EUROPEAN COMMISSION
Research Executive Agency (REA)

Director

GRANT AGREEMENT

NUMBER — 750242 — MOOC_DaSI

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 (REA), Excellent Science Department, Marie Sklodowska-Curie COFUND, Researchers' Night and Individual Fellowships Global, Francois WILLEKENS,

and

on the other part,

‘the beneficiary’:

UNIVERSITA DEGLI STUDI DI TORINO (UNITO), established in Via Giuseppe Verdi 8, TORINO 10124, Italy, VAT number: IT02099550010, represented for the purposes of signing the Agreement by Project Legal Signatory, FRANCA RONCAROLO

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

By signing the Agreement, the beneficiary accepts the grant and agrees to implement it under its 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  Not applicable
Annex 4  Model for the financial statements
Annex 5  Not applicable
Annex 6  Not applicable
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 beneficiary 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 ‘Patterns of diffusion and social implications of Massive Open Online Courses (MOOCs): A comparative study between United States and Europe — MOOC_DaSI’ (‘action’), as described in Annex 1.

ARTICLE 3 — DURATION AND STARTING DATE OF THE ACTION

The duration of the action will be 24 months as of 1 October 2017 (‘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, budget category (see Articles 5, 6)

4.2 Budget transfers

Not applicable

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 176,203.80 (one hundred and seventy six thousand two hundred and three EURO and eighty eurocents).

5.2 Form of grant, reimbursement rate and form of costs

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

The estimated eligible costs of the action are EUR 176,203.80 (one hundred and seventy six thousand two hundred and three EURO and eighty eurocents).
Eligible costs (see Article 6) must be declared under the following forms (‘form of costs’):

(a) for costs for the recruited researcher (living, mobility and family allowances): on the basis of the amount(s) per unit set out in Annex 2 (‘unit costs’) and

(b) for institutional costs (research, training and networking costs and management and indirect costs): on the basis of the amount per unit set out in Annex 2 (unit 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 rate to the eligible costs

Step 2 – Limit to the maximum grant amount

Step 3 – Reduction due to substantial errors, irregularities or fraud or serious breach of obligations

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

The reimbursement rate (see Article 5.2) is applied to the eligible costs (unit costs; see Article 6) declared by the beneficiary 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 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 maximum grant amount 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 set out in Article 5.1.

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

- the amount obtained following Steps 1 and 2 or
- the reduced grant amount following Step 3.

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’.

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;

- in case of **reduction of the grant**: in proportion 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 will be the lower of the two amounts above.

**ARTICLE 6 — ELIGIBLE AND INELIGIBLE COSTS**

### 6.1 General conditions for costs to be eligible

Unit costs are eligible (‘eligible costs’) if:

(a) they are calculated as follows:

\[
\text{amounts per unit set out in Annex 2} \\
\times \text{the number of actual units}. 
\]

(b) the number of actual units complies with the following:

- 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).

### 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 two budget categories:

**A. Costs for the recruited researcher** (A.1 Living allowance, A.2 Mobility allowance and A.3 Family allowance) are eligible, if:

(a) the number of units declared:

(i) corresponds to the actual number of months spent by the recruited researcher on the research training activities and

(ii) does not exceed 36 months;

(b) the recruited researcher complies with the following conditions:

(i) be recruited by the beneficiary under an **employment contract** (or other direct contract with equivalent benefits, including social security coverage) or — if not otherwise possible under national law — under a fixed amount fellowship agreement with minimum social security coverage, including periods of secondment to partner organisations.
(ii) be employed full-time, unless the Agency has approved a part-time employment for personal or family reasons (see Article 55), and

(iii) be working exclusively for the action.

c) the costs have been fully incurred for the benefit of the recruited researcher.

This latter condition is met if:

\[
\frac{\{ \text{(total remuneration costs) (salaries, social security contributions, taxes and other costs included in the remuneration under the employment contract or other direct contract) or total fixed-amount fellowship costs for the researcher during the action} \\
\text{ plus total mobility costs (household, relocation and travel expenses and, if they must be paid under national law, taxes, duties and social security contributions) for the researcher during the action} \\
\text{ plus total family costs for the researcher during the action} \}}{\text{the number of actual units}}
\]

is equal to or higher than the following amount:

\[
\{ \text{amount per unit cost set out in Annex 2 as living allowance} \\
\text{ plus amount per unit cost set out in Annex 2 as mobility allowance} \\
\text{ plus if it is due, amount per unit cost set out in Annex 2 as family allowance} \}
\]

B. **Institutional costs** (B.1 Research, training and networking costs and B.2 Management and indirect costs) are eligible if the costs for the recruited researcher (living allowance, mobility allowance, family allowance; see above) are eligible.

6.3 Ineligible costs

‘Ineligible costs’ are:

(a) costs that do not comply with the conditions set out above (in Article 6.1), in particular costs incurred during suspension of the action implementation (see Article 49);

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

6.4 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 beneficiary 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 the 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 beneficiary must have the appropriate resources to implement the action.

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

- call upon entities with a capital or legal link to the beneficiary\(^1\), to implement certain action tasks described in Annex 1 (i.e. hosting and training of the researcher);

- call upon partner organisations to implement certain action tasks described in Annex 1 (i.e. hosting and training the researcher during a secondment).

In this case, the beneficiary retains sole responsibility towards the Agency 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

Not applicable

\(^{1}\) ‘Entities with a capital or legal link’ are entities that have a link with the beneficiary, in particular, a legal or capital link, which is neither limited to the action nor established for the sole purpose of its implementation.
ARTICLE 11 — USE OF IN-KIND CONTRIBUTIONS PROVIDED BY THIRD PARTIES AGAINST PAYMENT

Not applicable

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

Not applicable

ARTICLE 13 — IMPLEMENTATION OF ACTION TASKS BY SUBCONTRACTORS

Not applicable

ARTICLE 14 — IMPLEMENTATION OF ACTION TASKS BY LINKED THIRD PARTIES

Not applicable

ARTICLE 15 — FINANCIAL SUPPORT TO THIRD PARTIES

Not applicable

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 beneficiary must provide — during implementation of the action or afterwards — 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

The 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.

The beneficiary must immediately inform the Agency 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 an entity with a capital or legal link);

(ii) changes in the name, address, legal form or organisation type of an entity with a capital or legal link;

(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 the 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 beneficiary 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 it declares as eligible.

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

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

The beneficiary 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 beneficiary 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 beneficiary must keep adequate records and other supporting documentation to prove the number of units declared and that the costs for the recruited researcher (living allowance, mobility allowance, family allowance) have been fully incurred for the benefit of the researcher.

18.2 Consequences of non-compliance
If the 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 beneficiary must submit the ‘**deliverables**’ identified in Annex 1, in accordance with the timing and conditions set out in it.

**19.2 Consequences of non-compliance**

If the beneficiary 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 beneficiary must submit to the Agency (see Article 52) the report(s) set out in this Article. They include the requests for payment and must be drawn up using the forms and templates provided in the electronic exchange system (see Article 52).

**20.2 Reporting periods**

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

- RP1: from month 1 to month 12
- RP2: from month 13 to month 24

**20.3 Periodic reports — Requests for interim payments**

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

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

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

(i) an **explanation of the work carried out** by the beneficiary;

(ii) an **overview of the progress** towards the objectives of the action, including milestones and deliverables identified in Annex 1.

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

The report must also detail the exploitation and dissemination of the results and — if required in Annex 1 — an updated ‘**plan for the exploitation and dissemination of the results**’.
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) a ‘**periodic financial report**’ containing:

(i) a ‘**financial statement**’ from the beneficiary, for the reporting period concerned, which includes the **request for interim payment**.

The financial statement must detail the eligible costs (see Article 6) for each budget category (see Annex 2).

The beneficiary must declare all eligible costs, even if they exceed the amounts indicated in the estimated budget (see Annex 2). Amounts which are not declared in the financial statement will not be taken into account by the Agency.

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

The beneficiary must **certify** that:

- the information provided is full, reliable and true;
- the costs declared are eligible (see Article 6), and
- 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).

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

In addition to the periodic report for the last reporting period, the beneficiary 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 a ‘**final summary financial statement**’, created automatically by the electronic exchange system, consolidating the financial statements for all reporting periods and including the **request for payment of the balance**.

### 20.5 Information on cumulative expenditure incurred
20.6 Currency for financial statements

Financial statements must be drafted in euro.

20.7 Language of reports

The report(s) (including financial statements) must be submitted in the language of the Agreement.

20.8 Consequences of non-compliance

If the report(s) 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 beneficiary breaches its obligation to submit the report(s) and if it fails to comply with this obligation within 30 days following a written reminder sent by the Agency, it may terminate the Agreement 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 beneficiary:

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

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

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

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

The amount of the pre-financing payment will be EUR 123,342.66 (one hundred and twenty three thousand three hundred and forty two EURO and sixty six eurocents).

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

An amount of EUR 8,810.19 (eight thousand eight hundred and ten EURO and nineteen eurocents), corresponding to 5% of the maximum grant amount (see Article 5.1), is retained by the Agency from the pre-financing payment and transferred into the ‘Guarantee Fund’.

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

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

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

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

Step 1 – Application of the reimbursement rates

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

21.3.1 Step 1 — Application of the reimbursement rates

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

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

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

\[
\left\{ 90\% \text{ of the maximum grant amount (see Article 5.1)} \right. \\
\left. \text{minus} \right. \\
\left. \{ \text{pre-financing and previous interim payments} \} \right. 
\]

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 beneficiary for the implementation of the action.

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

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

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

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

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

21.5 Notification of amounts due

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

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

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

21.6 Currency for payments

The Agency will make all payments in euro.

21.7 Payments to the beneficiary

Payments will be made to the beneficiary.

Payments will discharge the Agency from its payment obligation.

21.8 Bank account for payments

All payments will be made to the following bank account:

- Name of bank: INTESA SANPAOLO SPA
- Full name of the account holder: DIPARTIMENTO DI CULTURE POLITICA ESOCIETA
- Full account number (including bank codes):
  - IBAN code: IT37A0306909217100000460184

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 beneficiary is 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 beneficiary only upon request submitted within two months of receiving the late payment.

Late-payment interest is not due if the beneficiary is an EU Member State (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 Not applicable

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.
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 beneficiary and will be considered to have started on the date of the formal notification.

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 beneficiary of the identity of the external persons or bodies. It has the right to object to the appointment on grounds of commercial confidentiality.

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

For on-the-spot reviews, the beneficiary must allow access to its 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 beneficiary, 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 beneficiary and will be considered to have started on the date of the formal notification.

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 beneficiary of the identity of the external persons or bodies. It has the right to object to the appointment on grounds of commercial confidentiality.

The beneficiary must provide — within the deadline requested — any information (including complete accounts, individual salary statements or other personal data) to verify compliance with the Agreement.
For **on-the-spot** audits, the beneficiary must allow access to its 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 beneficiary, 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 beneficiary. 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 beneficiary’s 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\(^2\) and No 2185/96\(^3\) (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\(^4\), 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

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22.5.1 Findings in this grant

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

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

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

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

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

22.5.2 Findings in other grants

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

(a) the beneficiary 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 — 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 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:

   (i) considers that the submission of revised financial statements is not possible or practicable or

   (ii) does not submit revised financial statements.
The beneficiary 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.

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

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 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 the 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 beneficiary.

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 beneficiary must provide any information relevant to evaluate the impact of the action, including information in electronic format.

23.2 Consequences of non-compliance

If the 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

If the beneficiary is a university or other public research organisation it 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. This does not change the obligations set out in Subsections 2 and 3 of this Section.

The beneficiary must ensure that the researchers and the third parties mentioned in Annex 1 are aware of them.

23a.2 Consequences of non-compliance

If the 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 beneficiary must identify (in writing) the background for the action.

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5 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.
'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 beneficiary before its accession to the Agreement, and

(b) is needed to implement the action or exploit the results.

24.2 Consequences of non-compliance

If the 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

Not applicable

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

Not applicable

25.4 Access rights for affiliated entities

Not applicable

25.5 Access rights for the researcher

The beneficiary must — on a royalty-free basis — give access to the recruited researcher to background necessary for their research training activities under the action.

25.6 Consequences of non-compliance

If the 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

Not applicable

26.3 Rights of third parties (including personnel)

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

If a third party generates results, the beneficiary 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 — assume ownership of results to protect them, if the 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 a 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 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 — assume ownership of results to protect them, if the 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.

The 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 within 45 days of receiving notification.

26.5 Consequences of non-compliance

If the 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

The 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.

27.2 Agency ownership, to protect the results

If the 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 the
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 the Marie Sklodowska-Curie grant agreement No 750242”.

27.4 Consequences of non-compliance

If the 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

The 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 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 have received funding from the European Union’s Horizon 2020 research and innovation programme under the Marie Sklodowska-Curie grant agreement No 750242”.

28.3 Consequences of non-compliance

If the 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 its legitimate interests, the 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.

If the 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

The 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 "Marie Skłodowska-Curie Action";

- the project name, acronym and grant number;

- the publication date and, if applicable, length of embargo period;

- 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 the Marie Sklodowska-Curie grant agreement No 750242”.

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

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

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

Moreover, the beneficiary 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.

ARTICLE 30 — TRANSFER AND LICENSING OF RESULTS

30.1 Transfer of ownership

The 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.

30.2 Granting licenses

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

(a) this does not impede the rights under Article 31

(b) not applicable.

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

The Agency may — up to four years after the period set out in Article 3 — object to a transfer of ownership or the exclusive licensing of results, if:

(a) it is to a third party established in a non-EU country not associated with Horizon 2020 and

(b) the Agency considers that the transfer or licence is not in line with EU interests regarding competitiveness or is inconsistent with ethical principles or security considerations.

The beneficiary that intends to transfer ownership or grant an exclusive licence must formally notify the Agency before the intended transfer or licensing takes place and:
- identify the specific results concerned;
- describe in detail the new owner or licensee and the planned or potential exploitation of the results, and
- include a reasoned assessment of the likely impact of the transfer or licence on EU competitiveness and its consistency with ethical principles and security considerations.

The Agency may request additional information.

If the Agency decides to object to a transfer or exclusive licence, it must formally notify the beneficiary within 60 days of receiving notification (or any additional information it has requested).

No transfer or licensing may take place in the following cases:
- pending the Agency decision, within the period set out above;
- if the Agency objects;
- until the conditions are complied with, if the Agency objection comes with conditions.

30.4 Consequences of non-compliance

If the 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

Not applicable

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

Not applicable

31.4 Access rights of affiliated entities

Not applicable

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

The beneficiary must give access to its 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 beneficiary for communication and publicising activities (see Article 38.2).

31.6 Access rights for the researcher

The beneficiary must — on a royalty-free basis — give, access to the recruited researcher to results necessary for the research training activities under the action.

31.7 Consequences of non-compliance

If the 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 THE RECRUITED RESEARCHER

32.1 Obligations towards the recruited researcher

The beneficiary must respect the following recruitment and working conditions for the researcher recruited under the action:

(a) 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\(^7\) and ensure that the researcher is aware of them;

(b) ensure that the researcher enjoys at the place of the implementation at least the same standards and working conditions as those applicable to local researchers holding a similar position;

(c) ensure that the employment contract, other direct contract or fixed amount fellowship agreement (see Article 6) specifies:

   (i) the name of the supervisor for the research training activities as indicated in Annex 1;

   (ii) the starting date and duration of the research training activities under the action;

   (iii) the monthly support for the researcher under this Agreement (in euro and, if relevant, in the currency in which the remuneration is paid);

   (iv) the obligation of the researcher to work exclusively for the action;

   (v) the obligation of the researcher not to receive for activities carried out in the frame of the action, other incomes than those received from the beneficiary (or any other entity referred to in Annex 1);

(vi) the obligation of the researcher to inform the beneficiary as soon as possible of any events or circumstances likely to affect the Agreement (see Article 17);

(vii) the arrangements related to the intellectual property rights between the beneficiary and the researcher — during implementation of the action and afterwards;

(viii) the obligation of the researcher to maintain confidentiality (see Article 36);

(ix) the obligation of the researcher to ensure the visibility of EU funding in communications or publications and in applications for the protection of results (see Articles 27, 28, 29 and 38);

(x) the obligation of the researcher to carry out a mandatory return period of 12 months at the premises of the beneficiary;

(d) assist the researcher in the administrative procedures related to the recruitment;

(e) inform the researcher about:

- the description, conditions, location and the timetable for the implementation of the research training activities under the action and the name of the supervisor;
- the rights and obligations of the beneficiary toward the researcher under this Agreement;
- the obligation of the researcher to complete and submit — at the end of the research training activities — the evaluation questionnaire and — two years later — follow-up questionnaire provided by the Agency;

(f) ensure that the researcher does not receive, for activities carried out in the frame of the action, other incomes than those received from the beneficiary (or any other entity referred to in Annex 1);

(g) host the researcher at its premises (or at the premises of an entity with a capital or legal link);

(h) provide training and the necessary means for implementing the action (or ensure that such training and means are provided by entities with a capital or legal link);

(i) ensure that the researcher is adequately supervised;

(j) ensure that — at the beginning of the research training activities — a career development plan is established together with the supervisor;

(k) support the secondment of the researcher to a partner organisation in a Member State or associated country as set out in Annex 1:

- for actions with a duration up to 18 months: for a maximum of three months or
- for actions with a duration of more than 18 months: for a maximum of six months;

(l) support the return of the researcher to its premises (or those of the entity with a capital or legal link) to carry out a mandatory return period of 12 months.

32.2 Consequences of non-compliance
If the 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 33 — GENDER EQUALITY**

**33.1 Obligation to aim for gender equality**

The beneficiary must take all measures to promote equal opportunities between men and women in the implementation of the action. It 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 the 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 beneficiary must carry out the action in compliance with:

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

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

The beneficiary 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.

The beneficiary must respect the highest standards of research integrity — as set out, for instance, in the European Code of Conduct for Research Integrity\(^8\).

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\(^8\) European Code of Conduct for Research Integrity of ALLEA (All European Academies) and ESF (European Science Foundation) of March 2011.  
This implies notably compliance with the following essential principles:

- honesty;
- reliability;
- objectivity;
- impartiality;
- open communication;
- duty of care;
- fairness and
- responsibility for future science generations.

This means that the beneficiary must ensure that persons carrying out research tasks:

- present their research goals and intentions in an honest and transparent manner;
- design their research carefully and conduct it in a reliable fashion, taking its impact on society into account;
- use techniques and methodologies (including for data collection and management) that are appropriate for the field(s) concerned;
- exercise due care for the subjects of research — be they human beings, animals, the environment or cultural objects;
- ensure objectivity, accuracy and impartiality when disseminating the results;
- allow — as much as possible and taking into account the legitimate interest of the beneficiary — access to research data, in order to enable research to be reproduced;
- make the necessary references to their work and that of other researchers;
- refrain from practicing any form of plagiarism, data falsification or fabrication;
- avoid double funding, conflicts of interest and misrepresentation of credentials or other research misconduct.

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, the 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 beneficiary 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 only if they comply with Article 34.1 and if:

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

34.4 Consequences of non-compliance

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

It 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 the beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43) and the Agreement 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 the 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 beneficiary may disclose confidential information to its personnel, third parties mentioned in Annex 1 or a partner organisation 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, 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 the beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

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

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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

37.4 Consequences of non-compliance
Not applicable

ARTICLE 38 — PROMOTING THE ACTION — VISIBILITY OF EU FUNDING

38.1 Communication activities by the beneficiary

38.1.1 Obligation to promote the action and its results

The beneficiary 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 mainstream media coverage the beneficiary 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 European Union emblem and

(b) include the following statement:

For communication activities: “This project has received funding from the European Union’s Horizon 2020 research and innovation programme under the Marie Skłodowska-Curie grant agreement No 750242”.

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 the Marie Skłodowska-Curie grant agreement No 750242”.

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

For the purposes of its obligations under this Article, the beneficiary may use the EU emblem without first obtaining approval from the Agency.
This does not, however, give it the right to exclusive use.

Moreover, it 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 the beneficiary’s 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 the 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 may request the Agency or the Commission not to use it (see Article 52).

The right to use the 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\(^1\), 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).

Where applicable (and if provided by the beneficiary), 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) European Union (EU) under conditions.”

38.3 **Consequences of non-compliance**

If the 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\(^\text{12}\) 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 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 beneficiary**

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

\(^{12}\) 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).
The beneficiary may grant its personnel access only to data that is strictly necessary for implementing, managing and monitoring the Agreement.

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

39.3 Consequences of non-compliance

If the 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 beneficiary may not assign any of its claims for payment against the Agency to any third party, except if approved by the Agency on the basis of a reasoned, written request.

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 beneficiary from its obligations towards the Agency.

CHAPTER 5 BENEFICIARY’S ROLES AND RESPONSIBILITIES — RELATIONSHIP WITH COMPLEMENTARY BENEFICIARIES — RELATIONSHIP WITH PARTNERS OF A JOINT ACTION

ARTICLE 41 — BENEFICIARY’S ROLES AND RESPONSIBILITIES — RELATIONSHIP WITH COMPLEMENTARY BENEFICIARIES — RELATIONSHIP WITH PARTNERS OF A JOINT ACTION

41.1 Roles and responsibility towards the Agency

The beneficiary has full responsibility for implementing the action and complying with the Agreement.

The beneficiary is itself responsible for:

(a) monitoring that the action is implemented properly (see Article 7);

(b) informing the Agency immediately of any events or circumstances likely to affect significantly or delay the implementation of the action (see Article 17);

(c) submitting the deliverables and report(s) to the Agency (see Articles 19 and 20);

(d) submitting to the Agency in good time any documents or information required by it

and may not delegate or subcontract these tasks to any third party (including entities with a capital or legal link and partner organisations).

41.2 Internal division of roles and responsibilities

Not applicable
41.3 Internal arrangements between beneficiaries — Consortium agreement
Not applicable

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

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 beneficiary 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 beneficiary may — within 30 days of receiving notification — formally notify the Agency of its disagreement and the reasons why.

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

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

If the Agency rejects costs after the payment of the balance, it will deduct the amount rejected from the total eligible costs declared, 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 — at the payment of the balance or afterwards — reduce the maximum grant amount (see Article 5.1), if:

(a) the 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) or

(b) the 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 beneficiary:

- informing it of its intention to reduce the grant, the amount it intends to reduce and the reasons why and

- inviting it to submit observations within 30 days of receiving notification

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

43.3 Effects

If the Agency reduces the grant at the 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 (see Article 5.4). If the revised final grant amount is lower than 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 — at the payment of the balance or afterwards — claim back amount that was paid but is not due under the Agreement.

44.1.1 Recovery after termination of a beneficiary’s participation

Not applicable

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 beneficiary:

- 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; 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 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 beneficiary 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 payment is not made by the date specified in the debit note, the Agency will recover the amount:

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

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

(b) by drawing on the Guarantee Fund. The Agency or the Commission will formally notify the beneficiary 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, the revised final grant amount (see Article 5.4) is lower than the final grant amount, the beneficiary must repay the difference to the Agency.

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

- 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 a debit note. This note will also specify the terms and the date for payment.

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

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

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

(b) by drawing on the Guarantee Fund. The Agency or the Commission will formally notify the beneficiary 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 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 beneficiary (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 the beneficiary or third parties involved in the action, as a consequence on implementing the Agreement.

46.2 Liability of the beneficiary

Except in case of force majeure (see Article 51), the beneficiary 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 report has not been submitted or is not complete or additional information is needed, or

(c) there is doubt about the eligibility of the costs declared in the financial statement and additional checks, reviews, audits or investigations are necessary.

47.2 Procedure

The Agency will formally notify the beneficiary 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 beneficiary may request the Agency if the suspension will continue.

If the payment deadline has been suspended due to the non-compliance of the report (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 (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, if:

(a) the 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 required information, breach of ethical principles) or

(b) the 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 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 beneficiary:

- 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 beneficiary.

During the suspension, the periodic report(s) for all reporting periods except the last one (see Article 20.3), must not contain any financial statements. The beneficiary must include them in the next periodic report after the suspension is lifted or —if suspension is not lifted before the end of the action — in the last periodic report.
The beneficiary may suspend implementation of the action (see Article 49.1) or terminate the Agreement (see Article 50.1 and 50.2).

ARTICLE 49 — SUSPENSION OF THE ACTION IMPLEMENTATION

49.1 Suspension of the action implementation by the beneficiary

49.1.1 Conditions — Procedure

49.1.1.1 The beneficiary 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.

In this case, the beneficiary must immediately formally notify suspension to the Agency (see Article 52), stating:

(a) the reasons why and

(b) 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 beneficiary 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 Articles 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).

49.1.1.2 The beneficiary may request suspension of the action implementation (or any part of it) for professional, personal or family reasons (including parental leave).

For this purpose, the beneficiary must formally notify a request for amendment (to make the necessary changes and to set the date of resumption) in accordance with Article 55.

The suspension will take effect on the date set out in the amendment.

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) the 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 required information, breach of ethical principles);

(b) the 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 beneficiary:

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

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

The suspension will take effect five days after confirmation notification is received by the beneficiary (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 beneficiary 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 beneficiary 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 (see Article 50), reduce the grant or recover amounts unduly paid (see Articles 43 and 44).

ARTICLE 50 — TERMINATION OF THE AGREEMENT

50.1 Termination of the Agreement by the beneficiary

50.1.1 Conditions and procedure

The beneficiary may terminate the Agreement.
The beneficiary 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 beneficiary must — within 60 days from when termination takes effect — submit:

(i) a periodic report (for the open reporting period until termination; see Article 20.3) and

(ii) the final report (see Article 20.4).

If the Agency does not receive the reports within the deadline (see above), only costs which are included in an approved periodic report will be taken into account.

The Agency will calculate the final grant amount (see Article 5.3) and the balance (see Article 21.4) on the basis of the report(s) 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 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.

50.2 Termination of the participation of one or more beneficiaries, by the beneficiaries

Not applicable

50.3 Termination of the Agreement, by the Agency

50.3.1 Conditions

The Agency may terminate the Agreement, if:

(a) not applicable;

(b) a change to the beneficiary's legal, financial, technical, organisational or ownership situation or those of its third parties mentioned in Annex 1 is likely to substantially affect or delay the implementation of the action or calls into question the decision to award the grant;

(c) not applicable;

(d) implementation of the action is prevented by force majeure (see Article 51) or suspended by the beneficiary (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) the 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) the 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) the 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) the 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) the beneficiary (or a natural person who has the power to represent or take decisions on its behalf) has committed:

   (i) substantial errors, irregularities, 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) the beneficiary (or the 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, the beneficiary does not request an amendment to the Agreement to end the participation of an entity with a capital or legal link that is in one of the situations under points (e), (f), (g), (k), (l) or (m) and to reallocate its tasks;

(o) the beneficiary has not started the action or notified the effective starting date of the action within the period indicated in the Article 3;

(p) the researcher cannot continue implementing the research training activities, or has committed fraud, including submission of false information or failure to provide required information for the purpose of the action.

50.3.2 Procedure

Before terminating the Agreement, the Agency will formally notify the beneficiary:

- 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 beneficiary 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), (e), (g), (h), (l.ii) and (o) above: on the day specified in the notification of the confirmation (see above);

- for terminations under Points (d), (f), (k), (l.i), (m), and (p) above: on the day after the notification of the confirmation is received by the beneficiary.

50.3.3 Effects

The beneficiary must — within 60 days from when termination takes effect — submit:

(i) a periodic report (for the last open reporting period until termination; see Article 20.3) and

(ii) a final report (see Article 20.4).

If the Agreement is terminated for breach of the obligation to submit report(s) (see Articles 20.8 and 50.3.1(l)), the beneficiary may not submit any report(s) after termination.

If the Agency does not receive the reports within the deadline (see above), only costs which are included in an approved periodic report will be taken into account.

The Agency will calculate the final grant amount (see Article 5.3) and the balance (see Article 21.4) on the basis of the report(s) 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 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.

Until the payment of the balance: all communication must be made through the electronic exchange system and using the forms and templates provided there.

After the payment of the balance: formal notifications must be made by registered post with proof of delivery (‘formal notification on paper’).

Communications in the electronic exchange system must be made by persons authorised according to the Participant Portal Terms & Conditions. For naming the authorised persons, the 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 the Commission websites.

52.2 Date of communication
Communications are considered to have been made when they are sent by the sending party (i.e. on the date and time they are sent through the electronic exchange system).

Formal notifications through the electronic exchange system are considered to have been made when they are received by the receiving party (i.e. on the date and time of acceptance by the receiving party, as indicated by the time stamp). A formal notification that has not been accepted within 10 days after sending is considered to have been accepted.

Formal notifications on paper sent by registered post with proof of delivery (only after the payment of the balance) are considered to have been made on either:

- the delivery date registered by the postal service or
- the deadline for collection at the post office.

If the electronic exchange system is temporarily unavailable, the sending party cannot be considered in breach of its obligation to send a communication within a specified deadline.

52.3 Addresses for communication

The electronic exchange system must be accessed via the following URL:


The Agency will formally notify the beneficiary in advance any changes to this URL.

Formal notifications on paper (only after the payment of the balance) addressed to the Agency must be sent to the following address:

Research Executive Agency (REA)
Marie Skłodowska-Curie COFUND, Researchers' Night and Individual Fellowships Global
CO2 15/046
B-1049 Brussels Belgium

Formal notifications on paper (only after the payment of the balance) addressed to the beneficiary must be sent to its 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\textsuperscript{13}, 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.

The beneficiary may, in particular, request a change of the time spent on the action (part-time employment) for personal or family reasons (including parental leave).

**55.2 Procedure**

The party requesting an amendment must formally notify a request to the other party (see Article 52).

The notification must include:

(a) the reasons why;

(b) the appropriate supporting documents.

The Agency may request additional information.

The party receiving the request must formally notify its agreement or disagreement, within 45 days of receiving notification (or any additional information the Agency has requested). This deadline may be extended, if necessary for the assessment of the request.

An amendment enters into force on the day of the signature by the Agency or the beneficiary, depending on which is later.

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**

Not applicable

**ARTICLE 56a — TRANSFER OF THE AGREEMENT TO A NEW BENEFICIARY**

**56a.1 Conditions**

The beneficiary may request that the research training activities are transferred to a new beneficiary,

if there are serious reasons affecting its capacity to implement the action (without being entitled to any additional EU funding for doing so).

56a.2 Procedure

The beneficiary must formally notify a request for amendment to the Agency (see Article 55).

The request must include:

- the reasons why;
- the date the change takes effect;
- the opinion of the researcher and its supervisor;
- a proposal for the necessary changes, including — if necessary — the appointment of the new supervisor and the Accession Form for the new beneficiary (see Annex 3).

The change will take effect on the day set out in the amendment.

56a.3 Effects

If the request for amendment is accepted by the Agency, the Agreement will be amended to introduce the necessary changes in order to reallocate the tasks of the former beneficiary (see Article 55).

In this case, the former beneficiary must:

- transfer immediately the remaining contribution to the new beneficiary and
- submit — within 30 days from the change — a ‘transfer report’, containing an overview of the progress of the work and the individual financial statement (see Article 20).

The maximum grant amount will be split between the former beneficiary and the new beneficiary, on the basis of the number of actual units in line with Article 6.

The former and the new beneficiary must agree on arrangements concerning the management of intellectual property rights and other issues under the Agreement.

If the Agency considers that the reasons provided do not justify the transfer, it will reject the request specifying the grounds for the rejection.

ARTICLE 57 — APPLICABLE LAW AND SETTLEMENT OF DISPUTES

57.1 Applicable law

The Agreement is governed by the applicable EU law, supplemented, if necessary by the law of Belgium.

57.2 Dispute settlement

If a dispute concerning the interpretation, application or validity of the Agreement cannot be settled amicably, the General Court — or, on appeal, the Court of Justice of the European Union — has sole
jurisdiction. Such actions must be brought under Article 272 of the Treaty on the Functioning of the EU (TFEU).

If a dispute concerns administrative sanctions, offsetting or an enforceable decision under Article 299 TFEU (see Articles 44, 45 and 46), the beneficiary must bring action before the General Court — or, on appeal, the Court of Justice of the European Union — under Article 263 TFEU. Actions against enforceable decisions must be brought against the Commission (not against the Agency).

ARTICLE 58 — ENTRY INTO FORCE OF THE AGREEMENT

The Agreement will enter into force on the day of signature by the Agency or the beneficiary, depending on which is later.

SIGNATURES

For the beneficiary

FRANCA RONCAROLO with ECAS id nrnrfanc signed in the Participant Portal on 20/03/2017 at 12:13:03
(transaction id SigId-16983-7nJW6O2qnxWvV8EeK4Ca4zSBziPzy4za6XzrBNvNF/AkRZQ4Ak5w2azy2HkAf5HbzRAZWIfKIE47)GdKUdzn7ZCXB40-PHiUMVSXYCd2Hxtokt4Ny-

For the Agency

Signed by Francois WILLEKENS with ECAS id willefr as an authorised representative on 21-03-2017 08:49:51
(transaction id SigId-26167-QD2nebf86e4iH2ZUBz2nVWDzV9PuGHZqdtENiB8WZ5BXRHjahA3xGcp9AQhQk5NiTvGgQk08lZqCM2QQVNNkqLla-PHiUMVSXYCd2Hxtokt4Ny-
ANNEX 1 (part A)

Global Fellowships

NUMBER — 750242 — MOOC_DaSI
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1.1. The project summary

<table>
<thead>
<tr>
<th>Project Number</th>
<th>750242</th>
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</thead>
<tbody>
<tr>
<td>Project Acronym</td>
<td>MOOC_DaSI</td>
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</table>

**One form per project**

**General information**

**Project title**
Patterns of diffusion and social implications of Massive Open Online Courses (MOOCs): A comparative study between United States and Europe

**Starting date**
01/10/2017

**Duration in months**
24

**Call (part) identifier**
H2020-MSCA-IF-2016

**Topic**
MSCA-IF-2016
Individual Fellowships

**Fixed EC Keywords**
Social structure, social mobility, Education policy, Education: systems and institutions, teaching and learning

**Free keywords**
MOOCs, higher education, social inequality, returns to education, organisational field

**Abstract**
The MOOC_DaSI project aims to develop a comparative study between the United States and Europe investigating patterns of diffusion of Massive Open Online Courses (MOOCs) and their contribution to a “smart ad inclusive growth” through: a) broadening access to education and b) providing individuals with better skills. MOOCs have been pointed out as a flexible, customized, cost-effective type of education that may play a key role in the future of higher education. However, the outburst of MOOCs also brought about contrasting arguments and so far empirical research is limited and fragmented. The project will contribute to shed light on this topic investigating two main research questions. The first deals with the organizational aspects of MOOCs diffusion and will explore whether a “European way” to MOOCs can be identified. The second investigates whether MOOCs do contribute in reducing social inequality by a) broadening access to higher education to non-traditional and socio-economically disadvantaged students; b) providing returns on the labour market. Finally, the research project will summarize a series of policy recommendations providing policy-makers with empirical ground for designing effective policies in the context of open educational resources. MOOC_DaSI will adopt an interdisciplinary approach spanning between organizational studies, sociology of education and stratification research. The project will also make use of mixed methods of research, combining qualitative and quantitative data and different methods of analysis. The MOOC_DaSI project will be carried out at the University of Turin (IT) and Stanford University (USA) over a period of 24 months, including a secondment period at the EC-JRC in Seville (ES). The implementation of the project will contribute to enhance the fellow’s expertise and thus the chances to reach her career objectives of establishing an own research group and obtaining future grants for large international projects.
### 1.2. List of Beneficiaries

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<tr>
<th>No</th>
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<th>Project exit month</th>
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### 1.3. Workplan Tables - Detailed implementation

#### 1.3.1. WT1 List of work packages

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### 1.3.2. WT2 list of deliverables

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<tr>
<td>Start month</td>
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<td>End month</td>
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**Objectives**

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

**Description of work and role of partners**

**WP1 - Ethics requirements** [Months: 1-24]

UNITO

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

**List of deliverables**

<table>
<thead>
<tr>
<th>Deliverable Number</th>
<th>Deliverable Title</th>
<th>Lead beneficiary</th>
<th>Type</th>
<th>Dissemination level</th>
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**Description of deliverables**

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

D1.1 : H - Requirement No. 1 [2]
Details on the procedures and criteria that will be used to identify/recruit research participants must be provided. Detailed information must be provided on the informed consent procedures that will be implemented for the participation of humans. Templates of the informed consent forms and information sheet must be submitted. The applicant must confirm that ethics approvals for the research with humans have been obtained, are kept on file and will be submitted upon request.

D1.2 : POPD - Requirement No. 2 [2]
The applicant must confirm that the opinion or confirmation by the competent Institutional Data Protection Officer and/or authorization or notification by the National Data Protection Authority has been obtained, is kept on file and it will be submitted upon request (which ever applies according to the Data Protection Directive (EC Directive 95/46, currently under revision, and the national law). Detailed information must be provided on the procedures that will be implemented for data collection, storage, protection, retention and destruction and confirmation that they comply with...
national and EU legislation. Detailed information on the informed consent procedures that will be implemented in regard to the collection, storage and protection of personal data must be submitted. Templates of the informed consent forms and information sheet must be submitted. The applicant must explicitly confirm that the data used are publicly available. In case of data not publicly available, relevant authorisations must be obtained, kept on file and submitted upon request.

D1.3 : NEC - Requirement No. 3 [2]
The applicant must confirm that the ethical standards and guidelines of Horizon2020 will be rigorously applied, regardless of the country in which the research is carried out. The applicant must provide details on the material which will be imported to/exported from EU and, if personal data will be imported to EU, secure the adequate authorisations, keep them on file and submitted upon request.
1. **Project number**

The project number has been assigned by the Commission as the unique identifier for your project. It cannot be changed. The project number should appear on each page of the grant agreement preparation documents (part A and part B) to prevent errors during its handling.

2. **Project acronym**

Use the project acronym as given in the submitted proposal. It can generally not be changed. The same acronym should appear on each page of the grant agreement preparation documents (part A and part B) to prevent errors during its handling.

3. **Project title**

Use the title (preferably no longer than 200 characters) as indicated in the submitted proposal. Minor corrections are possible if agreed during the preparation of the grant agreement.

4. **Starting date**

Unless a specific (fixed) starting date is duly justified and agreed upon during the preparation of the Grant Agreement, the project will start on the first day of the month following the entry into force of the Grant Agreement (NB: entry into force = signature by the Commission). Please note that if a fixed starting date is used, you will be required to provide a written justification.

5. **Duration**

Insert the duration of the project in full months.

6. **Call (part) identifier**

The Call (part) identifier is the reference number given in the call or part of the call you were addressing, as indicated in the publication of the call in the Official Journal of the European Union. You have to use the identifier given by the Commission in the letter inviting to prepare the grant agreement.

7. **Abstract**

8. **Project Entry Month**

The month at which the participant joined the consortium, month 1 marking the start date of the project, and all other start dates being relative to this start date.

9. **Work Package number**

Work package number: WP1, WP2, WP3, ..., WPn

10. **Lead beneficiary**

This must be one of the beneficiaries in the grant (not a third party) - Number of the beneficiary leading the work in this work package.

11. **Person-months per work package**

The total number of person-months allocated to each work package.

12. **Start month**

Relative start date for the work in the specific work packages, month 1 marking the start date of the project, and all other start dates being relative to this start date.

13. **End month**

Relative end date, month 1 marking the start date of the project, and all end dates being relative to this start date.

14. **Deliverable number**

Deliverable numbers: D1 - Dn

15. **Type**

Please indicate the type of the deliverable using one of the following codes:

- R Document, report
- DEM Demonstrator, pilot, prototype
- DEC Websites, patent fillings, videos, etc.
- OTHER
- ETHICS Ethics requirement

16. **Dissemination level**

Please indicate the dissemination level using one of the following codes:
17. **Delivery date for Deliverable**
Month in which the deliverables will be available, month 1 marking the start date of the project, and all delivery dates being relative to this start date.

18. **Milestone number**
Milestone number: MS1, MS2, ..., MSn

19. **Review number**
Review number: RV1, RV2, ..., RVn

20. **Installation Number**
Number progressively the installations of a same infrastructure. An installation is a part of an infrastructure that could be used independently from the rest.

21. **Installation country**
Code of the country where the installation is located or IO if the access provider (the beneficiary or linked third party) is an international organization, an ERIC or a similar legal entity.

22. **Type of access**

- **VA** if virtual access,
- **TA-uc** if trans-national access with access costs declared on the basis of unit cost,
- **TA-ac** if trans-national access with access costs declared as actual costs, and
- **TA-cb** if trans-national access with access costs declared as a combination of actual costs and costs on the basis of unit cost.

23. **Access costs**
Cost of the access provided under the project. For virtual access fill only the second column. For trans-national access fill one of the two columns or both according to the way access costs are declared. Trans-national access costs on the basis of unit cost will result from the unit cost by the quantity of access to be provided.
MARIE SKŁODOWSKA-CURIE ACTIONS

Individual Fellowships (IF)
Call: H2020-MSCA-IF-2016

PART B

MOOC_DaSI
‘Patterns of diffusion and social implications of Massive Open Online Courses (MOOCs): A comparative study between United States and Europe’

This proposal is to be evaluated as:

[MSCA-IF-GF]
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List of Participants
The host organisation (beneficiary) of the submitted proposal is the University of Turin (Italy)\(^1\). In particular, the fellowship will be located at the Department of Cultures, Politics and Society (DCPS)\(^2\), where the fellow will develop the project during the incoming phase, under the supervision of prof. Sonia Bertolini\(^3\).

Being a Global Fellowship, the proposal includes a Partner Organisation in a third Country, which is the Stanford University (USA)\(^4\). In particular, the fellow will develop the outgoing phase of the project at the Institute for Research in the Social Sciences (IRiSS)\(^5\), under the supervision of prof. Paolo Parigi\(^6\).

A secondment period of up to 8 weeks (that will be divided into shorter mobility periods, according to research needs) is foreseen in order to carry out part of the objectives of the project. The partner organisation has been identified in the Joint Research Center of the European Commission, in particular the Unit Human Capital and Employment \(^7\), located in Seville, Spain, under the supervision of Dr. Yves Punie\(^8\). The commitment of the JRC to host the fellow and contribute to the research proposal has been declared in a letter of commitment attached to the proposal. The letter helps clarifying the nature of the collaboration and will serve as a basis for planning the activities at the JRC.

<table>
<thead>
<tr>
<th>Participants</th>
<th>Legal Entity Short Name</th>
<th>Academic</th>
<th>Non-academic</th>
<th>Country</th>
<th>Dept./ Division / Laboratory</th>
<th>Supervisor</th>
<th>Role of Partner Organisation</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Beneficiary</strong></td>
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<tr>
<td>University of Turin</td>
<td>UNITO</td>
<td>X</td>
<td>Italy</td>
<td>Department of Cultures, Politics and Society</td>
<td>Prof. Sonia Bertolini</td>
<td>Beneficiary</td>
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<tr>
<td><strong>Partner Organisation</strong></td>
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<td>Stanford University</td>
<td>STANFORD</td>
<td>X</td>
<td>USA</td>
<td>Institute for Research in the Social Sciences (IRiSS)</td>
<td>Prof. Paolo Parigi</td>
<td>Hosting outgoing phase</td>
<td></td>
</tr>
<tr>
<td>European Commission - Joint Research Centre</td>
<td>EC-JRC</td>
<td>X</td>
<td>Spain</td>
<td>Directorate B – Innovation and Growth – Unit Human Capital and Employment</td>
<td>Dr. Yves Punie</td>
<td>Hosting secondment</td>
<td></td>
</tr>
</tbody>
</table>

Data for non-academic beneficiaries

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<tr>
<th>Name</th>
<th>Location of research premises (city / country)</th>
<th>Type of R&amp;D activities</th>
<th>No. of full-time employees</th>
<th>No. of employees in R&amp;D</th>
<th>Web site</th>
<th>Annual turnover (approx. in Euro)</th>
<th>Enterprise status (Yes/No)</th>
<th>SME status (Yes/No)</th>
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</thead>
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<td>European Commission - Joint Research Center</td>
<td>Seville, Spain</td>
<td>Policy oriented research</td>
<td>250(^9)</td>
<td>&gt;200(^9)</td>
<td><a href="https://ec.europa.eu/jrc/en/about/jrc-site/seville">https://ec.europa.eu/jrc/en/about/jrc-site/seville</a></td>
<td></td>
<td>NO</td>
<td>NO</td>
</tr>
</tbody>
</table>

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\(^1\) [http://en.unito.it/](http://en.unito.it/)
\(^3\) [http://www.dcps.unito.it/do/docenti.pl/Show?_id=sbertolini;sort=DEFAULT;search=posizione%3aPA;hits=40](http://www.dcps.unito.it/do/docenti.pl/Show?_id=sbertolini;sort=DEFAULT;search=posizione%3aPA;hits=40)
\(^4\) [https://www.stanford.edu/](https://www.stanford.edu/)
\(^5\) [https://iriss.stanford.edu/](https://iriss.stanford.edu/)
\(^6\) [https://sociology.stanford.edu/people/paolo-parigi](https://sociology.stanford.edu/people/paolo-parigi)
\(^7\) [http://is.jrc.ec.europa.eu/pages/Homepage.html](http://is.jrc.ec.europa.eu/pages/Homepage.html)
\(^8\) [http://is.jrc.ec.europa.eu/pages/staff.html](http://is.jrc.ec.europa.eu/pages/staff.html)
The MOOC_DaSI project aims to develop a comparative study between the United States and Europe analysing patterns of diffusion of MOOCs and their contribution to a “smart ad inclusive growth” by means of a) reducing social inequalities of access to education and b) improving occupational chances of individuals, with particular attention to vulnerable groups (women and young people excluded from the labour market).

Between 2008 and 2012, the outburst of Massive Open Online Courses (MOOCs) in the USA created great excitement about their potential, putting them among the key challenges for the future of HE. With a bit of delay, these university-level, internet-based and free-of charge courses gradually developed in Europe as well and currently a strong European involvement is widespread: 1541 MOOCs are offered by European HE institutions (HEIs), with about 40% of HEIs having or planning to have MOOCs soon. Yet, this phenomenon brought about contrasting arguments. On one side, enthusiastic views (in particular among policy makers), welcomed these resources as a flexible, customized, cost-effective form of education, opening up a series of opportunities for reducing social inequalities and promoting growth and employment. On the other side, sceptical views emerged about the real empowering and equalizing effect of MOOCs. Literature has identified several key issues associated to MOOCs, here we mention the most relevant in terms of social implications: a) MOOCs seem to fail to target the right individuals: they are characterized by massive attrition rates (between 75-95%); participants are polarized toward English-speaking, well-educated students (60% have tertiary education) living in developed countries; b) the great majority of MOOCs do not provide credits for the completion of the course. This means that the competences acquired cannot be translated into formal qualification, nor are recognized by employers' associations; c) in the USA most MOOC providers are for-profit companies (e.g. Coursera, Udacity), which risks to foster a marketed and privatized approach to MOOCs, rather than a strategy aiming at the quality of instructional design and social returns.

Similarly, MOOCs provided by highly attractive elite universities displace the market for cheap(er) higher education provided by community colleges or local public universities. Other intermediate positions maintain that comparing MOOCs to on-campus HE is misleading: MOOCs will not substitute traditional HE, nor will create a two-tiered stratification system leading to a segmentation in A-class on-campus students and B-class students holding MOOCs credentials. Rather, MOOCs may represent an opportunity under some circumstances: help reaching individuals with very diverse backgrounds and interest, mitigating social inequalities and promoting growth and employment. On the other side, sceptical views emerged about the real empowering and equalizing effect of MOOCs. Literature has identified several key issues associated to MOOCs, here we mention the most relevant in terms of social implications: a) MOOCs seem to fail to target the right individuals: they are characterized by massive attrition rates (between 75-95%); participants are polarized toward English-speaking, well-educated students (60% have tertiary education) living in developed countries; b) the great majority of MOOCs do not provide credits for the completion of the course. This means that the competences acquired cannot be translated into formal qualification, nor are recognized by employers' associations; c) in the USA most MOOC providers are for-profit companies (e.g. Coursera, Udacity), which risks to foster a marketed and privatized approach to MOOCs, rather than a strategy aiming at the quality of instructional design and social returns.

Recently, new learning approaches -with regard to drop-outs- even a small percentage of completion may result in a very large number of successful students. Moreover, recent findings in social stratification studies show that educational expansion occurred in last decades has contributed to reduce social inequality of access. Yet, nonetheless, in many European countries it has been accompanied by an inflation of social inequalities.
educational credentials, which turned into smaller returns to HE. This tends to further reinforce processes of social stratification: indeed, parental education still plays a critical role in terms of quality, reputation and duration of the course attended, even in terms of prestige of the field of study. In this framework, the role of MOOCs, as non-formal, short courses which however are delivered by elite (but also non-elite institutions), in very different fields of study poses interesting challenges to social stratification research. Anyhow, scholars agree on the fact that more empirical research is needed in order to enhance the social and equitable dimension of MOOCs; there is a gap in literature about the social dimension of MOOCs learners, very little is known about the experiences of drop outs and overall there are not enough empirical data to reach a definitive conclusion. Given this framework, a comparative study of the institutional features of the European case as opposed to the American one is particularly sound in reason of there are not enough empirical data to reach a definitive conclusion. Given this framework, a comparative study of the institutional features of the European case as opposed to the American one is particularly sound in reason of the presence of Open Universities traditionally devoted to distance learning; the prevalence of publicly-funded HE institution and a much lower market orientation of the educational system.

1.1.2 Project objectives and overview of the action
MOOC DaSI is built around two research questions and related objectives: a) can a European pattern of development of MOOCs be identified? Which are the peculiar features of the diffusion of MOOCs in Europe as opposed to the United States? b) do MOOCs contribute to reducing social inequality by broadening access to higher education and providing better occupational outcomes? Do MOOCs represent stepping stones for improving individuals’ skills and occupational chances or rather, do they turn into traps, not bringing the expected returns to time and effort invested?

Objective nr.1. Mapping patterns of development of MOOCs in the United States and Europe in a comparative perspective. It investigates the organizational field of the provision of MOOCs: who are the key actors involved in production and supply of MOOCs and their interactions; to what extent the diffusion of MOOCs changes power roles among institutions in the same organizational field (e.g. elite universities providing MOOCs potentially drain students from public universities or community colleges, challenging their educational mission).

Objective nr.2. Studying the contribution of MOOCs in reducing social inequality, in the United States and Europe. It investigates the contribution of MOOCs in: a) reducing inequality of access to education by studying the characteristics of MOOCs’ takers and MOOCs’ drop outs (do MOOCs broaden access to education to non-traditional students? Which factors are associated to the risk of dropout from MOOCs?); b) returns to MOOCs in terms of skills formation and occupational outcomes by investigating whether MOOC participation contribute to improve: i) skill formation of the individual (did MOOC’s takers perceived an improvement in the level of skills owned? Did employers acknowledge the acquisition of specific and soft skills?); ii) occupational chances of the individual (did MOOCs takers observed any effect of MOOCs on their occupational chances by either finding a job, finding a job which better matches their skills/expectations?). Finally, the research project will summarize a series of policy recommendations with the aim of providing concrete contribution to evidence-based educational policies and actions at national and European level.

1.1.3 Research methodology and approach
The research will adopt a sociological approach, spanning between organizational studies, sociology of education and stratification research. In order to investigate Objective nr.1, reference will be made to the new institutional and stratification literature and in particular to the concepts of path dependence, organizational field and ecology of population. Objective nr.2 will be framed in the context of social stratification literature, which isolates two key

21 Tertiary education has been put at the heart of the Europe 2020 strategic framework for its key role in providing “a smart, sustainable and inclusive growth” (setting up the goal of increasing tertiary educational attainment up to 40% among young adults).
22 Non-traditional students can be: individuals who are employed, unemployed or with care responsibilities; with low socio-economic background; who do not hold upper secondary education or enrolled several years after the end of high school (see also European Commission, European Higher Education in the World (Brussels, Belgium: European Commission, 2013 and Kamenetz (2015)).
transitions\textsuperscript{27}: a) from social origins to education (the role of ascribed characteristics in determining educational attainment), b) from education to labour market (the role played by educational credential –instead of ascribed characteristics- in determining occupational status). Accordingly, MOOC\_DaSI investigates whether MOOCs contribute to the two main goals of contemporary educational systems: promoting equality of access to education and providing adequate occupational returns on the labour market\textsuperscript{28}. The use of mixed methods of research is particularly relevant in view of the novel nature of the object of study, which comes with the lack of a systematic and comprehensive collection of data. For this reason, several sources and both quantitative and qualitative data will be used in light of a complementary design, by which the researcher combines types of data for the ability of one type to compensate for the weaknesses of the other\textsuperscript{29}. In our case qualitative data will be used to complement findings from quantitative analyses. MOOC\_DaSI will rely on the following data:

\begin{itemize}
\item[a)] secondary data about the organizational field of MOOCs in the USA and Europe, gathered through bibliographic sources (books, peer-reviewed journals, online magazines, newspapers and other digital sources)
\item[b)] qualitative data on the organizational field of MOOCs in the USA and Europe, gathered through expert interviews to leading scholars and key actors in the field (in total 6 interviews, 3 in USA + 3 in Europe).
\item[a)] quantitative data on MOOCs takers in the United States and Europe. For the latter source of data is the ‘MOOCKnowledge’ database, designed by the JRC in Seville (ES), which hosts the secondment period and granted access to data. The database contains survey data on learners of MOOCs provided by European HEI: socio-demographic characteristics, expectations, motivations, attitudes, norms, intentions, realisation of intentions, satisfaction, assessment and feedback and impact on carer, personal live. For MOOCs based in the USA data will come from courses offered on three platforms (NovoEd, Coursera, and Lagunita) and access is provided by the hosting institution IRiSS: the Center for Advanced Research through Online Learning (CAROL) at IRiSS (\url{https://iriss.stanford.edu/carol/resources-researchers}; \url{http://datastage.stanford.edu/}), holds learning research data from the three platforms mentioned above and grants free access to data for academic purposes;
\item[b)] qualitative semi-structured interviews on MOOCs takers in the United States and Europe. In total, 40 semi-structured interviews are foreseen (20 in USA+20 in Europe), of which 20 (10+10) will be drop-out cases. IRiSS and JRC confirmed that interviewees can be recruited through their e-mail addresses recorded in the quantitative dataset mentioned above. A dedicated strategy for sampling definition is foreseen in WP2 and WP4. It will be designed based on findings from quantitative data analysis but, as a general rule, the qualitative sample will include our groups of vulnerable individuals (women and young people excluded from the labour market) both among drop-outs and successful students and will be geographically limited in order to select comparable areas in the USA and Europe in terms of characteristics of the labour market. Interviews will be conducted face-to-face or, in case interviewees are not reachable within reasonable travel costs, will be conducted using Skype or other teleconference applications.
\end{itemize}

1.1.4 Originality and innovative aspects of the research programme

The originality of MOOC\_DaSI lays in four main points:

\begin{itemize}
\item[a)] it is the first project studying MOOCs in a comparative perspective, linking the North-American experience with the European one. So far, the larger body of literature available focuses on the USA experience, while studies on the European and national cases are growing recently (see the EU-funded project HOME coordinated by EADTU (\url{http://home.eadtu.eu}) as well as the proceeding from the EMOOCs annual conferences (\url{http://emoocs2016.eu/}). The MOOC\_DaSI project will overcome this persisting analytical divide and will accomplish a comprehensive comparison of the two experiences, identifying the unique features and integrating strengths and weaknesses of the two models, something which is still lacking at the moment.
\item[b)] Most of the literature on MOOCs is focused on the pedagogical aspects of online learning, in particular using learning analytics for improving student’s experiences and teaching practices\textsuperscript{30}. Understanding how students learn and how to improve it is undoubtedly a key aim of research in the field. However, the dimension of institutional consequences of MOOCs (how the organization of HE is likely to change) as well as social implications in terms of returns to education (i.e. what students can do with what they learned) is an equally urgent task at societal level which is far less investigated at the moment.
\item[c)] Drop-outs are a central issue in MOOCs, due to its high percentages, limited empirical research so far, and
\end{itemize}


\textsuperscript{30} When introducing MOOCs as key word in digital libraries as JSTOR the great majority of items are scientific articles published in journals in the field of education, while almost no articles dealing with MOOCs are published in sociological journals, not even those dealing with higher education.
potentially negative consequences in terms of social inequalities (students with less cognitive and social resources more likely not to complete). MOOC_DaSI has the specific goal of reaching those who did not complete the courses in order to: give voice to those who are not included in statistics; better understand the dynamics behind non-completion and, finally, with the ultimate goal of contributing to increase skills of MOOC’s takers.

d) Finally, it will be the very first research project using novel data on MOOCs takers in Europe: the database MOOCKnowledge represents a very original source of data and a great opportunity to investigate characteristics occupational outcomes of students taking European MOOCs on a large scale.

As far as the gender dimension, MOOC_DaSI will pay particular attention to female MOOCs takers, including them as a potential vulnerable group, together with young people excluded from the labour market. Gender issues do not arise in term of equality of access to HE, since female participation and attainment is greater than males in OECD countries and the EU2020 target of 40% of HE attainment amongst 30 to 34 year-olds has already been reached among females. On the contrary, real gender issues are observable in terms of returns to education on the labour market, with women –even those with tertiary education- showing lower participation and employment rates, higher unemployment rates a negative gender pay gap. Women tend to be sectoral and occupational segregated into low-pay, low productivity sectors, which is further reinforced by a still low representation of female students in the fields of science, mathematics and engineering (STEM) due to their role of caregiver and responsible for the household and their duties on paid job, which claims for more equal policies for reconciling family and work. Last, most recent cohorts enter a labour market characterized by more flexible forms of employment and more insecure jobs which negatively affect women more than men, who experience greater risk of getting entrapped in low quality jobs and precarious careers. In this context, MOOCs may represent a tool for improving women’s integration in the labour market by either: updating skills of women who want to reconcile work-study-family and of women who want to come back to paid work after a period of leave. MOOCs may even possibly stimulate female interest in STEM fields, where MOOCs are overrepresented, thanks to their innovative and experimental teaching practices.

1.1.5 Career possibilities and new collaboration opportunities
The MSCA grant will give the fellow the possibility to improve her network of future collaborations but also will contribute to enhance her communication and networking skills. The project will also improve her scientific planning/coordinating and project management skills. The host institutions’ outstanding record in management of international research projects, cooperation networks and conferences provides ideal opportunities to obtain insight into aspects of research policy and management. The project will also provide many new transferable skills, establishing her as a specialist in the field of HE and providing her with a unique opportunity to improve the understanding of the institutional dynamics and social inequality processes associated to HE and, more specifically, on digital HE. For both hosting institutions, the MOOC_DaSI project will contribute to develop and boost networking opportunities. IRiSS and Stanford University will have the possibility to broaden its range of action including research dealing with Europe and will have the possibility to get in touch with European researchers in the academic environment as well as with non-academic research institutes (e.g. the JRC). The DCPS and the University of Turin will build a direct link with a world-leading university such as Stanford, by extending its range of action to the US context and by getting involved with a policy-oriented research centre such as the JRC. All these factors will improve the chances of both hosting institutions to: a) build international and diverse partnerships for participating to internationally funded programs (EU-based or USA-based, including non-academic organizations); b) organize common scientific events as conferences and students exchanges between the two organizations; c) open up new possibilities of collaboration with non-academic institutions (e.g. JRC); d) widen the audience for dissemination activities of the research projects of both supervisors in geographical and sectorial terms.

1.2 Quality and appropriateness of the training and of the two way transfer of knowledge
The researcher will contribute to the knowledge transfer acquired in the Third Country to the host organization in Europe by: a) presenting the work of MOOC_DaSI to research seminars held at DCPS and other research centres; b) providing training to doctoral students via lectures in the PhD program managed by DCPS; c) providing training on the specific methodology used for analysing data on MOOCs takers to doctoral students and scholars affiliated to the

incoming institution; c) working with researchers involved in EU-funded research programs and others affiliated to the department. Knowledge will be transferred to the research community by means of scientific reports of the project, presentation at conferences, academic publications and other dissemination activities (see 2.2). In addition, the researcher will return knowledge to the European institution through a) working together with researchers at the JRC in Seville during the secondment period; b) providing new empirical analysis and a feedback on the potential of the ‘MOOCKnowledge’ dataset (EU-funded); c) bringing in new knowledge about the USA MOOCs context; c) presenting and publishing a set of policy recommendations based on novel and recent evidence on the institutional implementation of MOOCs overseas, which can contribute to a better design of educational policies; d) through dissemination, communication and outreach activities of the project foreseen in section 2.2 and 2.3. The European institutions will thus gain from this project new knowledge on a topic that gained great relevance on policy level but for which still little scientific evidence is available.

The training at the outgoing institution (Stanford University) will enable the researcher to make progress in novel approaches in institutional theory, literature on inequality and in quantitative data analysis specific to the field of HE. This will take the form of training-through-research by: a) working on a regular basis with the supervisor and other researchers affiliated (e.g. scholars of the Lytic Lab, R. Kizilcec, E. Schneider agreed on including her to the seminar series and contributing to the discussion of her research work); b) attending seminars and workshops regularly organized by the host institution; c) presenting updates of her research in seminars/lectures, providing her with feedbacks from academic scholars specialized in the field; d) attending regular graduate courses of the School of Education (https://ed.stanford.edu/academics). The researcher will take additional training activities providing opportunities to expand her knowledge and develop transferable skills. The opportunities offered by the Office of Postdoctoral Affairs (http://postdocs.stanford.edu/) will contribute to the development of complementary skills and of a professional development training program. The researcher will gain and transfer knowledge during the incoming phase (University of Turin) thanks to training-through-research which will be carried out by: a) working on a regular basis with the supervisor and interacting with the scholars affiliated to the DCPS; b) participating in the seminars scheduled by DCPS, attending sessions and presenting findings of her research work; c) giving lectures on the topics of the research project to doctoral students, which will improve teaching skills. More transversal skills will be acquired through attendance of specific training courses about H2020 organized by the University of Torino. These trainings are designed to widen research career prospects both in academic and non-academic sector. Through attendance at these training, the fellowship will greatly contribute to amelioration of the applicant’s presentation and writing skills and research management skills. Finally, the secondment period (JRC, Seville) will contribute significantly to a broader transfer of knowledge of the research fellowship. The researcher will receive access to data and training on the database MOOCKnowledge from dr. Y. Punie and dr. Castaño (the objectives of the secondment are stated in the letter of commitment). The secondment institution will provide the researcher with its expertise in supporting European policies on innovating and modernising education, with a policy-oriented perspective which will also be useful for the researcher at the stage of formulating policy recommendations from project’s findings.

1.3 Quality of the supervision and of the integration in the team/institution

1.3.1 Qualifications and experience of the supervisor(s)

In the outgoing phase the fellow will be supervised by prof. Paolo Parigi. He received his PhD in Sociology in 2008 from Columbia University (USA) and in 2008 has been appointed Assistant Professor at the Department of Sociology at Stanford University (USA). In 2012 Paolo has been Visiting Scholar at Emory University (USA) and since 2011 he is IRiSS Faculty Fellow. Paolo is now the Lead Trust Scientist at Uber, where he does research on user’s experience. Paolo has been interested in studying the emergence of cooperation processes that unite people and/or organizations in networks. The data he has used spans between contemporary and historical times and he is an expert in the use of big data and network data. He has been Principal Investigator of the projects: “The Mobilization of Identities”; “Incorporating Human Behavior and Social Theories in Engineering Simulation”; “Trusting Strangers in the Sharing Economy”. Paolo supervised the work 11 PhD students and served as a committee member of other 10 PhD students. A selection of most relevant international publications is presented below (and Document 2, point 5):


During the incoming phase the fellow will be supervised by Sonia Bertolini. Sonia received her PhD in Economic Sociology in 2001 from the University of Brescia (IT), few years later became Assistant Professor at the University of Turin. Here she is currently Associate Professor at the Department of Cultures, Politics and Society (DCPS), where
she teaches Sociology of Work. She has been visiting scholar at Bamberg University (DE), Universitat Autònoma de Barcelona (ES) and University of Rouen (FR). Her main research activity is on labour market flexibility in different systems of welfare state, on young people's entrance in the labour market and flexible work careers of youth in Europe, as well as employer’s demand of job. She is currently the lead partner of two work packages of the EU-funded project EXCEPT ('Social Exclusion of Youth in Job', GA nr.649496), and she is part of the research team in EU-funded projects STYLE ('Strategic Transitions for Youth Labour in Europe'), 'Equal Educ To Employ ('Inequalities In Higher Education Careers And Labor Market Outcomes') and participated in several European Projects and Networks of Excellence (EqualSoc; Transparent; TransEurope). Sonia supervised the work of 3 PhD students, the dissertation of about 30 master students and currently supervises the work of 4 postdoctoral researchers. A selection of most relevant publications is presented below (and in Document 2, point 5):


To sum up, in view of the mixed-method approach of the project, the expertise of the two supervisors is complementary and in line with the project’s objective. P. Parigi expertise in analysing processes of change in institutions will contribute to the researcher’s work in reconstructing the ecology of the organisational field and studying organizational consequences of the diffusion of MOOCs on HEI. Moreover, his expertise in quantitative methods of analysis of complex survey and network data will be of support to the researcher’s analysis of quantitative microdata on MOOCs takers. S. Bertolini expertise in qualitative methods of data analysis (recently demonstrated in being lead partner of WP3 “Development and Implementation of Qualitative Interviews of Youth” in EXCEPT project) will contribute to the researcher’s work in designing and implementing the qualitative part of the empirical research. Her support will not be limited to methodological aspects, but will also cover the part of research on occupational returns of MOOCs thanks to the expertise of Sonia on youth entrance in the labour market; youth work careers in comparative perspective; employers’ preferences in recruitment. Although the work of the supervisors is not fully in the field of education nor focused on MOOCs, the competences they hold are transversal and applicable to different topics, including HE and MOOCs.

1.3.2 Hosting arrangements

The outgoing phase of MOOC_DaSI will be carried out at the Institute for Research in the Social Sciences (IRiSS), an interdisciplinary research centre hosting five research centres (https://iriss.stanford.edu/). IRiSS trains social scientists in data-driven research, has an expertise in advanced and innovative research methods, undertakes high-quality experimental research, and disseminates research findings that address significant global challenges. The fellow will be well integrated within the host organisation in order that all parties gain the maximum knowledge and skills from the fellowship. The researcher will have an office in the premises of IRiSS, which will enable her to participate in research seminars regularly organized and to interact with the research centre fellows. The researcher will be appointed as Visiting Scholar according to the rules of Stanford University, which give the possibility to: a) have access to Stanford University libraries (in-campus and off-campus access); b) auditing University lecture courses without fee; c) participate in the institute’s seminars; d) access the services provided by the Office for Postdoctoral Affairs (see section 1.2). At the incoming phase the researcher will be integrated in the Department of Cultures, Politics and Society (DCPS). Here she will have a dedicated workstation and office space and will be mentored by researchers and professors affiliated to the department. The mentoring style will follow two guidelines: i) an open-door policy, under which the fellow can come at any time to the scientist and to the other researchers and vice versa, and ii) scheduled monthly meetings where the fellow will have to present and discuss the development of her research project. The fellow will take an active part in the weekly research meetings organised by the hosting group, and she will be invited to international meetings organized by the hosting department. The fellow will be contacted by the EURAXESS Service office of UNITO, which will schedule a set-up meeting to present services available to researchers in mobility, to inform her about the training opportunities on soft skills and will include her in the mailing list of MSCA fellows.

1.4 Capacity of the researcher to reach or re-enforce a position of professional maturity/independence

The MSCA-grant is an important step to broaden and strengthen her profile and allow her to reach the required level of maturity to lead research and independently exploit her knowledge and skills in the field of interest within the European Research Area. The development of an expertise in digital higher education will have a great impact for her career in the ERA if we consider that digital education is the major emerging challenge for the future of HE and is a growing field of research still little explored. Thanks to the expertise acquired through the completion
of the grant, the fellow plans to establish (in UNI TO) her own research group focused on the study of institutional aspects and social implications of digital HE. This high level of professional maturity will help the fellow to accomplish her career objectives, which include obtaining a grant for an international project (e.g. ERC Starting Grants) and eventually achieving a professorship in Sociology. In the context of career development, at the host institution, the researcher will benefit of the resources offered by the Office of Postdoctoral Affairs (http://postdocs.stanford.edu/idp/) for developing her own Individual Development Plan (IDP), in accordance with the supervisor. Regarding the career development strategy at the beneficiary institution, the fellow will start from the Individual Development Plan (IDP) elaborated in the outgoing phase and, together with the supervisor, will update and adjust the Plan according to the foreseen activities for the second year. In the IDP the researcher and the supervisor will also discuss measures for a successful integration on medium-long term of the researcher in the ERA in general and in the beneficiary institution in particular. Career development is a specific task of WP5, see point 3.

2. Impact

2.1 Enhancing the potential and future career prospects of the researcher

The experience gained during the MSCA grant will contribute to the development of researcher’s career in the medium and long term as follows:

- reinforces her position within the scientific community through the publication of at least 3 scientific articles and one book within one year after the end of the project, on top of the MOOC_DaSI scientific reports, immediately available to the scientific community;
- enhances the complementarities in research competences through new professional skills in: institutional, organizational issues and social implications of digital education, quantitative, qualitative data analysis;
- diversifies the experiences in the researcher’s CV and complement her profile, also through the experience of the secondment, which -among others- will improve her skills in policy support, through the production of a specific deliverable with policy recommendations for policy-makers at national and international level in the field of MOOCs;
- builds up a solid network at European and USA level with excellent research centres; improves the visibility of the fellow; contributes to the transfer of knowledge in the ERA as well as to the wider European society through: open access scientific publications, lectures to graduates/undergraduate students, seminars in hosting and secondment institutions, the participation to the EU Night of Researchers, presentations/lectures to policy-makers at the European Commission, at the Ministry of Education in Italy, non-academic articles in newspapers, magazines, newsletters.
- strengthens the independent position of the researcher through the development of an individual project and the attendance of specific training on soft skills. During the fellowship the researcher will improve her communication and networking skills, her scientific planning/coordinating and project management skills, which contributes to enhance her future chances of having her own research group, being principal investigator or team member of cutting-edge, multidisciplinary projects in the near future (e.g. ERC Starting Grants, other Horizon 2020 projects).

2.2 Quality of the proposed measures to exploit and disseminate the action results

The activities below are targeted to stimulate the debate in the international scientific community and to influence policy-making at international and national level. The academic and research community will be reached through:

- 5 scientific reports of the MOOC_DaSI project, freely accessible in the form of deliverables (see 3.1 and Fig.1);
- scientific articles: 2 articles (USA case study, EU case study) will be submitted to peer-reviewed scientific journals by M24, a third article (comparative USA/EU) will be submitted within three months after the end of the project (M27). Publications will be made freely and publicly available, in order to comply with Horizon 2020 open access policy. The targeted peer-reviewed scientific journals are: European Sociological Review; Higher Education; The Review of Higher Education (see 3.1)
- 1 academic book summarizing the overall conceptual framework and findings of the project in comparative perspective, as well as policy recommendations. A proposal of the book will be submitted to an international publisher by M24, final publication will depend on publisher’s technical timing. Target publisher: Stanford University Press, Edward Elgar, Palgrave Macmillan (see 3.1).
- participation to 2 scientific conferences: one of them being the European MOOCs stakeholders summit (EMOOCs, February 2019), the other one to be chosen between: SASE (June 2018), AERA (April 2018), ESA (August 2019);
- seminars and doctoral training at Stanford University and UNITO: project’s theoretical framework and findings will be presented to doctoral students, young researchers and research fellows of the host institutions in dedicated lectures and in the seminars regularly scheduled at the hosting departments (approx. M6 to M24);
- Policy makers and other stakeholders at European and national level will be reached through:
  - 1 policy brief containing policy recommendations emerging from the projects’ findings (approx. M24);
  - presentation of project’s findings and policy recommendations in at least 1 seminars/open lecture to officials in DG Education and Culture (EAC) (approx. M21-M24).
- 1 presentation of project findings and policy recommendations at the Ministry of Education in Italy (MIUR) (M24);
- 1 article/post on the MIUR website dedicated to research in Italy (https://www.researchitaly.it)
- at least 2 articles in the newsletters of major MOOCs’ providers, among them one with European coverage (e.g. EMMA https://platform.europeanmoocs.eu/), the other one with national coverage (e.g. for Italy EduOpen http://eduopen.org/) (approx. M18-24).

As far as intellectual property rights are concerned, the project foresees that intellectual property of research findings arising from the project will be shared between the beneficiary institution (UNITO) and the fellow. The Hosting Institution will guarantee the respect of IPR Regulation, as set up in the Grant Agreement. It will ensure that the researcher enjoys, on a royalty-free basis, access rights to the background and to the foreground if that background or foreground is needed for his/her research training activities under the project. In case of this GF-MSCA grant a Partnership Agreement will be signed with the Partner institution (Stanford University), with the purpose to regulate the relationship between researcher and organisations as well as the secondment period framework.

2.3. Quality of the proposed measures to communicate the action activities to different target audiences
Outcomes of MOOC_DaSI will be relevant to citizen’s everyday life by informing their choices on whether and how pursue further education, by providing evidence about the opportunities and costs of attending MOOCs and finally, giving voice to MOOCs students, drop-outs included. The European society as a whole will thus benefit in terms of greater awareness about key actors, potential returns, students’ feelings associated to MOOCs. This, on one hand will enable citizens to make informed choices; on the other hand will potentially lead to enhance skills level of the European citizens by increasing participation to higher education, in the eye of a “smart and inclusive growth”.

More in details, communication activities foresee:\n- a project’s page in the most popular social network, Facebook, which will be designed by the fellow and will be regularly updated with dissemination and communication materials associated to the project’s research activity (e.g. articles, PowerPoint presentations, other materials reporting the ongoing activities of the project) (M1 to M24).
- open lectures addressed to local schools, non-profit organizations and government agencies through the Public & Community Service of Stanford University (https://haas.stanford.edu/) (approximately from M6 to M12);
- 1 non-scientific article in a USA-based magazine/newspaper (approx. M9-M12);
- mainstream media coverage in the form of any among: print, TV, radio or electronic addressing a non-specialist, non-scientific audience (approx. M6 to M12);
- 1 non-scientific article in a MOOC-related publication (e.g. http://moocnewsandreviews.com/) (approx. M9-M12);
- 2 presentation of findings to the events organized by UNITO for the EU Researchers’ Night (Sept 2018; Sept 2019);
- at least 1 headline on the Commission’s Research & Innovation website, submitted via collaboration with the JRC;
- 1 article about project’s findings on Horizon Magazine, research*eu results magazine (approx. M24);
- 1 non-scientific article in a EU-based magazine/newspaper (approx. M21-24);
- mainstream media coverage in the form of any among: print, TV, radio or electronic addressing a non-specialist, non-scientific audience (approx. M6 to M12)
- 1 non-scientific article in MOOC-related publication (e.g. www.openeducationeuropa.eu/) (approx. M21-24)
- 1 post/article on an Italian website dedicated to students (e.g. www.studenti.it) (approx.. M21-24)

3. Quality and Efficiency of the Implementation
3.1 Coherence and effectiveness of the work plan
3.2. Appropriateness of the allocation of tasks and resources

MOOC_DaSI is structured around 6 work packages which ensures the achievement of project objectives within 24 months. The researcher will be supported by the supervisor and the research staff at the hosting organization (Stanford University) for the implementation of WPs1-2 and at the beneficiary (UNITO) for implementing WPs3-4. Each supervisor will dedicate approx. 5 h/week to the project, for a total of 20 h/month. Additional supervision will also take place via digital media (e-mails, skype/phone calls) if specific assistance is required (also in case of methodological guidance by the supervisor is needed while the researcher is abroad). Further supervision will be granted by other researchers affiliated to the beneficiary and partner institution, for approx. about 10 hours/month. Scientific WPs1-4 are organized symmetrically: 3 months each for the conceptual framework, 4 months for...
quantitative empirical analyses and 5 months for qualitative analysis. Overlaps between the end/beginning of the tasks is because empirical analysis are designed to be complementary in a mixed-method approach. Conduction of interviews is a time-consuming activity but the use of Skype speeds-up the process by avoiding mobility time and allowing more flexible scheduling for interviewees. The secondment is planned into short mobility periods (e.g. one/two weeks) up to a maximum of 8 weeks. This makes the secondment more flexible and responsive to research needs, allowing adjustments of the quantitative strategy during the implementation of the project. A first visit is planned after access to all data for the USA, to introduce the project and start reasoning on resources available for EU. The second visit is planned at M13 for organizing data access and the quantitative analyses of coming months. Training activities are planned throughout the project so to alternate research and training in a mutually supportive cycle. Dissemination and communication activities are spread all along the project (with reports every 6 months) so to distribute attention to all stages of the project: the launch, its progresses and then final findings. For each WP the researcher has already planned the budget expenditure and the hosting organisation will make it available in the kick-off meeting of the project. As for networking activities, UNITO will cofund the EC contribution with a specific budget for travels in terms of maximum 3 travels per year.

3.3 Appropriateness of the management structure and procedures, including risk management

3.3.1 Project organization and management structure

The beneficiary organisation will take care of the overall project management and will support the fellow coordinating the scientific and administrative issues related to the project. The management structure builds upon the experience UNITO gained in the previous 36 EU-projects funded under FP7 PEOPLE and in 12 MSCA projects funded under H2020. The adequate scientific support to the fellow will be guaranteed by the Scientific Supervisor. For the whole duration of the project, prof. Bertolini will be the main contact person for the REA. The supervisor will also contribute to advise and support the fellow about career development and opportunities. A meetings schedule will be drafted at the beginning of the project as well as the definition of a Personal Career Development Plan. During the outgoing phase scientific support will be guaranteed by the Scientific supervisor, prof. Parigi. The management plan of the project includes a) meetings at the beginning, after six months and at the end of the outgoing and incoming phase and b) monthly meetings with the supervisor(s) for updates on project progress. If any slow down or deviation should occur, they will be corrected or new milestones agreed. The financial and ordinary management of the fellowship will be carried out by the administrative staff of the department with the support of the EU Project Office (CSTF), which will support DCPS with its relationship with REA, Project Officer and EU requests. The financial reporting will be accomplished by both offices. Administrative support will be also granted to the fellow during the outgoing phase.

3.3.2 Risks that may endanger project objectives and relative contingency plan

<table>
<thead>
<tr>
<th>Risk</th>
<th>Risk level</th>
<th>Consequence</th>
<th>Contingency Plan</th>
</tr>
</thead>
<tbody>
<tr>
<td>Failure in contacting leading experts</td>
<td>low</td>
<td>delay of the work plan or reduced explicative power of project’s findings</td>
<td>Use names put in a reserve list (elaborated in T1.3&amp;T3.2) in order to interview experts who are more easily reachable</td>
</tr>
<tr>
<td>Low response rate of the qualitative sample</td>
<td>medium</td>
<td>delay of the work plan or reduced explicative power of project’s findings</td>
<td>Adjustment of the strategy: a) snowball sampling strategy, using names provided by individuals already interviewed; b) recruitment through personal contacts; c) recruitment through MOOCs platforms/websites d) rely on quantitative data</td>
</tr>
<tr>
<td>Failure to submit deliverables on time</td>
<td>low</td>
<td>delays in the work plan</td>
<td>Monthly meetings with the supervisor include the set-up of internal deadlines, before the upcoming of official deadlines</td>
</tr>
</tbody>
</table>

3.4 Appropriateness of the institutional environment (infrastructure)

IRiSS offers the researcher with adequate infrastructures for the implementation of the project: an office in the premises of the host institution; a workstation with dedicated computer, high-speed internet connection, desk and storage space, access to in-campus and off-campus library resources for the whole duration of the fellowship. In addition, the fellow will have access to all facilities available to University staff (e.g. staff development and training, sport and leisure, access to Bechtel International Center, specifically dedicated to support international students and staff in all matters related to administrative, cultural and personal issues). At the DCPS, UNITO the fellow will have access to all facilities available to University staff: access to in-campus and off-campus services of the University’s library, her own workstation in the premises of the department, a computer with high-speed internet connection, desk and storage space. The Department is located in the new university campus, which includes offices and classrooms of various social science departments, several university libraries, a canteen and housing options. The beneficiary host organisation ensures that the work will be performed according to MSCA guidelines. UNITO will ensure the necessary scientific autonomy of the experienced researcher and the adequate implementation of the project. UNITO commits itself to guarantee adequate engagement and contractual working conditions to the researcher, with particular attention to the provisions for annual, sickness and parental leave, health and safety standards, and social security scheme.
4. CV of the Experienced Researcher

Valentina Goglio obtained her Master Degree in International Relations from the University of Turin (IT). Her first academic work experience was on a research project investigating the link between Higher Education (HE) institutions and local socio-economic development (Department of Economics, University of Turin). Passion for empirical research in the field of HE and labour market was re-fuelled by the enrolment in the interdisciplinary PhD program in Labour Studies at the University of Milan (IT). The dissertation project dealt with the evolution of the Italian HE system and the link with the socio-economic context, using a mixed-method approach. During this period, she also acquired expertise on quantitative and qualitative methods of data analysis, sociology of education, stratification research and sociology of work. Valentina benefitted of support from Italian and foreign supervisors, she had the opportunity to experience the research environment abroad thanks to international conferences, summer schools, and a research period of seven months in the USA, at Stanford University. Here she focused on the study of comparative educational systems, developing a great interest for the early experiences of MOOCs. After receiving her PhD in March 2013, she worked as postdoctoral researcher at the Department of Social and Political Studies, University of Milan (IT) studying the evolution of university governance in five European countries. In December 2013 she joined the Econometrics and Applied Statistics Unit at the Joint Research Center (JRC) of the European Commission in Ispra (IT), as post-doctoral research fellow (GH30). Her work focused on the distribution and evolution of adult skills, occupational outcomes, educational mismatch, youth transitions into the labour market and monitoring of ET2020 benchmarks. Since September 1, 2015 she got a postdoctoral fellowship at the University of Turin (IT) working on the EU funded project “Except - Social Exclusion of Youth in Europe: Cumulative Disadvantage, Coping Strategies, Effective Policies and Transfer” (Horizon 2020, GA n.649496). Here she investigated the link between labour market exclusion and youth autonomy (housing, economic, psychological) across EU28 countries using quantitative methods of analysis. During her young research experience, Valentina published several articles in leading scientific journals at international and national level, using both quantitative and qualitative methods of analysis dealing with: educational mismatch, early career and transitions of youth into the labour market, institutional aspects of HE systems. She also presented her work in more than 20 conferences and seminars and has been invited speaker at the Birkbeck College, University of London (2016); European Commission (2014, 2015) and George Washington University (2014).

PERSONAL INFORMATION
Born in Moncalieri (TO) on 13/05/1981. Italian citizen, resident in Turin (IT).
Email: valentina.goglio@gmail.com. Phone: +39 327 4477948.
Website: https://unito.academia.edu/ValentinaGoglio

EDUCATION
• Master Degree (Laurea) in International Relations at Faculty of Political Sciences, University of Turin (Italy). Period: October 2000- December 2005. Dissertation in Industrial Economics, defended on 05/12/2015, final grade 105/110. Supervisors: prof. Aldo Enrietti, prof. Emanuele Bruzzone

Further education
• Summer School on Survival Analysis and Event History Analysis. Organized by ECPR at University of Ljubljana, Faculty of Social Sciences. 2-14 August 2010.
ACADEMIC POSITIONS

2015-2017  Post-Doctoral Research Fellow, Department of Cultures, Politics and Society, University of Turin, Italy (September 2015-August 2017)

2013-2015  Post-Doctoral Research Fellow (Grantholder 30), European Commission, Joint Research Centre, Ispra (VA), Italy (December 2013-August 2015)

2013  Post-Doctoral Research Fellow, Department of Social and Political Sciences, University of Milan, Italy (January-December 2013).


2009 – 2013  PhD Student, Graduate School of Social, Economic and Political Sciences, University of Milan, Italy (October 2009-March 2013)

RESEARCH EXPERIENCE

  Activities: literature review; quantitative analysis of secondary data (EU-SILC cross-sectional and longitudinal, EQLS) using descriptive, regression and multilevel methods; writing of academic papers.

• Post-doctoral research fellow, European Commission, Joint Research Centre, Ispra (VA), Italy (December 2013-August 2015). Project: “Efficiency, effectiveness and equity of the European education systems”.
  Activities: Joint Assessment Framework (monitoring of ET2020 benchmarks); data analysis on the six operational benchmarks (and associated sub-indicators) included in the strategic framework for European cooperation in education and training (ET2020); Skills for employability: assessing the relationship between skills owned by individuals, as measured in the PIAAC and IALS databases, and employment outcomes; Other topics of research: Adult participation in Lifelong Learning; Vocational Education & Training; Early school leavers versus NEETs. Activities: literature review, data analysis on Eurostat data, writing of research reports.

  Activities: review of the literature on determinants of retirement in Italy; data analysis for the country study using LFS database; writing of academic papers/book chapters.

• Postdoctoral research fellow at Department of Social and Political Sciences, University of Milan (Italy). Project: “Institutional mechanisms among European universities as a response to national policies: differentiation, university governance and decision-making processes.”
  Supervisor: prof. Marino Regini. (Jan 2013-Dec 2013)
  Activities: review of comparative literature on the governance of HE systems; contribution to the set-up of a qualitative questionnaire; interviews to top and middle level academic leadership in Spain and Germany; writing of research report and academic paper.

• Research assistant in the project: “Economic impact of satellite universities: a case study on Cuneo province”, funded by Faculty of Political Sciences, University of Turin and Fondazione CRC.
  Activities: collaboration to the set-up of a quantitative survey; data gathering on research activities carried out by faculties of the Cuneo campus; analysis of the local socio-economic context; writing of the research report and academic paper. Period: June 2011- Dec 2011.

• Research assistant in the project: “Knowledge society and demand for human capital”, funded by Faculty of Political Sciences, University of Turin and Fondazione CRC. Research team: prof. Aldo Enrietti, prof. Sonia Bertolini.
Activities: definition of the sample of firms; collaboration to the set-up of a quantitative survey, contribution to the set-up of a qualitative questionnaire and interviews; writing of the research report and academic paper. Period: Sept 2010- Aug 2012

- Research assistant in the project: “Female entrepreneurship in Cuneo province”, funded by Faculty of Political Sciences, University of Turin and Chamber of Commerce Cuneo. Research team: prof. Aldo Enrietti, prof. Sonia Bertolini.

Activities: review of the literature on female participation in the labour market and female entrepreneurship; set-up of the qualitative questionnaire; analysis of interviews to 70 local entrepreneurs. Period: June 2008-Dec 2008.


Activities: set up of an online survey for students of the Polytechnic of Turin and satellite campus in Cuneo province, including organizational meetings with representatives of students and faculties in the satellite campus in Mondoví; analysis of primary data from the online survey; writing of the research report and academic papers. Period: February 2009- October 2009.

- Research fellow at Department of Economics “S. Cognetti de Martiis”, University of Turin. Research project: “Banking foundations and local development”. Research fellowship funded jointly by University of Turin and Fondazione CRC. Supervisor: prof. Aldo Enrietti.

Activities: literature review on equality of opportunities in (higher) education; data analysis on administrative data from students of University of Turin and the satellite campus in Cuneo province; writing of the research report and academic papers. Period: January 2007-January 2009.

ORGANIZATION OF SCIENTIFIC MEETINGS

- Member of the organizing committee for the 1st EXCEPT workshop at Department of Cultures, Politics and Society, University of Turin (Italy), 1-3 October 2015.

- Member of the organizing committee of the 4th TransEurope Young Researcher Meeting “Flexibilization and Changing Life Course Patterns in a Globalizing Europe”(18th-19th June 2010). Funded by European Science Foundation (ESF) and University of Turin.

PUBLICATIONS

Articles in peer-reviewed journals

- Bertolini, S., Goglio, V., “The demand for qualified personnel: a case study on Northern Italy”. Higher Education, Skills and Work-based Learning (conditional acceptance)


Book chapters

Doctoral dissertation

Research reports with ISSN/ISBN code
- Bertolini S., Goglio V. 2012. “Capitale umano e società della conoscenza: i laureati nelle imprese cuneesi”, Quaderno n. 15 della Fondazione CRC.

Non-Academic publications

Papers submitted to peer-reviewed journals
  o Goglio, V., Regini, M., “Processes and Stages of Differentiation in European Higher Education” submitted to Studies in Higher Education
  o Flisi, S., Goglio V., Meroni E., Vera Toscano M.E. “Changes in adult literacy skills across European countries: Are we ready for the “knowledge economy ?” submitted to Labour Economics
  o Flisi, S., Goglio V., Meroni E., Vera Toscano M.E. “School-to-work transitions of early school leavers: The role of the NEET indicator in monitoring youngsters’ labour market performance across EU countries” submitted to Demographic Research

CONFERENCES
Invited Presentations
- An Inquiry Into Rankings in Education (Washington D.C., USA). 5-6 November 2014. Title: “New theoretical perspectives for the study of university rankings”.
• Higher Education Grad Student Group (Stanford, USA). 16/02/2012. Title: “The population of satellite universities in the Italian Higher Education system”.

Conferences and Workshops
• 28th Annual Meeting of SASE (Berkeley, USA). 24-26 June 2016. Title: “Processes and Stages of Differentiation in European Higher Education” with M. Regini.
• 1st Italian European Values Study Conference (Trento, IT). 12-13 November 2015. Title: “Becoming independent among European Youth with different “home-leaving” models” with P. Torrioni.
• 30th EGOS Colloquium (Rotterdam, NL). 2-4 July 2014. Title: “An institutional mechanism to reduce internal competition? A hypothesis about the diffusion of satellite universities in Italy” with P. Parigi.
• Brown Bag Seminars (Ispra, IT). 4 June 2014. Title: “An institutional mechanism to reduce internal competition? A hypothesis about the diffusion of satellite universities in Italy” with P. Parigi.
• ECSR Conference (Tilburg, NL). October 2013. Title: “The diffusion of satellite campuses and implications on educational opportunities in Italy”.
• 26th CHER Annual Conference (Lausanne, CH). 9-11 September 2013. Title: “Processes and Stages of Differentiation in European Higher Education” with M. Regini.
• 28th EGOS Colloquium (Helsinki, FI). 2-4 July 2012. Title: “The population of satellite universities in the Italian Higher Education system”.
• Economic Sociology and Organizations Workshop (Stanford, USA). 7 November 2011. Title: “Italian universities across time” (doctoral dissertation progress).
• 7th Annual ESPA-net Conference (Urbino, IT). 17-19 September 2009. Title: “Could regional universities promote access to higher education for “less favourite” students?”
• 1st TransEurope Young Researchers workshop (Bamberg, Germany). 29 January 2009. Title: “Could local universities promote early entrance in labor market and fight uncertainty?”

TEACHING

GRANTS/SCHOLARSHIPS
• Grant for visiting fees at Stanford Universities, provided by Graduate School (GSSP), University of Milan. Period: September 2011-March 2012.
• Grant covering tuition fees and allowance at ECSR Summer School, provided by Graduate School (GSSP), University of Milan. Period: 2-14 August 2010.
• Short visit grant at University of Bamberg (Germany), awarded by European Science Foundation (ESF). Period: 26-30 January 2009.
• Scholarship, Regional authority for the right to study (EDISU Piemonte). Period: October 2000 - September 2005.
### 5. Capacity of the Participating Organisations

<table>
<thead>
<tr>
<th>Beneficiary</th>
<th>UNIVERSITÀ DEGLI STUDI DI TORINO</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>General Description</strong></td>
<td>The University of Torino (UNITO) is one of the most ancient and prestigious Italian Universities with an international reputation (nr.151-200 in ARWU global ranking, nr.5-9 in ARWU country ranking). Nowadays, UNITO has about 70,000 students, 4,000 academic, administrative and technical staff. 1800 post-graduate and post-doctoral students and 120 buildings in different parts of the city. It carries out scientific research and organizes courses in all disciplines, except Engineering and Architecture. UNITO is active at international level through involvement of its researchers in several international projects, establishment of international PhD programmes, through the subscription of formal cooperation agreements (roughly 450) with institutions around the world. It has a long record in participating in European projects. Currently, UNITO is taking part in 117 research projects funded under FP7 and in 19 projects (3 ERC grants) funded under H2020 being coordinator in 36 of these.</td>
</tr>
</tbody>
</table>

| Role and Commitment of key persons (supervisors) | Sonia Bertolini, Associate Professor, Sociology of Economic Processes and of the Labour Market. |

| Key Research Facilities, Infrastructure and Equipment | The fellow of this project will be located at the Department of Cultures, Politics and Society (DCPS) where an appropriate working space will be provided. The fellow will have access to: in-campus and off-campus services of the University’s library, her own workstation in a two-people office in the department, a computer with high-speed internet connection, access to statistical software and computer programs, a desk and storage space. |

| Independent research premises | UNITO has its own, independent research premises required for hosting the ER. |

| Previous Involvement in Research and Training Programmes | With regard to projects previously funded under MSCA Actions, UNITO has recently contributed to implement 36 projects, out of which 11 are Individual Fellowships. The implementation is made possible through a fruitful cooperation of UNITO administrative offices. Moreover, incoming and outgoing mobility services are supported through UNITO EURAXESS Service Centre. DCPS is an interdisciplinary Department committed to high-quality undergraduate and graduate teaching. Its researchers are involved in various scientific projects at international (FP7, HORIZON 2020) and national (PRIN, FIRB) level. DCPS is member of international networks such as “European network of excellence EQUIALSOC” and the “Council for European Studies” at Columbia University, and it has large experience in organizing and hosting important international conferences, as: ‘3rd TransEurope Young Researchers Meeting’ (2010), ‘WWW.World Wide Women Globalization, genders and languages’ (2011), the 11th ESA Conference (2013). The supervisor S. Bertolini participated in several international research projects in the past years: |
| | - *Equalsoc* (PI of the Research Group “Atypical job and family formation in different institutional contexts” and team member of the group Employ, P.I. Duncam Gallie, 2005-2010); |
| | - *Transparent* (team member, P.I.: Prof. Dr D.Grunow, and Dr. M.Evertsson, 2010-2013); |
| | S. Bertolini has been member of the Doctoral School Committee in Sociology and Social Research of the University of Turin and supervised 2 graduate students. |

| Current involvement in Research and Training Programmes | Recently UNITO has been involved in 3 training and research project funded under H2020-ETN-2014; is coordinator of 1 project funded under H2020-RISE-2014 and 12 project funded under H2020-IF-2014. UNITO is coordinator of “2020 researchers: Train2Move”, a new fellowship programme funded under FP7-COFUND-2013. DCPS is involved in several EU-funded scientific projects, among them the following particularly match with the topics of MOOC_DaSI: |
| | - EXCEPT “Social Exclusion of Youth in Europe”, (S. Bertolini coordinator of the UNITO team, in charge of two WPs); |
| | - STYLE “Strategic Transitions for Youth Labour in Europe”, (S. Bertolini in the research team); |
| | - Equal Educ To Employ “Inequalities In Higher Education Careers And Labor Market Outcomes” (S. Bertolini in the research team). |
| | S. Bertolini is currently member of the Doctoral School Committee in Economic Sociology and Labour Studies (NASP consortium); member of the Scientific Board of the Italian Sociological Association (section “Daily life”). She supervised the work of 3 PhD students, the dissertation of about 30 master students and currently supervises 4 post-doctoral researchers. |

| | - Blossfeld H.P., Hofacker D., Bertolini S (eds) “Youth on Globalised Labour Market”, Barbara Budrich Publishers, Opladen (Germany) and Farmington Hills (USA), 2011. |
### Partner Organisation

| General Description | Stanford University is a private, world’s leading research university, placed on top positions in world university rankings (nr. 2 in ARWU, nr. 4 in THE, nr. 7 in QS). Areas of excellence range from the humanities to social sciences to engineering and the sciences. Stanford is located in California's Bay Area, including the Silicon Valley, one of the most intellectually dynamic and culturally diverse areas of the nation. Nowadays Stanford has about 7,018 undergraduate and 9,118 graduate students; about 2,118 faculty members and 21 Nobel laureates are currently members of the Stanford community; it has nearly 700 major buildings over a 8,180 acres campus. |
| Role and Commitment of key persons (supervisors) | Paolo Parigi, Assistant Professor of Sociology |
| Key Research Facilities, Infrastructure and Equipment | IRISS offers the researcher with adequate infrastructures for the implementation of the project: an office in the premises of the host institution; a workstation with a dedicated computer with high-speed internet connection, desk and storage space, access to in-campus and off-campus library resources, access to staff development and training, sport and leisure, access to Bechtel International Center. |
| Independent research premises | Stanford University has its own, independent research premises required for hosting the ER. |
| Previous Involvement in Research and Training Programmes | Stanford has been actively involved in research and it is known for its entrepreneurial character, drawn from its relationship to Silicon Valley. Regarding the specific topic of the project, Stanford has an extensive and long-term experience in the fields of digital education: it has been the first among top research universities to launch MOOCs in 2011, Stanford faculties are among founders of the major MOOCs providers and Stanford still leads the phenomenon in both teaching and research. With respect to EU-funded research projects, Stanford has been involved in 12 research projects under the FP7. IRISS is an interdisciplinary research centre hosting five research centres. IRISS trains social scientists in data-driven research, has an expertise in advanced and innovative research methods, undertakes high-quality experimental research, and disseminates research findings that address significant global challenges. Technology initiatives and research support services are key components of the IRISS research infrastructure. IRISS provides Survey Tools, Research Computing Support, Secure Data Center, Grants Management, Data Management Plans for NSF/NIH proposals, Methods Training. 

P. Parigi has been involved in several research project, among them, he was PI of the projects ‘The Engineering of Trust’ (NSF, 2013), ‘The Mobilization of Identities’ (UPS Fund, Stanford University, 2010) and organized the workshop “The Mobilization of Identities”, Stanford University (2011). He is member of the American Sociological Association and has been Visiting Scholar at Emory University (2012) and IRISS fellow since 2011. In his career he supervised 11 PhD students and served as a committee member of other 10 PhD students. |
| Current involvement in Research and Training Programmes | Stanford has more than 5,300 externally sponsored research projects throughout the university, with the total budget for sponsored projects at $1.33 billion (2014-15). There are about 2,000 postdoctoral scholars; independent labs account for 10% of Stanford research, involving about 300 faculty members and 800 students. In 2013–14, Stanford received more than $108.6 million in gross royalty revenue from 655 technologies. Forty of the inventions generated $100,000 or more in royalties. Six inventions generated $1 million or more. In 2013–14, the Licencing Office concluded 106 new licenses. IRISS currently hosts about 60 faculty affiliates, 5 faculty fellows on specific research projects and 8 graduate students, appointed in the Graduate Student Advisory Council, for fostering interdisciplinary collaboration and research. IRISS also established important collaborations with research institutions in USA, Europe (University of Bremen) and Japan (Hokkaido University). 

P. Parigi is currently co-PI of the projects: ‘Incorporating Human Behavior and Social Theories in Engineering Simulation’ (with Kincho Law; NEC Information Technology Company, 2014); ‘Trusting Strangers in the Sharing Economy’ (with Karen Cook; National Science Foundation, SES-1257138, 2014) and ’The Exchange: Airbnb - Stanford Project’ (with Karen Cook, 2015). He is also member of the Graduate Studies Committee, PhD program in Sociology; member of the Editorial Board of the Journal of Web Science, and supervises 3 doctoral students. |

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1 Center for American Democracy, Center on Poverty and Inequality, Center on Philanthropy and Civil Society, Center for Population Research, Center for Computational Social Science.
6. Ethical Issues

Compliance with the relevant ethics provisions will be guaranteed from the beginning to the end of MOOC_DaSI project. The researcher is aware of and will comply with European and national legislation and fundamental ethical principles, including those reflected in the Charter of Fundamental Rights of the European Union and the European Convention on Human Rights and its Supplementary Protocols. The research ensures respect for people and for human dignity, fair distribution of research benefits and burden and protecting the values, rights and interests of the research participants.

Potential ethical issues flagged in Part A of MOOC_DaSI project will be addressed as follows:

a) Humans and related personal data:
The study and research documentation associated to MOOC_DaSI (information sheets, consent forms, interview outlines, etc.) will be reviewed before the primary data collection commences in order to meet the general requirements of the ethical principles underlying the EU framework. Regarding qualitative data used in MOOC_DaSI informed consent will be obtained from participants in the study before interviewing them. Permission will also be sought before using recorders for collecting data. Only the researcher will be given access to personal data and will be bound to keep all such data confidentially. No personal information will be passed to a third party. All data to be used in producing reports will be anonymous. In accordance with the data protection rules in the participating countries, the researcher will provide users anonymized data only. The researcher is responsible for checking the data with confidentiality in mind and will anonymize the personal data in interview transcription in accordance with the Proposal General Data Protection Regulation (http://ec.europa.eu/justice/data-protection/document/review2012/com_2012_11_en).

Audio files and resulting transcripts used in qualitative research are sent via a secure server. Transcripts are anonymized and stored in a secure directory with access to the researcher only. Names and addresses of participants are separated from transcripts, analytical databases and outputs and the ability to connect both is limited to the researcher.

b) Secondary data:
Secondary quantitative data will be used in accordance with international, European, national legislation and with Research Council principles. If secondary data is openly and publicly accessible, the researcher will use them in accordance with provider’s rules. In case consent for secondary use is required, the researcher will follow all the rules to obtain it and data will be used after permission by the owner/manager of the data set and in accordance with his rules for respect of privacy, data safety procedure and correct use.

c) Third Country:
The research carried out in the framework of MOOC_DaSI in a third country is accepted and complies with the legal obligations of the third country. In addition, it is compatible with EU and international law and it could have been legally conducted in EU Member States. No data transfers to third countries is foreseen.
7. Letters of Commitment (GF only)

June 20, 2016

Subject: Letter of Commitment to ‘MOOC DaSI’ project

Dear MSCA Evaluation Panel:

The Institute for Research in the Social Sciences at Stanford University is available to support Valentina Gloglio’s application for funding from the Marie Skłodowska-Curie Individual Global Fellowship (H2020-MSCA-IF-2016).

I am pleased to offer support for the outgoing phase of the ‘MOOC DaSI’ project by hosting the researcher on our premises and actively involving her in the activities of the Institute. The project proposal “MOOC DaSI” and its implementation plan have been agreed to by Paolo Parigi, Institute Fellow and Assistant Professor of Sociology at Stanford, who confirms his availability to supervise the researcher for the whole duration of the outgoing phase, from month 1 through 12 of the project schedule.

The Institute will host the researcher in the framework of Stanford University’s Visiting Scholars Policy,¹ which foresees the possibility for the researcher to: a) participate in the Institute’s seminars; b) have access to Stanford University libraries, including on-campus and off-campus access; and c) audit university lecture courses without fee, subject to permission of the instructor. In addition, the researcher will be sponsored by the Institute to the Office for Postdoctoral Affairs for access, free of charge, to some of the services provided, such as career guidance and educational programs.

For questions regarding the Institute’s intent to participate in this activity, please contact me by email at kcook@stanford.edu, or at the postal address below.

My signature below indicates the Institute’s approval of the commitment. We look forward to collaborating with Valentina Gloglio and anticipate a successful project.

Sincerely,

Karen S. Cook
Ray Lyman Wilbur Professor
Vice Provost for Faculty Development and Diversity
Director, Stanford Institute for Research in the Social Sciences

¹ Guidelines for the appointment of visiting scholars are available here: https://storesearch.stanford.edu/policies/research-policy-handbook/non-faculty-research-appointments/visiting-scholars#anchor-3532
TO WHOM IT MAY CONCERN

Subject: Letter of Commitment to 'MOOC_DaSI' project

On behalf of the Joint Research Centre Directorate Growth and Innovation, in particular its Unit Human Capital and Employment, I am pleased to support Valentina Goglio's application for funding from the Marie Skłodowska-Curie Individual Global Fellowship (H2020-MSCA-IF-2016).

As Project Leader on "ICT for Learning and Skills", we have been studying for more than 10 years the digital transformation of Education and Training, and during the last 3 years, looking into Open Education and MOOCs, to support European policies on innovating and modernising education, and the delivery of 21st century skills and competences.

We can offer support for the secondment period of the 'MOOC_DaSI' project and confirm the availability to collaborate with the researcher for the whole duration of the secondment period. More in details, the secondment period of the MOOC_DaSI project at the JRC Human Capital and Employment Unit based in Seville, can enable the researcher to get full access to the MOOCKnowledge database, which contains survey microdata on European MOOCs learners; receive training on the overall design of the database and on the unique characteristics of the data; and receive feedback on early stages of exploration of data and on subsequent quantitative analyses of data.

The researcher can be supported during the secondment period by the MOOCKnowledge project leader, Yves Punie, and by the project coordinator, Jonatan Castaño Muñoz.

Sincerely,

Yves PUNIE, PhD
JRC Project Leader on "ICT for Learning and Skills"
MARIE SKŁODOWSKA-CURIE ACTIONS

Individual Fellowships (IF)
Call: H2020-MSCA-IF-2016

PART B

“MOOC_DaSI”
“Patterns of diffusion and social implications of Massive Open Online Courses (MOOCs):
A comparative study between United States and Europe”

This proposal is to be evaluated as:

[MSCA-IF-GF]
### ESTIMATED BUDGET FOR THE ACTION (page 1 of 1)

<table>
<thead>
<tr>
<th>Estimated eligible costs (per budget category)</th>
<th>EU contribution</th>
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<tbody>
<tr>
<td>A. Costs for the recruited researcher</td>
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<tr>
<td>B. Institutional costs</td>
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<td>Total costs</td>
<td>Reimbursement rate %</td>
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<td>A.1 Living allowance</td>
<td>Costs per unit</td>
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<tr>
<td>A.2 Mobility allowance</td>
<td>Costs per unit</td>
</tr>
<tr>
<td>A.3 Family allowance</td>
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<tr>
<td>B.1. Research, training and networking costs</td>
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<tr>
<td>B.2. Management and indirect costs</td>
<td>Costs per unit</td>
</tr>
<tr>
<td>Total</td>
<td></td>
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</table>

1. See Article 6 for the eligibility conditions.
2. 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).
3. 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.
4. The indirect costs covered by the operating grant (received under any EU or Euratom funding programme; see Article 6.3(b)) are ineligible under the GA. Therefore, a beneficiary that receives an operating grant during the action's duration cannot declare indirect costs for the year(s)/reporting period(s) covered by the operating grant (i.e. the unit cost for management and indirect costs will be halved for person-months that are incurred during the period covered by the operating grant).
5. See Article 5 for forms of costs.
6. See Annex 2a 'Additional information on the estimated budget' for the details on the costs per unit.
7. Total = costs per unit x number of units (person - months).
8. Only for 'global fellowship'.
Annex 2a

Additional information on the estimated budget

Marie Skłodowska-Curie unit costs

MSC-IF unit costs

Costs for the recruited researcher — Living allowance

Units: months spent by the researcher on the research training activities (‘person-months’)

Amount per unit *; see Annex 2

* Amount calculated as follows:

\[
\text{4650,00 EUR} \times \text{country-specific correction coefficient of the country where the partner organisation hosting the researcher is located (for the outgoing phase) and the country in which the researcher is recruited (for the return phase)}
\]

Country-specific correction coefficient (in force at the time of the call):

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</table>
### Estimated number of units: see Annex 2

#### Costs for the recruited researcher(s) — Mobility allowance

**Units:** months spent by the researcher(s) on the research training activities (‘person-months’)

---

**Amount per unit**: see Annex 2

---

#### Costs for the recruited researcher(s) — Family allowance

**Units:** months spent by the researcher(s) on the research training activities (‘person-months’)

---

**Cost Amount per unit**: see Annex 2

---

#### Institutional costs — Research, training and networking costs

**Units:** months spent by the researcher(s) on the research training activities (‘person-months’)

---

**Amount per unit**: see Annex 2

---

#### Institutional costs — Management and indirect costs

**Units:** months spent by the researcher(s) on the research training activities (‘person-months’)

---

**Amount per unit**: see Annex 2

---

1 Same amount for all beneficiaries.

Amount for the mobility allowance set out in the [Main Work Programme — MSCA](https://h2020-mgaMSCA.eu) in force at the time of the call.

---

2 Same amount for all beneficiaries.

Average based on the amount for the family allowance set out in the [Main Work Programme — MSCA](https://h2020-mgaMSCA.eu) in force at the time of the call (half of the number of units with family, half without).

---

3 Same amount for all beneficiaries.

Amount for research, training and networking costs set out in the [Main Work Programme — MSCA](https://h2020-mgaMSCA.eu) in force at the time of the call.

---

4 Same amount for all beneficiaries.
Estimated number of units: see Annex 2
### Financial Statement for Beneficiary [name] for Reporting Period [reporting period]

<table>
<thead>
<tr>
<th>Form of costs</th>
<th>A. Costs for the recruited researcher</th>
<th>B. Institutional Costs</th>
<th>Total Costs</th>
<th>Reimbursement rate %</th>
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<td>A.2 Mobility allowance</td>
<td>B.2. Management and indirect costs</td>
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<td>A.3 Family allowance</td>
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- **Number of units (person-months):**
- **Number of units (person-months in secondment to a third country):**
- **Total beneficiary:**

**Checkbox 1:** I confirm that the total amount of the allowances used (including compulsory deductions) for the researcher is equal to or higher than the living allowance, the mobility allowance and the family allowance as set out in Annex 2 of the Agreement.

**Checkbox 2:** Did you receive any EU/Euratom operating grant during this reporting period? **YES** □ □ **NO** □ □

If yes, please indicate how many of the total person-months (see ‘total beneficiary’ above) were incurred DURING the period covered by the operating grant?

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The beneficiary 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).

1. Please 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). Only amounts that were declared in your individual financial statements can be taken into account later on, in order to replace other costs that are found to be ineligible.

2. 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 6.3(b)). If you have received an operating grant during this reporting period, indirect costs will not be reimbursed for the person-months incurred during the period covered by the operating grant.

3. See Article 5 for the forms of costs

4. See Annex 2a ‘Additional information on the estimated budget’ for the details on the costs per unit.

5. Total = costs per unit x number of units (person-months)

6. Only for Global Fellowship
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