



CEF Digital

Amendments – Reporting – Payments & Costs



29 June 2023

European
Health and
Digital
Executive
Agency



CEF Digital

Amendments



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Health and
Digital
Executive
Agency

29 June 2023

Content

- Principles
- Rules and types of amendments
- Submission process – IT tools
- Extension, addition, suspension, termination

Principle

Grants may need to be amended during their lifetime if circumstances affecting the project have changed since the initial agreement was signed.



Changes cannot call into question the decision awarding the grant or breach the principle of equal treatment of applicants

Legal basis

MAIN LEGAL BASIS: **ARTICLE 39 GA**

Other relevant GA articles:

- **5.5** for some specific changes in the budget
- **31** for GA suspension
- **32** for GA termination or beneficiary termination
- **40** for new beneficiaries
- **41** for transfer of the agreement

[mga_cef_en.pdf \(europa.eu\)](#)

Additional legal basis

Other relevant legal bases:

- **Call text CEF-DIG-2021-***
- **Work Programme 2021-2025 (CEF-DIG)**
- **CEF regulation 2021/1153**
- **EU Financial regulations 2018/1046**

[Reference Documents \(europa.eu\)](https://europea.eu)

Guidance

- ✓ **Grant Agreement**
[mga_cef_en.pdf \(europa.eu\)](#)
- ✓ **Annotated Grant Agreement**
[aga_en.pdf \(europa.eu\)](#)
- ✓ **Amendment Guide**
[amendment-guide_en.pdf \(europa.eu\)](#)
- ✓ **Online Manual**
[om_en.pdf \(europa.eu\)](#)
[Amendments - Online Manual - Funding Tenders Opportunities \(europa.eu\)](#)
- ✓ **F&T – IT How to**
[Amendments - IT How To - Funding Tenders Opportunities \(europa.eu\)](#)

Definition and features of an amendment

- ✓ **Legal act mutually approved** by the Agency and the beneficiary, modifying, creating or removing new rights and obligations.
- ✓ **Integral part** of the GA.
- ✓ All **other provisions** remain **unchanged** and with full effect.
- ✓ **Request before the end of the action** and well in advance to allow proper analysis of the request, unless exceptions.
- ✓ Enters **into force on the day of signature**.
- ✓ Takes **effect** on **date of entry into force** or **date specified** in the amendment.

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Not allowed under an amendment

- ✓ Changes that would question the **decision awarding the grant** or breach the principle of **equal treatment** of applicants
- ✓ Changes that would have made the **application ineligible**
- ✓ Modifications in the action and/or budget which may bring in the grant partners that **do not comply with the eligibility rules**
- ✓ Arrangements **not complying with**, or circumventing the requirements of the **CEF Digital Work Programme** and **respective calls**

Changes that DO require an amendment



Coordinator changes (change of coordinator, change of bank account)
Major changes with (or addition of) beneficiaries / linked third parties / affiliated entities/ subcontracting/ partial takeover



Financial changes not covered by the budget flexibility rule



Major changes in project implementation



Extension, suspension, termination

Changes that DO NOT require an amendment

- **Operational aspects**

Minor changes with no effect on the objectives or action

- **Financial aspects**

Budget transfers covered by the budget flexibility

- **Administrative aspects**

- UTRO (universal take-over)

- Name or address changes of a participant — done directly in the Participant Register

- Changes in the bank's name or branch address, or in the name of the bank account holder — done directly in the Participant Register

Budget changes impacting on DoA

Overall principle - **flexibility** in budget management

Budget transfers and re-allocation	Amendment needed?	
From one beneficiary to another	NO	
From one budget category to another	NO*	*except if falls under 5 exceptions listed in article 5.5 of the GA
Between forms of costs within the direct personnel costs budget category	NO	
Addition/removal of tasks in Annex 1 Re-allocation of tasks in Annex 1	YES	
New subcontracts, in-kind contributions, beneficiary, affiliated entity	YES	

Changes in Annex 1 (DoA) requiring an amendment

- ✓ Change of **action tasks** (e.g. if tasks are added/removed) or their division among the beneficiaries, and their related costs
- ✓ Changes concerning new **beneficiaries, affiliated entities**, (**digital security requirements/OCA**, as applicable)
- ✓ Changes in **deliverables, milestones** listed as part of Annex 1

F&T: types of amendments 1/2

[How to prepare an amendment - IT How To - Funding Tenders Opportunities \(europa.eu\)](#)

The screenshot shows the 'Funding & tender opportunities' section of the European Commission's IT How To website. The page title is 'How to prepare an amendment'. It features a navigation menu with options like 'Getting Started', 'Participate', 'Grants', 'Experts', 'Roles & Access Rights', 'IT Releases', and 'Additional information'. The main content area includes a 'Table of contents' with links to 'The amendment information tab' and 'How to apply the changes for the amendment'. Below this is a list of 'Amendments types' categorized into three columns. On the right side, there is a sidebar with 'All pages about Amendments' (including 'Consortium Requested Amendments' and 'EU Initiated Amendments'), 'Related pages' (such as 'General concepts GMS' and 'Communicating with granting authorities'), and an 'Online Manual' link.

European Commission | Funding & tender opportunities | IT How To

Search

Getting Started | Participate | Grants | Experts | Roles & Access Rights | IT Releases | Additional information

/... / Consortium Requested Amendments

How to prepare an amendment

Table of contents

- The amendment information tab
- How to apply the changes for the amendment

Amendments types

<ul style="list-style-type: none">AT1AT2AT3AT4AT5AT6AT7AT11AT12AT15AT16AT17	<ul style="list-style-type: none">AT18AT21**AT22AT23AT24AT25AT26AT35AT36AT37AT41**AT43a	<ul style="list-style-type: none">AT43bAT50AT51AT51aAT55AT56AT57aAT58AT59AT72aAT72b
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All pages about Amendments




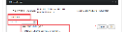
- Consortium Requested Amendments
 - How to launch an amendment
 - How to prepare an amendment**
 - How to prepare an amendment — MFF 2014-2020
- EU Initiated Amendments

Related pages

- General concepts GMS
- Communicating with granting authorities

Online Manual

F&T: types of amendments 2/2

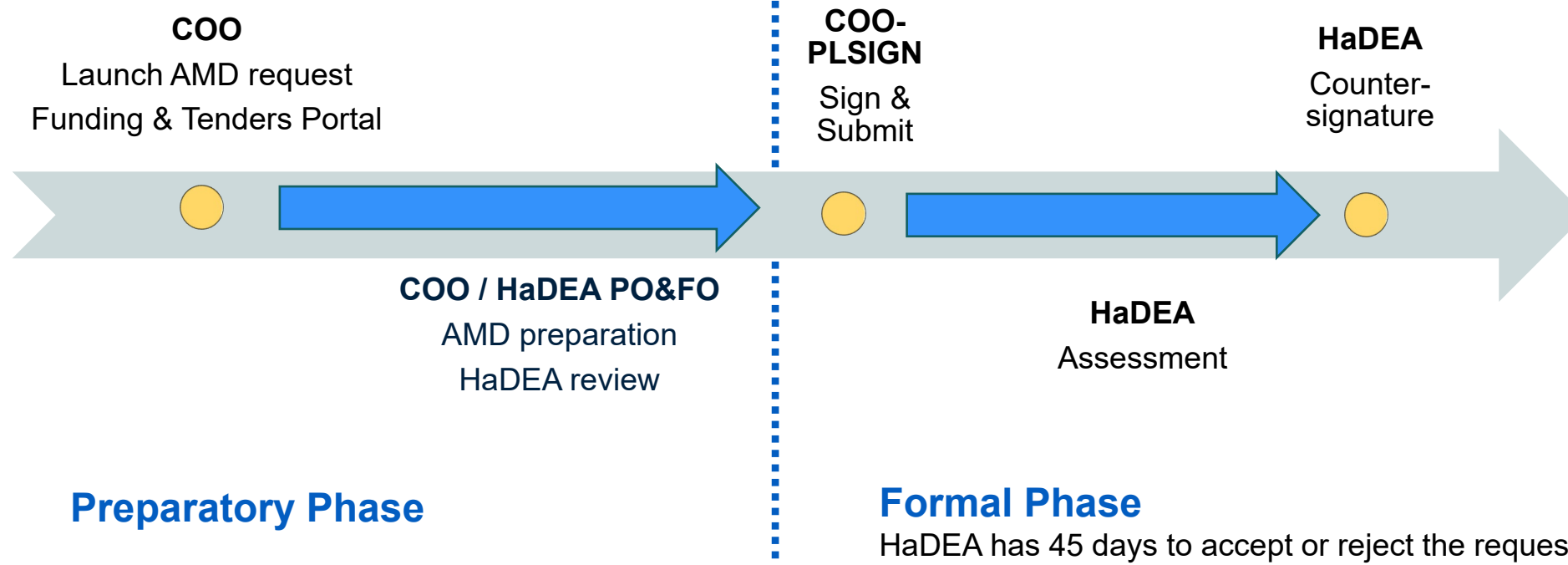
How to apply the changes for the amendment					
Amendment type nr.	Amendment type	<ul style="list-style-type: none"> Automatically selected by the system after the updates have been done, or to be manually selected by the Project Officer or the Beneficiary 	Relevant SyGMA tab*	How to apply the changes	Relevant GA article
<p>⚠ Types in purple, are not implemented yet</p> <p><input type="checkbox"/> Amendment types that can be activated only by the Commission/Agency</p> <p><input type="checkbox"/> The Commission/Agency must be contacted before requesting these amendment types</p> <p>** Amendment types also available after the end date of the project (but NOT after the final payment) or after the termination date</p>					
AT1	Addition of a new beneficiary ⚠ If a beneficiary is terminated due to non-accession or other reason and it re-enters in the project via an amendment, then it should (re-)sign the Accession Form and the Declaration of Honour .	Automatic	Beneficiaries	Click on Add new beneficiary to add a new beneficiary  Search for the PIC you would like to add  Select the line of the PIC  Add the short name and select the type of start date 	Data (Arti

Top

Content

- Principles
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Workflow - Key steps



- A request can be **withdrawn** at any moment before counter-signature
- There is **no tacit approval** of amendments

Submission of the amendment

1. **Discuss** in advance the amendment request **with PO**
2. **Launch** the amendment request in the **Funding & Tenders Portal**
3. **Encode** the changes to the GA Data in the grant management system, **Syigma** (*tabs: starting date, duration, add beneficiaries, etc*). The data displayed are similar to the Grant Preparation.
 - Different changes = different type of clauses = different actors involved in the selection of clauses (some clauses selected by Syigma and some clauses selected by your PO)
 - Depending on the type of amendments, the grant management system, Syigma will indicate the supporting documents
4. **Submit** to officer

Reminder: Use the F&T – IT How to

[How to launch an amendment - IT How To - Funding Tenders Opportunities \(europa.eu\)](#)

European Commission | Funding & tender opportunities
IT How To

Search

Getting Started | Participate | Grants | Experts | Roles & Access Rights | IT Releases | Additional information

/... / Consortium Requested Amendments

How to launch an amendment

Table of contents

- Step 1: The Coordinator logs in to the Funding & Tenders Portal.
- Step 2: The Coordinator launches the amendment request, prepares all data and sends to the EU for review
 - a. Launching a new interaction with the Service.
 - b. Preparing the amendment data.
 - c. Locking the amendment request for review
 - d. Sending the amendment request for review by the EU
 - Option: cancel amendment
- Step 2: The EU Services review the amendment request (mandatory)
- Step 3: The Project Legal Signatory signs and submits the amendment request to the EU Services after the EU review
 - Option: withdraw amendment
- Step 4: The EU Services assess the amendment.
- Step 5: The EU Services accept (countersign the amendment) or reject (make available a rejection letter).

All pages about Amendments

- ▾ Consortium Requested Amendments
 - **How to launch an amendment**
 - How to prepare an amendment
 - How to prepare an amendment — MFF 2014-2020
- EU Initiated Amendments

Related pages

- General concepts GMS
- Communicating with granting authorities

Online Manual

- Amendments

Launch of the amendment by COO (F&T)

RESEARCH & INNOVATION
Grant Management Services

European Commission

Agnese BOSCAROL

Launch new interaction with the EU

Consortium Requested Amendment AMD-1

08 Sep 2022

Launched Prepared Submitted Admissible Decision

Continuous Reporting

01 Sep 2022

Started

MY PROJECT

Call: HORIZON-CL3-2021-SSRI-01

Type of Action: HORIZON-CSA

Acronym:

Current Phase: Grant Management

Number:

Duration:

GA based on the: HE MGA -- Multi & Mono - 1.null

Start Date:

Estimated Project Cost:

Requested EU Contribution:

Contact:

Latest Legal Data

Active Processes

Document Library

Communication Centre

Archived Processes

H2020 ONLINE MANUAL

ONLINE MANUAL

HOW TO

© European Communities - Version 13.5.2

Previous rejected or withdrawn AMD available

Launch new interaction with the EU

Choose one of the options below

B Request for Amendment - Process revised! More info on the Online Manual and the IT HOW TO wiki.
Including notification on termination of the participation of one or more beneficiaries.
Choose the data set based on which you would like launching a new amendment request:

latest legal data

AMD-200555-2

AMD-200555-9

Launch

Latest legal data option by default

Launch new interaction with the EU

A Choose one of the options below

Request for Amendment Launch

Including notification on termination of the participation of one or more beneficiaries.
Choose the data set based on which you would like launching a new amendment request:

latest legal data

Grant Agreement Termination by beneficiaries Launch

Attention! This option is reserved for the termination of the grant agreement. The termination of the grant agreement is considered as a last resort measure, if all other efforts to continue the action fail. Termination is irrevocable and comes into force immediately after signature and submission. You are advised to consult the available guidance of the corresponding funding programme or contact the responsible officer in charge of your grant agreement.

Formal Notification Launch

Attention! The use of the formal notification channel is reserved for specific purposes e.g. for communication as set out in the model grant agreement (MGA) e.g. obligation to provide information upon request or obligation to inform).
If you wish to interact with officers, please use the messaging facility (see below).

Communication to the Project Officer Launch

At any time, you may wish to informally exchange messages or ask questions to the Service via the electronic system. If your query is related to an ongoing process, you're encouraged to use the messages section of that process.

Launch of the amendment by COO (SyGMA)

Consortium Requested Amendment AMD-1

05 Aug 2020

Launched Prepared Submitted Admissible Decision

Cancel amendment

Amendment preparation

Lock for review

Process documents

Process communications

Process history

This justification will be included in the request letter which will be automatically generated by the system as a single PDF document

SyGMA

Amendments of Grant Agreement Data

Reference: AMD-1119749-1
Type: CR (Consortium Requested)

Amendment Information

Number: (number will be automatically assigned as soon as the amendment is signed by both parties)

Reference: AMD-1119749-1

Type: CR (Consortium Requested)

Justification: Amendment justification non-accesion

Additional Informations:

EU signature date:

Beneficiary signature date:

Date of entry into force:

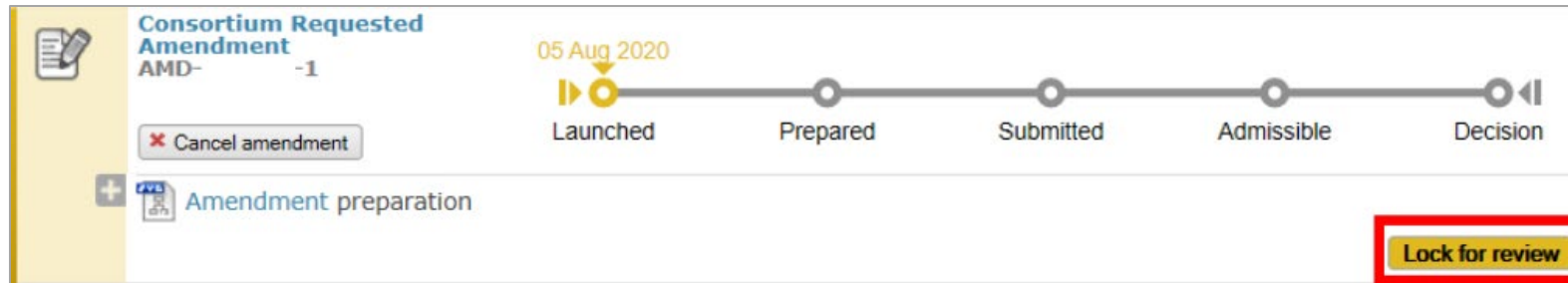
Amendment clauses

Automatic	Business Reference	Description	Error amendment
<input type="checkbox"/>	AT1	Addition of a new beneficiary	
<input type="checkbox"/>	AT2	Addition of an affiliated entity	
<input type="checkbox"/>	AT3	Addition of an associated partner	
<input type="checkbox"/>	AT4	Beneficiary termination	
<input checked="" type="checkbox"/>	AT5	Beneficiary termination (non-accesion to the GA)	

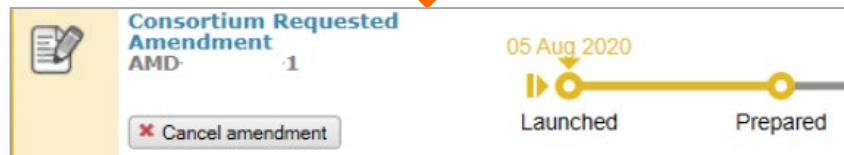
Validate

List of available AMD clauses

Send to EU for revision (“lock for review” step)



1. As soon as the request is locked, a PDF is generated.



2. The process will move to “prepared” step.



3. At this point, the request can be sent to the EU for revision.

HaDEA Review – Project Officer

The Project Officer checks:

- ✓ whether the request is **valid** and **justified**
- ✓ **quality and consistency** of the changes to the GA and the supporting documents
- ✓ if requested changes **do not contradict** the core grant agreement and the eligibility conditions
- ✓ the **operational** and/or **financial capacity** of new participants, if necessary

HaDEA officer review

- ✓ If approved at Officers level, the coordinator receives a notification to sign the AMD.
- ✗ If PO sends the request back for revision, a new loop (prepare, lock, revise) is launched.

Signature by consortium

Your amendment is ready for your Project Legal Signatory (PLSIGN) when:

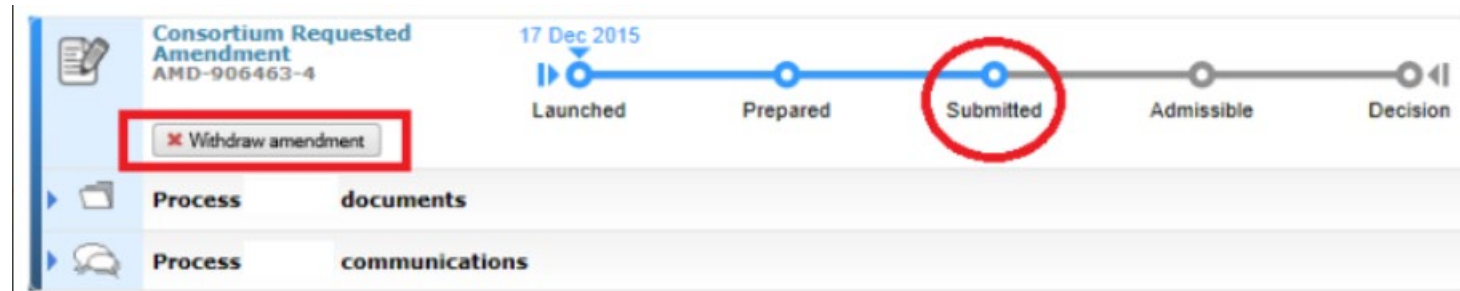
- ✓ The Project Officer has reviewed the request and validated it
- ✓ There are no blocking issues

→ Your **PLSIGN** can **sign & submit**

The screenshot displays a project management interface for a 'Consortium Requested Amendment (AMD)'. The process flow is shown as a horizontal timeline with five stages: 'Launched', 'Prepared', 'Submitted', 'Admissible', and 'Decision'. The 'Launched' stage is currently active, indicated by a yellow circle and a play button icon, with a date of '05 Aug 2020'. Below the timeline, there is a section for 'Amendment - AMD' with a sub-item '-1 signature and submission'. At the bottom right of this section, there are two buttons: 'Unlock to draft' and 'Sign & Submit', with the latter being highlighted in red. On the left side, there are navigation options: 'Process documents', 'Process communications', and 'Process history'.

Assessment and decision by HaDEA

- Once submitted by the consortium, HaDEA has **45 days to assess** the request (the period can be extended if justified)



No possibility to make any change to the amendment, the only possibility is to withdraw it and launch a new one.

Signature by HaDEA



- On completion of the assessment, the amendment is
 - either **accepted** and **countersigned by HaDEA** and made available to the consortium via the portal library)
 - or **rejected** and an amendment rejection letter is sent to the consortium

Consortium Requested Amendment
AMD-700300-1

Launched Prepared Submitted Admissible Decision

Documents

Amendment rejection

Supporting Document

Amendmen... 700300-1

Grant Agr...93114141

Messages

EU initiated amendments

COORDINATOR'S PLSIGN
INVITED TO SIGN

Launch new interaction with the EU +

Commission Initiated Amendment
AMD-724115-3

23 May 2017 03 Sep 2017 (21/45 days)

Launched Prepared Requested Decision

+ PDF Amendment - AMD-724115-3 signature and submission **Sign**

Process documents [Expand All](#) [Collapse All](#)

Amendment (2)

- PDF Amendment - AMD-724115-3
- PDF Amendment - AMD-724115-3

Amendment - AMD-724115-3

PDF Amendment - AMD-724115-3

Progress status for this document type:

[999541836] [EU]

Process communications

Process history

- EU proposed the amendment request for signature on 20 Jul 2017 15:24
- EU launched the amendment process on 20 Jul 2017 15:23

The Coordinator Project Legal Signatory is invited to electronically sign the amendment request and submit it to HaDEA.

In case of rejection a motivation letter needs to be uploaded.

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Extension policy

- Extensions are a **possibility** but should remain **exceptions**.
- Extensions should be **duly justified**, linked to the project's objectives and meant to reinforce the capacity to fully meet the scope of the project
- Extensions are **not automatically granted**. Unclear explanations, generic statements, or simple wish to consume unspent budget, etc. might lead to the rejection of the extension request.
- Extension should be **anticipated** as early as possible to take into account the validation process and signature and to avoid potential interruption of activities and ineligibility of costs.

Addition of a new beneficiary

- **Art.(30.2)** of the GA
- Standard amendment process with following special attention:
 - The amendment request must include an **accession form** (Annex 3 of the GA) signed by the new beneficiary directly in the Portal Amendment tool
 - Additions are also possible in mono-beneficiary grants

Consortium-requested GA suspension

- **Art.(31.1)** of the GA:
The beneficiaries may request the suspension of the grant or any part of it, if exceptional circumstances — in particular force majeure (see Article 35) — make implementation impossible or excessively difficult
- Amendment request by the COO includes:
 - the reasons why
 - the date the suspension takes effect (this date may be before the date of the submission of the amendment request)
 - the expected date of resumption



Have a prior discussion with PO before launching a suspension request

Consortium-requested GA termination

- **Art.(32.1)** of the GA:
The beneficiaries may request the termination of the grant
- Amendment request by the COO including:
 - the reasons why
 - the date the consortium ends work on the action ('end of work date')
 - the date the termination takes effect ('termination date')
- HaDEA may consider the grant terminates improperly
- The COO must — within 60 days from when termination takes effect — submit a periodic report. Final grant amount and payment will be calculated on the basis of the report, costs incurred and activities completed.



Have a prior discussion with PO before launching a termination request.

Consortium-requested beneficiary termination

- **Art.(32.2)** of the GA:

The coordinator may request the termination of the participation of one or more beneficiaries, on request of the beneficiary concerned or on behalf of the other beneficiaries.

- Amendment request by the COO including:
 - the reasons why
 - the opinion of the beneficiary concerned
 - the date the consortium ends work on the action ('end of work date')
 - the date the termination takes effect ('termination date')
- The COO must — within 60 days from when termination takes effect — submit:
 - ✓ a report on the distribution of payments to the beneficiary concerned
 - ✓ a termination report from the beneficiary concerned, from the open reporting period until termination
 - ✓ a second request for amendment (see Article 39) with other amendments needed (e.g. reallocation of the tasks and the estimated budget of the terminated beneficiary, etc.)



Have a prior discussion with PO before launching a termination request.

Keeping in mind

- **Anticipate**
- **Inform PO** on the nature/reasons for the amendment
- Read / review **guidance tools** and GA related documents / procedures
- An amendment is a **team effort** and your Project Officer is here to guide you
- Communicate through **Portal**
- **Verify** before submitting (data coherence, justifications, documents, etc.)

Thank you



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