



Electronic-only submission of FP7 forms C

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RTD M.3



Purpose of e-only submission

- *Abolition of parallel electronic and paper streams – reduction of a source of errors and inconsistencies*
- *Reduced administrative burden for beneficiaries and Commission*
- *Clearer management of time-to-pay*
- *First test case for full paperless grant management (planned for Horizon 2020)*



Revised FP7 model grant agreement (draft)

ANNEX II. GENERAL CONDITIONS

Article II.3 is modified as follows:

"Each beneficiary shall:

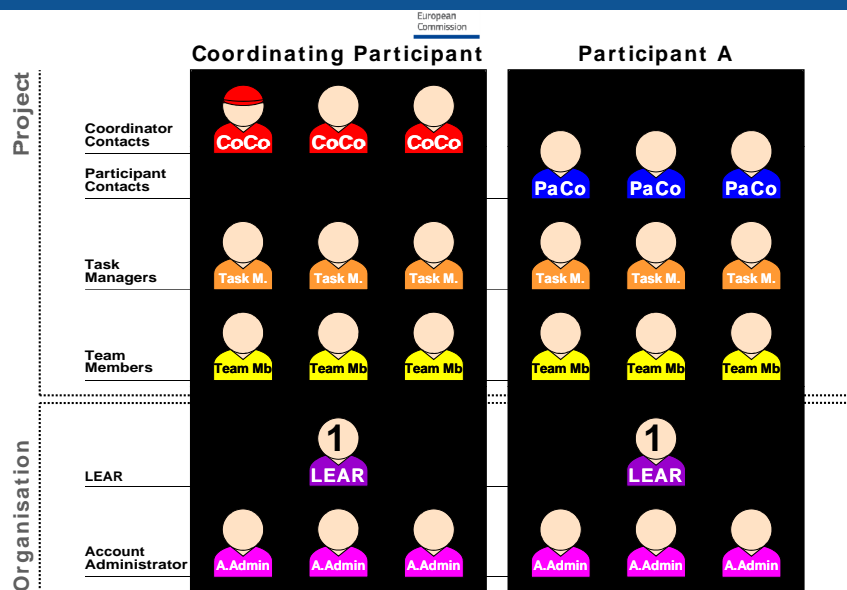
o) designate a legal entity appointed representative (LEAR) as the authorised person to perform the role and tasks stipulated in its document of appointment. If a LEAR has already been appointed the beneficiary agrees that the role and tasks of this LEAR are replaced by those stipulated in the document of appointment in force on the date of signature of this grant agreement."

Point 5 of Article II.4 is replaced by the following:

"The consortium shall transmit the reports and other deliverables through the coordinator to the Commission using the electronic exchange system set up by the Commission. In particular:

- **Form C must be transmitted and electronically signed through the electronic exchange system by the authorised person(s) within the beneficiary's organisation.**
- **The certificates on the financial statements and on the methodology must be hand-signed by an authorised person of the auditing entity on paper and the beneficiary shall keep the originals according to Article II.22.3. A scanned copy of the certificates shall be transmitted through the electronic exchange system".**

The current version of IAM (since February 2012)

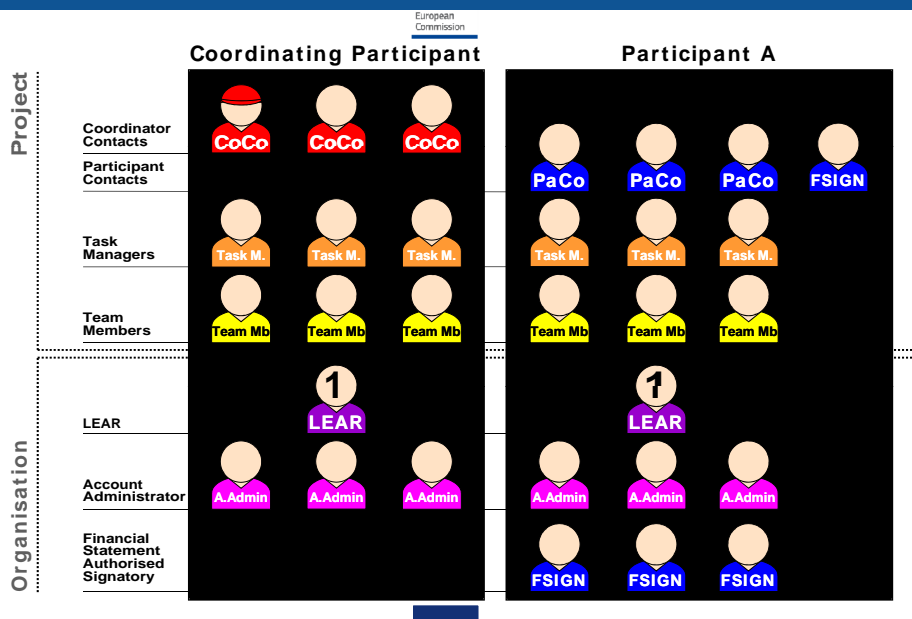




New role in the identity and access management

- **New role** in the identity and access management: **persons authorised to sign forms C** for their organisation (**FSIGN**)
- **Nominations for this new role by LEARs** (or their account administrators) – under the “organisation roles” function
- **Unlimited** number of FSIGNs can be nominated
- **LEARs can add comments** to each FSIGN (e.g. which part of the forms C of the organisation they can sign)
- Comments are visible to the persons having project roles in the organisation (Participant Contacts (PaCos) etc.)

The new version of IAM



European Commission

RESEARCH & INNOVATION

LEAR: Participant Portal

Innovation & Innovation - Participant Portal > Home

Home Funding Ref Doc **My Organisations** My Proposals My Projects My Roles N

PROCESSES

Manage Organisations

Search an organisation Register an organisation Manage organisation data

Identify Opportunities

Read FP7 related documentation Search for a call

European Commission

Innovation > Participant Portal > Organisations > Organisation List

Home Funding Ref Doc My Organisations My Proposals My Projects My Roles Notifications Experts ?

Organisations Register Search Legal Entity LfV Simulation

MY ORGANISATIONS

Organisation(s) as LEAR or Account Administrator or Self Registrant


Refresh

LEGEND OD Organisation Data OP Organisation Proposals RO Organisation Roles VP Organisation Projects

Show 10 entries Copy Excel Print Search:

Name	Pic	VAT	Actions
HYSYTECH S.R.L.	998081016	IT08682860013	OD RO VP
QUOTECH LIMITED	967358206	GB417148558	OD VP RO OP
Triarii BV	998891451	NL8136.09.264	OD VP RO OP

Showing 1 to 3 of 3 entries First Previous 1 Next Last


 European Commission

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ROLES OF HYSYTECH S.R.L. (998081016)

Drag the cursor around the area you want to capture.


Depending on your role in the organisation, you could grant or revoke contact. Details are available in the [user manual](#). You can only revoke roles you have granted.

[Refresh](#)

Select	Role	Name	Email	Project
<input checked="" type="checkbox"/>	LEAR	HAERTWICH Peter	Peter.Haertwich@ec.europa.eu	
<input type="checkbox"/>	Account Admin.	HORVATH Noemi	noemi.horvath@ext.ec.europa.eu	
<input type="checkbox"/>	Account Admin.	HN A	agnes.hegyvarine-nagy@ec.europa.eu	
<input type="checkbox"/>	Financial Signatory	MARGANNE Olivier	Olivier.MARGANNE@ext.ec.europa.eu	
<input checked="" type="checkbox"/>	Participant Contact	ANTONINI Massimiliano	massimiliano.antonini@hysytech.com	227192

Showing 1 to 5 of 5 entries

[Add +](#) | [Revoke Selected](#)


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[Organisations](#) | [Register](#) | [Search Legal Entity](#) | [LFV Simulation](#)

ADD ROLE TO HYSYTECH S.R.L. (998081016)

Peter HAERTWICH As

Grants The User:

First Name

Last Name

Email Address

With The Role

Comment (optional):

All fields are mandatory.

|



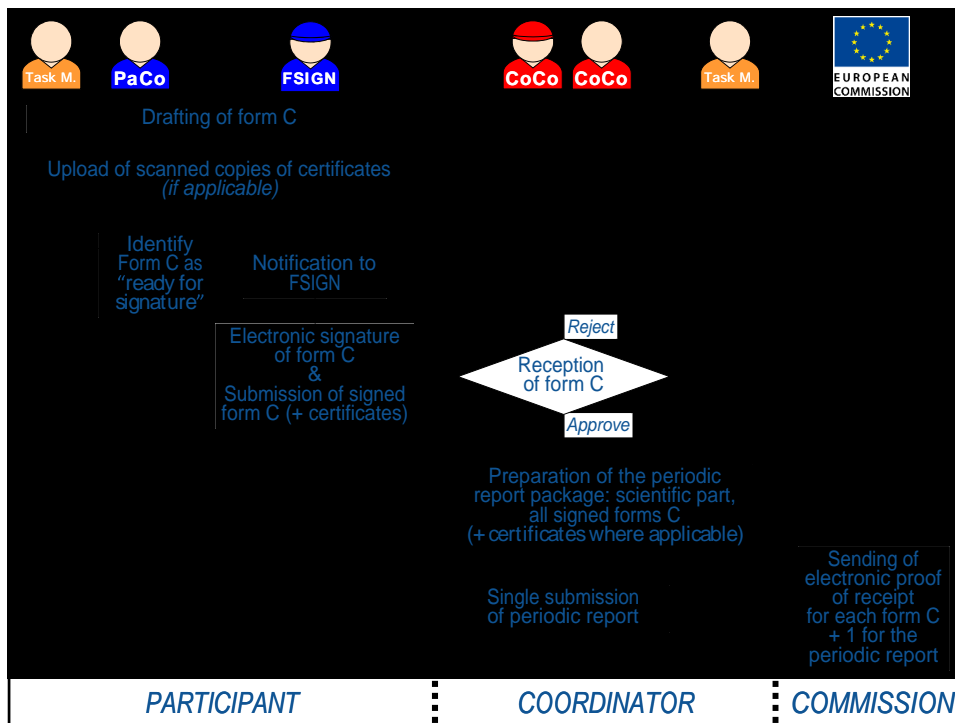
Process of electronic-only submission


- **Participant contact assigns an FSIGN** to the project (from the list nominated by the LEAR)
- Participant contact or task manager **prepares form C** (as today)
- If applicable, participant contact or task manager **uploads scanned copy of certificate** on financial statement (signed by the auditor), original to be kept in the files of the beneficiary
- When ready, participant contact **identifies form C as "ready for signature"**, triggering a **notification to the FSIGN**
- **FSIGN electronically signs and submits form C to the coordinator**
- After submission by the coordinator of the forms C package to the Commission, a **digitally signed eReceipt** is issued for each form C
- **No more paper signature of forms C**, no more paper sending of certificates on financial statements



Forms C of third parties (SC10)

- **Participant contact or task manager** of the main beneficiary (or a person of the third party getting an IAM role by the main beneficiary) drafts third party form C
- Participant contact of the main beneficiary submits the third party form C to coordinator (no electronic signature, no FSIGN involved)
- After submission of the package by the coordinator to the COM, third party form C is printed (by the main beneficiary) and hand-signed by the legal representative of the third party
- This hand-signed original is kept in the files of the main beneficiary (for potential later audit) – no sending to the Commission
- **No need for third parties to appoint LEARs and FSIGNs**




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Value of the eReceipt

- Electronic receipt = digitally signed pdf version of the document submitted. Both the content of the document and a set of metadata (time stamp, ECAS credentials of submitter) are digitally sealed.
- The digital signature mechanism, using a public-private key pair mechanism, uniquely binds the eReceipt to the transaction and ensures its full integrity. Therefore a complete digitally signed trail of the transaction is available both for the beneficiaries and the Commission
- Any attempt to modify the content will lead to a break of the integrity of the electronic signature, which can be verified at any time by clicking on the signature in the pdf document.
- The eReceipt can be downloaded at any time and stored on other electronic media



Date of entry into force; retroactiveness?

- New regime is **obligatory for all grants signed after 1.1.2013** (changed model grant agreement)
- Consequence: **nomination of LEARs will become obligatory**
- For grants signed **before 1.1.2013**, the current **parallel paper and electronic submission** will remain available as an option
- However: consortia are encouraged to go for the electronic-only also for existing grants
- **Pre-requisite: signature of a simple amendment** (accepting the new stipulations of the revised model grant agreement)



Practical implementation for existing grants

- Template for requesting this amendment will be made available
- Amendment can be initiated by COM or by beneficiary
- Possibility of batch mode for mono-beneficiary grants?



Frequently Asked Questions

- **1. Even if no signed paper versions of forms C have to be sent to the Commission, do we have to keep signed versions in our files within our organisation?**
- From the Commission side, there is no obligation to even create paper versions of forms C. The electronic-only submission is the valid act. The need for paper versions might arise from internal rules and processes in your organisation.
- **2. Our organisation has no LEAR. How can we register the persons authorised to sign forms C (FSIGNs)?**
- Your organisation must first nominate a LEAR. Only the LEAR can register the FSIGNs. The details for nominating LEARs can be found here [\[hyperlink\]](#).
- **3. My organisation is small and we participate only in one FP7 project. The appointment of so many persons in different roles (LEAR, PaCo, FSIGN) seems quite an overburden.**
- You can nominate one and the same person in different roles (e.g. the same person can be LEAR of your organisation, PaCo and FSIGN for your project). Once a LEAR is nominated, the nomination into all other roles is very simple and quick (and can be changed at any moment online in the Participant Portal).



Frequently Asked Questions

- **4. I have a third party reporting costs in my project (special clause 10). How does it work in this case?**
- A separate form C for the third party has to be completed in the financial reporting module and submitted by the PaCo of the main beneficiary to the coordinator (without electronic signature). After the coordinator submitted the whole package to the Commission, the form C of the third party must be printed and hand-signed by an authorised representative of the third party. This document must be kept in the files of the main beneficiary (no sending to the Commission).
- **5. I am coordinating a multi-beneficiary collaborative project signed before 1.1.2013. Will I have to monitor two different parallel streams of forms C (paper signed and only electronic) depending on the beneficiaries?**
- No. The transition to electronic-only submission of forms C can only be made for the consortium as a whole. Either your grant maintains the provisions under which it was signed (and then all beneficiaries will keep the traditional process with electronic submission and paper signature), or your grant is amended in order to move under the provisions of the new model grant agreement allowing for the paperless submission of forms C. In this case, all beneficiaries will report under the new regime.



Frequently Asked Questions

- **6. I am the LEAR of a complex research organisation and would need to identify different financial signatories (FSIGNs) for different departments or institutes. How will the Participant Contact (PaCo) of a given grant know which is the correct FSIGN for his/ her project?**
- When designating the FSIGNs for your organisation, the Identity and Access Management of the Participant Portal will allow you to encode comments that will help the PaCo to identify and select the right FSIGN for the project.
- **7. Will this new process affect negatively the time I have to wait to be paid as beneficiary or coordinator?**
- On the contrary, apart from the advantages in terms of simplified administrative processes, the only-electronic submission of forms C will help to compile a full report faster and therefore will allow the Commission to start its analysis earlier, hereby accelerating the whole payment procedure.
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Frequently Asked Questions

- **8. In my organisation, forms C are always signed by two persons. How should we handle this in the new approach?**
- Only one act of electronic signature per form C will be possible in the system. If prior to this authoritative signature your organisation requires an approval involving more than one person, the necessary processes must be organised internally in your institution.
- **9. What happens if the financial signatory (FSIGN) chosen for the project is absent (leave, sickness etc.)?**
- The Participant Contact (PaCo) can assign more than one FSIGN to the project, so that business continuity is covered in case of absences. All FSIGNs assigned to the project will receive the notifications "form C ready for signature". However, even if several FSIGNs are assigned to the project there is only one act of electronic signature, by the first FSIGN signing the respective form C.
- **10. Can the consortium go back to paper submission after having signed the amendment to go for electronic-only?**
- No. Once the amendment on the paperless process has been accepted and signed by the parties, the consortium has to apply the electronic-only submission.



Frequently Asked Questions

- **11. Can the coordinator see the drafted versions?**
- Yes, the coordinator is able to see drafts and can comment before the form is submitted and signed officially by the FSIGN of a beneficiary.
- **12. Can the coordinator of a consortium reject an electronically signed form C of a participant?**
- Yes, coordinators can reject forms C for corrections. In this case, the cycle starts again at the beneficiary (drafting - ready to sign - signing and submitting) Beneficiaries can avoid rejections after electronic signature by checking the form C in draft status with their coordinators (coordinators can view draft forms C of other participants).
- **13. How can the LEAR indicate which FSIGN should be assigned to a given project?**
- In the Participant Portal the LEAR will be able to nominate FSIGNs for the organisation and add comments (optional) about the scope of responsibilities or duration (ie. "Mr. Smith can sign for projects of Department X from 1st October 2011").



Frequently Asked Questions

- **14. Can the LEAR limit the duration of the FSIGN nomination?**
- The LEAR (or one of his account administrators) can revoke the nomination of an FSIGN at any time, and as a consequence, the person will not be able to sign forms C any longer.
- **15. Who can submit the signed forms to the Commission or Services - the coordinator contact or the FSIGN of the coordinator?**
- Once the forms are signed by the respective FSIGNs including the coordinator's FSIGN, the coordinator contact will be able to submit the whole package to the Commission or its services.
- **16. Can two FSIGNs sign the form?**
- Once an FSIGN signs and submits the form, it cannot be signed by another person of the same entity electronically.
- **17. Can the electronic forms be printed?**
- Yes, the printing functionality remains as it is now. In addition, users will be able to download the forms with the e-receipt.
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Frequently Asked Questions

- **18. Who should be chosen as FSIGN signing electronically the forms C?**
- The nominated persons must have the authority within the organisation to sign the financial statements.
- **19. Does the LEAR have to send a proof who can be assigned an FSIGN role within the entity?**
- No. The revised LEAR mandate gives the responsibility for identifying FSIGNs to the LEAR. The LEAR is nominated by the legal representative of the organisation, so that the chain of responsibility and trust is established.



Thank you!

Time for discussion

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eFP7 Communication Office

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