



POLITECNICO
DI TORINO



“Building the Next Generation Personal Data Platforms”
G.A. n. 871370

<p>DELIVERABLE D 8.1 PROJECT HANDBOOK AND QUALITY PLAN</p>
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Approvals

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Interruzione pagina

List of abbreviations and acronyms

Abbreviation	Meaning
G.A.	Grant Agreement
CA	Consortium Agreement
GA	General Assembly
PB	Project Board
PC	Project Coordinator
PrO	Project Office
IR	Interim Reports

Disclaimer

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References:

- ✓ H2020 – AGA –Annotated Model Grant Agreement, version 5.2 dated 26 June 2019
- ✓ How to successfully manage a Horizon 2020-funded project, 10 practical tips on research project management
- ✓ H2020 Avoid errors when claiming costs
- ✓ H2020 on-line manual https://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management_en.htm
- ✓ MStEams technical description
- ✓ PIMCITY Grant Agreement
- ✓ PIMCITY Consortium Agreement

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INTRODUCTION

This **Management handbook and Quality Plan** can be considered as an introductory document to the project and as a single source of information of main procedures to comply with for the successful project implementation (both technical and financial).

Moreover, it is an *operative instrument* aiming at supporting consortium partners in the implementation of the project activities, and it is mainly addressed to administrative contact points.

This document contains a set of *guidelines* to ensure:

1. the proper communication among Partners and information exchange
2. the respect of standards in order to be consistent with the content of the Grant Agreement Annex 1 (Description of Action), with reference to the activities performance and reports, deliverables, outputs delivery as forecasted
3. the proper project financial management (please see *Reporting and Deliverables* section)
4. the provision of templates for presentations, deliverables, financial report, etc. in order to provide an image as “consortium” outside and an agreed content

Please note that this document will refer mainly to *standard procedures and documents of the European Commission*.

Should any of the provisions included in this handbook be in conflict with the EC Grant Agreement or with the Consortium Agreement, the provisions included in the Grant Agreement or in the Consortium Agreement shall prevail.

APPROACH

PIMCity project aims at design, build, validate, demonstrate and exploit a set of reusable, flexible, open, easy-to-use components in the form of a PIMS Development Kit (henceforth PDK, effectively an SDK for PIMS). The PDK will make building new PIMS - and extending existing ones - easier, faster, and cheaper thanks to open API. By doing so the Consortium can help accelerate the developments towards finding the right PIMS for unblocking a fair and safe data economy.

Therefore, the Project is articulated in tasks and WPs as below indicated:

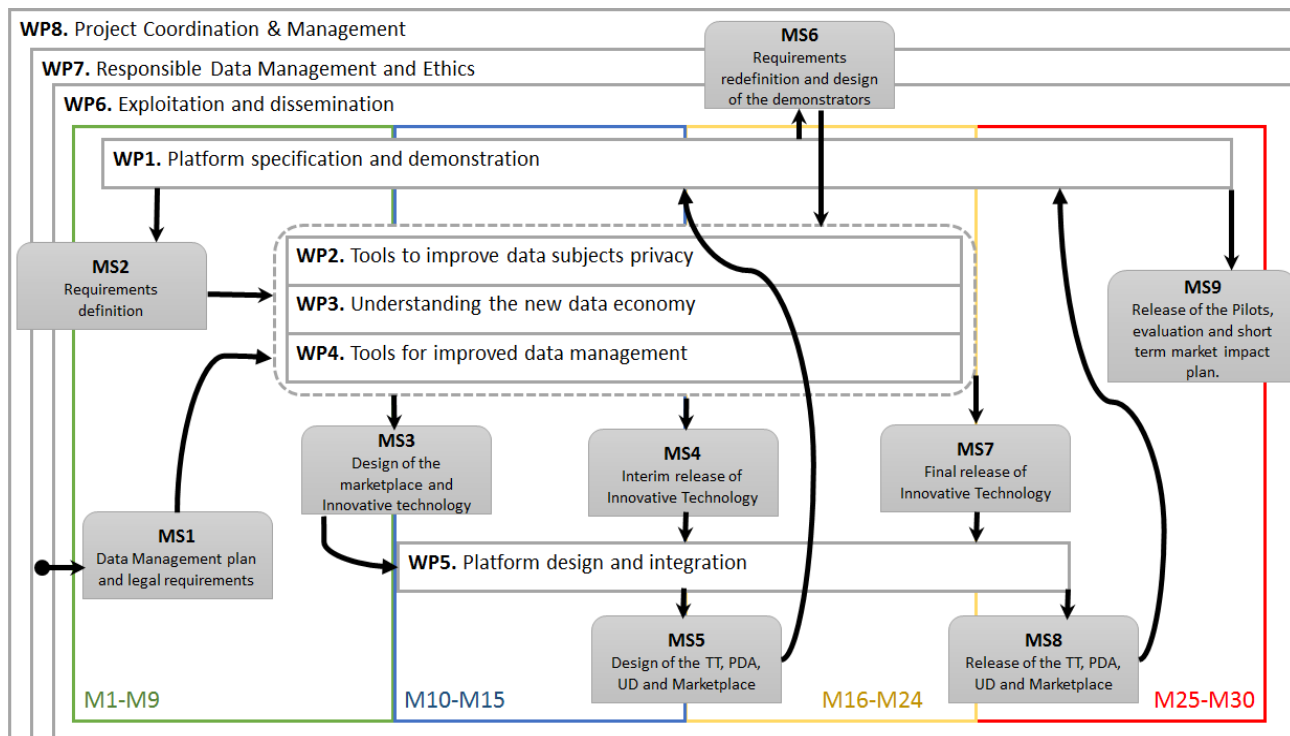


Figure 1 WPs structure of PIMCity project

According the above, PIMCity has to ensure:

- ✓ The submission of deliverables, dissemination and communication plan, requirements specification, Interim and Financial Reports, etc. according to the Grant Agreement Annex 1 (Description of Action) content and deadlines
- ✓ The project development according to the Gantt
- ✓ The organization of events useful for the project implementation (kick off meeting, face-to-face meetings, WP meetings, etc.), or events mainly intended to engage the stakeholders and to obtain the general public interest
- ✓ The release of innovative technology, EasyPIMS platform, Pilots, Demonstrator, evaluation and short term impact Plan, training activities according the project proposal.

The realization of the above-mentioned objectives will lead the Consortium to:

- ✓ Reach the expected impact and results set out in the Grant Agreement
- ✓ Meet the quality standards required by the Funding Authority and obtain the subsequent EC final approval.

PROJECT ORGANIZATION AND MANAGEMENT STRUCTURE

An effective management structure, articulated in few governing bodies with clear and focused responsibilities, has been established for PIMCity project to ensure the active involvement of project participants at the policy-making level.

The management structure is shown in Figure 1. The following governing bodies are envisaged:

- ✓ *The Project Coordinator (PC)* that acts as the intermediary between the Consortium and the European Commission Office and it is responsible for the overall management of the project from the administrative and technical standpoint
- ✓ *The General Assembly (GA)* is the ultimate decision-making body of the Consortium where all project partners are represented and is responsible for the direction of the project in terms of the overall action strategy and implementation, finances, intellectual property rights.
- ✓ *The Project Board (PB)* is the supervisory body for the execution of the project, which shall report to and be accountable to the General Assembly.
- ✓ *The Project Office (PrO)*, established at the Coordinator site, assists the Project Board and the Project Coordinator dealing with the day-by-day administrative tasks.

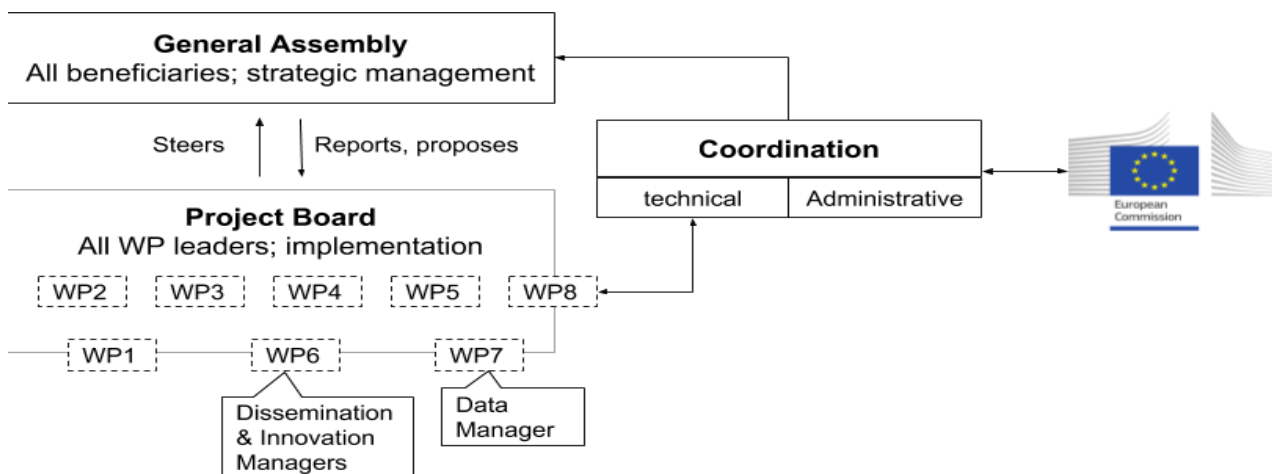


Figure 2 Management structure of PIMCity project

Roles and people appointed are detailed below:

Project coordinator:	Marco Mellia (POLITO)
Project office coordinator and Quality Manager:	Tiziana Rolando (POLITO)
Technical Coordinator:	Roberto Gonzalez (NEC)
Innovation and exploitation manager:	Guglielmo Bondioni (Fastweb)
Dissemination manager:	Miguel Perez Subias (AUI)
Data manager (Confidentiality and IPR protection, protection of personal data of persons involved in feedback collections, protection of imported rights of pre-existent, non-public datasets):	Alessandro Bruni (KU Leuven)

Technical Coordination (TC)

The **Technical Coordinator** has the mandate to audit the R&D performance of the project and to ensure accomplishment of the technical & business objectives. It is part of the TC responsibilities to resolve any R&D implementation problem, as well as to identify, monitor and mitigate risks that R&D work may present during the course of the project.

The TC will review before submission all reports, deliverables and results to ensure that are of the highest scientific and technical quality.

NEC will act as the technical coordinating partner. **NEC appoints Dr. Roberto Gonzalez to lead task T8.2.** To comply with his duties with regard to the R&D operations and exploitation strategies, Dr. Gonzalez will be assisted by the Work Package Leaders.

Innovation and exploitation manager

PIMCity has already identified its outputs and will explore in Task 6.4 (Innovation and exploitation management) the mid and long-term exploitation possibilities. PIMCity demonstration and validation in WP1 will validate the solutions as a whole and, at the same time, will set the benchmarks for innovation planning and management. This includes the baselines for assessing end user's perceived quality of the experience and to what extent they consider it satisfactory. To this end, PIMCity understands that innovation management techniques will be needed to propose a strategy for eventually porting outputs to markets. The role of the **Exploitation and dissemination manager** will be key in this regard. The tools to be used include creativity in the loop, as detailed in what follows:

- i. *Periodic brainstorming*: quarterly remote meetings of the T6.4 will be arranged to evaluate the advancements of the project against current market and policy trends, and to come up with new ideas and approaches in a collaborative and open way.
- ii. *Idea management*: ideas proposed in the brainstorming meetings will be further evaluated and analyzed offline based on a set of strategic criteria. Selected ideas will be further developed by the Exploitation manager and implemented through the project coordinator.
- iii. *Phase-Gate management actions*: the project management will periodically trigger management decisions based on (i) the state of investigation activities, (ii) the requirements identified during the project for business cases, and (iii) market and policy opportunities identified through the brainstorming sessions. Milestones will play a fundamental role in this process, since they identify the timeline for the achievement of project goals, and therefore steering decision might be needed in correspondence to project milestones.

Guglielmo Bondioni (FW) will act as Innovation and IRP manager and coordinate this effort.

Quality Management

During the project life, it is important *to keep records* and other supporting documentation to give evidence that the project has been properly implemented. On the other hand it is required a proper *document sharing* in order to update each consortium team member.

For the purpose, it is organized a proper *document storage* (please see *Document repository, collaboration and writing tools section*) in order to collect and share:

- *Official documents*: Grant Agreement and Consortium Agreement signatures
- *Meeting proceedings*: invitations, agenda, participant lists, conf-call meetings minutes, presentations

- *Consortium decisions*: e-mails, minutes
- *Papers and other technical documents*
- *Dissemination materials*

Moreover, for the quality assurance measures, it is significant to check the timely presentation of deliverables, reports and milestones and to support the Coordinator in supervising the respect of procedures and standards.

- *Data archiving*

The archiving of project data will occur on the company's data servers. Shared data will be archived on central repositories, accessible to all project partners, via secure HTTP.

POLITO will maintain a *global repository of all data accessible to the consortium*. POLITO will archive project data at the end of the project. A redundant copy will also remain at Fastweb premises to ensure data is not lost in case of disasters.

- *Open Access Publishing*

Open access to peer-reviewed scientific publications will be guaranteed by self-archiving ("green" open access), i.e. the published article within the project will be made available online on the project web site, on the publication open repositories of each Consortium partner (e.g the PORTO repository at POLITO website, porto.polito.it), and on OpenAIRE (the Open Access Infrastructure for Research in Europe <https://www.openaire.eu/>), after a possible embargo period, which may be requested by the publisher. Depending on partners and on the possibility to charge relative expenses, "gold" open access, i.e. immediate open access by the publisher to articles as published, will also be implemented.

Dr. Tiziana Rolando (POLITO) will act as Quality Manager.

A Data Protection Officer will be appointed by the General Assembly on March. He will supervise GDPR compliance and proper data processing management.

Risk Management

PIMCity adopts the practical risk management approach of PRINCE2 methodology. It assesses any potential negative or positive risk by its cause, likelihood, impact, timing, and the choice of response. Risks are not only limited to the Action Plan but have to consider its technological, business and human environment, factors that might be enablers or blockers of project and exploitation success. Through this holistic approach on risk definition and management, it goes hand in hand with the project's innovation management.

The initial version of PIMCity Risk Register focusses on technical risks, as defined by the General Assembly. The same Consortium body will have the ultimate decision about any risk the consortium will face.

It will be maintained and updated by the Coordinator.

Project Coordinator (PC)

The Project Coordinator is Politecnico di Torino. The Project Coordinator (PC) is Prof. Marco Mellia. He is responsible for:

- ✓ Being the intermediary between the beneficiaries and the European Commission

- ✓ Ensuring that all project deliverables and reports are submitted on time
- ✓ Checking that deliverables meet the quality standards agreed
- ✓ Approving reports and deliverables for final submission to the Commission
- ✓ Improving internal communication in the consortium, meeting project milestones and
- ✓ Convening the General Assembly and Project Board meetings, when required
- ✓ Ensuring that all payments are made to the other beneficiaries without unjustified delay (see Article 21 of G.A.)
- ✓ Informing the Agency of the amounts paid to each beneficiary, when required under the Agreement (see Articles 44 and 50 of G.A.) or requested by the Agency
- ✓ Negotiating with the Commission for the possible revision of objectives, changes in consortium membership, etc. asking, on behalf the Consortium, a GA Amendment.

The Coordinator, with the support of Project Office, will check that project develops properly and it is compliant to the call and to the Grant Agreement signed.

Project Office (PrO)

According to the document *How to successfully manage a Horizon 2020-funded project*, the Consortium will dedicate time to properly manage the project.

Within the overall management structure (Coordinator supported by the Project Office), **PrO** is a central dedicated management structure located at the Department of Electronics and Telecommunication of the Politecnico di Torino.

The Project Office (PrO) involving the Electronics and Telecommunication Department (DET) will assist the PC and the General Assembly; it will be in charge for the efficient administration of the project. Its main tasks will be the following:

- ✓ Handling the overall financial, contractual and administrative aspects of the project and establishing the necessary tools (management handbook, Consortium Agreement, templates for reporting)
- ✓ Tracing of the project plan by time and resource monitoring, maintaining the work-plan, implementing the General Assembly decisions
- ✓ Execution of administrative and financial obligations, including interface with the Commission, budget transfers and budget allocation for each partner according to General Assembly decision
- ✓ Giving support to Project meetings organization (preparation, agenda, support during the meetings, circulation of minutes, presentations and proceedings to be added to travel documentation)
- ✓ Collecting and submitting to the EC progress and interim reports
- ✓ Obtaining of the certificates on the financial statements by each beneficiary, when required according to the EC rules
- ✓ Finalizing and maintaining the Consortium agreement.

In particular, the each Partner is responsible for providing to the PrO all required administrative information, respecting the deadlines and information format given by PrO according the European Commission regulations or the European Commission representatives instructions.

General Assembly (GA)

The General Assembly is formed by one representative for each party and is chaired by the Project Coordinator.

Each member of the General Assembly as partner representative is the interface between the partner organization and the Consortium and he/she is duly authorized by her/his organization to deliberate, negotiate and decide on all the matters that compete to the General Assembly.

The GA can discuss and decide issues upon its own initiative or upon request of any partner. In practice, the Project Board and the Coordinator have a critical role in proposing issues to the GA, preparing options for decisions and checking viability of proposals.

The main tasks of the General Assembly are the following:

- ✓ Supervision on the overall activities as ultimate-decision making body, supervision of project implementation, progress, medium and long-term planning, resources status, confirmation of milestones, any necessary decision to ensure the achievement of the project objectives, innovation and exploitability of results, propose amendments of the Grant Agreement when necessary
- ✓ Modifications in PIMCity consortium, as the GA is in charge to handle any consortium issue such as withdrawal, accession, changes of partners; assessment and decision in case of substantial breach of obligations by a partner, and any further aspect such as need for modification of task assignment, budget and CE funding
- ✓ Management of any change in the consortium and resolution of any possible dispute among the partners, handle budget re-allocation if needed; decide on the appointment - if necessary - of any vacancy to the Project Board
- ✓ Decision body for risks and opportunities of high impact on consortium
- ✓ Definition of Quality Standards that each WP leader will adopt to control the activity execution, in order to promptly act in case of deviation
- ✓ Supervising the involvement in cluster activities with other projects, stakeholders, thematic experts, associated partners or advisors in particular WPs or tasks throughout the project; nomination/approval of such external collaborators;
- ✓ Final decision upon any proposal made by the Project Board for the allocation of the Action's budget in accordance with the GA, and review and propose budget reallocations to the Parties;
- ✓ Changes to Annex 1 and 2 of the Grant Agreement proposal, to be agreed by the Funding Authority
- ✓ Decide on involvement in cluster activities with other projects, stakeholders, thematic experts, associated partners or advisors in particular WPs or tasks throughout the project; nomination/approval of such external collaborators;

General Assembly representatives have been appointed during the Kick-off meeting, held in Turin on Dec 2nd - 4th 2019.

Please see the list below indicated:

General Assembly members		
POLITO	Marco	Mellia
NEC	Roberto	Gonzalez
ECS	Stefano	Traverso
IMDEA	Nikolaos	Laoutaris
UC3M	Rubén	Cuevas
TID	Nicolas	Kourtellis
FW	Guglielmo	Bondioni
LSTECH	Evangelos	Kotsifakos
KUL	Vilte Kristina	Steponenaite
AUI	Miguel	Perez Subias
IAB	Alexandru	Macarescu
GDATA	Rodrigo	Irarrazaval
CLIQZ (after amendment approval)	Josep	Pujol

Project Board (PB)

The Technical Board is composed of the WP Leaders and is chaired by the Project Coordinator.

Members of the Project Board may differ from the General Assembly ones for their scientific and technical focus. The representatives in the Project Board shall be able to make decisions regarding the particular technical interests and how to use the resources allocated to achieve the project's goals.

Accordingly, the Board surveys the technical progress of work and ensures the integration, coherence and match of the results delivered by the project, including responsibilities such as:

- ✓ **Fixing the quality assurance criteria**, reviewers and schedules taking into consideration the objectives, complexity and requirements of the research
- ✓ **Promoting the exchange of information, joint work and demo-sessions, smooth transition of knowledge, use of common communication and documentation tools**
- ✓ Checking the proper execution and implementation of GA decisions. In the event tasks were suppressed as a result of a decision of the GA, the PB shall advise the General Assembly on the ways to rearrange tasks and budgets of the Parties concerned, taking into consideration the legitimate commitments taken prior to the decision, which cannot be cancelled
- ✓ **Monitoring the implementation of the Project according to the quality assurance criteria**; planning jointly the work inside and across WPs by phases – until next Board meeting, deliverables, milestone, and review schedule.

For the purpose, every six months the PB shall collect detailed information on the progress of the project (please see Interim Reports (IR) due at M6 , M12 and M24 and associated deliverables D8.2, 8.3 and D8.4); the PB will examine the compliance of the Project with the short and medium planning and propose modifications if necessary

- ✓ Specifying and assessing the milestones to confirm their accomplishment; plan the work inside and across WPs by phases in preparation of Project meeting, deliverables due, milestone, reviews

For the purpose regular conf-call meetings to coordinate the activities are scheduled every two weeks and will be held remotely; face-to-face meetings are scheduled at least every six months

- ✓ Ratifying decisions of the GA and requirements of the EC (e.g. after review);
- ✓ identifying and proposing external experts or stakeholders intended to be involved;
- ✓ Supervising the Risk Register update, analyzing and implementing action plans on materialized or imminent risks, deviations and emerged opportunities;
- ✓ Supporting the coordinator in preparing review meetings with the Funding Authority and in preparing related data and deliverables on due time
- ✓ Preparing the content and timing of press releases and joint publications proposed by the Consortium or by the Funding Authority.

The following representatives have been appointed during the Kick-off meeting, held in Turin on Dec 2nd - 4th 2019 :

	Project Board members
POLITO – Coordinator+WP8 and W9 Leader	Marco Mellia
POLITO – WP2 Leader	Martino Trevisan
NEC - WP1 Leader	Roberto Gonzalez
UC3M – WP3 Leader	Rubén Cuevas
TID – WP4 Leader	Nicolas Kourtellis
FW – WP5 Leader	Guglielmo Bondioni
KUL– WP7 Leader	Vilte Kristina Steponenaite
AUI – WP6 Leader	Miguel Perez Subias
Innovation and exploitation manager	Guglielmo Bondioni
Dissemination manager	Miguel Perez Subias
Data manager (Confidentiality and IPR protection, protection of personal data of persons involved in feedback collections, protection of imported rights of pre-existent, non-public datasets)	Bruni Alessandro

WP Leaders and Task Leaders

In addition to the tasks undertaken as members of the Project Board, **each WP leader** shall be in charge of the following:

- ✓ Ensures the project coordination among tasks and partners inside the WP, the compliance of project activities to the quality standards and ensures the decisions of the GA are properly implemented
- ✓ Arranges short- and medium planning of work in the WP: meetings, milestones, revisions, etc.
- ✓ Provides the deliverables of the WP to PC on due time, having accomplished all quality assurance pre-check
- ✓ Organizes collaborations with external parties such as external advisors, experts and institutional supporters, their input to the WP and all relevant documentation (if applicable)
- ✓ Handles conflicts on WP level, reports breach of obligations of any team member/party, assesses the Coordinator for determining severity and remedy of breach

Each WP Leader shall report *every six months* - the Project Board - a brief summary containing the progress in the implementation of activities, the main results achieved, problems encountered and updates to the work plan for the next period (such summary will be integrated in each Interim Reports (IR) due at M6 , M12 and M24)

WP Leaders are assisted by Task Leaders, whose mission is to:

- ✓ Organize the technical cooperation among partners involved in the Task
- ✓ Check the progress and on-time delivery of the deliverables of the Task
- ✓ Report and update regularly the WP leader, who will be coordinating all Tasks of his WP.

Administrative Contacts

Admin issues will be managed by the following Consortium staff members (at least one in each Partner):

Name	Short name	1. Administrative contact Name, Lastname	1. Admin contact (main)	2. Administrative contact Name, Lastname	2. Admin contact
Politecnico di Torino	POLITO	Cinzia Bovis Tiziana Rolando	det.progetti@polito.it tiziana.rolando@polito.it	Giorgio Prette	giorgio.prette@polito.it
NEC Laboratories Europe GmbH	NEC	Silke Lampson	silke.lampson@neclab.eu	Jennifer Albright	jennifer.albright@neclab.eu
Ermes Cyber Security	ERMES	Stefano Traverso	s.traverso@ermessecurity.com	Hassan Metwalley	h.metwalley@ermessecurity.com
IMDEA Networks Institute	IMDEA	Ana Gonzalez	ana.gonzalez@imdea.org		ramon.girona@imdea.org
Universidad Carlos III de Madrid	UC3M	Ángel Cuevas	acrumin@it.uc3m.es	Maria Florencia Giunta	mggiunta@pa.uc3m.es
Telefonica Investigacion y Desarrollo	TID	Javier De Pedro Sanchez	javier.depedrosanchez@telefonica.com	Javier García Rodrigo	javier.garciarodrigo@telefonica.com
Fastweb S.p.A.	FW	Flavia Gervasio	flavia.gervasio@fastweb.it	Claudia Setzu Eltiana Tafili	claudia.setzu@fastweb.it eltiana.tafili@fastweb.it
LSTech Espana SL	LSTECH	Evangelos Kotsifakos	ekotsifakos@lstechltd.co.uk		
Katholieke Universiteit Leuven	KUL	Edith Appelmans (to be mentioned in the NEFI)	edith.appelmans@kuleuven.be	Lukas Lanneau	lukas.lanneau@kuleuven.be
Asociación de Usuarios de Internet	AUI	Jesus Valbuena	organizacion@aui.es		
Internet Advertising Bureau Europe	IAB	Ioana Mardare	mardare@iabeurope.eu	Helen Mussard	mussard@iabeurope.eu
GranData	GDATA	Florencia Solovey	florencia@grandata.com	Ignacio Michelena	ignacio.michelena@grandata.com
Cliqz GmbH	CLIQZ	Tanja Kuper	tanja@cliqz.com	Reichel Eva	eva.reichel@burda.com

Decision-Making and Quality plan

The Consortium Agreement details the rules for decision-making process as well as for the responsibilities and obligations taken over by the partners and the governing bodies.

The top-level authority of the project and the ultimate decision-making body is the General Assembly.

On the other hand, any technical decision (e.g. approval of deliverables, changes of the technical scope, direction and/or methodology as long as they do not imply major changes to the action implementation or objectives) **shall be taken by the Project Board.**

The Project Board has the mandate to approve minor changes to the project work plan (such as activity adjustment issues).

Please note that if major changes are required, such as:

- ✓ Changes to the original work plan that require a re-allocation of resources (financial and/or effort re-allocation),
- ✓ Changes to the project objectives, and
- ✓ Changes to the composition of the Consortium or involvement of third parties (see next page)

the Project Coordinator will handle such issues and a final decision will be taken by the General Assembly; each General Assembly member will vote on the issue and, if needed, the Coordinator will inform the European Commission.

The Task and Work Package Leaders are in charge to monitor the progress of the technical work.

Each partner has the responsibility to report on due time every activity progress to WP Leaders and the coordinator and without any delay each risk situations that may conflict with the project objectives or their successful completion. Changes in scheduling of deliverables and/or allocated budget, which could occur at the individual partner's level, have to be reported as quickly as possible to the respective WP Leader and PB.

With reference to the *Quality management*, each governing body is involved in quality assurance activities (correct methodology and standard definition, document review and check, etc.), as specified in the table below:

Governing Body	Specific tasks
General Assembly	<ul style="list-style-type: none"> ✓ Supervision on the overall activities as ultimate decision-making body ✓ Supervision of the project implementation, progress, medium and long-term planning, resources status, confirmation of milestones and any necessary decision to ensure the achievement of the project objectives ✓ Assessment of reported risks and opportunities of high impact and adoption of final, related, decisions ✓ Management of any change in the consortium and resolution of conflict inside the consortium
Project Board	<ul style="list-style-type: none"> ✓ Fixing of the quality assurance criteria ✓ Coordinating the research among WPs ✓ Monitoring the effective and efficient implementation of the Project ✓ Assessing and reviewing the Risk Register, defining updated procedures if new implementation requirements are arising ✓ Assessing the consistency of actions performed with the Grant Agreement Annex 1 (Description of Action) content
Project coordinator	<ul style="list-style-type: none"> ✓ Monitoring overall project implementation and compliance with expected results/impacts (Grant Agreement Annex 1 – Description of Action)

	<ul style="list-style-type: none"> ✓ Ensuring that all project deliverables and reports are submitted on time and according to quality standards ✓ Approving reports and deliverables for submission to the Commission ✓ Handling the Risk management (asking support to the duly governing body) and updating the Risk Register available on project Repository ✓ Creating a proper work environment and providing every effort aimed at solving conflicts among partners
WP Leaders and Task Leaders	<ul style="list-style-type: none"> ✓ Reporting in each Project Board meeting their team's progress on work/objectives, Risk issues, possible ethical concerns and proposal for planning next steps
Project Office	<ul style="list-style-type: none"> ✓ Ensuring a proper Quality Management process implementation ✓ Providing instructions, tools and templates
Each project Partner	<ul style="list-style-type: none"> ✓ Applying its best effort in order to perform technical activities according to quality procedures agreed

COMMUNICATION PROCEDURES

Means of communication

The primary means of communication between the Project partners is *e-mail*. Partners shall use PIMCity *mailing lists*, which are listed below, and inter-personal e-mail exchange. Information may also be exchanged within the project in any way appropriate for the type of information and required availability time.

Recommendations for effective communication among partners:

- ✓ When a document of general interest is discussed, questions and modifications shall be sent to all partners.
- ✓ In case of objection to a proposal/document the objection must be constructive, i.e. it is valid only if it includes a proposal for change of the objected item.

Any official request to the relevant services of the European Commission will be channeled through the Project Coordinator. Each partner shall inform the Project Coordinator of any relevant communication received from third parties in relation to the project.

With regard to administrative procedures, each partner can directly consult the Project Office.

For questions and problems that cannot be solved within the framework of the project, the partner shall inform immediately the Project coordinator, who will discuss any remedial actions with PrO/PB and the European Commission, if needed. The interested partner will then receive a copy of the European Commission answer from the Project Coordinator.

Document repository, collaboration and writing tools

Please find enclosed the collaboration tools the Consortium will adopt:

- ✓ *Collaboration tools*

- Microsoft Teams

- Office 365 & SharePoint included for online editing

- OneDrive included for document sharing

- ✓ *Other Telcos Tools*

- MSTeams/Skype

- ✓ *Document sharing (Project document repository)*

MSTeams

Particular care is taken for document sharing, in order to ensure project coordination, team member timely update and document standardization

MSTeams has been selected by the Consortium. The coordinator has created Project channels intended to share documents, to have a conf-call, to send messages.

In order to properly manage the project, each Team member (Technical and Admin) should be added to PJR PIMCity Team.

A general channel has been created in order to collect general information (events, documentation, material, conf-call, templates) and a specific channel per WP is available in order to share presentation, documents, deliverables directly linked to the specific WP.

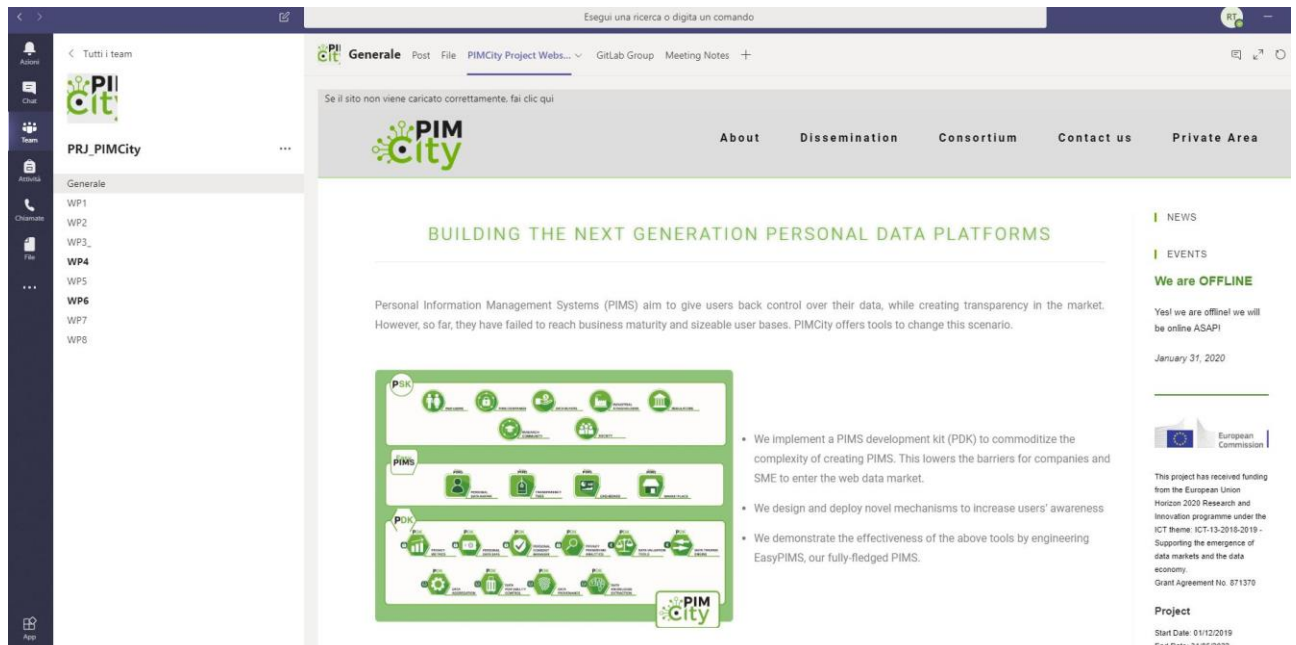
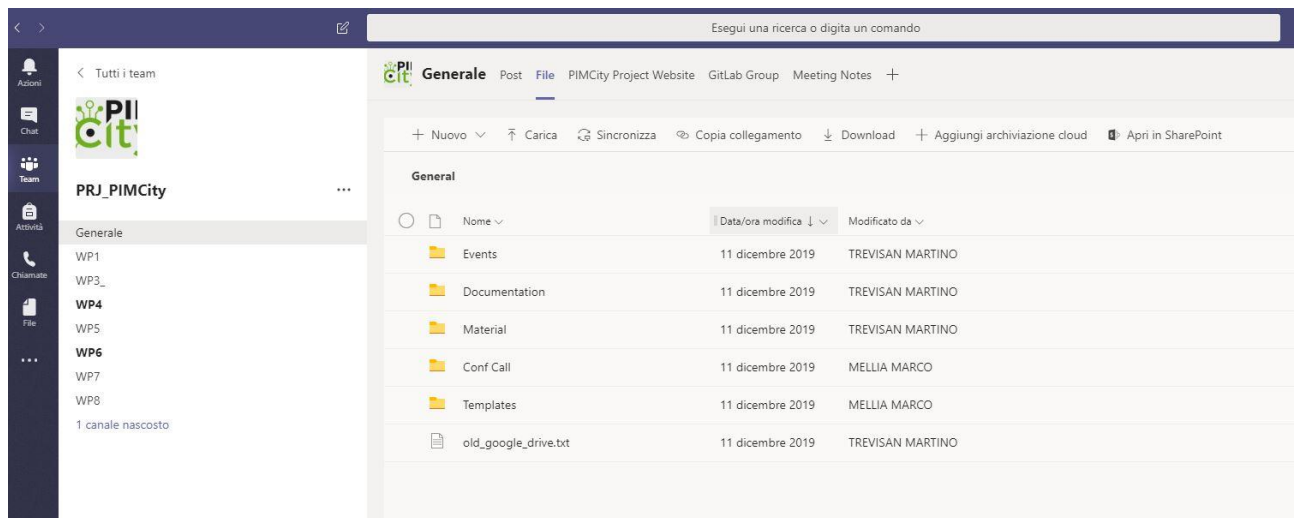


Figure 3 MSTeams screenshot

✓ Software repository

<https://gitlab.com/pimcity>

Mailing lists

A set of mailing lists was defined (domain: @smartdata.polito.it) to avoid e-mail spamming inside the consortium. These mailing lists are created based on the information available in the management web platform of PIMCity(see Sec. Project Website and web platform) and are restricted to users registered on it.

Every user is registered to the general PIMCity mailing list upon request and to MStTeams. The general mailing list should be used only when it is necessary to reach the entire consortium.

Other PIMCity mailing lists are the following:

- ✓ pimcity-mng@smartdata.polito.it: Administrative/financial contacts (used mainly by the Project Office for requesting reports and other management issues) and generic issues
- ✓ pimcity@smartdata.polito.it: Technical contacts related to technical activities.

Common information exchange

Information may be exchanged within the Project in any way appropriate for the type of information and required availability time. However, electronic data should be in a format that can be read by a PC using the Microsoft Windows system and preferably the Microsoft Office tool suite. Large files may be compressed.

All electronic data should be exchanged using either e-mail or Microsoft Teams.

The information management plan is based on the following rules:

- ✓ Documents should be written using *Microsoft Word* as a primary editing tools; the preferred format for posting documents is *PDF*. Specific documents, such as journal or conference papers may use other editing tools such as *LaTeX*.
- ✓ Work documents or drafts of formal documents will be exchanged using Microsoft Teams or e-mails if needed.
- ✓ Published documents will be available on the website in postscript or PDF.
- ✓ Each document shall be verified by the person in charge before being made available via the information system.

Templates for deliverables, reports and presentations are provided in Project document repository (MStTeams)

Project Website and web platform

PIMCity Project will implement two websites:

- ✓ www.pimcity-h2020.eu for dissemination purposes in order to attract the largest number of target groups and the general public. This quality and standard tool will serve to inform and promote the public project deliverables/news, etc. The website contains a public area and a link to a private area hosted by Politecnico di Torino, protected by a username and a password.


www.pimcity.eu

PIM City

About Dissemination Consortium Contact us Private Area

BUILDING THE NEXT GENERATION PERSONAL DATA PLATFORMS

Personal Information Management Systems (PIMS) aim to give users back control over their data, while creating transparency in the market. However, so far, they have failed to reach business maturity and sizeable user bases. PIMCity offers tools to change this scenario.



- We implement a PIMS development kit (PDK) to commoditize the complexity of creating PIMS. This lowers the barriers for companies and SME to enter the web data market.
- We design and deploy novel mechanisms to increase users' awareness.
- We demonstrate the effectiveness of the above tools by engineering EasyPIMS, our fully-fledged PIMS.

We strongly believe that an open market for data will only flourish if we stop the arms race between users and services. For this, we involve advertisers and end-users in the whole process. PIMCity has all these players in our consortium, along with leading IT companies and data providers, renowned research centres and universities, and SME's already in the market of PIMS.

NEWS

EVENTS

KickOff Meeting in Turin I

December 2, 2019

European Commission

This project has received funding from the European Union Horizon 2020 Research and Innovation programme under the ICT theme (CT-13-2019-2018). Supporting the emergence of data markets and the data economy.
Grant agreement No. 871279

Project

Start Date: 01/12/2019
End Date: 30/09/2022
Cost: € 6,200,000.00
UE Funding: € 5,240,000.00
Project Identifier: H2020-871279
Estimated Effort: 725 PM

Project Coordinator

Marco Meola
Politecnico di Torino - Department of Electronics and Telecommunications (DET)

- ✓ www.pimcity.eu for technical and coordination purposes, where the beneficiaries will be able to find regularly updated information about the project, its progress, contact information, project achievements and results. In such area additional services are provided:
- documents (deliverables, papers, templates, working documents)
 - project calendar and WP schedule
 - further information on project implementation.

Use of Logo (Project, H2020, EC)

Final PIMCITY logo is available in [project document repository](#).

Documents and presentations produced by the project activities must contain the project logo as well as the Horizon and EC logo.

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

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

"This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 871370", Project Acronym PIMCity"

Please note that when displayed together with another logo, the EU emblem must have appropriate prominence.

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

○ Standards Incorporating Results (Article 28.2)

If results are incorporated in a standard, the beneficiary shall ask the standardization body to include the following statement in (information related to) the standard:

"Results incorporated in this standard received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 871370", Project Acronym PIMCity "

○ Dissemination Activities (Article 29.4)

The following must be included in all dissemination activities:



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 871370", Project Acronym PIMCity

○ Communication Activities (Article 38.1.2)

The following must be included in all communication activities:



"This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 871370", Project Acronym PIMCity

Dissemination activities

Project dissemination will be implemented through a variety of activities:

✓ *Project websites:*

- <https://www.pimcity-h2020.eu>

Based on word-press with (limited) plugins installations of Elementor for official dissemination and

- <http://www.pimcity.eu>,

Based on similar technology and devoted mostly for community document sharing and activities coordination

Moreover, communication and dissemination will be done also through a link on project partners' websites

✓ *Social media*

Twitter, Facebook, LinkedIn

✓ *Communication materials*

A brochure, flyer, poster and two videos are forecasted

✓ *Press releases*

After Project Kick-off meeting, events or when output are available

✓ *e-Newsletter: A periodic e-newsletter (every 6 months)*

Project achievements, highlights, results will be distributed to all newsletter subscribers and network partners

EC communication tools (Euronews, Project stories, research*eu, newsletters, events) are forecasted

✓ *Thought-Leadership Pieces*

Targeting an innovative topic related to the project. Ultimately, these publications aim to get the project this on the radar of direct and indirect stakeholders.

Open Access to publication n in H2020

According to the letter sent by the EU General Director to each project Coordinator, related to Open access to publications in Horizon 2020 (involvement of the organisation as coordinator in Horizon 2020 grants), *"the European Commission has steadily supported open access to publications starting with a pilot action in FP7 and subsequently as an obligation of beneficiaries in Horizon 2020.*

Open access contributes to research efficiency and impact, and ultimately to more excellent research. The economic and social benefits of excellent research that is openly available are too important to ignore. As a public funder, the European Commission is committed to this policy, for the benefit of society, economy, and of the European citizens.

For this reason, Horizon 2020 grant agreements include an obligation to make all peer-reviewed publications relating to the results of the Horizon 2020 grants available in open access repositories (see grant agreement Article 29.2 and its annotations).

If a beneficiary breaches this obligation, the grant may be reduced (see Article 43 of the G.A.)"

According to H2020 On-line manual, *"beneficiaries must deposit a machine-readable electronic copy of the published version or final peer-reviewed manuscript accepted for publication in a*

repository for scientific publications. This must be done as soon as possible and at the latest upon publication.

'Machine-readable electronic copy' - publications must be in a format that can be used and understood by a computer. They must be stored in text file formats that are either standardized or otherwise publicly known so that anyone can develop new tools for working with the documents.

In some cases, the final version of an article can be deposited before publication, for example at the time when the article is accepted by the journal. The latest acceptable time to deposit a publication is the date of publication.

Where possible, the version deposited should be identical to the published version (in layout, pagination, etc.).

'Repository' for scientific publications is an online archive. Institutional, subject-based and centralised repositories are all acceptable choices. Repositories that claim rights over deposited publications and preclude access are not.

The Open Access Infrastructure for Research in Europe (OpenAIRE) is the recommended entry point for researchers to determine what repository to choose.

Please note that costs related to open access are eligible as part of the grant, if they fulfil the general eligibility conditions specified in the Grant Agreement.

It is also possible to find specific technical and professional support services through the OpenAIRE and EUDAT2020 projects."

Confidentiality and Disclaimer excluding the Agency responsibility

All the relevant provisions concerning Confidentiality are included in Section 10: Non-disclosure of Confidential Information of Consortium Agreement.

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

Meetings

Formal Reviews with the Commission

Preliminary schedule of project Review (RV) meetings with the European Commission is:

- ✓ RV1: at M20 – Luxembourg
- ✓ RV2: at M30 – Luxembourg

The review meeting is attended by the Project Coordinator and Project Board members.

The review may be carried out by the Commission services alone, or by the Commission services with the support of external experts appointed by the Commission. If external experts are appointed in the process, their names will be communicated to the consortium beforehand, with the right to make (well-founded) objection to any particular individual proposed on grounds of commercial confidentiality.

The outcome of the review will be communicated in writing to the Project Coordinator. This may include technical recommendations to be taken into account in the project's planning for the work of the next period. Project Coordinator will inform the Consortium, collect feedback from partners and send the outcome to the EC.

Meetings organization and schedule

Kick-off meeting was held on December 2nd - 4th 2019 at POLITO premises, in Turin, Italy.

Preliminary schedule of Plenary Meetings (PB+GA) and PB meeting is detailed in table below:

Type of Meeting	Dates fixed or forecasted	Hosting Partner
PB	23rd- 25th March 2020	UC3M, Madrid (face-to-face meeting was cancelled and replaced with a meeting to be held remotely)
PB+GA	September 2020	To be detailed
PB+GA	March 2021	To be detailed
PB + preparation of mid-term review	June 2021	To be detailed

Regular conf-call meetings to discuss technical issues and to coordinate the activities **are scheduled every two weeks and will be held remotely**.

In addition to these Consortium meetings, WP leaders can schedule ad hoc face-to-face meetings, to discuss about internal WP activities or interaction between different WPs.

Rules for Governing Bodies meetings

The chairperson of a Consortium Body shall convene meetings according to the following:

	Ordinary meeting	Extraordinary meeting
General Assembly	At least once a year	At any time upon written request of the Project Board or 1/3 of the General Assembly Members

Technical Board	At least every six months	At any time upon written request of any Project Board Member
------------------------	---------------------------	--

The chairperson of a Consortium Body shall prepare and send each member of that Consortium Body a written agenda no later than the minimum number of days preceding the meeting as below indicated.

	Ordinary meeting	Extraordinary meeting
General Assembly	21 calendar days	10 calendar days
Technical Board	to accompany the notice	

It is possible to add agenda items. The deadlines are indicated in the CA in art. 6.2.2.4 – Adding agenda items.

The agenda shall be deemed to be accepted unless one or more of the partners notifies to all of the other Member of that Consortium Body in writing additional points to the agenda, up to the minimum number of days preceding the meeting as indicated above.

The minutes of the project meetings shall be transmitted to all Members by the coordinator within 15 days after the meeting date. The minutes shall be considered as accepted by the other partners if, within 15 days from sending, no Member has sent an objection in writing to the chairperson. After the approval, the minutes will be uploaded on the intranet of the project website.

Voting rules and quorum

Each governing body shall not deliberate and decide validly unless a quorum two-thirds (2/3) of its members are present or represented (quorum).

According to art. 6.2.3 of the Consortium Agreement, each member of a governing Body present or represented in the meeting shall have one vote. Defaulting party members may not vote.

Decisions shall be taken by a majority of 2/3 of the votes (a Member could be present or represented by proxy at a quorate meeting). It is provided that if a Member whose scope of work, time for performance, costs, project liabilities, intellectual property rights or other legitimate interests would be severely affected by a decision of the Consortium Body may exercise a veto with respect to such decisions (or part of them) on reasonable grounds.

Partner may not veto decisions relating to its identification as Defaulting Party. The Defaulting Partner may not veto decisions relating to its participation and termination in the Consortium or the consequences of them.

Party requesting to leave the Consortium may not veto decisions relating thereto.

Further details on rules for meetings are included in the Consortium Agreement (6.2 section – General operational procedures for all Consortium Bodies).

REPORTING AND DELIVERABLES

Reports to the Commission

During the implementation of the project's activities, the Coordinator is required, on behalf of the Consortium, to send to the European Commission a certain number of Periodic Reports within some fixed deadlines. The payment of the EC contribution depends on the submission and the subsequent approval of these reports. The Coordinator will make available to all partners the formal reports sent to the Commission and inform the Consortium about any deviations.

The required reports will be the following:

1. Interim report of first year (due after 6 months)	Deliverable D8.2	Public. The report will detail the status of the plan of activities at the middle of the first year
2. Interim report of second year (due after 12 months)	Deliverable D8.3	Public. The report will detail the status of the plan of activities at beginning of the second year
3. Periodic Report (due after 18 months)	Report to the EC	Report to the EC
4. Interim Report of third year (due after 24 month)	Deliverable D8.4	Public. The report will detail the status of the plan of activities at beginning of the third year
5. Periodic Report and Final Report (due at the end of the project, after month 30)	Report to the EC	Report to the EC
6. Open Research Data Pilot (due at the end of the project, after month 30)	Deliverable D8.5	Public

According to the Annotated Model Grant Agreement, with reference to point 3 and 5, following the evaluation of the reports, the European Commission may:

- Approve the reports;
- Suspend the time-limit requesting revision/completion;
- Reject them giving justification, and start procedure for termination of the grant agreement in whole or in part;
- Suspend the payment with reference to Periodic and Final Reports (the Agency may — at any moment — suspend the payment deadline - see Article 21.2 to 21.4 of GA if a request for payment cannot be approved because:
 - a. it does not comply with the provisions of the Agreement - see Article 20 of GA;
 - b. the technical reports or financial reports have not been submitted or are not complete or additional information is needed, or
 - c. there is doubt about the eligibility of the costs declared in the financial statements and additional checks, reviews, audits or investigations are necessary.).

All partners' reports must be sent to the Project Office within and internal deadline (see details in each section) in order to let the Project Office merge figures and provide a complete document on time to the EC and to avoid any delay in EC payments.

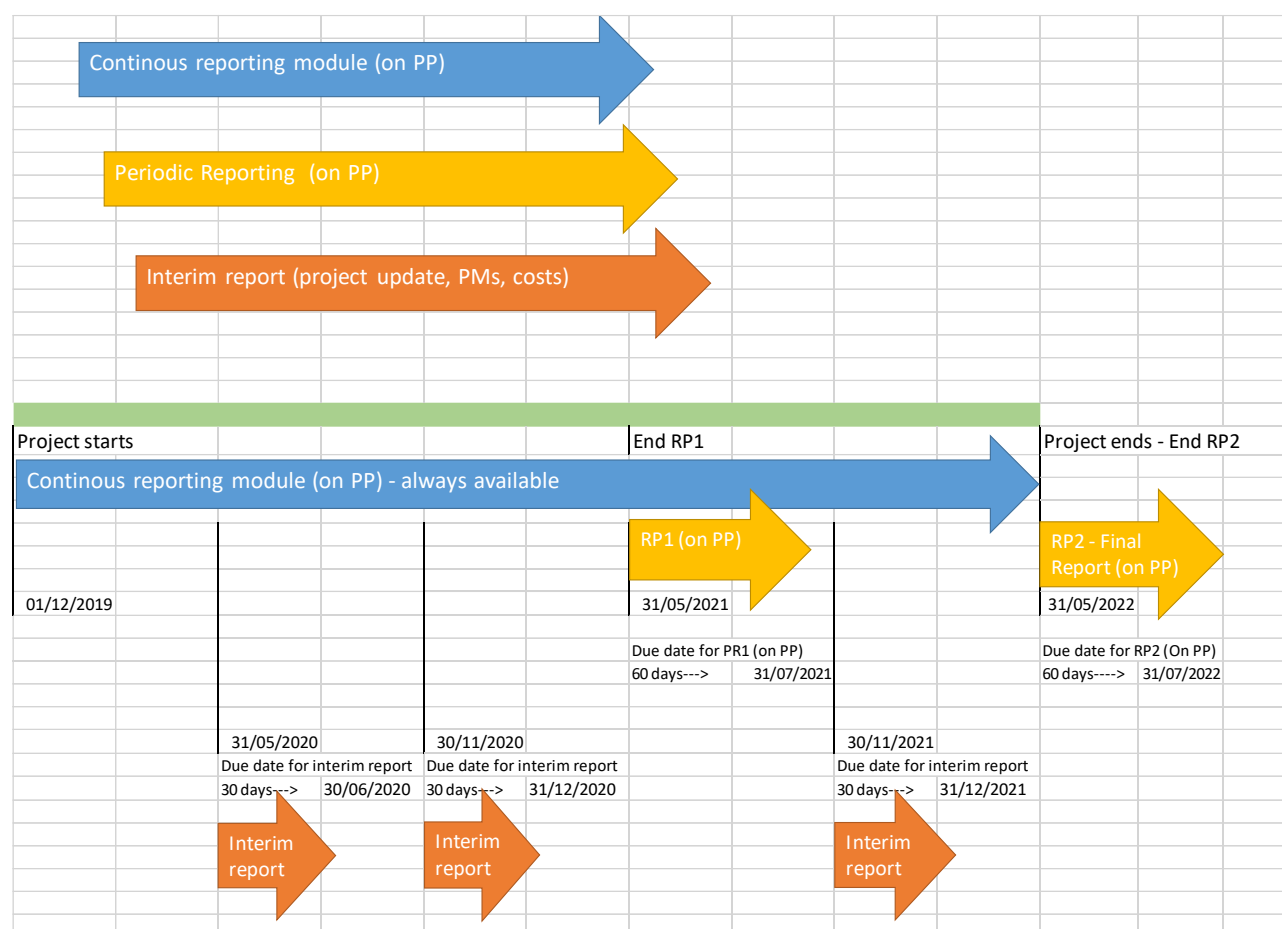


Figure 4 Project Reports and Interim reports deadlines

Interim Reports (IR) due at M6 , M12 and M24

Interim Reports (IR) shall be submitted to the Commission every six months (deliverables D8.2, D8.3 and D8.4) in addition to Financial Reports. The Interim reports are the main tool to provide the Commission with up-to-date information about the project. They represent the first step for alerting the Commission of potential problems and remedies being investigated.

The IRs will provide for the reporting period:

- ✓ Technical progress and achievements of the project
- ✓ Project status: work started, completed or delayed
- ✓ Status of deliverables
- ✓ Possible critical tasks and mitigation actions (if applicable)
- ✓ Resources expenditure by work-package and activity (PMs – person months spent vs. forecasted and justification of possible deviations)
- ✓ Absolute and aggregated values (actual vs. planned)

Each IR will be in form of a condensed document describing:

- financial resources (actual vs. planned per partner per work-package and totals and an illustrating graph) – Estimated costs
- effort description (actual vs. planned per partner per work-package and totals)
- summary of main achievements and concrete key outcomes of the reporting period

Procedure and templates

For each half-year IR the Project Office will ask:

All partners:

- ✓ a *financial report* with an estimation of resources committed per partner per WP (PMs)

WP Leaders will be involved to write:

- ✓ a *technical report* containing a summary of main achievements and concrete key outcomes of the reporting period.

Submission of IRs is done through the Commission Participant Portal, as they are project deliverables.

Templates for Interim Reports (financial as EXCEL file HYR_FINANC_PIMCity, and technical as WORD file, HYR_TECH_PIMCity) are available on project Repository).

Interim reports internal submission to Project Office: DEADLINE

In order to prepare the interim reports to be submitted to the Commission on time, each partner HAS TO provide the Project Office its internal progress reports figures and details not later than:

***** 15 working days before the report is due to the EC***.**

Periodic Reports due at M18 and 30

According to Project grant agreement, the action is divided into the following 'reporting periods':

- ✓ *Reporting Period 1 (PR1):* from M1 to M18, deadline 31/05/2021, due by 31/07/2021
- ✓ *Reporting Period 2 (PR2) and Final Report:* from M19 to M30, deadline 31/05/2022, due by 31/07/2022

The coordinator must submit a periodic report within 60 days following the end of each reporting period. They are described under Art. 20.2, 20.3 of the Grant Agreement.

The Periodic Report is divided in 2 parts, as the following:

1) Periodic technical report

- an explanation of the work carried out by the beneficiaries
- an overview of the progress towards the objectives of the action, including milestones.

This section 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'.

Please note

Explain any difference in the use of resources between actual and planned (Annex 1), especially related to person-months per work package

Explain any tasks not fully implemented, critical objectives not fully achieved and/or not on schedule. Explain also the impact of the available resources on other tasks and the timetable.

- iii. a summary of publications
- iv. a questionnaire covering results related to the action implementation and economic and social impact

The first part of the Technical report (Part A) contains the cover page, a publishable summary and the answers to the questionnaire (see point iv). This Part is generated by the system and it is based on the information entered by the participants through *the periodic report and continuous reporting modules* of the electronic exchange system in Participant Portal. The participants can update the information in the continuous reporting module at any time during the life of the project.

The second part (Part B) is a narrative part that includes explanation of the work carried out by the beneficiaries and consists in a PDF document to be uploaded. Such document will be wrote by the PrO starting from the technical and financial information collected by WP Leaders and Partners.

2) **Periodic financial report**

- i. An individual financial report from *each beneficiary* for the reporting period concerned. The individual financial statement must detail the eligible costs (actual costs, unit costs and flat-rate costs; see Article 6) for each budget category (see Annex 2 of GA)

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

- ii. an explanation of the use of the resources and the information on subcontracting (see Article 13 of GA) and in-kind contributions provided by third parties (see Articles 11 and 12 of GA)-if any- from each beneficiary, for the reporting period concerned
- iii. a project summary financial statement, created electronically by the electronic exchange system, consolidating the individual financial statements for the reporting period concerned and including — except for the last reporting period — the request for payment.

Following the end of the reporting period, the functionality of periodic reporting **will be activated on Participant Portal**. Each participant will be able to complete the on-line procedure in order to insert its own **Financial Statement** (and the financial report of their Third Parties if any), including explanation of Use of Resources.

Procedure and templates

Partners are required to fill in the *technical report* as indicated by the Coordinator, while the *financial reports* will be collected by the Project Office (in order to check and merge them).

It is enclosed the latest template made available by the EC under H2020 (see [h2020-tmpl-periodic-rep_en.pdf](#)).

Consequently, templates for financial and technical Periodic Reports will be made available on project Repository and sent to all partners by e-mail on due time.

Periodic Report Internal submission to Project Office: DEADLINE

In order to prepare the Periodic report to be submitted to the Commission, each partner HAS TO provide to Project Office its internal progress reports (technical and financial figures), not later than:

***** 20 working days before the report is due to the Commission*****

WP/Task Leaders will collect technical information about their WP/Task in order to provide the technical description according to the deadline above-mentioned.

Final report – request for payment of the balance at M30 (related to the whole project)

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

The final report must include the following:

- 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;

Please note that the final report should answer to the following questions:

1. Explanation the work carried out by the beneficiaries and Overview of the progress
2. List the specific objectives for the project as described in section 1.1 of the DoA and described the work carried out during the reporting period towards the achievement of each listed objective. Provide clear and measurable details.
3. Explanation of the work carried per WP
4. Include whether the information on section 2.1 of the DoA (how your project will contribute to the expected impacts) is still relevant or needs to be updated

- b) **‘Final financial report’** containing:
 - i. a **‘final summary financial statement’** (see Annex 4 of GA), created automatically by the electronic exchange system, consolidating the individual financial statements for all reporting periods and **including the request for payment of the balance** and
 - ii. a **‘certificate on the financial statements’** (drawn up in accordance with Annex 5 of GA) for each beneficiary, only if it requests a total contribution of EUR 325.000 or more, as

reimbursement of actual costs and unit costs calculated on the basis of its usual cost accounting practices (see Article 5.2 and Article 6.2, Point A).

Procedure and templates

Partners are required to fill in the technical report as indicated by the Coordinator, while the financial statements will be collected by the Project Office (in order to check and merge them).

It is enclosed the latest template made available by the EC under H2020 (please see [h2020-tmpl-periodic-rep_en.pdf](#) enclosed to the document).

Consequently, templates for financial and technical Periodic Reports will be made available on project Repository and sent by e-mail to all partners on due time.

Final Report Internal submission to Project Office: DEADLINE

In order to prepare the Periodic report to be submitted to the Commission, each partner **MUST** provide to Project Office its internal progress reports (technical and financial figures), not later than:

*****20 working days before the report is due to the Commission***.**

WP/Task Leaders will collect technical information about their WP/Task in order to provide the technical description according to the deadline above-mentioned.

Additional information available at the following link:

https://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management_en.htm

Publications

All joint and single-partner publications related to PIMCity activities must be uploaded on the project website.

All publications **MUST** include the following project acknowledgements:

“This project has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 871370”, Project Acronym PIMCity”.

Deliverables

For each deliverable, the partner in charge should specify:

- whether the deliverable/milestone date was met, or the expected delivery date if not ready (specifying the reasons in case of delay)
- any problems encountered and proposed solutions.

For each deliverable partners should specify (in accordance with the deliverables list included in the Annex I):

- ✓ the dissemination level of the deliverable:

- PU = Public
 - PP = Restricted to other programme participants (including the Commission Services)
 - RE = Restricted to a group specified by the consortium (including the Commission Services)
 - CO = Confidential, only for members of the consortium (including the Commission Services)
- ✓ the nature of the deliverable (ex. R = Report)

Deliverables Review

PIMCity will implement strict reviewing process on the project's output, in particular deliverables. The process must follow objective criteria on scientific and technical excellence, expected objectives, coherence with prior/following work, technical viability and value for exploitation. Aspects such as comprehension for non-experts shall be further taken into account since outcomes and most deliverables will be public.

Documents, reports and outputs to be developed within the PIMCity project are expected to fulfil standards and quality criteria in order:

- ✓ To respond qualitatively to objectives set out in Annex 1 to the Grant Agreement (Description of the Action)
- ✓ To deliver documents, reports, deliverables according to templates agreed (presented in this Handbook and Quality Plan and available on project Repository) after the relevant management body approval (as defined in this Quality plan)
- ✓ To respect the deadlines set out in Annex 1 to the Grant Agreement (Description of the Action).

The cautious selection of critical reviewers is needed for integration, coherence and viability of the output delivered in respect to the alignment with industry interests, user acceptance and project objectives.

Every deliverable is to be revised by at least one partner not authoring the document or otherwise directly involved in its production and shall be one of the following:

- the Project coordinator;
- a team member that needs the content, e.g. as he continues the work/takes up the results or for exploitation;
- an agreed external expert because of the S&T value he/she can introduce through revision or because of his/her valuable opinion and critical user-sight.

Reviewers give their feedback in a structured format, following common rules and agreed scientific and technical criteria discussed by the Project Board. They shall provide constructive recommendations for improvement, which the deliverable owner integrates for improvement.

WP leaders are in charge for defining timing and purpose of each deliverable. Moreover, WP leaders will identify any actions necessary to allow the deliverable to pass the deliverable review.

The Project Coordinator approves them and sends the final version to the EC via Participant Portal.

Deliverables format

Each deliverable should have a similar format. Heading, fonts and structure should be similar in order to present a professional and consistent image.

- *Need to agree on how to write deliverables*

Ms word

Document template (POLITO) available on project Repository

- *Deliverable must be ready by the deadline, according to a deliverable schedule agreed*

Editor proposes an outline to be discussed – 2 month before deadline

Contributors deliver first draft – 1 month before the deadline

Reviewers review the draft – 2 weeks before the deadline

Final editing, review by the Project coordinator – and delivery to the EC – at the official deadline.

An example of **Deliverable Schedule** (presented and discussed during in GA meetings and/or conf-calls) follows:

- *D1.1 Tentative schedule*

15th of December -> NEC to send Table of Content.

Main sections, indicate responsible partner per section.

15th of January -> Section responsible partners to optimize table of content.

Define subsections, indicate responsible partner per sub-section.

Next plenary meeting (TBD) -> Every partner to send preliminary content.

Content to be reviewed in the plenary meeting.

24th of April -> Every Partner to send the final content.

29th of April -> Section responsible partners to integrate the content.

1st of May -> NEC to do the final integration and send it to reviewers.

15th of May -> Reviewers to send comment.

22nd of May -> Every partner to send back corrections.

29th of May -> NEC to integrate all the changes for submission.

MODIFICATION PROCEDURES

Amendments to the Grant Agreement

According to the Annotated Model Grant Agreement, 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 NOT result in changes that** —if known before awarding the grant —**would have had an impact on the award decision**. Those are mostly changes that:

- ✓ involve the consortium composition and have an impact on the eligibility criteria set out in General Annexes A and C to the Main Work Programme (e.g. consortium of three entities established in three different Member States [BG, PL and FR] and replacement of the PL beneficiary by a BG beneficiary while the call required the representation in the consortium of at least three Member States)
- ✓ involve changes to the action and/or its budget and affect the award criteria announced in the work programme/call (e.g. the tasks in Annex 1 are changed so substantially that the action no longer corresponds to the scope of the call)
- ✓ breach the principle of equal treatment of applicants
- ✓ do not comply with the rules applicable to the GA (i.e. Financial Regulation No 966/2012, Rules for Participation Regulation No 1290/2013, etc.) or with provisions of the GA itself (e.g. amendment to subcontract tasks of the coordinator)

Amendments may be requested by any of the parties.

Process for the amendment

The party requesting an amendment must submit a request for amendment signed in the electronic exchange system (see Article 52). The Coordinator submits to EC and receives by EC requests for amendment on behalf of the beneficiaries.

If a change of coordinator is requested without its agreement, the submission must be done by another beneficiary (acting on behalf of the other beneficiaries).

The request for amendment has to include:

- ✓ *the reasons why* the amendment is asked (for example: a Party decides to leave the consortium following a change to its legal, financial, technical, organizational or ownership situation; consequently, such change is likely to substantially affect or delay the implementation of the action)
- ✓ *the appropriate supporting documents needed*
- ✓ the opinion of the coordinator (or proof that this opinion has been requested in writing) if a change of coordinator without its agreement is required.

The Agency *may request additional information*.

An amendment session will be opened on the *Participant Portal* upon request.

If the party receiving the request agrees (Coordinator or EC), it must sign the amendment in the electronic exchange system within 45 days of receiving notification (or any additional information the Agency has requested). If it does not agree, it must formally notify its disagreement within the same deadline. The deadline may be extended, if necessary for the assessment of the request. If no notification is received within the deadline, the request is considered to have been rejected.

An amendment *enters into force* on the day of the signature of the receiving party.

An amendment *takes effect* on the date agreed by the parties or, in the absence of such an agreement, on the date on which the amendment enters into force.

The cases where an amendment is necessary are called '*amendment types*'(AT); the amendment clauses are called '*AT clauses*'. The general terms and conditions of the G.A. can NOT be changed via an amendment. Only G.A.-specific data (e.g. duration of the reporting periods, starting date, etc.) and the options can be added, removed or updated via an amendment.

The information flow will then be the following:

- ✓ Any request of modification shall be formulated in a written proposal to be submitted to the Project Office. The Project Office will circulate a formal amendment draft in order to find a common agreement. General Assembly approval is needed. Each proposed change will be accepted if not conflicting with G.A. and CA rules.
- ✓ Amendment request is prepared and submitted by the Coordinator on behalf of the consortium on Participant Portal
- ✓ All necessary documents must be present (documents depend on the type of amendment) on Participant Portal.
- ✓ The EC has 45 days to analyze and accept/reject/request additional documents/information
- ✓ If additional docs/info is requested a new deadline applies (45 days from receiving additional docs/info)

The amendment enters into force and is binding from the moment the EC has agreed to it.

An amendment is required in the following cases:

Changes of Consortium members (included linked third party if any) or change of the Coordinator

1. Adding a new beneficiary
2. Removal of a beneficiary whose participation is terminated
3. Adding or removing a linked third party
4. Change of beneficiary due to partial takeover
5. Change of coordinator

<i>Changes to the status of a beneficiary/linked third party</i>	Changes to the status of a beneficiary/linked third party as 'receiving EU funding' or 'not receiving EU funding'
<i>Changes to the proposal/to Annex 1 or 2</i>	<ol style="list-style-type: none"> 6. Change of the action's title and/or acronym 7. Changes to the maximum grant amount, the action's estimated eligible costs, amount of pre-financing or contribution to the Guarantee Fund 8. Changes to Annex 1 (Description of the action) 9. Changes to Annex 2 and Annex 2a (Estimated budget) 10. Change concerning specific cost categories ('specific unit costs') 11. Transfers between forms of costs (actual costs, unit costs, etc.). An Amendment is required if no budget was foreseen for the "form" receiving the transfer 12. New subcontract (strongly advised)
<i>Other changes reflecting in the Grant Agreement</i>	<ol style="list-style-type: none"> 1. Change of the coordinator's bank account 2. Change of the starting date, duration of the action or reporting periods

Please note

The estimated budget breakdown indicated in Annex 2 may be adjusted —without an amendment (see Article 55) —by transfers of amounts between beneficiaries, budget categories and/or forms of costs set out in Annex 2, if the action is implemented as described in Annex 1.

If the budget transfer is due to a significant change in Annex 1, an amendment to the GA is needed. A significant change is a change that affects the technical work ('action tasks') of Annex 1.

Further details concerning the amendments procedure are included in the EC Guidelines on Amendments, available on the project Repository (Relevant EC documents and on the G.A. signed).

Amendments to the Consortium Agreement

According to Annotated Model Grant Agreement, any request of modification to the Consortium Agreement shall be formulated in a written proposal to be submitted to the Coordinator and Project Office. The Project Office will provide by e-mail a formal amendment in order to find a common agreement. Each proposed change will be accepted if not conflicting with another proposed change, and if it is accepted by all partners.

Budget/Effort modifications

Please note

In any case, **beneficiaries may not add costs relating to subcontracts not provided for in Annex 1, unless such additional subcontracts are approved by an amendment** or in accordance with Article 13 of G.A.

The Project Office will take care of the amendment submission through Participant Portal on behalf of the Consortium and will give step-by-step instructions to handle the procedure.

Addition of new beneficiaries

In justified cases, the beneficiaries may request the addition of a new beneficiary. For this purpose, the coordinator must submit a request for amendment in accordance with Article 55 of G.A.

It must include an Accession Form (see Annex 3) signed by the new beneficiary in the electronic exchange system (see Article 52).

New beneficiaries must assume the rights and obligations under the Agreement with effect from the date of their accession specified in the Accession Form (see Annex 3).

The Project Office will take care of the amendment submission through Participant Portal on behalf of the Consortium and will give step-by-step instructions to handle the procedure.

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

The participation of one or more beneficiaries may be terminated by the Coordinator, on request of the beneficiary concerned or on behalf of the other beneficiaries.

The Coordinator must formally notify termination to the Agency (see Article 52 of GA) and inform the beneficiary concerned.

If the Coordinator's participation is terminated without its agreement, the formal notification must be done by another beneficiary (acting on behalf of the other beneficiaries).

The notification must include:

- ✓ the reasons why the termination is required
- ✓ the opinion of the beneficiary concerned (or proof that this opinion has been requested in writing)
- ✓ the date the termination takes effect. This date must be after the notification, and
- ✓ a request for amendment (see Article 55), with a proposal for reallocation of the tasks and the estimated budget of the beneficiary concerned (see Annexes 1 and 2 of GA) and, if necessary, the addition of one or more new beneficiaries (see Article 56). If termination takes effect after the period set out in Article 3 of GA, no request for amendment must be included unless the beneficiary concerned is the coordinator. In this case, the request for amendment must propose a new coordinator.

If this information is not given or if the Agency considers that the reasons do not justify termination, the participation will be considered to have been terminated improperly.

The termination will take effect on the day specified in the notification.

Effects

According to Annotated Model Grant Agreement, the coordinator must — within 30 days from when termination takes effect — submit:

- a report on the distribution of payments to the beneficiary concerned and
- (if termination takes effect during the period set out in Article 3 – Duration and Starting date of the Action) a '*termination report*' from the beneficiary concerned, for the open reporting period until termination. It will contain an overview of the progress of the work, an overview of the use of resources, the individual financial statement and, if applicable, the certificate on the financial statement (see Articles 20.3 and 20.4 of GA).

The information in the termination report must also be included in the periodic report for the next reporting period (see Article 20.3 of G.A.).

If the request for amendment is accepted by the EC, the Agreement is amended to introduce the necessary changes (see Article 55).

If the request for amendment is rejected by the EC, (because it calls into question the decision awarding the grant or breaches the principle of equal treatment of applicants), the Agreement may be terminated according to Article 50.3.1(c).

The [Commission] will—on the basis of the periodic reports, the termination report and the report on the distribution of payments — *calculate the amount which is due to the beneficiary* and *if the (pre-financing and interim) payments received by the beneficiary exceed this amount*.

If the *payments received exceed* the amounts due:

- ✓ if termination takes effect during the period set out in Article 3 and the request for amendment is accepted, the beneficiary concerned must *repay* to the coordinator the amount unduly received. The Commission will formally notify the amount unduly received and request the beneficiary concerned to repay it to the coordinator within 30 days of receiving notification. If it does not repay the coordinator, the [Commission] will draw upon the Guarantee Fund to pay the coordinator and then *notify a debit note* on behalf of the Guarantee Fund to the beneficiary concerned (see Article 44);
- ✓ in all other cases (in particular if termination takes effect after the period set out in Article 3), the [Commission] will formally *notify a debit note* to the beneficiary concerned. If payment is not made by the date in the debit note, the Guarantee Fund will pay to the [Commission] the amount due and the Commission will *notify a debit note* on behalf of the Guarantee Fund to the beneficiary concerned (see Article 44).
- ✓ If the *payments received do not exceed* the amounts due: amounts owed to the beneficiary concerned will be included in the next interim or final payment.
- ✓ If the Commission does not receive the *termination report* within the deadline (see above), only costs included in an approved periodic report will be taken into account.

If the Commission does not receive *the report on the distribution of payments* within the deadline (see above), it will consider that:

- the coordinator did not distribute any payment to the beneficiary concerned and that
- the beneficiary concerned must not repay any amount to the coordinator.

Additional information available at the following link:

https://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management_en.htm

Modification to the Project Management Handbook

Any request of modification to this Handbook shall be formulated in a *written proposal of amendment to be submitted to the Project Office*. The Project Office evaluates its admissibility and consults the Project Coordinator. In case of agreement with the proposed modification, the Handbook will be amended accordingly. The amendment will be sent to all partners, enclosed to a written note of the Project Coordinator, stating the effective date of the amendment.

If minor procedural modifications (i.e. in relation to the communication protocol) are necessary to increase the effectiveness of the management, the Project Office may prepare a procedural note to be sent to all partners describing the new methodology proposed. If within one week nobody has objected in writing, the new procedure is considered as accepted.

EC PAYMENTS

The Commission made the following payment:

- **Pre-financing EUR 4.192.664,10**

Such amount includes EUR 262.041,51, corresponding to 5% of the maximum grant amount (see Article 5.1 of G.A.), retained by the Agency from the pre-financing paid to the Coordinator. Such amount has been transferred into the 'Guarantee Fund' (it consists of bank account assigned to Partners but overseen by the Agency; such amount will be released by the Agency with the final EC payment after final report approval). Consequently, the Coordinator has received the difference between EUR 4.192.664,10 and EURO 262.041,51 and will distribute such the amount to Partners, as indicated in the Consortium Agreement (Article 7.2.3. – Payment Schedule):

- a) *1st tranche (70%)* has already been transferred at the beginning of February 2020 to Partners which have signed the accession form;
- b) *2nd tranche (30%)* will be transferred at the end of first year, after submission of First Year Report (foreseen on February 2021), or at any time in the first year upon demonstrated expenditures of 50% of the amount received with the first transfer.

Please note

Such payment will be done after appropriate decision of the General Assembly, as 2nd tranche payment will be proportional to the budget allocation, costs incurred during the first year and to the first advance payment made by the coordinator.

More than the 50% of the first tranche is required to be spent in order to provide the 2nd tranche payment.

- **Subsequent payments:** transferred against accomplishment of the contractual obligations and the approval by the European Commission of the Periodic and Final Report at M30.

The subsequent payments will be after:

- a) *Periodic Report approval (after M18)*
- b) *Final Report approval*, corresponding to the amount accepted by the Agency (after M30).

The Agency will pay to the Coordinator the amount due as payment within 90 days from receiving the Periodic Report, see Articles 20.3 and 21.3 of G.A.

The payments to Partners will be equal to the budget allocation decided by the General Assembly upon proposal of the PB, or reduced according to the costs claimed by each Party.

Please note

As the Consortium received 80% as pre-financing (EC includes the amount transferred to the Guarantee Fund), it will receive the remaining 20% as interim payment and final payment.

Interim payments will be done only after pre-financing payments have been carried out.

The Consortium could receive in advance no more than the 90% of total Contribution granted (Guarantee fund amount included).

The *final amount* is corresponding to the amount accepted for the last reporting period.

The payment of the balance reimburses the remaining part of the eligible costs incurred by the beneficiaries for the implementation of the action (amount not covered by pre-financing). Please note:

- if the total amount of earlier payments is greater than the final grant amount (see Article 5.3 of GA), the payment of the balance takes the form of a *recovery* (see Article 44 of GA).
- 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 of GA) to the Coordinator.

Payment is subject to the approval of the Final Report by the Agency. 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 already made, from the final grant amount determined in accordance with Article 5.3:

{final grant amount (see Article 5.3)

minus

{pre-financing made}}.

At the payment of the balance, the amount retained for the Guarantee Fund will be released.

FINANCIAL REPORTING AND AUDITS

General principles

As indicated in the Consortium Agreement in Sec. 7 – Financial Provisions and in accordance with its own usual accounting and management principles and practices, each Party shall be solely responsible for justifying its costs with respect to the Project towards the Funding Authority. Neither the Coordinator nor any of the other Parties shall be in any way liable or responsible for such justification of costs towards the Funding Authority.

- A Party which spends less than its allocated share of the budget as set out in the Consortium Plan or – in case of reimbursement via unit costs - implements less units than foreseen in the Consortium Plan will be funded in accordance with its actual duly justified eligible costs only.
- A Party that spends more than its allocated share of the budget as set out in the Consortium Plan will be funded only in respect of duly justified eligible costs up to an amount not exceeding that share (see Section 7: Financial provisions of CA), unless otherwise decided by GA.

In case a Party earns any receipt that is deductible from the EC funding, then the deduction of the EC funding is only directed towards the party earning such income. The other parties' financial share shall not be affected by one Party receipt. In case the relevant receipt exceeds the funding share of the Party who has earned it, the Party shall reimburse the reduced EC funding suffered by the other Parties (see art. 7.2.5 of CA).

Eligible and ineligible Costs

Eligible and ineligible costs are specified in GA - Article 6

'Eligible costs' are costs that meet the following criteria:

for actual costs:

- i. they must be *actually incurred* by the beneficiary during the duration of the project (date of beginning of the project or date from which takes effect the addition of the Partner up to the end of the project);
- i. they must be *incurred in the period set out in Article 3*, with the exception of costs relating to the submission of the periodic report for the last reporting period and the final report (see Article 20);
- ii. they *must be indicated in the estimated budget* set out in Annex 2;
- iii. they must be *incurred in connection* with the action as described in Annex 1 and necessary for its implementation;
- iv. they *must be identifiable and verifiable*, in particular recorded in the beneficiary's accounts in accordance with the accounting standards applicable in the country where the beneficiary is established and with the beneficiary's usual cost accounting practices;
- v. they must *comply with the applicable national law* on taxes, labor and social security, and
- vi. they must be *reasonable, justified and must comply with the principle of sound financial management*, in particular regarding economy and efficiency;

(a) actual costs:

<i>costs which are real and not estimated or budgeted</i>	<i>Examples</i> <ul style="list-style-type: none">• <i>direct personnel costs (unless declared as unit cost)</i>• <i>subcontracting costs</i>• <i>costs of providing financial support to third parties</i>• <i>other direct costs (e.g. computer), travels, registration fees, etc.</i>
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The beneficiaries must keep original documents. The Commission/Agency will accept any document considered as an original under national law. Examples:

1. The Commission will accept authenticated copies or digitally-signed documents, if national law accepts these as originals.
2. The Commission will accept digitalized copies of documents (instead of hard copies), if this is acceptable under national law.

In principle, documents should be kept in the format in which they were received or created. This means that:

- documents received or created in paper form should be kept in paper form
- documents received or created electronically should be kept in their electronic format. Hard copies of original electronic documents are not required.

For actual costs, the beneficiaries must:

- keep detailed records and other supporting documents to prove the eligibility of the costs declared
- use cost accounting practices and internal control procedures that make it possible to verify that the amounts declared, amounts recorded in the accounts and amounts recorded in supporting documentation match up.

Best practice

According to Annotated Model Grant Agreement, the information included in the financial statements for each budget category (i.e. personnel costs, other direct costs, indirect costs) must be broken down into details and must match the amounts recorded in the accounts and in supporting documentation.

Examples:

1. **for costs declared in category A.1 (employees or equivalent):** the costs must be detailed for each person carrying out work for the action (individual hourly rate multiplied by the actual hours worked for the action). They must match the accounting records (i.e. general ledger transactions, annual financial statements) and supporting documentation (i.e. labor contracts, collective labor agreements, applicable national law on taxes, labor and social security contributions, payslips, time records, bank statements showing salary payments, etc.).
2. **for costs declared in category D.1, D.2, D.3 and D.4 (other direct costs):** the beneficiary must keep a breakdown of costs declared by type (i.e. travel costs and related subsistence allowances, depreciation, costs of other goods and services etc.).

For depreciation, it must be able to provide details per individual equipment used for the action. Declared costs must match accounting records (i.e. general ledger transactions, annual financial statements) and supporting documentation (i.e. purchase orders, delivery notes, invoices, contracts, bank statements, asset usage logbook, depreciation policy, etc.).

*(b) for **unit costs**:*

- ii. they must be calculated as follows:

{amounts per unit set out in Annex 2a or calculated by the beneficiary in accordance with its usual cost accounting practices (see Article 6.2, Point A and Article 6.2.D.5)

multiplied by

the number of actual units}

- iii. the number of actual units must comply with the following conditions:

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

The beneficiaries must be able to show the link between the number of units declared and the work on the action. The beneficiaries must be able to show (with records and supporting evidence; see Article 18) that the number of units declared was actually used for the action (the actual costs of the work are not relevant.)

<i>An amount per unit</i>	<p><i>Examples</i></p> <ul style="list-style-type: none"> • <i>direct personnel costs of SME owners/natural persons not receiving a salary</i> • <i>direct personnel costs calculated by the beneficiaries in accordance with their usual cost accounting practices ('average personnel costs')</i>
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*[(c) for **flat-rate costs**:*

- iv. they must be calculated by applying the flat-rate set out in Annex 2, and
- v. the costs (actual costs or unit costs) to which the flat-rate is applied must comply with the conditions for eligibility set out in Article 6.

The beneficiaries must be able to show (with records and supporting evidence; see Article 18) that the costs to which the flat-rate is applied are eligible (the actual indirect costs are not relevant.)

<i>Flat-rate costs</i>	<p><i>Examples</i></p> <ul style="list-style-type: none"> • <i>Costs calculated by applying a percentage fixed in advance to other types of eligible costs]</i>
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Costs are eligible if they comply with the general conditions (see above) and the specific conditions set out below for each of the following budget categories:

- A. direct personnel costs (ALL)

- B. direct costs of subcontracting (no Partner has costs for subcontracting up to now)
- C. other direct costs (ALL)
- D. indirect costs (ALL)

REIMBURSEMENT RATE: it is fixed at **100% of total costs** for RTD, DISS AND MNG

Please note: VAT is eligible in Horizon 2020 projects if it is nondeductible by the Beneficiary (a declaration to attest such status is needed)

‘Ineligible costs’ are:

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

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

(b) costs declared under another EU or Euratom grant (including grants awarded by a Member State and financed by the EU or Euratom budget and grants awarded by bodies other than the Agency for the purpose of implementing the EU or Euratom budget). In particular, can not be claimed indirect costs if the beneficiary is already receiving an operating grant financed by the EU or Euratom budget in the same period.

Direct and Indirect Costs

According to Annotated Model Grant Agreement, eligible costs could be Direct or Indirect:

○ Direct costs

Direct costs can be attributed directly to the project:

- Personnel
- Subcontracting
- Other direct costs
 - α. travel

- b. equipment
- c. other goods and services (consumables)
- d. cost of research infrastructure

○ Indirect costs (Overhead)

Costs which cannot be identified as being directly attributed to the project, but they are in direct relationship with the direct costs attributed to the project:

Method of calculation

Standard flat rate: 25% of direct costs (excluding subcontracts) from which are excluded:

1. costs of subcontracting and
2. costs of in-kind contributions provided by third parties which are not used on the beneficiary's premises.

Typical indirect costs are: telephone charges & photocopies, heating, electricity, etc.

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

Please note

Costs related to preparing, submitting and negotiating the proposals — cannot be declared as eligible for the action (they are incurred before the action starts).

Costs related to drafting the consortium agreement — Are not eligible because the consortium agreement should be signed before the action starts. However, costs related to updating the consortium agreement are eligible if incurred during the action duration.

Travel costs for the kick-off meeting — Even if the first leg of the journey takes place before the action starting date (e.g. the day before the kick-off meeting), the costs may be eligible, if the meeting is held during the action duration.

Costs for reporting at end of the action — Costs related to drafting and submitting the periodic report for the last reporting period and the final report are eligible even if they are incurred after the action duration. Those costs include the cost of certificates on the financial statements (CFS) required by the GA and the cost of participating in a final review carried out by the Commission/Agency before the submission of the final reports. They may also include the cost of personnel necessary to prepare the periodic report for the last reporting period and the final report. However, they do NOT include research or innovation activities undertaken after the end date of the action.

Costs for students, PhDs and other researchers under scholarship, internship or similar agreements (not employees) — Costs of students that work for the beneficiary can be accepted, if the agreement is work-oriented (not training-oriented: i.e. not aimed at helping the student to acquire professional skills). *PhD agreements will be considered work-oriented*. However, time for training, if any, may NOT be charged to the action.

Fellowships/scholarships/stipends — Can be charged to the action (as personnel costs), if they fulfil the conditions set out Article 6.1 and 6.2. A.2, and in particular:

- ✓ the remuneration complies with the application national law on taxes, labor and social security
- ✓ the assignment of tasks respects the laws in force in the country of the beneficiary
- ✓ the students have the necessary qualifications to carry out the tasks allocated to them under the action.

Personnel

- ✓ **Personnel costs (employees):**
 - related to personnel working for the beneficiary under an *employment contract* (or equivalent appointing act) and assigned to the action
 - limited to salaries, social security contributions, taxes and other costs included in the remuneration if they arise from national law or the employment contract (or equivalent appointing act).
- ✓ **Costs for natural persons working under a direct contract with the beneficiary other than an employment contract if:**
 - the person works under conditions similar to those of an employee (in particular regarding the way the work is organized, the tasks that are performed and the premises where they are performed);
 - the result of the work carried out belongs to the beneficiary (unless exceptionally agreed otherwise), and
 - the costs are not significantly different from those for personnel performing similar tasks under an employment contract with the beneficiary.
- ✓ [The costs for personnel seconded by a third party against payment are eligible personnel costs if the conditions in Article 11.1 are met]
- ✓ **Costs of owners of beneficiaries that are small and medium-sized enterprises** ('SME owners'), who are working on the action and who do not receive a salary are eligible personnel costs, if they correspond to the amount per unit set out in Annex 2a multiplied by the number of actual hours worked on the action.
- ✓ **Costs of 'beneficiaries that are natural persons'** not receiving a salary are eligible personnel costs, if they correspond to the amount per unit set out in Annex 2a multiplied by the number of actual hours worked on the action.

What it is not eligible? Cost of persons who work for the beneficiary, but NOT with an employment contract or equivalent appointing act (e.g. staff provided by a temporary work agency, seconded staff, self-employed persons with a direct contract with the beneficiary).

Staff provided by a temporary work agency — A contract with a temporary work agency qualifies typically as a purchase of services (unless the temporary work agency carries out directly some task of the action — in which case it would be considered as subcontracting). Thus, although NOT eligible as personnel costs, the costs can be charged under other budget categories (i.e. D.3 other goods and services or B. subcontracting), if they comply with the eligibility conditions (e.g. best value for money and no conflict of interest; see Articles 10 and 13).

Seconded staff and self-employed persons with a direct contract — can also be declared under other categories within the personnel costs (see below, points 1.2 and 1.3).

Cost is calculated as below indicated:

Actual Personnel Cost = n. of actual hours worked for the project * Hourly rate

Hourly rate = Total annual cost/ Annual productive hours

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

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

- i. ‘fixed number of hours’: 1.720 hours for persons working full time (or corresponding prorated for persons not working full time);
- ii. ‘individual annual productive hours’: the total number of hours worked by the person in the year for the beneficiary, calculated as follows:

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

plus

overtime worked

minus

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

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

Please note

If the contract (or applicable collective labor agreement or national working time legislation) does not allow determining the annual workable hours, this option cannot be used.

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

Please note

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

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

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

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

divided by

{number of annual productive hours / 12}}

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

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

Time spent on parental leave may not be deducted when calculating the hourly rate per month. However, beneficiaries may declare personnel costs incurred in periods of parental leave in proportion to the time the person worked on the action in that financial year. If parts of a basic remuneration are generated over a period longer than a month, the beneficiaries may include only the share which is generated in the month (irrespective of the amount actually paid for that month). Each beneficiary must use only one option (per full financial year or per month) for each full financial year;

For personnel costs declared on the basis of unit costs (i.e. budget categories A.1, A.2, A.4, A.5 [and A.6]): the hourly rate is one of the following:

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

The actual personnel costs may be adjusted by the beneficiary on the basis of budgeted or estimated elements. Those elements must be relevant for calculating the personnel costs, reasonable and correspond to objective and verifiable information; and the hourly rate is calculated using the number of annual productive hours (see above).

Please note

Remember to collect required documentation in order to support the cost amount: employment contract with the person, signed curriculum vitae, appointment letter to attest the work developed within PIMCITY project, timesheets to attest the hours worked for the project (signed by both the employee and a supervisor), proof of payment of the salary to the involved person, etc.

→ The Project Office is available to give additional information

Subcontracts (for specific research tasks, only if forecasted in Annex 1)

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

Subcontracting may cover only a limited part of the action.

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

The tasks to be implemented and the estimated cost for each subcontract must be set out in Annex 1 and the total estimated costs of subcontracting per beneficiary must be set out in Annex 2.

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

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

Please remember:

- Subcontracting may cover only a limited part of the action
- Award of subcontract based on principle of ‘best value for money’ or ‘lowest price’ (if appropriate)
- Subcontracted tasks and cost must be indicated in Annex I and II otherwise they could not be considered eligible
- Subcontracting costs not in Annex I and II could be subject to “soft” approval (if the subcontracts are duly justified in the technical report and they do not entail changes to the Agreement which would call into question the decision awarding the grant or breach the principle of equal treatment of applicants)
- Subcontracting between beneficiaries is NOT allowed
- Coordination tasks of the coordinator (e.g. distribution of funds, review of reports) cannot be subcontracted.

Please note

Remember to add required documentation in order to support the cost amount: please give evidence about the choice of the supplier (cost estimation by different suppliers), respect and give evidence of the *best value for money* condition and the *absence of conflict of interest*. Enclose to the folder the contract with the supplier, the curriculum vitae (if a person), invoices/receipts, report of the supplier to attest the activities performed.

→The Project Office is available to give additional information

Other Direct Costs (for example travel, catering, audit certificate, etc.)

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

Combination with personal travels or travels for other purposes —The costs of a combined travel can be charged to the action — but ONLY up to the cost that would have been incurred if the travel would have been made exclusively for the action AND if:

- it is the usual practice of the beneficiary to pay for such travels(e.g. travels combining professional and personal reasons)
- it has been an actual cost for the beneficiary.

In this case, the beneficiary must keep evidence not only of the actual cost of the flight back, but also of the cost of the flight that the person would have taken if it would have returned directly after the end of the work for the action.

Please note

Remember to add required documentation in order to support the cost amount: motivation for the travel such as agenda of the meeting or program of the conference; we remind that only people part of project staff are allowed to travel.

Please add authorization request signed by the participant and project responsible. Please add documentation related to the event/meeting: minutes or meeting outcomes, along with meeting participants list (if a meeting); paper presented with acknowledgement to PIMCITY project (if conference) or presentation related to the project (slide presentation)->see paragraph 3.5; please add to reimbursement request (signed) all invoices and receipts related to the travel, including boarding passes.

→The Project Office is available to give additional information

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

Please note

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

*(Cost of equipment/(useful life (in months)) * n. of months used for the project * % of usage for the project*

Please remember to add required documentation in order to support the cost amount: please attest the choice of the supplier (cost estimation by different suppliers); remember to collect in a folder the order given to the supplier and invoice paid, item delivery, proof of payment, the direct connection with the project, etc.

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- **The costs of renting or leasing equipment, infrastructure or other assets** (including related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary) are also eligible, if they do not exceed the depreciation costs of similar equipment, infrastructure or assets and do not include any financing fees.
The costs of equipment, infrastructure or other assets contributed in-kind against payment are eligible, if they do not exceed the depreciation costs of similar equipment, infrastructure or assets, do not include any financing fees and if the conditions in Article 11.1 are met.
- **Costs of other goods and services** (including related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary) are eligible, if they are:
(a) purchased specifically for the action and in accordance with Article 10.1.1 or

(b) contributed in kind against payment and in accordance with Article 11.1.

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

Please note

Remember to add required documentation in order to support the cost amount: please attest the choice of the supplier (cost estimation by different suppliers), order given to the supplier and invoice paid, item delivery, proof of payment, the direct connection with the project.

→The Project Office is available to give additional information

Additional information available at the following link:

https://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management_en.htm

Partners' financial records and financial audits

The beneficiaries must — **for a period of 5 (five) years after the payment of the balance** — keep records and other supporting documentation in order to prove the proper implementation of the action and the costs they declare as eligible.

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

They **MUST NOT** be sent to the Coordinator. The Coordinator is interested solely in the amount of man/months spent on individual WPs and the total costs incurred for carrying out the WP activities.

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

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 2 (two) years after the payment of the balance.

They will be formally notified to the coordinator or beneficiary concerned and will be considered to have started on the date of the formal notification.

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

→The Project Office is available to give additional information.