational and administrative work within a multitude of national research programmes in different areas (e.g. health, environment, humanities, bilateral and international cooperation). As regards DLR-PT's specific expertise in the humanities and EU- and international relations: DLR-PT supports the Federal Ministry of Education and Research (BMBF) by managing the "National Framework Programme for the Humanities and Social Sciences" (2019-2025) with a budget of 700 million EURO. The divisions responsible for humanities and social sciences in the unit «Society, Innovation, Technology», «Future Societies/Social Innovation» and «Digital Humanities/Cultural Heritage» also host the National Contact Point for Challenge 6 "Europe in a changing world" in Horizon 2020 and coordinate the network of SSH National Contact Points "NET4SOCIETY". With a staff of approx. 50 scientific and administrative officers, the two SSH divisions advise the ministry in matters of national and European research programming and funding, event management, advocacy and strategy. Apart from its involvement in NET4SOCIETY and HERA, DLR-PT is also partner in the transnational platforms TA-P and EqUIP. On an international scale, DLR-PT has implemented an innovative funding scheme, the «Maria Sibylla Merian Centres for Advanced Studies», at present there are active centers in Delhi, Guadalajara, Sao Paulo and Accra. In addition, DLR-PT is involved in the leading European infrastructures in the social sciences and humanities: DARIAH, CLARIN, SHARE. In HERA, DLR-PT up to date has administered 40 successful projects with a funding budget of approx. 11 million EURO over the last three Joint Research Programmes.

#### Identification of the role:

Programme Owner and Manager	N
Programme Owner	N
Programme Manager	Y

In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation:

The Programme Owner for the German participating programme, "Understanding Society – Shaping the Future", is the Federal Ministry of Education and Research (BMBF, Bundesministerium für Bildung und Forschung).

Identify and describe the **research programme(s)** with which you participate, the main programme objectives, and any previous experience and participation;

The research programme participating in the CHANSE joint initiative is the German Research Programme for the humanities and social sciences, "Understanding Society – Shaping the Future". This BMBF programme will run from 2019 to -2025. With a budget of 700 million it aims at strengthening the humanities and social sciences by creating a scope for researchers, new subject areas and the development of powerful research data infrastructures.

Previous BMBF initiatives for the promotion of the humanities and social sciences were the funding initiatives "Freiraum für die Geisteswissenschaften" (2007 - 2012), and the framework programme "Geistes-, Kultur und Sozialwissenschaften" (2013 - 2017). The core objectives were the internationalisation of the humanities, cultural

sciences and social sciences, structural education, and the encouragement of young academics. The results are impressive: The research competencies and achievements of the humanities and social sciences are much more visible both within the academic community and in the public perception of them. Building on this, "Understanding Society – Shaping the Future" is strengthening the humanities and social sciences: It creates scope for researchers and for research into new subject areas, as well as for the development of powerful research data infrastructures. The humanities and social sciences can thus provide a greater contribution to understanding social developments, accompany and promote social innovations, contribute to the development and preservation of cultural heritage and, for example, harmonise social diversity and cohesion. BMBF considers this support essential in view of the growing number of students, the teaching hours, and the underfunding of the humanities and social sciences, especially of the so-called Secondary Subjects. Ultimately, the aim is to preserve and expand the diversity and expertise that characterises Germany as a research location, to encourage young academics, to improve international competitiveness, and to give science a fresh impetus, especially by means of innovative research based on needs-based research data infrastructures.

To ensure that academic findings are better directed to where they are needed, the current framework programme specially promotes the application orientation of research in the humanities and social sciences, whether by means of cooperation with partners in practice or via more intensive academic communication. Many funding formats are explicitly aimed at strengthening research in the humanities and social sciences in international contexts, as research on social challenges does not stop at national borders. The same applies to powerful research data infrastructures at both the national and European level, which provide researchers from different disciplines with relevant data. BMBF funding thus will go to research projects which

- strengthen the mutual transfer of knowledge between research, politics and society,
- enable the structural development of the humanities and social sciences, and
- their internationalization.

With its focus on research aimed at overcoming societal challenges, the current BMBF Framework Programme complements both the High-Tech Strategy 2025 of the Federal Government and the Research Framework Programme of the European Union.

Apart from the foci described above, DLR-PT participates in a wide range of further thematic areas and is partner in very diverse ERA-instruments such as ERA-NET Cofunds, JPIs etc. The divisions relevant for the humanities and social sciences have been active in HERA since around 2010 and are active in the relevant national and European research infrastructures.

#### **Main tasks** attributed the proposed action and the previous experience relevant to those tasks

DLR participates in a wide range of ERA-NETs and has a wide range of experience in transnational research funding. In the proposed action, DLR-PT will participate as the programme manager in all work packages and tasks related to the main joint call (WPs 2, 3, 4). Among the tasks for the cofunded call will be activities for promoting the call on a national level at both call stages, i.e. communicating with applicants and advising them on consortia building and application writing, eligibility checking of proposals, scoping the research community for evaluators to be suggested for the central evaluation process and ensuring proper funding for successful applicants. Also, DLR will actively participate in the meetings planned. In WP 4 Monitoring, impact assessment and Knowledge Exchange DLR will be active esp. in Task 4.3 Impact Assessment of the CHANSE Programme which bridges over into WP6 Additional Activities.

As Work Package Leader 6, Additional Activities, DLR will oversee the activities planned on a strategic and future-oriented level to complement the main call activity and will be in close contact with the colleagues in WP1 Programme Management as well as those in WP5 Communication. WP 6 will focus on additional joint activities of the CHANSE initiative (including additional joint calls in variable geometry or with new partners), scope the conditions for future development of the networks and a possible future Partnership, look at measure of further integrating participating countries across Europe (for ex. Concerning capacity building for and networking with the widening countries) and support activities of the two existing networks, HERA and NORFACE. In order to achieve maximum synergies, DLR-PT has already set actions towards these objectives in motion in the previous HERA programmes and been in liaison with other networks in the European Research Area (such as NET4SOCIETY; NORFACE, EQUIP, T-AP).

#### **Short profile of staff member(s) who will be undertaking the work**

Member of the management team will be Christa Engel, National Contact Point for Societal Challenge 6 "Europe in a changing world" (SSH NCP), division "Future Societies/Social Innovation", active in

HERA since 2010. Ms. Engel has an academic background in American, Canadian and English literature and philosophy and extensive work experience in the information business as well as research policy and administration. She has worked in EU framework programmes for DLR-PT since 2003.

Also part of DLR-PT's involvement in the CHANSE initiative will be Dr. Christopher Wertz, division "Digital Humanities/Cultural Heritage". Dr. Wertz, a senior research officer, has acted as liaison officer to the national research communities in the three previous HERA Joint Research Programmes. He has a background in Latin American and European history and extensive work experience in planning and implementation of national funding in the humanities.

Christa Engel and Dr. Christopher Wertz will be supported by a network of colleagues in the two divisions and can fall back on a DLR-PT-wide network of expert colleagues

Do your national funding rules specify a maximum amount of financial support to a third party? <sup>34</sup>	N
If yes, please insert the maximum amount [Euro]:	-
Criteria for determining the exact amount under national funding rules	
<i>Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.</i>	
-	
Does the participant envisage that part of its work is performed by a linked third parties <sup>35</sup>	N
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)	N
Does the participant envisage that part of the work is performed by International Partners <sup>36</sup> (Article 14a of the General Model Grant Agreement)?	N

#### Partner no. 13: NKFIH, Hungary

<b>Name of organisation</b>	Nemzeti Kutatási Fejlesztési és Innovációs Hivatal		
<b>Short name</b>	NKFIH	<b>Country</b>	Hungary
<b>Brief description of the legal entity</b>			
<p>The National Research, Development and Innovation Office (NKFIH) is a governmental body responsible for the establishment and coordination of international and EU cooperation activities in the field of RDI policy.</p> <p>NKFIH is the main RDI funding agency in Hungary and manages the National Research, Development and Innovation Fund (NRDI Fund) to provide state support for research, development and innovation through publishing open calls. NRDI Office has a strategic excellence programme in several areas of FET, such as human brain research, quantum technologies, and artificial intelligence. It supports the technological development activity of enterprises as well as bilateral mobility of researchers and the implementation of bilateral RDI projects.</p> <p>NKFIH has well-established relations with scientific institutions, universities, companies conducting RDI, technology transfer offices and other stakeholders active in research or innovation and fosters dynamic cooperation between scientific centres and enterprises and creates an inspiring environment for innovation.</p> <p>It coordinates national government tasks related to the Horizon 2020 Research and Innovation Framework Programme, thus operates the network of National Contact Points and represents Hungary in the strategic decision making Programme Committees of Horizon 2020. NKFIH participates in EUREKA and in various joint programmes of the Member States and the European Commission (AAL, EUROSTARS), as well as joint</p>			

<sup>34</sup> This information is required by the financial regulation.

<sup>35</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

<sup>36</sup> International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

technology initiatives (e.g. ECSEL) and coordination cooperation activities (ERA-NETs) ensuring national representation and supporting Hungarian participation through calls.	
<b>Identification of the role:</b>	
Programme Owner and Manager	Y
Programme Owner	-
Programme Manager	-
In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation:	
-	
Identify and describe the <b>research programme(s)</b> with which you participate, the main programme objectives, and any previous experience and participation:	
<p>There is no specific thematic programme on SSH research in the present programme portfolio of NKFIH but in other bottom-up programmes significant number of projects related to social sciences and humanities have been funded by the NRDI Fund. A specific umbrella programme was launched on H2020 partnership instruments in the first half of 2019 and this serves as an underlying programme for the Hungarian participation in in ERA-NETs and EJP-Cofund actions. This programme is: "Pályázat az ERA-NET COFUND és EJP COFUND programok közös nemzetközi pályázati felhívásaiban sikeresen szereplő magyar szervezetek támogatására"</p> <p><a href="https://nkfi.gov.hu/palyazoknak/nkfi-alap/era-net-ejp-cofund-2019-217-era-net/palyazati-felhivas-2019-217-era-net">https://nkfi.gov.hu/palyazoknak/nkfi-alap/era-net-ejp-cofund-2019-217-era-net/palyazati-felhivas-2019-217-era-net</a></p> <p>The main objective of this programme is to provide co-funding for those Hungarian organisations which were ranked in the listed ERA-NET and EJP COFUND programmes. So far the following ERA-NET and EJP COFUND programmes have been included: Reg-SyS ERA-NET; ERA PERMED; FLAG-ERA II; QuantERA; EJP ERA; JPCofund (JPND); M-ERA.NET 2, FOSC ERA – NET; ICT-AGRI-FOOD ERA-NET.</p>	
<b>Main tasks</b> attributed the proposed action and the previous experience relevant to those tasks	
<ul style="list-style-type: none"> <li>- Provide input to the call documents;</li> <li>- Nominate candidates to the independent international review panel;</li> <li>- Responsibility for communication and advice to applicants;</li> <li>- Responsibility for eligibility checks according to the national criteria;</li> <li>- Participate in the consortium meetings;</li> <li>- Contribute to and participate in additional activities, incl. preparatory activities for other joint activities and events.</li> </ul>	
<b>Short profile of staff member(s) who will be undertaking the work</b>	
<p><b>Ms. Anita Csiszár</b>, Senior Counsellor (Department for International Affairs, NRDI Office in Hungary). Her main activity in the Office is the development of bilateral Scientific and Technological relations. Southeast Asia, Maghreb and Western Balkans countries are the focus area of her daily work. She has been involved in EU RDI activities since 2009, especially in EU Framework Programmes related fields. She is a member of the Energy configuration of the Horizon 2020 Programme Committee and National Contact Point for Societal Challenge 6 (Europe in a changing world – inclusive, innovative and reflective societies) under Horizon 2020. She was acting as Programme Committee Member and NCP for the SSH (Social Sciences and Humanities) programme under FP7. She graduated as a Cultural Anthropologist, and has a MA in History and Arabic Language.</p> <p><b>Dr. Előd Nemerkenyi</b>, Counsellor of International Affairs (Department for Research Excellence). In this capacity at the Hungarian Scientific Research Fund (OTKA, 2007–2014) and at NRDI Office (2015–), he has been involved in the working groups and call secretariats of various ERA-NET programs (M-ERA.NET, M-ERA.NET 2, Infect-ERA, E-Rare, EJP RD), in international calls for proposals in basic research, and in the administration of peer review and monitoring of research projects in humanities and social sciences. He graduated in Classics, Medieval Studies, and History – with a PhD in Medieval Latin (2004).</p>	
Do your national funding rules specify a maximum amount of financial support to a third party? <sup>37</sup>	Y
If yes, please insert the maximum amount [Euro]:	250,000

<sup>37</sup> This information is required by the financial regulation.

Criteria for determining the exact amount under national funding rules	
<i>Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.</i>	
The call for proposal for “Pályázat az ERA-NET COFUND és EJP COFUND programok közös nemzetközi pályázati felhívásaiban sikeresen szereplő magyar szervezetek támogatására” <a href="https://nkfi.gov.hu/palyazoknak/nkfi-alap/era-net-ejp-cofund-2019-217-era-net/palyazati-felhivas-2019-217-era-net">https://nkfi.gov.hu/palyazoknak/nkfi-alap/era-net-ejp-cofund-2019-217-era-net/palyazati-felhivas-2019-217-era-net</a>	
Does the participant envisage that part of its work is performed by a linked third parties <sup>38</sup>	N
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)	N
Does the participant envisage that part of the work is performed by International Partners <sup>39</sup> (Article 14a of the General Model Grant Agreement)?	N

## Partner no. 14: RANNIS, Iceland

<b>Name of organisation</b>	RANNSOKNAMIDSTOD ISLANDS		
<b>Short name</b>	RANNIS	<b>Country</b>	ICELAND
<b>Brief description of the legal entity</b>			
The Icelandic Centre for Research (Rannis, <a href="http://www.rannis.is">www.rannis.is</a> ) is a governmental institution providing professional assistance to the preparation and implementation of the science and technology policy in Iceland and is responsible for operating the financial support system for research and technical development under the Science and Technology Policy Council. RANNIS operates the competitive financial public support system for research and technological development. RANNIS coordinates and promotes Icelandic participation in international cooperation in science, education and culture and interacts with corresponding agencies and research councils in other countries. RANNIS promotes public awareness of research and innovation in Iceland.			
<b>Identification of the role:</b>			
Programme Owner and Manager			N
Programme Owner			N
Programme Manager			Y
In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation:			
Ministry of Education, Science and Culture in Iceland			
Identify and describe the <b>research programme(s)</b> with which you participate, the main programme objectives, and any previous experience and participation;			
RANNIS coordinates the Icelandic National Research Fund, The Icelandic National Technology Fund as well as various strategic research programmes. Furthermore it is the NCP host coordinating organization for EC framework programmes for research (Horizon 2020) and DPP for the EEA and Norway Grants in the fields of research, education, innovation and culture in Iceland.			
<b>Main tasks</b> attributed the proposed action and the previous experience relevant to those tasks			

<sup>38</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

<sup>39</sup> International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

- Nominate experts for the independent international review panel;
- Responsibility for communication and advice to applicants;
- Responsibility for eligibility checks according to national criteria;
- Participate in the consortium meetings;
- Contribute to and participate in preparatory activities for other joint activities and events.

#### Short profile of staff member(s) who will be undertaking the work

Ms Sigrún Olafsdottir is a senior adviser of research and science at the International Division of RANNIS – The Icelandic Center for Research. Sigrún holds a MA degree in Philosophy and Political Science from the University of Helsinki. She was a manager of Nordic research and education grants since 2010 and transferred to the International Division of Rannis in 2015. She's currently an NCP for several H2020 programmes as well as COST and Euraxess and a PC member for Nordforsk research programmes. She is currently on the management team for HERA and Norface. Furthermore she participates in various NCP networks.

Do your national funding rules specify a maximum amount of financial support to a third party? <sup>40</sup>	N
If yes, please insert the maximum amount [Euro]:	-
Criteria for determining the exact amount under national funding rules	
<i>Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.</i>	
-	
Does the participant envisage that part of its work is performed by a linked third parties <sup>41</sup>	N
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)	N
Does the participant envisage that part of the work is performed by International Partners <sup>42</sup> (Article 14a of the General Model Grant Agreement)?	N

#### Partner no. 15: VIAA, Latvia

<b>Name of organisation</b>	State Education Development Agency		
<b>Short name</b>	VIAA	<b>Country</b>	Latvia
<b>Brief description of the legal entity</b>			
<p>The <b>State Education Development Agency</b> (VIAA) is a governmental institution under the direct auspices of the Ministry of Education and Science (MoES). The main tasks of the Agency are Implementation of European Union programmes, structural and financial instruments in the area of education and science. According to the Decision of The Cabinet of Ministers, Republic of Latvia (Provisions Nr 572, 23.09.2014: Changes in the provisions No 934, 18.12.2012 “Regulations of State Education Development Agency”), official publication 31.10.2014, the Latvian National coordination functions for European Union Research and Innovation programme Horizon2020 as well as functions related to European Research area (ERA) instruments, in particular – ERA-NET, ERA-NET COFUND, Article 185/187 initiatives, have been transferred to the Agency. The Agency is the owner and manager of the National programme „Participation in International Co-operation Programmes in the Fields of Research and Technologies” Provisions of the Cabinet of Ministers Nr 259, 26.05.2015 comprising</p>			

<sup>40</sup> This information is required by the financial regulation.

<sup>41</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

<sup>42</sup> International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

the Latvian national funding instrument for participation in all ERA-NET and ERA-NET COFUND scheme projects.	
<b>Identification of the role:</b>	
Programme Owner and Manager	Y
Programme Owner	-
Programme Manager	-
In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation:	
Identify and describe the <b>research programme(s)</b> with which you participate, the main programme objectives, and any previous experience and participation:	
<p>VIAA will participate in CHANSE ERA-NET based on National programme „Participation in International Co-operation Programmes in the Fields of Research and Technologies” Provisions of the Cabinet of Ministers Nr 259, 26.05.2015</p> <p>VIAA has been managing Latvian participation in bilateral programmes in education and science, ERASMUS/ERASMUS+, COMENIUS, Leonardo da Vinci, Jean Monet programme, EUREKA. According to the Decision of The Cabinet of Ministers, Republic of Latvia the Latvian National coordination functions for European Union Research and Innovation programme Horizon2020 as well as all functions related to European Research area (ERA) instruments, in particular – ERA-NET, ERA-NET COFUND, Article 185/187 initiatives, COST.</p> <p>VIAA is the Latvian national host for the following ERA-NETs:</p> <p>ForestValue, ERA PerMed, ENSUF, E-RARE-3, TRANSCAN-2, ERA-NET SusAn, NEURON, ERA-CVD, JPI-EC-AMR, ERA CoBioTech, ERA-GAS, ENSUGI, M-ERA.Net 2, QuantERA, T2S, HERA, EuroNanoMed III, ERA.Net RUS Plus, Biodiversa, ICRAD, FLAGERA, ICT-AGRI-FOOD, EN-UAC.</p>	
<b>Main tasks</b> attributed the proposed action and the previous experience relevant to those tasks	
VIAA will participate in the CHANSE Programme in selection of the call topics, support for additional calls, widening measures. VIAA can offer also to organize meetings in Riga which is cheap-to reach destination, easy reachable from most European capitals.	
<b>Short profile of staff member(s) who will be undertaking the work</b>	
<p><b>Dr Maija Bundule PhD</b>, Head of the Department of International Research programmes, VIAA. Maija has more than 20 years' experience in scientific collaboration activity management on international scale. She has been Latvian representative in HERA for both calls where Latvia participated.</p> <p><b>Dr Uldis Berkis PhD</b>, Senior Expert, VIAA. Participates in management of Latvian participations in ERA since 2007. Has a broad experience in managing Latvian participation in ERA-NETs in Health and cities areas.</p>	
Do your national funding rules specify a maximum amount of financial support to a third party? <sup>43</sup>	Y
If yes, please insert the maximum amount [Euro]:	70.000 EUR/year, ie 210.000 EUR/3year project
Criteria for determining the exact amount under national funding rules	
Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.	
<a href="http://viaa.gov.lv/lat/zinatnes_inovacijas_progr/atbalsts_proj/fin_atb_projektiem/">http://viaa.gov.lv/lat/zinatnes_inovacijas_progr/atbalsts_proj/fin_atb_projektiem/</a> <a href="http://www.lza.lv/images/stories/ESdok/Nosac%20Eranet%20Konk.pdf">http://www.lza.lv/images/stories/ESdok/Nosac%20Eranet%20Konk.pdf</a> The amount was determined during previous planning period when the host was LAS, and was set 50 000 LVL/year, which has been converted to 70TEUR/year	

<sup>43</sup> This information is required by the financial regulation.

Does the participant envisage that part of its work is performed by a linked third parties <sup>44</sup> .	Associated with document Ref. Ares(2020)6525766 - 10/11/2020 N
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)	N
Does the participant envisage that part of the work is performed by International Partners <sup>45</sup> (Article 14a of the General Model Grant Agreement)?	N

#### Partner no. 16: RCL, Lithuania

<b>Name of organisation</b>	Lietuvos mokslo taryba (Research Council of Lithuania)		
<b>Short name</b>	RCL	<b>Country</b>	Lithuania
<b>Brief description of the legal entity</b>			
<p>The Research Council of Lithuania (RCL), established in 1991, is a state budget institution that acts as an expert on science policy and as an advisory body to the Parliament of Lithuania and the Government on strategic issues of research and higher education. RCL is a core body of Lithuanian R&amp;D funding system reforms and is entrusted to implement the grant-based research funding. The Council is made of the Board of the Council and two Committees: the Committee of Humanities and Social Sciences and the Committee of Natural and Technical Sciences. There are 9 Board members and 10 members in each Committee and the chairs of the Committees. The members of RCL are assigned by the decision of the Parliament. The decisions of the Council are implemented by Research Foundation.</p> <p>Part of RCL work results are in-depth reports on the most important issues of research, the efficiency and quality of R&amp;D policy and higher education. RCL contributes to the science policy formation and is involved in legislative issues of the Lithuanian science and studies system. Major focus is on the development of a science-oriented society in the context of globalisation and internationalisation. RCL is deeply involved in restructuring research governance and funding mechanisms in Lithuania.</p> <p>RCL is represented by the chairman prof. Romas Baronas. For more information: <a href="http://www.lmt.lt/en/about.html">http://www.lmt.lt/en/about.html</a></p>			
<b>Identification of the role:</b>			
Programme Owner and Manager			<b>Y</b>
Programme Owner			-
Programme Manager			-
In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation:			
-			
Identify and describe the <b>research programme(s)</b> with which you participate, the main programme objectives, and any previous experience and participation;			
Welfare society (2015–2020). The objective of the programme is to produce a comprehensive analysis of the preconditions, factors and trends for the development of a welfare society in Lithuania, to study the possibilities and the obstacles for its development, and to help public authorities to pass strategic decisions and recommendations for the development of a welfare society.			
<b>Main tasks</b> attributed the proposed action and the previous experience relevant to those tasks			
WP1 to WP5 contribution to joint call (s) – informing, consulting, dissemination, funding of successful national applicants. RCL administers a competition-based research funding programmes. National Research Programmes are important measures that were designed by RCL in order to concentrate resources and allowing achieving progress in socially important research areas. RCL funds bottom-up research, as well. RCL has experience in international cooperation with other organizations responsible for research policy, competitive research funding and project monitoring, etc.			

<sup>44</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

<sup>45</sup> International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

Laura Kostelnickienė and Kornelija Janavičiūtė are a research programme administrators. They work at the International Programme's Unit of the RCL and are responsible for the implementation of assigned international programmes and ERA-NET projects with RCL participation.	
Do your national funding rules specify a maximum amount of financial support to a third party? <sup>46</sup>	N
If yes, please insert the maximum amount [Euro]:	-
Criteria for determining the exact amount under national funding rules	
<i>Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.</i>	
-	
Does the participant envisage that part of its work is performed by a linked third parties <sup>47</sup>	N
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)	N
Does the participant envisage that part of the work is performed by International Partners <sup>48</sup> (Article 14a of the General Model Grant Agreement)?	N

### Partner no. 17: FNR, Luxembourg

<b>Name of organisation</b>	The Luxembourg National Research Fund (FNR)		
<b>Short name</b>	FNR	<b>Country</b>	Luxembourg
<b>Brief description of the legal entity</b>			
The Luxembourg National Research Fund (FNR) is the main funder of research activities in Luxembourg. We invest public funds and private donations into research projects in various branches of science and the humanities, with an emphasis on selected core strategic areas. Furthermore, we support and coordinate activities to strengthen the link between science and society and to raise awareness for research. We also advise the Luxembourg government on research policy and strategy.			
<b>Identification of the role:</b>			
Programme Owner and Manager	Y		
Programme Owner	-		
Programme Manager	-		
In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation:			
n. a.			
Identify and describe the <b>research programme(s)</b> with which you participate, the main programme objectives, and any previous experience and participation;			
In 2006, the FNR launched the INTER programme, our umbrella for our international cooperation opportunities. This INTER programme is our instrument to provide co-funding for international research collaborations- bi or multilateral arrangements - between scientists in Luxembourg and abroad with other national or international funding bodies.			
1. Bilateral projects: FNR have signed with 18 different foreign partners "Lead Agency Agreements. These agreements make it possible for Luxembourg-based researchers to conduct bilateral research projects with researchers based in 13 different countries.			

<sup>46</sup> This information is required by the financial regulation.

<sup>47</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

<sup>48</sup> International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

2. Multilateral projects: FNR is part of more than 12 international research networks including EUROSTARS and various European Research Area (ERA) networks- offering multilateral research opportunities with over 35 countries for researchers based in Luxembourg.	
<b>Main tasks</b> attributed the proposed action and the previous experience relevant to those tasks	
Main tasks attributed to the proposed joint action: - Provide input to the call documents; - Responsibility for communication and advice to applicants in Luxembourg; - Responsibility for eligibility checks according to national criteria; - Participate in the consortium meetings.	
<b>Short profile of staff member(s) who will be undertaking the work</b>	
Dr Helena Burg - Head of International Relations – is leading the INTER scheme for the FNR and with the support of 2 thematic programme manager for SSH: Susanne Rick (HERA) and Asael Rouby (NORFACE). Asael Rouby as well as Susanne Rick will handle together the joint CHANSE call.	
Do your national funding rules specify a maximum amount of financial support to a third party? <sup>49</sup>	N
If yes, please insert the maximum amount [Euro]:	-
Criteria for determining the exact amount under national funding rules	
<i>Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.</i>	
FNR only support the Luxembourg part of the bi- or multilateral projects and we envisage to have a maximum LU contribution of 250.000€ per project in the next call. We expect two projects to be retained for funding.	
Does the participant envisage that part of its work is performed by a linked third parties <sup>50</sup>	N
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)	N
Does the participant envisage that part of the work is performed by International Partners <sup>51</sup> (Article 14a of the General Model Grant Agreement)?	N

### Partner no. 18: NWO, the Netherlands

<b>Name of organisation</b>	NEDERLANDSE ORGANISATIE VOOR WETENSCHAPPELIJK ONDERZOEK (Dutch Research Council)		
<b>Short name</b>	NWO	<b>Country</b>	The Netherlands
<b>Brief description of the legal entity</b>			
<p>NWO is the national research council of the Netherlands. NWO ensures quality and innovation in science and facilitates its impact on society. Its main task is to fund scientific research at public research institutions in the Netherlands, especially universities. NWO offers a wide variety of funding schemes, offering personal grants to talented, creative researchers and funding for excellent research proposals, for initiating interdisciplinary, thematic research programmes in cooperation together with public agencies and/or the private sector; and for realising research infrastructures and large data bases. All funding is allocated by means of a national competition on the basis of quality and independent assessment and selection procedures. NWO is dedicated to strengthening and facilitating international collaboration.</p> <p>The NWO domain of Social Sciences and Humanities funds and facilitates research across the social sciences and humanities. The remit of NWO spans such research areas as Business Administration, Public Administration, Communication Sciences, Cultural Anthropology, Cultural Sciences, Demography, Economics, Philosophy, Geography and Planning, Historical Sciences, Literature Studies, Media Studies, Environmental Studies,</p>			

<sup>49</sup> This information is required by the financial regulation.

<sup>50</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

<sup>51</sup> International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

Educational Studies, Pedagogical Sciences, Political Science, Psychology, Law, Religious Studies, Sociology, Linguistics.	
Results from projects funded by NWO Social Sciences and Humanities benefit research, public and civil society organisations and industry.	
<b>Identification of the role:</b>	
Programme Owner and Manager	N
Programme Owner	N
Programme Manager	N
In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation:	
N.a.	
Identify and describe the <b>research programme(s)</b> with which you participate, the main programme objectives, and any previous experience and participation;	
<p>NWO has ample experience and specific expertise in the participation, management and coordination of European and global research programmes.</p> <p>NWO division Social Sciences and Humanities has been actively involved in multiple European programmes (Coordinator of NORFACE and HERA networks and programmes), CSAs (Coordinator of JPI Urban Europe BOOST, JPI Urban Europe EXPAND and the Trans-Atlantic Platform), JPIs (JPI Climate, JPI Water, JPI Cultural Heritage, Call Secretariat JPI Urban Europe), the EU-India Platform (EqUIP) and the ESFRI initiatives ESS, CESSDA and SHARE. NWO, furthermore, is a partner of the Belmont Forum. Other divisions of NWO also participate in a variety of transnational programmes covering other disciplines.</p> <p>NWO will not participate in CHANSE co-funded call.</p>	
<b>Main tasks</b> attributed the proposed action and the previous experience relevant to those tasks	
As an active partner in the HERA and NORFACE networks, initiators of the CHANSE initiative, NWO will take part in the additional activities that concern the networks. NWO will also support the implementation of the other different work packages as appropriate and necessary.	
<b>Short profile of staff member(s) who will be undertaking the work</b>	
<p>Within NWO, ms. Anne Cukier, ms. Alice Dijkstra, ms. Maya Rispens and dr. Sander Steeman will be the staff members mainly involved.</p> <p>Alice Dijkstra is senior project officer in the Social Sciences and Humanities Domain of the Dutch Research Council (NWO). She studied Computational Linguistics at the University of Utrecht. After working as a computer linguist at IBM Amsterdam, she participated as a researcher in the SPIN Man Machine Communication Programme at Nijmegen University and Leiden University. From 1994 she has been employed by NWO where she has been responsible for setting up and coordinating large research programmes on Language and Speech Technology, Dutch Dyslexia Programme, Cognitive Science, Language Acquisition and Multilingualism and on Comprehensible Language and Effective Communication. She also coordinated the Dutch-Flemish HLT research and infrastructure programmes the Corpus of Spoken Dutch and STEVIN.</p> <p>Alice Dijkstra has international experience as senior project officer assisting the coordinator in running the ERANET project HERA (2005-2010), coordinating the HERA Joint Research Programme Cultural Dynamics and Creativity &amp; Innovation (2009-2013) ERANET Plus contract, coordinating the HERA Joint Research Programme Cultural Encounters (2011-2016) ERANET Plus contract and the HERA Joint Research Programme Cofund contracts Uses of the Past (2015-2019) and Public Spaces: Culture and Integration in Europe (2017-2022). She has furthermore acted as reviewer/evaluator for a series of FP5, FP6 and FP7 projects and continues doing so in Horizon2020. Presently she is a member of the Governing Board of the CLARIN ERIC and of the Governing Board of the DARIAH ERIC and Member of the Advisory Board of Net4Society.</p> <p>Dr. Sander Steeman is a senior programme officer in the Social Sciences and Humanities Domain of the Dutch Research Council (NWO). He studied African Linguistics at Leiden University. In 2002 he started research on Sandawe, an East-African Khoisan language. Data were collected during three fieldwork trips to Tanzania. In 2012 he obtained his PhD on a descriptive grammar of Sandawe, with a focus on the phonological and morpho-syntactic aspects of the language. From 2007 to 2014, he worked on the implementation of e-learning tools in higher education (e.g. Vrije Universiteit Amsterdam, Hogeschool van Amsterdam) both as project manager and as policy advisor.</p> <p>Since 2014 Sander Steeman has been employed by NWO. He has been involved in the HERA network since the start of the HERA Joint Research Programme "Uses of the Past". He coordinated the evaluation and selection process during the calls for proposals for the HERA JRP "Uses of the Past" (2015-2016) and "Public Spaces: Culture and Integration in Europe" (2017-2018). Currently he is a HERA Management Team member and member of the HERA Coordination Group.</p>	

Maya Rispens is a senior policy officer in the division Social Sciences and Humanities and a NORFACE Management Team member. She has more than 20 years of experience in managing large-scale international projects, both in a European context as well as in the field of international language policy. She has worked on a high strategic level for the intergovernmental international organisation for Dutch and strengthens the NORFACE Coordination Office with her experience in intercultural cooperation and programme management.

Anne Cukier holds a Master degree in Political Science from the University of Amsterdam. She is a policy officer in the division Social Sciences and Humanities and a NORFACE Management Team member. She has ample experience in large-scale international research programming, including coordinating the two most recent NORFACE JTC's as well as representing NWO in JPI Climate and in its ERA4CS and AXIS programmes.

Do your national funding rules specify a maximum amount of financial support to a third party? <sup>52</sup>	N
If yes, please insert the maximum amount [Euro]:	-
Criteria for determining the exact amount under national funding rules	
<i>Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.</i>	
-	
Does the participant envisage that part of its work is performed by a linked third parties <sup>53</sup>	N
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)	N
Does the participant envisage that part of the work is performed by International Partners <sup>54</sup> (Article 14a of the General Model Grant Agreement)?	N

#### Partner no. 19: RCN, Norway

<b>Name of organisation</b>	The Research Council of Norway		
<b>Short name</b>	RCN	<b>Country</b>	Norway
<b>Brief description of the legal entity</b>			
<p>The Research Council of Norway (RCN) is the national strategic and funding agency for research activities. RCN is a chief source of advice on and input into research policy for the Norwegian Government, the central government administration and the overall research community.</p> <p>An important objective is to ensure that Norway adequately invests in research and development (R&amp;D) activities. It is the task of the RCN to identify Norway's research needs and recommend national priorities. Using targeted funding schemes, the Council helps to translate national research policy goals into action. The Research Council works to enhance financial and quality targets in Norwegian research and innovation activities. The Council also works to design a sound underlying structure for the research system and develop new forms of interaction between the research community, trade and industry and the public administration. The Research Council provides a central meeting place for researchers, and actively promotes the internationalization of Norwegian research. RCN has some 500 employees. We invest NOK 10 billion in research and innovation annually on behalf of the Norwegian government. The Ministry of Education and Research and the Ministry of Trade and Industry are the most important contributors to the budget of RCN.</p>			
<b>Identification of the role:</b>			
Programme Owner and Manager	Y		
Programme Owner	-		
Programme Manager	-		
In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation:			

<sup>52</sup> This information is required by the financial regulation.

<sup>53</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

<sup>54</sup> International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

Identify and describe the **research programme(s)** with which you participate, the main programme objectives, and any previous experience and participation;

The facilitation of international research cooperation is a central objective of the RCN, and the participation in various international research financing activities is an integral part of this. RCN is a member of a number of ERANETS, Cofunds, JPIs and multilateral initiatives across all disciplines, some of which it coordinated. RCN has participated in the NORFACE Network right from its inception. RCN has been involved in HERA since 2005, and participated in all of the HERA research programmes.

The following research programme will contribute funding to this initiative:

- The funding scheme for independent projects within social sciences and humanities is an open, national, competitive arena that provides funding for basic, ground-breaking projects in all fields of research. The project ideas originate with the researchers themselves. This funding scheme has previously participated in all of the research programmes in HERA (four in total), as well as NORFACE (Migration in Europe).
- The Research Programme on Welfare, Working Life and Migration has as its primary objective to provide high-quality knowledge that improves society's ability, means and capacity to address and resolve societal challenges pertaining to welfare, working life and migration. This funding scheme has previously participated in NORFACE (Welfare State Futures, Dynamics of Inequality across the Life-course).
- The Programme for Research and Innovation in the Educational Sector is a key instrument for following up the Government's current policy for research on how the welfare society and the educational system function. Its objectives are to develop knowledge of high quality and relevance for policy development, the public administration, the field of practice and the individual; promote scientific renewal in the field of educational research, and stimulate innovation in the educational sector.

This funding scheme has previously participated in NORFACE (Dynamics of Inequality across the Life-course)

- The Research Programme on the Cultural Conditions Underlying Social Change provides funding for research on cultural prerequisites for societal development and societal challenges. The programme's objective is to expand the knowledge base and better equip society to address major societal challenges. This funding scheme has previously participated in NORFACE (Transformations to Sustainability).
- The Research Programme on the Culture and Media Sector provides funding for research in the media and cultural fields to generate knowledge about the challenges and opportunities associated with technological and economic changes. It promotes high-quality research in the cultural and media fields. Knowledge accumulated under the programme is to be of relevance for policy development and public administration as well as for stakeholders active in these fields. This funding scheme has not participated in multilateral research programmes.

**Main tasks** attributed the proposed action and the previous experience relevant to those tasks

As a result of its management of applications rounds for projects and the participation in past joint (international) Calls, RCN has a lot of experience relevant to this programme. Tasks attributed to this action are the following: provide input to the Call documents and funding model; define the academic part of the Call; nominate experts for the evaluation panel and suggest referees; responsibility for communication and advice to applicants; responsibility for eligibility checks according to national criteria in the two phases (Outline and Full proposals) of project evaluation; and by pro-actively participating in the decision process and whenever needed in the execution, monitoring and dissemination activities of the funded trans-national research projects.

**Short profile of staff member(s) who will be undertaking the work**

Ms Gunnlaug Daugstad, Director of the department for Welfare and Education at RCN, currently represents RCN on the NORFACE Network Board. Daugstad has a Cand. Polit. Degree in Anthropology from University of Bergen, and has worked with analysis of registry data at Statistics Norway and leading the work for two Official Norwegian Reports (NOUs) to the Government before she joined the RCN in 2011. She has diverse international experience throughout her career, and has experience from NORFACE Management Team from 2012-2016 and board member in NordForsk programmes (Health and Welfare and Migration Programme). She joined NORFACE as a member of the Network Board in 2019.

Ms Lillian Baltzrud is Senior Adviser for the RCN department of University and University College Policy. Baltzrud holds a Master degree in History from the University of Oslo (UiO) and worked as a research officer and manager at the same university for 10 years before she joined the RCN in 2015. She has experience as a Programme Coordinator for a RCN national funding scheme and diverse international experience: NORFACE Management Team 2016-19, JPI MYBL General Assembly 2016-17, OECD GSF Expert group on Transdisciplinary Research 2019-20 and she has coordinated two proposals for establishing joint Nordic

NordForsk programmes. Currently, she works with RCN policy related to the Norwegian University and University College Sector, coordinates work related to transdisciplinary research within RCN and represents RCN in the HERA Network Board and Management Team (from 2019).	
Do your national funding rules specify a maximum amount of financial support to a third party? <sup>55</sup>	N
If yes, please insert the maximum amount [Euro]:	-
Criteria for determining the exact amount under national funding rules	
<i>Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.</i>	
-	
Does the participant envisage that part of its work is performed by a linked third parties <sup>56</sup>	N
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)	N
Does the participant envisage that part of the work is performed by International Partners <sup>57</sup> (Article 14a of the General Model Grant Agreement)?	N

#### Partner no. 20: UEFISCDI, Romania

<b>Name of organisation</b>	Unitatea Executiva pentru Finantarea Invatamantului Superior, a Cercetarii, Dezvoltarii si Inovarii		
<b>Short name</b>	UEFISCDI	<b>Country</b>	Romania
<b>Brief description of the legal entity</b>			
<p><b>The Executive Agency for Higher Education, Research, Development and Innovation Funding (UEFISCDI)</b> is a public entity of the Central Administration under the ultimate authority of Ministry of Education and Research. <b>UEFISCDI</b> reached the current status in July 2010, through GO nr.62/1999, approved with amendments by Law 74/2010 and GEO nr.150/2000 by merging three organisations with responsibilities for the management and administration of various programs in the fields of higher education, research, development and innovation: Executive Agency for Higher Education and Research Funding (UEFISCSU), National Centre for Programme Management (CNMP), Management Agency for Research, Innovation and Technology Transfer (AMCSIT).</p> <p><b>The Executive Agency for Higher Education, Research, Development and Innovation Funding (UEFISCDI)</b> is a public entity of the Central Administration under the ultimate authority of Ministry of Education and Scientific Research (MESR).</p> <p><b>UEFISCDI implemented</b>, under the supervision of its advisory councils, <b>four out of the six programs of the National Plan for Research, Development and Innovation 2007 - 2013 (PN II)</b>, i.e.: <b>Human Resources</b> (exploratory research), <b>Ideas</b> (exploratory research), <b>Partnerships in Priority S&amp;T Areas</b> (applied research), <b>Innovation</b> (innovation and technology transfer).</p> <p>Also <b>UEFISCDI implements</b>, under the supervision of its advisory councils, <b>four out of the five programs of the National Plan for Research, Development and Innovation 2015 - 2020 (PN III)</b>, i.e.: <b>Program 1: Development of the national R&amp;D</b> (1.1. Human Resources (full); 1.3. Infrastructures R&amp;D (partially); 1.4. Support (partially); <b>Program 2: Increasing the competitiveness of the romanian economy through research, development and innovation</b> (2.1. Competitivity through research, development and innovation (partially)); <b>Program 3: European and international cooperation</b> (3.1. Bilateral / multilateral (excluding the bilateral program with AUF); 3.2. Horizon 2020 (full); 3.5. Other European and international initiatives and programs (full); 3.6. Support (partially)); <b>Program 4: Basic research and frontier (full).</b></p> <p>Externally, <b>UEFISCDI</b> acts for the promotion of Romanian R&amp;D and its integration in the international scientific community, by:</p>			

<sup>55</sup> This information is required by the financial regulation.

<sup>56</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

<sup>57</sup> International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

- Cooperating with similar organizations in Europe and worldwide
  - Supporting to Romanian R&D actors to develop international partnerships.
- UEFISCDI is involved in over 40 international projects, most of them under ERA-NET Scheme FP7/ H2020 and UEFISCDI has strategic partnerships & cooperation agreements with the following organizations:
- European Science Foundation – ESF*
  - Swiss National Science Foundation – SNSF*
  - L'Agence nationale de la recherche – ANR*
  - Deutsche Forschungsgemeinschaft – DFG*
  - National Science Foundation – NSF, USA*
  - Netherlands Organization for Scientific Research.*
- UEFISCDI is member of different European associations (EARMA, EARTO), offers support to SMEs by EUREKA, EUROSTARS, and administrates the Romanian participation to the Joint Technology initiatives – JTI/JU (ENIAC, Artemis, Clean Sky, Fuel Cells, IMI).

#### Identification of the role:

Programme Owner and Manager	N
Programme Owner	N
Programme Manager	Y

In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation:

Ministry of Education and Research

Identify and describe the **research programme(s)** with which you participate, the main programme objectives, and any previous experience and participation;

UEFISCDI has the necessary scientific and administrative capabilities to develop and implement activities in CHANSE project within Horizon 2020 by adding valuable inputs to each task and deliverable. A great part of UEFISCDI activity is based on development of new strategies and procedures for management and implementation of new R&I oriented programs. Another pillar of our activity is based on design and monitoring the selection process of R&I funding programs with regards to end-user implementation of projects, outputs and expected outcomes. Based on this wide experience we developed an IT platform that includes all stages of program management from publication of the call to the evaluation, selection, monitoring and follow-up. The program management platform can be customized for any financial mechanism available and uses cutting-edge hardware in order to facilitate high user traffic. In the last two years, UEFISCDI evaluated over 4.000 proposals, with 2.500 international evaluators.

UEFISCDI participates in CHANSE with its standard research funding scheme.

#### Main tasks attributed the proposed action and the previous experience relevant to those tasks

UEFISCDI is a strategic partner in H2020 PROSAFE and also partner and WP/task leader in many FP7 projects among which: ERAMIN2; ERA.NET RUS Plus- " Further linking Russia to the ERA: Coordination of MS/ AC S&T, programmes towards and with Russia ", COFASP- Cooperation in Fisheries, Aquaculture and Seafood Processing, FLAG-ERA - FET Flagship ERA-NET, BS-ERA.NET NETWORKING ON SCIENCE AND TECHNOLOGY IN THE BLACK SEA REGION, ERA.NET-LAC Network of the European Union, Latin America and the Caribbean Countries on Joint Innovation and Research Activities, M-ERANET - ERA-NET on research on materials science and engineering, EuroNanoMed - EUROpean network of transnational collaborative RTD projects in the field of NANOMEDicine; MANUNET 3; QUANTERA; ACT; ERA4CS.

#### Short profile of staff member(s) who will be undertaking the work

**Mrs. Mihaela MANOLE** is graduated Financial Management Faculty – Academy of Economic Studies, Bucharest in 1999, has a master's in public administration. Mrs. Manole gained expertise in coordination and implementation of national projects which promoted participation in European and international research program in the national R&D program: Research for Excellence. She was also actively involved in ERANET project – EuroNanoMed III Cofund, NEURON 3 Cofund, ERA.MIN 2 Cofund, WW2017 Cofund, PerMed, Aqua Pollutants, ERARE 3, IC4Water.

**Mrs. Nicoleta DUMITRACHE** graduated from the Faculty of Letters (2002) and has been involved in the implementation of several European Projects under FP6 and FP7. In 2005 she joined the National Centre for Programme Management as a Project Officer for projects in IT. Since 2010 she is a Head of Department of management and administration of thematic research programmes - Partnerships in S&T priority domains Programme within UEFISCDI. She was also actively involved in ERANET project – MANUNET III Cofund, ERA 4CS Cofund, Quanteria Cofund, WW2017 Cofund, PerMed, Aqua Pollutants, ERARE 3, IC4Water.

Do your national funding rules specify a maximum amount of financial support to a third party? <sup>58</sup>	N
If yes, please insert the maximum amount [Euro]:	-
Criteria for determining the exact amount under national funding rules	
<i>Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.</i>	
-	
Does the participant envisage that part of its work is performed by a linked third parties <sup>59</sup>	N
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)	N
Does the participant envisage that part of the work is performed by International Partners <sup>60</sup> (Article 14a of the General Model Grant Agreement)?	N

#### Partner no. 21: SAS, Slovakia

<b>Name of organisation</b>	Slovak Academy of Sciences		
<b>Short name</b>	SAS	<b>Country</b>	SK
<b>Brief description of the legal entity</b>			
<p>The Slovak Academy of Sciences is a governmental research performing and research funding organization. It is recognized as leading research and scientific institution aimed at excellent basic, strategic and applied research in Slovakia.</p> <p>The SAS, as a funding body, supports those scientific disciplines which have attained international level and which are deemed necessary for the advancement of Slovakia. It consists of 47 organizations (45 research organizations, one service organisation and the SAS Central Library). Governing bodies are the Assembly, the Scientific Council, and the Presidium. The SAS governs the total budget of more than 80 M Euro. A part of the budget is reserved for international research cooperation within the schemes such as ERA-Net, Horizon 2020, COST, ESA or bilateral activities etc.</p> <p>The SAS supports inter- and multidisciplinary research and collaboration with research teams at universities and with the industry.</p> <p>SAS is the only institution in Slovakia with systematic approach to the involvement of its researchers and institutes into ERA.NET scheme, both from previous and in current EU Framework Programmes. During the period of last 10 years the participation of the SAS in different ERA.NET consortia has risen from 6 to 21, covering various fields of science, e.g. nanomaterials, nanoscience and nanotechnology (NanoSci-ERA.NET 2005-2010, NanoSci-EPlus since 2008, MNT ERA.NET 2005-2008, MNT ERA.NET II since 2008, M-ERA NET, M-ERA NET 2, FLAG ERA, QUANT-ERA), information technologies (CHIST-ERA), biological and medical sciences (NEURON II and NEURON III, TRANSCAN I, TRANSCAN II, EuroNanomed III, ERACoSysMed, ERA CVD), environmental sciences (BiodivERsA, BiodivClim), and in humanities (HERA, from 2017). SAS is also active in ERA.NET or ERA.NET like schemes oriented on cooperation with non-EU countries, such like Russia (ERA.NET Rus Plus), Korea (EIG Korea) and Japan (EIG CONCERT Japan). Participation of the SAS research teams, which has arisen from 3 in 2013 to 18 in 2019, is funded from the SAS budget. The selection procedures for the applications have been established and approved by the SAS Presidium.</p>			
<b>Identification of the role:</b>			
Programme Owner and Manager	Y		
Programme Owner	-		
Programme Manager	-		
In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation:			
-			

<sup>58</sup> This information is required by the financial regulation.

<sup>59</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

<sup>60</sup> International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

Identify and describe the <b>research programme(s)</b> with which you participate, the main programme objectives, and any previous experience and participation;	
<b>"Research in the field of historical, social and human sciences and arts"</b> Research and application development in the field of historical, social and human sciences and arts including the other related fields with the aim supports those scientific disciplines which have attained international level and which are deemed necessary for the advancement of Slovakia.	
<b>Main tasks</b> attributed the proposed action and the previous experience relevant to those tasks	
SAS will participate to the tasks allocated by work plan as a basic participant.	
<b>Short profile of staff member(s) who will be undertaking the work</b>	
<p><b>Dr. Dušan Gálik</b> is SAS Vice-president for international relations, member of Presidium, which is executive body of Slovak Academy of Sciences. Dr. Gálik is in charge of overall management of SAS participation in ERA.NET projects.</p> <p>Besides, Dr. Gálik is a senior scientist with a background in humanities (philosophy) and nature sciences (biology), professional orientation philosophy of science, philosophy of biology, theory of evolution, evolutionary epistemology. He will be involved in scientific aspects of this cofund action.</p> <p><b>Zuzana Panisová</b> is Programme Officer of International Co-operation Department. Z. Panisová will act as a main contact person for the project, responsible for operational management and administration of the project, communication and participation in activities.</p> <p><b>Dr. Martin Novák</b> is Programme Officer of International Co-operation Department attache to the project as a deputy contact person.</p>	
Do your national funding rules specify a maximum amount of financial support to a third party? <sup>61</sup>	<b>Y</b>
If yes, please insert the maximum amount [Euro]:	120 000
Criteria for determining the exact amount under national funding rules	
<i>Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.</i>	
<a href="https://www.sav.sk/index.php?lang=sk&amp;doc=services-news&amp;source_no=25&amp;news_no=7569">https://www.sav.sk/index.php?lang=sk&amp;doc=services-news&amp;source_no=25&amp;news_no=7569</a>	
Does the participant envisage that part of its work is performed by a linked third parties <sup>62</sup>	<b>N</b>
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)	<b>N</b>
Does the participant envisage that part of the work is performed by International Partners <sup>63</sup> (Article 14a of the General Model Grant Agreement)?	<b>N</b>

**Partner no. 22: MIZS, Slovenia**

<b>Name of organisation</b>	Ministrstvo za izobraževanje, znanost in šport		
<b>Short name</b>	MIZS	<b>Country</b>	Slovenia
<b>Brief description of the legal entity</b>			
The Ministry of Education, Science and Sport strives for the development of a responsible society of knowledge. It creates conditions for the development of socially responsible and content generations. Together with other stakeholders, the Ministry helps in creating an inclusive, egalitarian, sustainable and creative society of lifelong learning, promotes the involvement of young people, and encourages participation in sporting activities.			
<b>Identification of the role:</b>			
Programme Owner and Manager	<b>Y</b>		
Programme Owner	<b>-</b>		
Programme Manager	<b>-</b>		

<sup>61</sup> This information is required by the financial regulation.

<sup>62</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

<sup>63</sup> International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation:	
-	
Identify and describe the <b>research programme(s)</b> with which you participate, the main programme objectives, and any previous experience and participation;	
<p>The Science Directorate of the MIZS develops and implements the government policy on scientific research. It performs executive tasks related to the implementation of the umbrella strategy, as defined in the Resolution on Research and Innovation Strategy of Slovenia (RISS), with the assistance of the Slovenian Research Agency as an executive agency. Its purpose is to build a modern research and innovation system that will facilitate a higher quality of living for all by effectively overcoming social challenges, increasing the added value per employee, and providing more and better quality jobs. MIZS is since 2004 very active in the European ERA-NET projects. In regards the field of Social Science and Humanities in participated in all HERA organized joint research programmes and also EQUIP (EU-India Platform for Social Sciences and Humanities).</p>	
<b>Main tasks</b> attributed the proposed action and the previous experience relevant to those tasks	
<p>Main tasks attributed to the proposed joint action:</p> <ul style="list-style-type: none"> <li>• Providing input to the call documentation;</li> <li>• Nominating experts who acted as experts in assessing the project proposals;</li> <li>• National contact point for CHANSE on the national level;</li> <li>• Organization of information day and CHANSE national events;</li> <li>• Advising in project preparations for applicants;</li> <li>• Eligibility check for the project proposals on the national level;</li> <li>• Participation in preparatory activities for various European joint activities and active participation in numerous ERA-NET Cofund, CSA and INCO projects.</li> </ul>	
<b>Short profile of staff member(s) who will be undertaking the work</b>	
<p><b>Dr. Davor Kozmus</b>, his scientific background is analysis of technology implementation in society in particular the observation of the field ICT. He worked on the various research projects about the analysis of Internet usage in the field of research and development (RIS); Investigation of Research, Technology &amp; Development in the national arena and research project Competitiveness. He is currently a project manager of European FP7 and H2020 projects: OSIRIS (European Research Infrastructure in the field of ICT and microelectronics), SEE-ERA.NET (science cooperation in the field of ICT and biotechnology with West Balkan Countries), WBC-INCO.NET (West Balkan Steering Platform), Danube-INCO.NET (Danube countries R&amp;I cooperation), HERA ERA-NET (Humanities in European Research Area), EQUIP (EU-India co-operation in the field of Social Science and Humanities), NCP CaRE (Climate Action, Environment, Resource Efficiency and Raw Materials NCP network), NCP WideNet (NCP network). National Contact Point (NCP) for Social Challenge 6 (Europe in Changing World: Inclusive, Innovative and Reflective Societies) and Social Challenge 7 (Secure Societies).</p> <p><b>Prof. Dr. Jerca Vodušek Starič</b>, historian, is a full professor of Contemporary History at the University of Maribor and a senior research fellow at the Institute of Contemporary History in Ljubljana. The subject of her research is Yugoslav and Slovene political History of the Second W.W.II and the post-war period, especially the History of the Communist Party of Yugoslavia and Slovenia.</p> <p>She published several books on the subjects of the history of the Communist party of Yugoslavia and lately on covert activities involving the cooperation between the Yugoslav and the western secret services against the Axis powers; she was awarded the national award for outstanding achievements in scholarly research in 2003. She has also published numerous articles, mainly dealing with the post-war opposition in Yugoslavia, the activities of the Yugoslav Secret Police (the Udba) and intelligence history in general and attended numerous conferences on contemporary history.</p> <p>She was Chair of the expert Board for the Humanities in Slovenia and is now the Slovene representative in HERA and EQUIP (EU India Platform on Social Sciences and Humanities). She was also a member of the Slovene Research Council (two terms) and ESFRI group (two terms). From 2005-2008 she was director of the Institute for Contemporary History in Ljubljana. She was president of the Slovene Historical Society and a member of the boards other historical institutions (Museums and institutes), different projects and a member of several editorial boards of historical journals.</p>	
Do your national funding rules specify a maximum amount of financial support to a third party? <sup>64</sup>	N

<sup>64</sup> This information is required by the financial regulation.

If yes, please insert the maximum amount [Euro]:	Associated with document Ref. Ares(2020)6525766 - 10/11/2020
Criteria for determining the exact amount under national funding rules	
<i>Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.</i>	
-	
Does the participant envisage that part of its work is performed by a linked third parties <sup>65</sup>	N
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)	N
Does the participant envisage that part of the work is performed by International Partners <sup>66</sup> (Article 14a of the General Model Grant Agreement)?	N

#### Partner no. 23: ARRS, Slovenia

<b>Name of organisation</b>	Slovenian Research Agency		
<b>Short name</b>	ARRS	<b>Country</b>	Slovenia
<b>Brief description of the legal entity</b>			
<p>The Slovenian Research Agency (ARRS) was established by the Government of the Republic of Slovenia and became fully operative in October 2004. The ARRS is the main public funding body of scientific research in the Republic of Slovenia. It performs professional, development and executive tasks in the public interest related to the National Research and Development Programme, providing permanent, professional and independent decision making on the selection of programmes and projects financed from the state budget.</p> <p>The main tasks of the ARRS are:</p> <ul style="list-style-type: none"> <li>• to provide framework for scientific research within the national budget and other sources;</li> <li>• to promote high quality scientific research in Slovenia and its application;</li> <li>• to foster internationally comparable evaluation standards in Slovenia;</li> <li>• to provide the transparency of organising research community in Slovenia;</li> <li>• to promote international research co-operation; and</li> <li>• to analyse R&amp;D activities and provide science policy expertise.</li> </ul> <p>The ARRS co-finances research and development activities from the state budget across all scientific domains with no thematic restrictions.</p>			
<b>Identification of the role:</b>			
Programme Owner and Manager	Y		
Programme Owner	-		
Programme Manager	-		
In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation:			
-			
<b>Identify and describe the research programme(s) with which you participate, the main programme objectives, and any previous experience and participation;</b>			
<p>The ARRS strives to actively participate in European initiatives from its establishment on. The ARRS has been a member of the NORFACE network since 2005, became a full member of the JPI Urban Europe in 2015, after participating in the initiative as an observer from 2014, and takes part in PRIMA partnership since 2018. The ARRS regularly actively participates in joint calls for proposals of NORFACE network and JPI Urban Europe. The ARRS has been the coordinator of the FP6 CSA on open method of coordination – OMC-NET BIS-RTD and the</p>			

<sup>65</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

<sup>66</sup> International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

project partner in FP7 OMC-NET Era Prism. The ARRS is one of the founding members of the Science Europe and actively participated in the ESF EUROCORES calls for proposals.

ARRS has no specific national programme regarding the topics related to CHANSE. However, cooperation of ARRS in international cooperation consortia is regulated in Article 146 of the ARRS rules on procedures (<http://www.arrs.si/en/akti/rules-cofinanc-junij18.asp>).

**Main tasks** attributed the proposed action and the previous experience relevant to those tasks

ARRS will participate in all work packages of the NORFACE-HERA Transformations joint initiative, where consultation on the consortium level is foreseen. The ARRS brings to the consortium mainly the experience from the NORFACE network and other European networks, projects and initiatives. The participating ARRS staff can offer specific expertise in analytics (indicator analysis, modelling).

**Short profile of staff member(s) who will be undertaking the work**

**Marko Perdih** (PhD) is the Assistant Director of the ARRS and the Head of the Department for Research Programmes, Young Researchers, Analysis and Monitoring. He holds a PhD in chemistry and has experience working as a researcher in one of the biggest Slovenian research institutes, National Institute of Chemistry, in business sector (Belinka chemical company and Goričane paper mill), and in the Ministry responsible for research of the Republic of Slovenia, being the Director General of the Directorate for Science and Higher Education. Marko is the NORFACE Network Board member and the Governing Board member of the JPI Urban Europe.

**Ana Jakopin** works in the Department for Research Programmes, Young Researchers, Analysis and Monitoring. Her primary work duties are related to the implementation, monitoring and evaluation of Young researchers programme, while she also actively participates in the NORFACE network activities. She is responsible for agency's annual review publication. Ana holds a MA degree in Cultural Anthropology and Ethnology.

Do your national funding rules specify a maximum amount of financial support to a third party? <sup>67</sup>	N
If yes, please insert the maximum amount [Euro]:	-
Criteria for determining the exact amount under national funding rules	
<i>Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.</i>	
National funding rules applicable to the ARRS are defined in the eligibility guidelines for participants for the NORFACE ERA-NET Transformations. Funding rules applicable for this call define eligible applicants, type of applicants and eligible costs.	
Does the participant envisage that part of its work is performed by a linked third parties <sup>68</sup>	N
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)	N
Does the participant envisage that part of the work is performed by International Partners <sup>69</sup> (Article 14a of the General Model Grant Agreement)?	N

#### Partner no. 24: AEI, Spain

<b>Name of organisation</b>	AGENCIA ESTATAL DE INVESTIGACION		
<b>Short name</b>	AEI	<b>Country</b>	SPAIN
<b>Brief description of the legal entity</b>			
<b>Brief description of the legal entity</b> The Spanish State Research Agency, AEI-Agencia Estatal de Investigación is a public funding agency created by a Royal Decree on November 2015. The AEI belongs to the Ministry of Science, Innovation and Universities and it is responsible for the proposal, management, monitoring and evaluation of the State programmes and the strategic			

<sup>67</sup> This information is required by the financial regulation.

<sup>68</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

<sup>69</sup> International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

actions of the State Plan for Scientific and Technical Research and for Innovation 2017-2020. All these action of the Plan are performed under the Spanish Strategy of Science, Technology and Innovation 2013-2020.

The Agency purpose is to evaluate, manage, finance and then monitoring technical research actions intended to generate exchange and exploit knowledge as fostered by Central State Government. The Agency objectives comprise the fostering of scientific and technical research in all areas of knowledge through the efficient allocation of public resources, the promotion of excellence, duly encouraging cooperation between the System agents and providing support for generating high impact scientific and technical, economic and social knowledge, including the most serious societal challenges. As well, the Agency has established agreements with other public or private, national or international entities/bodies, in order to promote the R&D and innovation within the implicit range of its purpose and objectives.

**Identification of the role:**

Programme Owner and Manager	N
Programme Owner	N
Programme Manager	Y

In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation:

MINISTERIO DE CIENCIA E INNOVACION

Identify and describe the **research programme(s)** with which you participate, the main programme objectives, and any previous experience and participation;

The general scientific policy and instruments have been defined in the State Plan for Scientific and Technical Research and for Innovation 2017-2020, and implemented through two main programmes, both with annual competitive calls managed by the Directorate General for Scientific and Technical Research (DGICT): the State Programme for the Promotion of Scientific-technical Research of Excellence, not thematically oriented, and the State Programme for RDI oriented to the Societal Challenges.

**Main tasks** attributed the proposed action and the previous experience relevant to those tasks

AEI will participate in the cofunded call and the additional activities as described in the work plan.

The State Research Agency- AEI will participate in the project with the Spanish Foundation for Science and Technology (full official name: Fundación Española para la Ciencia y la Tecnología F.S.P – FECYT) acting as its linked third party under article 14.

**Short profile of staff member(s) who will be undertaking the work**

**Dr. Estrella FERNÁNDEZ GARCÍA** is a Deputy Head of the Subdivision for Horizontal S&T Programmes at the AEI. She got her PhD in Chemistry at the Universidad Autónoma de Madrid in 1990. She previously acted as Assistant Deputy Director of International Projects and Assistant Deputy Director of International Programmes at the Ministry of Economy Competitiveness, and had other responsibilities in the former Ministry of Science and Innovation, mainly related with the management of scientific projects of the ERA-Net scheme. She was a representative in international organizations at the European and international level, such as OECD and the ESF. Dr. Fernández has research experience in the area of Food Technology at the Institute of Agricultural and Food Research and Technology (INIA) and at the Research Council (CSIC).

**Mr. Juan CLIMENT BLASCO** was awarded a Diploma of Advanced Studies (Doctoral Studies) in Entrepreneurship at the University of Valencia in 2011, after the degrees in Languages for Business (University of Wolverhampton), in Economics (Universidad de Valencia) and Business Administration (Universitat Oberta de Catalunya). He is Technical Advisor in the Ministry of Science, Innovation since 2012, first as Technical Coordinator in the General Secretary for Science, Technology and Innovation, after that, in the Deputy Directorate-General for International Relations and European Affairs, and nowadays, in the Subdivision for Horizontal S&T Programs. His professional experience is focused on business administration, European project management, R&D national policy and S&T international relations.

Do your national funding rules specify a maximum amount of financial support to a third party? <sup>70</sup>	N
If yes, please insert the maximum amount [Euro]:	-

Criteria for determining the exact amount under national funding rules

*Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.*

<sup>70</sup> This information is required by the financial regulation.

-		Associated with document Ref. Ares(2020)6525766 - 10/11/2020
Does the participant envisage that part of its work is performed by a linked third parties <sup>71</sup>		Y
<p>The State Research Agency- AEI will participate in the project with the Spanish Foundation for Science and Technology (full official name: Fundación Española para la Ciencia y la Tecnología F.S.P – FECYT) acting as its linked third party under article 14.</p> <p>FECYT is an affiliated entity to the AEI since both the AEI and FECYT depend hierarchically of the Ministry of Science and Innovation, being both entities under the direct control of the Ministry.</p> <p>The cooperation of the AEI and FECYT in European projects is based on a legal partnership agreement that regulates the support given to the Agency in European projects.</p> <p>FECYT will give administrative and technical support to the AEI in the project, administering the Agency's funds for efficiency purposes under the supervision of the Agency, which remains responsible of the tasks and deliverables as specified in the Description of Work.</p>		
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)		N
Does the participant envisage that part of the work is performed by International Partners <sup>72</sup> (Article 14a of the General Model Grant Agreement)?		N

#### Partner no. 25: SNSF, Switzerland

<b>Name of organisation</b>	<b>SCHWEIZERISCHER NATIONALFONDS ZUR FORDERUNG DER WISSENSCHAFTLICHEN FORSCHUNG (Swiss National Science Foundation)</b>		
<b>Short name</b>	SNSF	<b>Country</b>	Switzerland
<b>Brief description of the legal entity</b>			
<p>Based on a government mandate, the Swiss National Science Foundation (SNSF) supports scientific research in all academic disciplines, from history to medicine and the engineering sciences. At the end of 2018, the SNSF was funding 6500 projects involving 16,300 researchers, which makes it the leading Swiss institution for promoting scientific research.</p> <p>To ensure its independence, the SNSF was established as a private foundation in 1952. Its core task is the evaluation of research proposals. In 2018, it awarded CHF 1138 million to the most promising project proposals. By allocating public research money based on the principle of competition, the SNSF contributes to the high quality of research in Switzerland.</p> <p>The SNSF is organised in four divisions (Humanities and Social Sciences; Mathematics, Natural and Engineering Sciences; Biology and Medicine; Programmes). Furthermore, three Specialised Committees are responsible for cross-divisional matters (International Co-operation; Careers; Interdisciplinary Research). The Presiding Board consists of the President of the Research Council and the Presidents of the divisions and specialized committees.</p>			
<b>Identification of the role:</b>			
Programme Owner and Manager	Y		
Programme Owner	-		
Programme Manager	-		
In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation:			
-			
Identify and describe the <b>research programme(s)</b> with which you participate, the main programme objectives, and any previous experience and participation;			

<sup>71</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

<sup>72</sup> International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

Through its international activities, the SNSF contributes to the increase of research capacity in Switzerland and abroad. The SNSF engages in a number of different science policy fora such as the Global Research Council (GRC) or Science Europe, as well as committees and in working groups of intergovernmental institutions and programmes, such as the OECD Global Science Forum (GSF) or the EU Framework Programme Committees.

At present, Switzerland is taking part in some 25 ERA-NET initiatives covering a number of research areas. Specifically for the SSH, SNSF participates in the NORFACE calls DIAL, T2S and Democratic governance in a turbulent age. In HERA, SNSF participated (and still participates) in the calls Uses of the Past and Public Spaces.

At the SNSF, the term "Programmes" refers to funding schemes whose basic parameters are pre-defined. These parameters may be of a thematic or conceptual/organisational nature. In CHANSE, we are participating with the programme "ERA-NET" which follows the rules of the SNSF's most basic funding scheme, the project funding scheme.

#### **Main tasks** attributed the proposed action and the previous experience relevant to those tasks

SNSF will participate in the CHANSE Programme and support the implementation of the different work packages. It will involve experienced staff responsible for the operational management and administrative coordination. Tasks attributed to this action are the following:

- provide input to the call documents and funding model;
- define the academic part of the call;
- nominate experts for the evaluation panel and suggest referees;
- responsibility for communication and advice to applicants based in Switzerland;
- responsibility for eligibility checks according to national criteria in the two phases (Outline and Full proposals) of project evaluation;
- and by pro-actively participating in the decision process and whenever needed in the execution, monitoring and dissemination activities of the funded trans-national research projects.

#### **Short profile of staff member(s) who will be undertaking the work**

Pierre Willa holds a PhD in political science in international relations from the University of Geneva. As head of the division Humanities and Social Sciences he will be the formal representative of SNSF in this Programme.

Marie Guyaz del Aguila and Daniel Krämer are both scientific officer in the division Humanities and Social Sciences at SNSF. Marie studied political science and sociology at the University of Fribourg. She is currently Deputy Head of the Social Sciences Unit. Daniel holds a PhD in environmental history. He studied history, political sciences, and communication at the University of Bern. Both have been acting as national contact points at HERA and NORFACE since 2014.

Do your national funding rules specify a maximum amount of financial support to a third party? <sup>73</sup>	<b>Y</b>
If yes, please insert the maximum amount [Euro]:	€ 1,371,913
Criteria for determining the exact amount under national funding rules	
<i>Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.</i>	
National funding rules applicable to SNSF are defined in the eligibility guidelines for participants. The requirement for applicants as defined in the SNSF <a href="#">funding regulations</a> (in particular article 10 and article 13) and the <a href="#">general implementation regulations for the funding regulations</a> as well as the personal and formal requirements for the submission of proposals set out in its <a href="#">regulations on project funding</a> (see articles 4 and 5) need to be met..	
Does the participant envisage that part of its work is performed by a linked third parties <sup>74</sup>	<b>N</b>
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)	<b>N</b>
Does the participant envisage that part of the work is performed by	<b>N</b>

<sup>73</sup> This information is required by the financial regulation.

<sup>74</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

**Partner no. 26: FORTE, Sweden**

<b>Name of organisation</b>	Forte, The Swedish Research Council for Health, Working Life and Welfare		
<b>Short name</b>	Forte	<b>Country</b>	Sweden
<b>Brief description of the legal entity</b>			
Forte is a public Swedish research council. We operate under the Ministry of Social Affairs and the Ministry of Education.			
<b>Identification of the role:</b>			
Programme Owner and Manager			<b>Y</b>
Programme Owner			-
Programme Manager			-
In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation:			
-			
Identify and describe the <b>research programme(s)</b> with which you participate, the main programme objectives, and any previous experience and participation;			
Forte is an associated member of NORFACE and has contributed to the programmes DIAL and Welfare state futures. Forte has a long tradition of international collaboration and is currently active in several partnerships. For example, the joint programming initiatives JPND and MYBL. Forte is participating through its main research funding budget that is allocated to various national and international calls. The call has specific relevance for Fortes national research programme for working life research as it has a working life component.			
<b>Main tasks</b> attributed the proposed action and the previous experience relevant to those tasks			
Forte will provide funding to the programme. In addition, Forte may contribute to some of the work - packages, such as knowledge dissemination and impact. Forte is engaged in knowledge exchange activities in the NORFACE DIAL programme.			
<b>Short profile of staff member(s) who will be undertaking the work</b>			
Thomas Jacobsson is a program director at Forte. He manages a national programme for working life research and is engaged in several other commitments, such as joint calls with India and other Norface related duties. Tove Hammarberg is Head of International Collaboration at Forte. She manages calls with South Africa and is involved with JPI MYBL and JPI JPND as well as national expert for the programme committee for societal challenge 6 in Horizon 2020.			
Do your national funding rules specify a maximum amount of financial support to a third party? <sup>76</sup>			<b>N</b>
If yes, please insert the maximum amount [Euro]:			-
Criteria for determining the exact amount under national funding rules			
<i>Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.</i>			
-			
Does the participant envisage that part of its work is performed by a linked third parties <sup>77</sup>			<b>N</b>
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)			<b>N</b>

<sup>75</sup> International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

<sup>76</sup> This information is required by the financial regulation.

<sup>77</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

## Partner no. 27: UKRI, the United Kingdom

<b>Name of organisation</b>	United Kingdom Research and Innovation – Economic and Social Research Council & Arts and Humanities Research Council		
<b>Short name</b>	UKRI	<b>Country</b>	United Kingdom
<b>Brief description of the legal entity</b>			
UKRI works in partnership with universities, research organisations, businesses, charities, and government to create the best possible environment for research and innovation to flourish. It aims to maximise the contribution of each of our component parts, working individually and collectively. It works with our many partners to benefit everyone through knowledge, talent and ideas. UKRI operates across the whole of the UK with a combined budget of more than £7 billion. It brings together the seven research councils (including ESRC and AHRC), Innovate UK and Research England.			
<b>Identification of the role:</b>			
Programme Owner and Manager			<b>Y</b>
Programme Owner			-
Programme Manager			-
In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation:			
UKRI is both the Programme Owner and Manager.			
<b>Identify and describe the <b>research programme(s)</b> with which you participate, the main programme objectives, and any previous experience and participation;</b>			
<p>UKRI are participating in the CHANSE programme: Transformations: Social and Cultural Dynamics in the Digital Age.</p> <p>The two UKRI Research Councils participating in the programme are the Economic and Social Research Council (ESRC) and the Arts and Humanities Research Council (AHRC). More information concerning both Councils' previous engagement with European Commission-funded programmes can be found below.</p> <p><b><u>ESRC</u></b></p> <p>The ESRC has been involved in previous European Commission funding, through JPI Urban Europe, JPI More Years Better Lives and JPI Climate, the Trans-Atlantic Platform. ESRC coordinates the EU-India Platform EqUIP and is coordinating the delivery of that platform's first collaborative call.</p> <p>The ESRC has a long-established working relationship with NORFACE. ESRC has participated in all preceding NORFACE Joint Research Programmes including those on Religion, Migration, WSF, DIAL, T2S and Governance. As a result of its management of applications rounds for projects and the participation in past joint (international) calls, ESRC has a lot of experience relevant to this programme.</p> <p><b><u>AHRC</u></b></p> <p>Similar to ESRC, AHRC have participated in previous programmes supported by the European Commission, including the Trans-Atlantic Platform, the JPI on Cultural Heritage and the JPI on Urban Europe. In addition, AHRC is also a member of the aforementioned EU-India Platform EqUIP.</p> <p>Furthermore, AHRC have played an active role in the Humanities in the European Research Area (HERA) network over the past decade. The research council have previously participated in, and funded research projects through, the following HERA JRPs:</p> <ul style="list-style-type: none"> <li>HERA JRP 1: Cultural Dynamics/Humanities as a Source of Creativity/Innovation</li> </ul>			

<sup>78</sup> 'International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

- HERA JRP 2: Cultural Encounters
- HERA JRP 3: Uses of the Past
- HERA JRP 4: Public Spaces: Culture and Integration in Europe

### **Main tasks** attributed the proposed action and the previous experience relevant to those tasks

ESRC and AHRC will participate in this new CHANSE programme, and support the implementation of all the different work packages. In particular, the two UKRI Research Councils will lead on Task 4.4 “Knowledge Exchange Strategy”. UKRI works to deliver economic, social and cultural impact.

ESRC has much experience in the impact and knowledge exchange space – we provide many resources to help research generate impact including an impact toolkit, which has been informed by commissioned research and evaluations on effective knowledge exchange and impact. Similar to ESRC, AHRC has extensive experience in designing and delivering mechanisms to support knowledge exchange and generate research impact. As much of the work that it supports feeds into the creative economy, AHRC is committed to concentrating the majority of its knowledge exchange funding into centres of excellence- Knowledge Exchange Hubs- to facilitate interactions between arts and humanities research and the creative industries. In regards to multilateral European initiatives, AHRC has also led on knowledge exchange work packages in the previous HERA Uses of the Past and Public Spaces JRPs.

### **Short profile of staff member(s) who will be undertaking the work**

For ESRC, the senior staff member will be Jeremy Neathey, and the working group staff members will be Lewis Preece and Emily Hancock:

#### **Jeremy Neathey:**

Jeremy Neathey is Deputy Director of Policy and International. His role includes overall responsibility for ESRC's research grants scheme and the development and commissioning of strategic priorities. He also leads on our international strategy.

#### **Lewis Preece:**

Lewis Preece is ESRC Head of International Strategy. He is responsible for developing ESRC's international partnerships and managing our engagement with international programmes and policy fora. Lewis has overall responsibility for building and maintaining bilateral and multilateral partnerships with international funding bodies and working to ensure that the best researchers in the UK can work with the most appropriate counterparts wherever they might be in the world.

#### **Emily Hancock:**

Emily Hancock is a Senior Programme Manager split between ESRC's International Strategy team and ESRC's International Development team. Emily is responsible for European Partnerships, including NORFACE.

For AHRC, the senior staff member will be Professor Edward Harcourt, and the working group staff will be Adam Walker and Josh Moulding:

#### **Professor Edward Harcourt:**

Professor Harcourt is Director of Research, Strategy and Innovation at the Arts and Humanities Research Council. He has been a Fellow of Keble College, Oxford, since 2005, and his research is in ethics, in particular in moral psychology. Professor Harcourt has published on topics including neo-Aristotelianism and child development, the ethical dimensions of psychoanalysis and psychotherapy, the moral emotions, love and the virtues, Nietzsche's ethics, the philosophy of mental health and mental illness, literature and philosophy, and Wittgenstein. A member of the HERA Network Board, Professor Harcourt is a Director of the biennial Oxford Summer Schools in Philosophy and Psychiatry, and served until recently as Chair of the Oxford Philosophy Faculty Board.

#### **Mr. Adam Walker**

Adam Walker is Head of International Partnerships and Engagement at the Arts and Humanities Research Council of the UK (AHRC), where he has lead responsibility for the development and implementation of AHRC's international strategy and activity. This includes leadership of AHRC's new collaborations supported through the UKRI Fund for International Collaboration with the US in digital scholarship for cultural institutions; with China in the creative industries; and with Ireland in the digital humanities. Adam also leads AHRC's contribution to European programmes, notably through HERA (Humanities in the European Research Area); Horizon 2020; EQUIP (the EU-India Platform for the Social Sciences and Humanities); and T-AP (the Trans-Atlantic Platform for the

Social Sciences and Humanities). Adam sits on multiple international and cross-UKRI boards and strategy groups, including the HERA Management Team.

### Mr. Josh Moulding

Josh Moulding is a Senior International Partnerships Manager in the Arts and Humanities Research Council's International Team. Joining the team in October 2019, he is responsible for managing AHRC's European portfolio and coordinating AHRC's input to key European programmes, including the Humanities in the European Research Area (HERA) network. Previously, Josh worked across UK Research and Innovation's nine Councils to facilitate and coordinate cross-UKRI international programmes, including those delivered under the new Fund for International Collaboration (FIC). His main responsibilities included coordinating UKRI's participation in the OECD Global Science Forum and supporting its engagement with partner research funding agencies in the USA and Canada. Josh has a Master's degree in the History of Medicine from the University of Warwick.

ESRC and AHRC will share responsibilities for undertaking work on this call. All ESRC and AHRC staff are experienced in managing national and international funding schemes.

Do your national funding rules specify a maximum amount of financial support to a third party? <sup>79</sup>	N
If yes, please insert the maximum amount [Euro]:	-
Criteria for determining the exact amount under national funding rules	
<i>Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.</i>	
National funding rules applicable to ESRC will be defined in the eligibility guidelines for participants for the Call(s). For an overview of the ESRC research funding guide, please visit: <a href="http://www.esrc.ac.uk/funding/guidance-for-applicants/research-funding-guide/">http://www.esrc.ac.uk/funding/guidance-for-applicants/research-funding-guide/</a> . National funding rules applicable to AHRC will also be defined in the eligibility guidelines for participants for the Call(s). To access the AHRC research funding guide, please visit: <a href="https://ahrc.ukri.org/funding/research/researchfundingguide/">https://ahrc.ukri.org/funding/research/researchfundingguide/</a>	
Does the participant envisage that part of its work is performed by a linked third parties <sup>80</sup>	N
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)	N
Does the participant envisage that part of the work is performed by International Partners <sup>81</sup> (Article 14a of the General Model Grant Agreement)?	N

## SECTION 5: ETHICS AND SECURITY

### 5.1 ETHICS

No ethics issues have been indicated. Hence an ethics self-assessment or additional documentation is not applicable. The CHANSE proposal envisages no ethical issues during Consortium activities. The ethical obligation will be fulfilled during the whole Consortium work as well as defined in a mandatory Consortium Agreement. NCN, as Coordinator of the Consortium, commits itself to follow the highest standards of ethical compliance.

The following areas of ethical issues can be addressed:

- Personal information of individuals: the Consortium coordinator acts in compliance with the General Data Protection Regulation as well as with Directive 95/46/EC of the European Parliament and of the Council of

<sup>79</sup> This information is required by the financial regulation.

<sup>80</sup> A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action (Articles 14 of the [Model Grant Agreement](#)).

<sup>81</sup> International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

24 October 1995 on the protection of individuals with regard to the processing of personal data and on the free movement of such data. Adherence to these rules is overseen by SG and CO.

- Ethical standards of reviewing in the RP: CHANSE will follow the highest ethical standards as regards the review process of submitted proposals. Guidelines on the ethical issues will be included in the Co-funded Call documentation and approved by the SG.
- Ethical issues in submitted proposals to the planned CHANSE Co-funded Call: special attention will be given to the ethical aspects of submitted proposals. Proposals will include a mandatory description of any ethical issues raised in the course of the research.

## 5.2 SECURITY

Please indicate if your project will involve:

- activities or results raising security issues: (NO)
- 'EU-classified information' as background or results: (NO)


The Programme will not involve any activities or results raising security issues.

The Programme will not involve any EU-classified information as background or results.

ESTIMATED BUDGET FOR THE ACTION

	Estimated eligible <sup>1</sup> costs (per budget category)										EU contribution			Additional information	
	A. Costs related to trans-national projects						B. Direct coordination costs of additional activities		C. Indirect costs <sup>2</sup>	Total costs	Reimbursement rate %	Maximum EU contribution <sup>3</sup>	Maximum grant amount <sup>4</sup>	Information for auditors:	Other information:
	A.1 Direct costs of providing financial support to third parties	A.2 Direct costs for the implementation of trans-national projects by the beneficiaries												Declaration of costs under Point A.2.3.4	Estimated costs of beneficiaries/ linked third parties not receiving funding/ international partners
		A.2.1 Direct personnel costs		A.2.2 Direct costs of subcontracting	A.2.3 Other direct costs										
A.2.1.1. Employees (or equivalent) A.2.1.2. Natural persons under direct contract A.2.1.3. Seconded persons			A.2.3.1 Travel A.2.3.2 Equipment A.2.3.3 Other goods and services <i>[A.2.3.4.Costs of large research infrastructure]</i>	A.2.3.5 Costs of internally invoiced goods and services											
Form of costs <sup>5</sup>	Actual	Actual	Unit <sup>6</sup>	Actual	Actual	Unit <sup>7</sup>	Unit <sup>8</sup>		Flat-rate <sup>9</sup>						
							29000 EUR/year		25%						
	a	b	Total c	d	e	Total f	No units	Total h	i=0,25*(g+h)	j=a+g+h+i	k	l	m	Yes/No	
		Total g <sup>10</sup>													
1. NCN	917 518.00					0.00	5.00	145 000.00	36 250.00	1 098 768.00	33.00	362 593.44	362 589.58	No	n/a
2. FWF	596 387.00					0.00	5.00	145 000.00	36 250.00	777 637.00	33.00	256 620.21	256 620.21	No	n/a
3. FNRS	183 504.00					0.00	5.00	145 000.00	36 250.00	364 754.00	33.00	120 368.82	120 368.82	No	n/a
4. FWO	642 263.00					0.00	5.00	145 000.00	36 250.00	823 513.00	33.00	271 759.29	271 759.29	No	n/a
5. BNSF	211 104.00					0.00	5.00	145 000.00	36 250.00	392 354.00	33.00	129 476.82	129 476.82	No	n/a
6. HAZU	0.00					0.00	5.00	145 000.00	36 250.00	181 250.00	33.00	59 812.50	59 812.50	No	n/a
7. HRZZ	193 355.00					0.00	5.00	145 000.00	36 250.00	374 605.00	33.00	123 619.65	123 619.65	No	n/a
8. AVCR	431 234.00					0.00	5.00	145 000.00	36 250.00	612 484.00	33.00	202 119.72	202 119.72	No	n/a
9. DAFSHE	1 169 821.00					0.00	5.00	145 000.00	36 250.00	1 351 071.00	33.00	445 853.43	445 853.43	No	n/a
10. ETag	211 029.00					0.00	5.00	145 000.00	36 250.00	392 279.00	33.00	129 452.07	129 452.07	No	n/a
11. AKA	1 101 021.00					0.00	5.00	145 000.00	36 250.00	1 282 271.00	33.00	423 149.43	423 149.43	No	n/a
12. DLR	4 771 090.00					0.00	5.00	145 000.00	36 250.00	4 952 340.00	33.00	1 634 272.20	1 634 272.20	No	n/a
13. NKFIH	229 380.00					0.00	5.00	145 000.00	36 250.00	410 630.00	33.00	135 507.90	135 507.90	No	n/a
14. Rannis	229 380.00					0.00	5.00	145 000.00	36 250.00	410 630.00	33.00	135 507.90	135 507.90	No	n/a
15. VIAA	367 007.00					0.00	5.00	145 000.00	36 250.00	548 257.00	33.00	180 924.81	180 924.81	No	n/a
16. LMT	183 504.00					0.00	5.00	145 000.00	36 250.00	364 754.00	33.00	120 368.82	120 368.82	No	n/a
17. FNR	458 759.00					0.00	5.00	145 000.00	36 250.00	640 009.00	33.00	211 202.97	211 202.97	No	n/a
18. NWO	0.00					0.00	5.00	145 000.00	36 250.00	181 250.00	33.00	59 812.50	59 812.50	No	n/a
19. RCN	2 007 315.00					0.00	5.00	145 000.00	36 250.00	2 188 565.00	33.00	722 226.45	722 226.45	No	n/a
20. UEFISCDI	458 759.00					0.00	5.00	145 000.00	36 250.00	640 009.00	33.00	211 202.97	211 202.97	No	n/a
21. SAS	220 205.00					0.00	5.00	145 000.00	36 250.00	401 455.00	33.00	132 480.15	132 480.15	No	n/a
22. MIZS	316 544.00					0.00	5.00	145 000.00	36 250.00	497 794.00	33.00	164 272.02	164 272.02	No	n/a
23. ARRS	137 628.00					0.00	5.00	145 000.00	36 250.00	318 878.00	33.00	105 229.74	105 229.74	No	n/a
24. AEI	734 014.00					0.00	2.00	58 000.00	14 500.00	806 514.00	33.00	266 149.62	266 149.62	No	n/a
- FECYT	0.00					0.00	3.00	87 000.00	21 750.00	108 750.00	33.00	35 887.50	35 887.50	No	n/a
Total beneficiary	734 014.00					0.00	5.00	145 000.00	36 250.00	915 264.00		302 037.12	302 037.12	n/a	0.00
25. SNSF	1 258 754.00					0.00	5.00	145 000.00	36 250.00	1 440 004.00	33.00	475 201.32	475 201.32	No	n/a
26. FORTE	1 957 096.00					0.00	5.00	145 000.00	36 250.00	2 138 346.00	33.00	705 654.18	705 654.18	No	n/a
27. UKRI	6 422 621.00					0.00	5.00	145 000.00	36 250.00	6 603 871.00	33.00	2 179 277.43	2 179 277.43	No	n/a
Total consortium	25 409 292.00					0.00	135.00	3 915 000.00	978 750.00	30 303 042.00		10 000 003.86	10 000 000.00		0.00

ESTIMATED BUDGET FOR THE ACTION

 Associated with document Ref. Ares(2020)6525766 - 10/11/2020

<sup>1</sup> See Article 6 for the eligibility conditions.

<sup>2</sup> Indirect costs already covered by an operating grant (received under any EU or Euratom funding programme; see Article 6.5.(b)) are ineligible under the GA. Therefore, a beneficiary/linked third party 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, unless it can demonstrate that the operating grant does not cover any costs of the action (see Article 6.2.C).

<sup>3</sup> 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).

<sup>4</sup> 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.

<sup>5</sup> See Article 5 for the forms of costs.

<sup>6</sup> Unit : hours worked on the action; costs per unit (hourly rate) : calculated according to beneficiary's usual accounting practice.

<sup>7</sup> Unit and costs per unit: calculated according to the beneficiary's usual accounting practices.

<sup>8</sup> Unit : years in which additional activities were carried out.

<sup>9</sup> Flat rate : 25% of eligible direct costs, from which are excluded: direct costs of subcontracting for the implementation of trans-national projects by the beneficiaries, costs of in-kind contributions not used on premises and direct costs of financial support to third parties implementing trans-national projects (see Article 6.2.C).

<sup>10</sup> For the estimated budget, the beneficiaries must only indicate the global amount for budget category A.2 (i.e. NOT broken down into personnel costs, subcontracting costs and other direct costs). For the financial statements the costs will have to be broken down.

<sup>11</sup> See Article 9 for beneficiaries not receiving funding.

<sup>12</sup> Only for linked third parties that receive funding.

## ANNEX 2a

### ADDITIONAL INFORMATION ON THE ESTIMATED BUDGET

- Instructions and footnotes in blue will not appear in the text generated by the IT system (since they are internal instructions only).
- For options [in square brackets]: the applicable option will be chosen by the IT system. Options not chosen will automatically not appear.
- For fields in [grey in square brackets] (even if they are part of an option as specified in the previous item): IT system will enter the appropriate data.

#### **ERA-NET unit cost**

##### **1. Direct coordination costs for additional activities**

Units: number of years in which the additional activities were carried out by each beneficiary/linked third party

Amount per unit (EUR/year): EUR 29 000 per year

Estimated number of units: see Annex 2

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**FONDS ZUR FÖRDERUNG DER WISSENSCHAFTLICHEN FORSCHUNG (FWF)**, established in SENSENGASSE 1, WIEN 1090, Austria, VAT number: ATU37675903, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary** No ('2')

**in Grant Agreement No** 101004509 ('the Agreement')

**between** NARODOWE CENTRUM NAUKI **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

**for the action entitled** 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**FONDS DE LA RECHERCHE SCIENTIFIQUE- FNRS (FNRS)**, established in RUE D'EGMONT 5, BRUXELLES 1000, Belgium, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary** No ('3')

**in Grant Agreement No** 101004509 ('the Agreement')

**between** NARODOWE CENTRUM NAUKI **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

**for the action entitled** 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**FONDS VOOR WETENSCHAPPELIJK ONDERZOEK-VLAANDEREN (FWO)**, established in EGMONTSTRAAT 5, BRUSSEL 1000, Belgium, VAT number: BE0880212840, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary** No ('4')

**in Grant Agreement No** 101004509 ('the Agreement')

**between** NARODOWE CENTRUM NAUKI **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

**for the action entitled** 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**BULGARIAN NATIONAL SCIENCE FUND (BNSF)**, established in BLVD KNYAZ DONDUKOV 2 A, SOFIA 1000, Bulgaria, VAT number: BG175467353, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary** No ('5')

**in Grant Agreement No** 101004509 ('the Agreement')

**between** NARODOWE CENTRUM NAUKI **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

**for the action entitled** 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**HRVATSKA AKADEMIJA ZNANOSTI I UMJETNOSTI (HAZU)**, established in TRG NIKOLE SUBICA ZRINSKOG 11, ZAGREB 10000, Croatia, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary** No ('6')

**in Grant Agreement No** 101004509 ('the Agreement')

**between** NARODOWE CENTRUM NAUKI **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

**for the action entitled** 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**HRVATSKA ZAKLADA ZA ZNANOST (HRZZ)**, established in ILICA 24, ZAGREB 10000, Croatia, VAT number: HR88776522763, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary** No ('7')

**in Grant Agreement No** 101004509 ('the Agreement')

**between** NARODOWE CENTRUM NAUKI **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

**for the action entitled** 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**AKADEMIE VED CESKE REPUBLIKY (AVCR)**, established in NARODNI 3, PRAHA 1 117 20, Czech Republic, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary** No ('8')

**in Grant Agreement No** 101004509 ('the Agreement')

**between** NARODOWE CENTRUM NAUKI **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

**for the action entitled** 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**STYRELSEN FOR FORSKNING OG UDDANNELSE (DAFSHE)**, established in HARALDSGADE 53, KOBENHAVN 2100, Denmark, VAT number: DK19918440, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary** No ('9')

**in Grant Agreement No** 101004509 ('the Agreement')

**between** NARODOWE CENTRUM NAUKI **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

**for the action entitled** 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**SIHTASUTUS EESTI TEADUSAGENTUUR (ETAg)**, established in SOOLA 8, TARTU 51004, Estonia, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary** No ('10')

**in Grant Agreement No** 101004509 ('the Agreement')

**between** NARODOWE CENTRUM NAUKI **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

**for the action entitled** 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**SUOMEN AKATEMIA (AKA)**, established in HAKANIEMENRANTA 6, HELSINKI 00531, Finland, VAT number: FI02458939, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary** No ('11')

**in Grant Agreement No** 101004509 ('the Agreement')

**between** NARODOWE CENTRUM NAUKI **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

**for the action entitled** 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**DEUTSCHES ZENTRUM FÜR LUFT - UND RAUMFAHRT EV (DLR)**, established in LINDER HOHE, KOLN 51147, Germany, VAT number: DE121965658, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary** No ('12')

**in Grant Agreement No** 101004509 ('the Agreement')

**between** NARODOWE CENTRUM NAUKI **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

**for the action entitled** 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**NEMZETI KUTATASI FEJLESZTESI ES INNOVACIOS HIVATAL (NKFIH)**, established in KETHLY ANNA TER 1, BUDAPEST 1077, Hungary, VAT number: HU15831000, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary** No ('13')

**in Grant Agreement No** 101004509 ('the Agreement')

**between** NARODOWE CENTRUM NAUKI **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

**for the action entitled** 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**RANNSOKNAMIDSTOD ISLANDS (Rannis)**, established in BORGARTUNI 30, REYKJAVIK 105, Iceland, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary** No ('14')

**in Grant Agreement No** 101004509 ('the Agreement')

**between** NARODOWE CENTRUM NAUKI **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

**for the action entitled** 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**VALSTS IZGLITIBAS ATTISTIBAS AGENTURA (VIAA)**, established in VALNU IELA 1, RIGA 1050, Latvia, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary** No ('15')

**in Grant Agreement No** 101004509 ('the Agreement')

**between** NARODOWE CENTRUM NAUKI **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

**for the action entitled** 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**Lietuvos mokslo taryba (LMT)**, established in Gedimino 3, Vilnius LT-01103, Lithuania, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary** No ('16')

**in Grant Agreement No** 101004509 ('the Agreement')

**between** NARODOWE CENTRUM NAUKI **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

**for the action entitled** 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**FONDS NATIONAL DE LA RECHERCHE (FNR)**, established in 2 AVENUE DE L'UNIVERSITE, ESCH-SUR-ALZETTE 4365, Luxembourg, VAT number: LU20686731, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary** No ('17')

**in Grant Agreement No** 101004509 ('the Agreement')

**between** NARODOWE CENTRUM NAUKI **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

**for the action entitled** 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**NEDERLANDSE ORGANISATIE VOOR WETENSCHAPPELIJK ONDERZOEK (NWO)**, established in Laan van Nieuw Oost Indie 300, DEN HAAG 2593 CE, Netherlands, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary** No ('18')

**in Grant Agreement No** 101004509 ('the Agreement')

**between** NARODOWE CENTRUM NAUKI **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

**for the action entitled** 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**NORGES FORSKNINGSRAD (RCN)**, established in DRAMMENSVEIEN 288, OSLO 0283, Norway, VAT number: NO970141669MVA, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary** No ('19')

**in Grant Agreement No** 101004509 ('the Agreement')

**between** NARODOWE CENTRUM NAUKI **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

**for the action entitled** 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**Unitatea Executiva pentru Finantarea Invatamantului Superior, a Cercetarii, Dezvoltarii si Inovarii (UEFISCDI)**, established in Mendeleev Street 21-25, Bucharest 010362, Romania, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary** No ('20')

**in Grant Agreement** No 101004509 ('the Agreement')

**between** NARODOWE CENTRUM NAUKI **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

**for the action entitled** 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**SLOVENSKA AKADEMIA VIED (SAS)**, established in STEFANIKOVA 49, BRATISLAVA 814 38, Slovakia, VAT number: N/A, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary** No ('21')

**in Grant Agreement No** 101004509 ('the Agreement')

**between** NARODOWE CENTRUM NAUKI **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

**for the action entitled** 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**Ministrstvo za izobraževanje, znanost in sport (MIZS)**, established in Masarykova 16, Ljubljana 1000, Slovenia, VAT number: SI14246821, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary No ('22')**

**in Grant Agreement No 101004509 ('the Agreement')**

**between NARODOWE CENTRUM NAUKI and the Research Executive Agency (REA) ('the Agency')**, under the powers delegated by the European Commission ('the Commission'),

**for the action entitled 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.**

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**JAVNA AGENCIJA ZA RAZISKOVALNO DEJAVNOST REPUBLIKE SLOVENIJE (ARRS)**, established in BLEIWEISOVA CESTA 30, LJUBLJANA 1000, Slovenia, VAT number: SI88431452, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary No ('23')**

**in Grant Agreement No 101004509 ('the Agreement')**

**between NARODOWE CENTRUM NAUKI and the Research Executive Agency (REA) ('the Agency')**, under the powers delegated by the European Commission ('the Commission'),

**for the action entitled 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.**

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**AGENCIA ESTATAL DE INVESTIGACION (AEI)**, established in TORRELAGUNA 58 BIS, MADRID 28071, Spain, VAT number: ESQ2802338J, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary** No ('24')

**in Grant Agreement No** 101004509 ('the Agreement')

**between** NARODOWE CENTRUM NAUKI **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

**for the action entitled** 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**SCHWEIZERISCHER NATIONALFONDS ZUR FORDERUNG DER WISSENSCHAFTLICHEN FORSCHUNG (SNSF)**, established in Wildhainweg 3, Bern 3012, Switzerland, VAT number: CH249693, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary No ('25')**

**in Grant Agreement No 101004509 ('the Agreement')**

**between NARODOWE CENTRUM NAUKI and the Research Executive Agency (REA) ('the Agency')**, under the powers delegated by the European Commission ('the Commission'),

**for the action entitled 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.**

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**FORSKINGSRADET FOR HALSA ARBETSLIV OCH VALFÄRD (FORTE)**, established in Ostra Järnvägsgatan 27, Stockholm 101 37, Sweden, VAT number: N/A, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary** No ('26')

**in Grant Agreement** No 101004509 ('the Agreement')

**between** NARODOWE CENTRUM NAUKI **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

**for the action entitled** 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**UNITED KINGDOM RESEARCH AND INNOVATION (UKRI)**, established in POLARIS HOUSE NORTH STAR AVENUE, SWINDON SN2 1FL, United Kingdom, VAT number: GB287461957, ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become beneficiary** No ('27')

**in Grant Agreement No** 101004509 ('the Agreement')

**between** NARODOWE CENTRUM NAUKI **and** the Research Executive Agency (REA) ('the Agency'), under the powers delegated by the European Commission ('the Commission'),

**for the action entitled** 'Collaboration of Humanities And Social Sciences in Europe (CHANSE)'.

**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 it in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

MODEL ANNEX 4 FOR H2020 MGA ERA-NET COFUND — 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. Costs related to trans-national projects								B. Direct coordination costs of additional activities		C. Indirect costs <sup>2</sup>	Total costs		Receipts	Reimbursement rate %	Maximum EU contribution <sup>3</sup>	Requested EU contribution	Information for indirect costs :	
A.1 Direct costs of providing financial support to third parties		A.2 Direct costs for the implementation of trans-national projects by the beneficiaries											Receipts of the action, to be reported in the last reporting period, according to Article 5.3.3				Costs of in-kind contributions not used on premises	
		A.2.1 Direct personnel costs		A.2.2 Direct costs of subcontracting	A.2.3 Other direct costs													
		A.2.1.1. Employees (or A.2.1.2. Natural persons under A.2.1.3. Seconded persons			A.2.3.1 Travel A.2.3.2 Equipment A.2.3.3 Other goods and services	[A.2.3.4. Costs of large research]	A.2.3.5 Costs of internally invoiced goods and services											
Form of costs <sup>4</sup>		Actual	Actual	Unit	Actual	Actual		Unit	Unit		Flat-rate <sup>5</sup>							
								29000 EUR/year		25%								
		a	b	Total c	d	e	[f]	Total g	No units	Total h	i = 0,25x(b+c +e+[f] + g+h -o)		j = a+b+c+d+e+[f] + g +h+i	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).

① 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.C). If you have received an operating grant during this reporting period, you cannot claim indirect costs, unless you can demonstrate that the operating grant does not cover any costs of the action.  
<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 be less.  
<sup>4</sup> See Article 5 for the forms of costs  
<sup>5</sup> Flat rate : 25% of eligible direct costs, from which are excluded: direct costs of subcontracting for the implementation of trans-national projects by the beneficiaries, costs of in-kind contributions not used on premises and direct costs of financial support to third parties implementing trans-national projects (see Article 6.2.C)

## 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

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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

INDEPENDENT REPORT OF FACTUAL FINDINGS ON COSTS DECLARED UNDER A GRANT AGREEMENT FINANCED UNDER THE HORIZON 2020 RESEARCH FRAMEWORK PROGRAMME

## **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’).*]

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;

---

<sup>1</sup> By which costs under the Agreement are declared (see template ‘Model Financial Statements’ in Annex 4 to the Grant Agreement).

- 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]:

- 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

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[, 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 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 [, 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].

### 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]

<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.

**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],

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 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.

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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: v5.0 – dd.mm.2017

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.

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.

*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.**

....



## H2020 Model Grant Agreements: H2020 General MGA — Multi: v5.0 – dd.mm.2017

*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 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

<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	<b>ACTUAL PERSONNEL COSTS AND UNIT COSTS CALCULATED BY THE BENEFICIARY IN ACCORDANCE WITH ITS USUAL COST ACCOUNTING PRACTICE</b>		
	<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>		

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
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> <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>	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 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</li> </ul>	6) The Beneficiary paying "additional remuneration" was a non-profit legal entity.	

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>obligations, the Beneficiary's usual policy on additional remuneration, criteria used for its calculation, the Beneficiary's usual remuneration practice for projects funded under national funding schemes...);</p> <ul style="list-style-type: none"> <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, usual remuneration paid for projects funded by national schemes) 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> <p><i>'ADDITIONAL REMUNERATION' MEANS ANY PART OF THE REMUNERATION WHICH EXCEEDS WHAT THE PERSON WOULD BE PAID FOR TIME WORKED IN PROJECTS FUNDED BY NATIONAL SCHEMES.</i></p> <p><i>IF ANY PART OF THE REMUNERATION PAID TO THE EMPLOYEE QUALIFIES AS "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>	<p>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.</p>	
		<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.</p>	
		<p>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>	
	<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</p>	<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</p>	

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>factual findings 10-13 listed in the next column:</p> <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>	used in all H2020 actions.	
		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 14-17 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> <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>	14) The natural persons worked under conditions similar to those of an employee, in particular regarding the way the work is organised, the tasks that are performed and the premises where they are performed.	
		15) The results of work carried out belong to the Beneficiary, or, if not, the Beneficiary has obtained all necessary rights to fulfil its obligations as if those	

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
		results were generated by itself.	
		16) Their costs were not significantly different from those for staff who performed similar tasks under an employment contract with the Beneficiary.	
		17) 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 18-21 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> <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> </ul>	18) Seconded personnel reported to the Beneficiary and worked on the Beneficiary's premises (unless otherwise agreed with the Beneficiary).	
		19) The results of work carried out belong to the Beneficiary, or, if not, the Beneficiary has obtained all necessary rights to fulfil its obligations as if those results were generated by itself..	
		<p><i>If personnel is seconded against payment:</i></p> <p>20) The costs declared were supported with documentation and recorded in the</p>	

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> <li>any other document that supports the costs declared (e.g. invoices, etc.).</li> </ul>	Beneficiary's accounts. The third party did not include any profit.	
		<i>If personnel is seconded free of charge:</i>  21) 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.	
A.2	<b>PRODUCTIVE HOURS</b>  To confirm standard factual findings 22-27 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: <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> 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.  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	22) The Beneficiary applied method [choose one option and delete the others]  [A: 1720 hours]  [B: the 'total number of hours worked']  [C: 'standard annual productive hours' used correspond to usual accounting practices]	
		23) Productive hours were calculated annually.	
		24) For employees not working full-time the full-time equivalent (FTE) ratio was correctly applied.	

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>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><i>A. 1720 ANNUAL PRODUCTIVE HOURS (PRO-RATA FOR PERSONS NOT WORKING FULL-TIME)</i></p> <p><i>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).</i></p> <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 'STANDARD 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>	<p><i>If the Beneficiary applied method B.</i></p> <p>25) The calculation of the number of 'annual workable hours', overtime and absences was verifiable based on the documents provided by the Beneficiary.</p> <p>25.1) The Beneficiary calculates the hourly rates per full financial year following procedure A.3 (method B is not allowed for beneficiaries calculating hourly rates per month).</p> <p><i>If the Beneficiary applied method C.</i></p> <p>26) The calculation of the number of 'standard annual workable hours' was verifiable based on the documents provided by the Beneficiary.</p>	

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
		27) 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'.	
A.3	<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 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> </ul>	<p>28) The Beneficiary applied [<i>choose one option and delete the other</i>]:</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> <p><i>For option I concerning unit costs and if the Beneficiary applies the methodology approved by the Commission (CoMUC):</i></p> <p>29) 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</p>	

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> <li>recalculated the hourly rates of staff included in the sample (recalculation of all hourly rates if the Beneficiary uses annual rates, recalculation of three months selected randomly for every year and person if the Beneficiary uses monthly rates) following the results of the procedures carried out in A.1 and A.2;</li> <li>(only in case of monthly rates) confirmed that the time spent on parental leave is not deducted, and that, if parts of the basic remuneration are generated over a period longer than a month, the Beneficiary has included only the share which is generated in the month.</li> </ul>	activities irrespective of the source of funding.	
	<p><u>“UNIT COSTS CALCULATED BY THE BENEFICIARY IN ACCORDANCE WITH ITS USUAL COST ACCOUNTING PRACTICES”:</u>  <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>  <i>IT IS CALCULATED FOLLOWING ONE OF THE TWO OPTIONS BELOW:</i></p> <p><i>A) [OPTION BY DEFAULT] BY DIVIDING THE ACTUAL ANNUAL AMOUNT OF PERSONNEL COSTS OF AN EMPLOYEE VERIFIED IN LINE WITH PROCEDURE A.1 BY THE NUMBER OF ANNUAL PRODUCTIVE HOURS VERIFIED IN LINE WITH PROCEDURE A.2 (FULL FINANCIAL YEAR HOURLY RATE);</i></p> <p><i>B) BY DIVIDING THE ACTUAL MONTHLY AMOUNT OF PERSONNEL COSTS OF AN EMPLOYEE VERIFIED IN LINE WITH PROCEDURE A.1 BY 1/12 OF THE NUMBER OF ANNUAL PRODUCTIVE HOURS VERIFIED IN LINE WITH PROCEDURE A.2.(MONTHLY HOURLY RATE).</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>30) 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> <p>31) The individual rates re-calculated by the Auditor were the same as the rates applied by the Beneficiary.</p> <p>31.1) The Beneficiary used only one option (per full financial year or per month) throughout each financial year examined.</p> <p>31.2) The hourly rates do not include additional remuneration.</p>	

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
A.4	<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> <li>○ the hours charged to the action matched those in the time recording system.</li> </ul>	32) 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>	
		33) Their time-records were authorised at least monthly by the project manager or other superior.	
		34) Hours declared were worked within the project period and were consistent with the presences/absences recorded in HR-records.	
		35) There were no discrepancies between the number of hours charged to the action and the number of hours recorded.	
	<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> <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>	36) The exclusive dedication is supported by a declaration signed by the Beneficiary and by any other evidence gathered.	

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
<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> (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).</p> <p>To confirm standard factual findings 37-41 listed in the next column, the Auditor reviewed the 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>i. if the Beneficiary acted as a contracting authority within the meaning of Directive 2004/18/EC (or 2014/24/EU) or of Directive 2004/17/EC (or 2014/25/EU), 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>ii. 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>37) The use of claimed subcontracting costs was foreseen in Annex 1 and costs were declared in the Financial Statements under the subcontracting category.</p> <p>38) 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>39) The subcontracts were not awarded to other Beneficiaries</p>	

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	For the items included in the sample the Auditor also verified that: <ul style="list-style-type: none"> <li>the subcontracts were not awarded to other Beneficiaries in the consortium;</li> <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>	of the consortium.	
		40) All subcontracts were supported by signed agreements between the Beneficiary and the subcontractor.	
		41) 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 respected.</li> </ul>	42) All minimum conditions were met	

D	OTHER ACTUAL DIRECT COSTS		
D.1	<b>COSTS OF TRAVEL AND RELATED SUBSISTENCE ALLOWANCES</b>  <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> ).  The Auditor inspected the sample and verified that: <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 (see Article 6.5 MGA).</li> </ul>	43) Costs were incurred, approved and reimbursed in line with the Beneficiary's usual policy for travels.	
		44) There was a link between the trip and the action.	
		45) The supporting documents were consistent with each other regarding subject of the trip, dates, duration and reconciled with time records and accounting.	
		46) No ineligible costs or excessive or reckless expenditure was declared.	
D.2	<b>DEPRECIATION COSTS FOR EQUIPMENT, INFRASTRUCTURE OR OTHER ASSETS</b>  <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> ).  For “equipment, infrastructure or other assets” [from now on called “asset(s)”] selected in the sample the Auditor verified that: <ul style="list-style-type: none"> <li>○ the assets were acquired in conformity with the Beneficiary's internal guidelines and procedures;</li> </ul>	47) Procurement rules, principles and guides were followed.	
		48) There was a link between the grant agreement and the asset charged to the action.	
		49) The asset charged to the action was traceable to the accounting records and the underlying documents.	

	<ul style="list-style-type: none"> <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 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.	
		51) The amount charged corresponded to the actual usage for the action.	
		52) 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> <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</p>	53) Contracts for works or services did not cover tasks described in Annex 1.	
		54) Costs were allocated to the correct action and the goods were not placed in the inventory of durable equipment.	
		55) The costs were charged in line with the Beneficiary's accounting policy and were adequately supported.	
		56) 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>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 2014/24/EU) or of Directive 2004/17/EC (or 2014/25/EU), 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 AGREEMENT, CERTIFICATES ON THE FINANCIAL STATEMENTS IF THEY ARE REQUIRED BY THE AGREEMENT AND CERTIFICATES ON THE METHODOLOGY, TRANSLATIONS, REPRODUCTION.</i></p>	<p>57) 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 caption “Exceptions” of the Report. The Commission will analyse this information to evaluate whether these costs might be accepted as eligible)</i></p>	
<b>D.4</b>	<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>58) 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><b><i>In the cases that a positive ex-ante assessment has been issued (see the standard factual findings 58-59 on the next column),</i></b> The Auditor ensured that the beneficiary has applied consistently the methodology that is explained and approved in the positive ex ante assessment;</p> <p><b><i>In the cases that a positive ex-ante assessment has NOT been issued (see the standard factual findings 60 on the next column),</i></b> The Auditor verified that no costs of Large Research Infrastructure have been charged as direct costs in any costs category;</p> <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 60 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>	59) Any difference between the methodology applied and the one positively assessed was extensively described and adjusted accordingly.	
		60) The direct costs declared were free from any indirect costs items related to the Large Research Infrastructure.	
<b>D.5</b>	<p><b>Costs of internally invoiced goods and services</b></p> <p><b>The Auditor sampled cost items selected randomly</b> (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).</p> <p>To confirm standard factual findings 61-65 listed in the next column, the Auditor:</p> <ul style="list-style-type: none"> <li>obtained a description of the Beneficiary's usual cost accounting practice to calculate costs of internally invoiced goods and services (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>ensured that the methodology to calculate unit costs is being used in a consistent manner, based on objective criteria, regardless of the source of funding;</li> <li>verified that any ineligible items or any costs claimed under other budget categories, in particular indirect costs, have not been taken into account when calculating the costs of</li> </ul>	61) The costs of internally invoiced goods and services included in the Financial Statement were calculated in accordance with the Beneficiary's usual cost accounting practice.	
		62) The cost accounting practices used to calculate the costs of internally invoiced goods and services were applied by the Beneficiary in a consistent manner based on objective criteria regardless of the source of funding.	
		63) The unit cost is calculated using the actual costs for the good or service recorded in the Beneficiary's accounts, excluding any ineligible cost or costs included in other	

	<p>internally invoiced goods and services (see Article 6 GA);</p> <ul style="list-style-type: none"> <li>o verified whether actual costs of internally invoiced goods and services were adjusted on the basis of budgeted or estimated elements and, if so, verified whether those elements used are actually relevant for the calculation, and correspond to objective and verifiable information.</li> <li>o verified that any costs of items which are not directly linked to the production of the invoiced goods or service (e.g. supporting services like cleaning, general accountancy, administrative support, etc. not directly used for production of the good or service) have not been taken into account when calculating the costs of internally invoiced goods and services.</li> <li>o verified that any costs of items used for calculating the costs internally invoiced goods and services are supported by audit evidence and registered in the accounts.</li> </ul>	budget categories.	
		64) The unit cost excludes any costs of items which are not directly linked to the production of the invoiced goods or service.	
		65) The costs items used for calculating the actual costs of internally invoiced goods and services were relevant, reasonable and correspond to objective and verifiable information.	
<b>E</b>	<b>USE OF EXCHANGE RATES</b>		
<b>E.1</b>	<p><u>a) For Beneficiaries with accounts established in a currency other than 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 RECORDED IN THE ACCOUNTS IN A CURRENCY OTHER THAN EURO 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>	66) 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.	

	DETERMINED OVER THE CORRESPONDING REPORTING PERIOD.		
	<p>b) For Beneficiaries with accounts established in euros</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</b> ( 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):</p> <p><i>COSTS INCURRED IN ANOTHER CURRENCY SHALL BE CONVERTED INTO EURO BY APPLYING THE BENEFICIARY'S USUAL ACCOUNTING PRACTICES.</i></p>	67) 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>

## 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.

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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

INDEPENDENT REPORT OF FACTUAL FINDINGS ON THE METHODOLOGY CONCERNING GRANT AGREEMENTS FINANCED UNDER THE HORIZON 2020 RESEARCH AND INNOVATION FRAMEWORK PROGRAMME

**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’).*].

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]*:

- 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 declared 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<sup>1</sup>, *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].

### 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]  
[name & title of authorised representative]  
[dd Month yyyy]  
Signature of the Auditor

[legal name of the [Beneficiary] [Linked Third Party]]  
[name & title of authorised representative]  
[dd Month yyyy]  
Signature of the *[Beneficiary] [Linked Third Party]*

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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.

## **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],

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>1</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 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

Please provide the following documents to the auditor and annex them to the report when submitting this CoMUC to the Commission:

<sup>1</sup> Financial Statement in this context refers solely to Annex 4 of the Agreement by which the Beneficiary declares costs under the Agreement.

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>2</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).

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

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<sup>2</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.

**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'.

<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><b>A. Use of the Methodology</b></p> <p>I. The cost accounting practice described below has been in use since /dd Month yyyy/.</p> <p>II. The next planned alteration to the methodology used by the Beneficiary will be from [dd Month yyyy/.</p>	<p><b>Procedure:</b></p> <p>✓ The Auditor checked these dates against the documentation the Beneficiary has provided.</p> <p><b>Factual finding:</b></p> <p>1. The dates provided by the Beneficiary were consistent with the documentation.</p>
<p><b>B. Description of the Methodology</b></p> <p>III. The methodology to calculate unit costs is being used in a consistent manner and is reflected in the relevant procedures.</p> <p><i>[Please describe the methodology your entity uses to calculate <u>personnel costs</u>, productive hours and hourly rates, present your description to the Auditor and annex it to this certificate]</i></p> <p><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 Factual Findings:</i></p> <p>- ...]</p>	<p><b>Procedure:</b></p> <p>✓ The Auditor reviewed the description, the relevant manuals and/or internal guidance documents describing the methodology.</p> <p><b>Factual finding:</b></p> <p>2. The brief description was consistent with the relevant manuals, internal guidance and/or other documentary evidence the Auditor has reviewed.</p> <p>3. The methodology was generally applied by the Beneficiary as part of its usual costs accounting practices.</p>

<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><b>C. Personnel costs</b></p> <p><u>General</u></p> <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 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</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>  <i>[The Auditor has drawn a random sample of 10 employees assigned to Horizon 2020 action(s). If fewer than 10 employees are assigned to the Horizon 2020 action(s), the Auditor has selected all employees assigned to the Horizon 2020 action(s) complemented by other employees irrespective of their assignments until he has reached 10 employees.].</i> For this sample:</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 into account when calculating the personnel costs;</li> <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> </ul>

<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>(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 or Euratom budget in the same period, unless the Beneficiary can demonstrate that the operating grant does not cover any costs of the action).</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><i>[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 Factual Findings:</i></p> <p>- ...]</p>	<p>✓ 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;</p> <p>✓ 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 8 000 per full-time equivalent and that it was reduced proportionately for employees not assigned exclusively to the action(s).</p> <p>✓ the Auditor recalculated the personnel costs for the employees in the sample.</p> <p><b>Factual finding:</b></p> <p>4. All the components of the remuneration that have been claimed as personnel costs are supported by underlying documentation.</p> <p>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.</p> <p>6. Their employment contracts were in line with the Beneficiary's usual policy;</p> <p>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.);</p> <p>8. The totals used to calculate the personnel unit costs are consistent with those registered in the payroll and accounting records;</p> <p>9. To the extent that actual personnel costs were adjusted on the basis of budgeted or estimated elements, those elements were 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</p>

<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
	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><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 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><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.</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> <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.</p> <p><u>If method B is applied</u></p> <p>14. The number of ‘annual workable hours’, overtime and absences was</p>

<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><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.</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>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 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><b>Procedure</b></p> <ul style="list-style-type: none"> <li>✓ The Auditor has obtained a list of all personnel rates calculated by the Beneficiary in accordance with the methodology used.</li> <li>✓ The Auditor has obtained a list of all the relevant employees, based on which the personnel rate(s) are calculated.</li> </ul> <p>For 10 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>

<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
	19. No differences arose from the recalculation of the hourly rate for the employees included in the sample.
<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> <ol style="list-style-type: none"> <li>recording the same hours twice,</li> <li>recording working hours during absence periods (e.g. holidays, sick leave),</li> <li>recording more than the number of productive hours per year used to calculate the hourly rates, and</li> <li>recording hours worked outside the action period.</li> </ol> <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</i></p>	<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 employees 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 personnel rates;</li> <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</li> </ul>

<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><i>present certificate<sup>1</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>no time worked outside the action period was charged to the action.</p> <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 personnel rates;</li> <li>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.</li> <li>26. Working time claimed is consistent with that on record at the human-resources department.</li> </ol>

<sup>1</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.

Grant Agreement number: [insert number] [insert acronym] [insert call identifier]

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<i>Please explain any discrepancies in the body of the Report.</i>	
<b>Statements to be made by Beneficiary</b>	<b>Procedures to be carried out and Findings to be confirmed by the Auditor</b>
<i>[official name of the [Beneficiary] [Linked Third Party]]</i>	<i>[official name of the Auditor]</i>
<i>[name and title of authorised representative]</i>	<i>[name and title of authorised representative]</i>
<i>[dd Month yyyy]</i>	<i>[dd Month yyyy]</i>
<i>&lt;Signature of the [Beneficiary] [Linked Third Party]&gt;</i>	<i>&lt;Signature of the Auditor&gt;</i>



## ANNEX 7

### MODEL FOR THE COMMITMENT ON AVAILABILITY OF FUNDS

➤ For fields in [grey in square brackets]: enter the appropriate data

#### COMMITMENT ON AVAILABILITY OF FUNDS

**Grant Agreement:** [grant agreement number and acronym]

*(To be filled out by each beneficiary and linked third party participating in the co-funded call)*

The undersigned:

- declares that [name of beneficiary or linked third party] can commit and make available national/regional contributions totalling EUR [insert amount] to fund its assigned share of the transnational projects of the joint selection list, based on the indicated amounts of planned funding.

SIGNATURE

For the beneficiary:

[electronic signature]

Done on [electronic time stamp]

For the linked third party:

[Name and signature]

[Date and stamp]



## ANNEX 8

### MODEL FOR THE STATEMENT ON THE USE OF THE PREVIOUS PRE-FINANCING PAYMENT

➤ For fields in [grey in square brackets]: enter the appropriate data

#### STATEMENT ON THE USE OF THE [FIRST][SECOND] PRE-FINANCING PAYMENT

*(To be filled out by the coordinator)*

The undersigned:

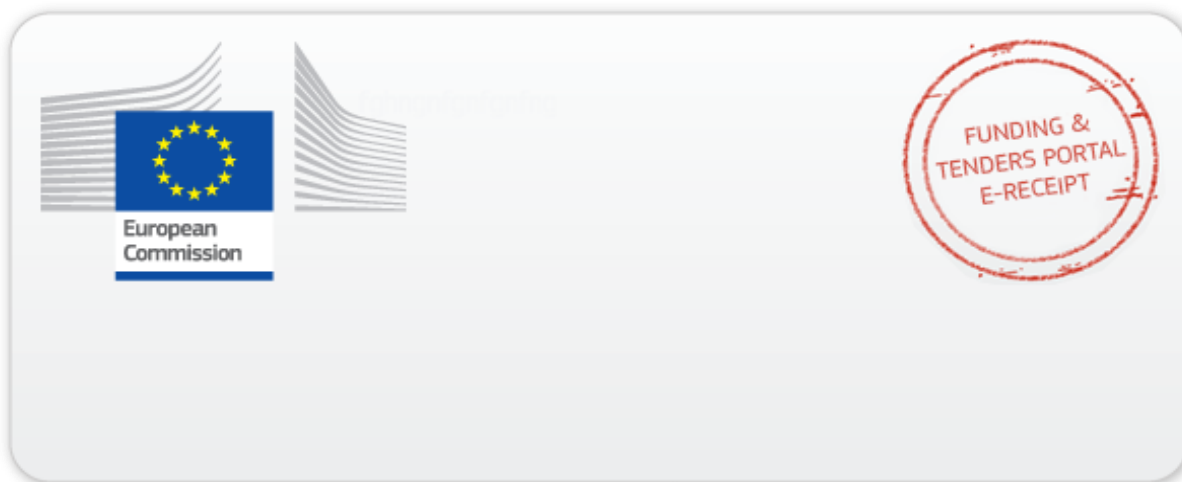
- declares that [...] % of the [first][second] pre-financing payment of EUR [insert amount] paid for Grant Agreement [insert grant agreement reference: number, title of the action and acronym] have been used,
- declares that this is based on substantiated data (bank slip/treasury account) provided by each beneficiary,
- certifies that the information contained in the periodic report is full, reliable and true, and is substantiated by adequate supporting documentation that will be produced upon or in the context of checks, reviews, audits and investigations,
- requests a [second][third] pre-financing payment of EUR [insert amount] for [insert grant agreement reference: number, title of the action and acronym].

SIGNATURE

For the coordinator:

[electronic signature]

Done on [electronic time stamp]



This electronic receipt is a digitally signed version of the document submitted by your organisation. Both the content of the document and a set of metadata have been digitally sealed.

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