



# GenTORE

## *Genomic management Tools to Optimise Resilience and Efficiency*

Grant agreement n°: 727213

**H2020 - Research and Innovation Action**

### **D8.1**

### ***GenTORE project management (guidelines)***

**Due date:** M1 (June 2017)

**Actual submission date:** M1 (June 2017)

**Project start date:** 1<sup>st</sup> June 2017      **Duration:** 60 months

**Workpackage concerned:** 8

**Concerned workpackage leader:**

INRA (Nicolas Friggens) / Associate WP leader: Pamela Lucas – IT

**Lead Beneficiary:** 10 - IT

**Dissemination level:**

- PU:** Public (must be available on the website)
- CO:** Confidential, only for members of the consortium (including the Commission Services)
- CI:** Classified, as referred to in Commission Decision 2001/844/EC



### **Abstract**

This Management Guidelines is a practical reference guide, a tool intended for the workpackage leaders and for all partners from the GenTORE Project.

It provides guidelines for the management and reporting activities in the project in the aim to ensuring the quality and consistency of project outcomes. It allows partners to have a better understanding of procedures within the GenTORE project.

These Management Guidelines will be regularly updated.

This document has been divided into four sections with additional annexes:

1. Management Structure
  2. Project outcomes and Technical controls
  3. Financial Issues
  4. Communication best practices
- And 5 annexes

The information included in the following document is based on and complying with the following reference documents:

- The GA, Annex I (Description of Action) and Annex II (General Conditions), downloadable from the participant portal.
- The GenTORE Consortium Agreement (CA)
- The Annotated Model Grant Agreement (from June 2017), downloadable from the participant portal and available [here](#).

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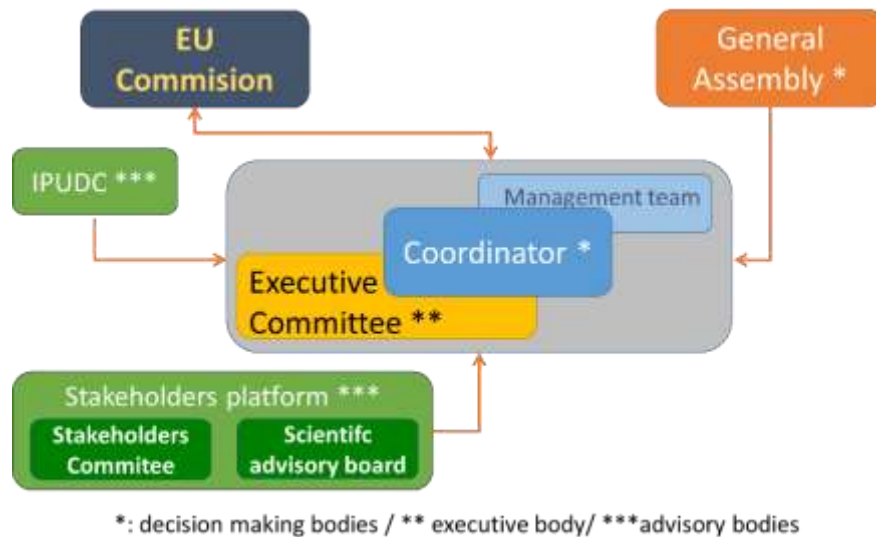
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## Glossary

Agency	Research Executive Agency (also called REA)
CFS	Certificate on Financial Statements
Commission	European Commission
DoA	Description of Action
Ex.Com.	Executive Committee
SP	Stakeholders Platform
SAB	Scientific Advisory Board
IPUDC	Intellectual Property Use and Dissemination Committee
FO	Financial Officer
GA	Grant Agreement
PM	Project Manager
PO	Project Officer
PR	Periodic Report
RP	Reporting Period
WP	Work Package

## 1. Management Structure



INRA is the **Coordinator** of the project and it is represented by Nicolas Friggens. His primary role is to represent the Consortium to the EC, to promote and supervise the overall technical and scientific progress of GenTORE. He will be responsible for (i) chairing the Executive Committee (Ex.Com.) and the General Assembly and taking all actions to enable proper decision-making by these decision bodies; (ii) ensuring operation of the project: work plan maintenance, monitoring project progress, analysing results, problems and consequences for future research; (iii) writing periodic reports on progress of the project, partner activity; (iv) submitting all required progress reports, deliverables and financial statements to the EC; (v) communicating all information in connection with the project to the Commission and (vi) transferring the advance payments and further payments to the participants as per the provisional budget and the actual expenses approved by the General Assembly.

The **Project Manager (PM)** is responsible of the daily management work and handling of the project logistics. Agathe Renard (INRA Transfert) is in charge of the management of the project. Her main tasks are:

- planning prevision, preparation of meeting minutes;
- annual project reports preparation;
- financial administration (monitoring of expenses against budget allocations);
- individual assistance to project partners on specific administrative issues
- internal project communication (including the intranet implementation and maintenance).

The **General Assembly** is the decision-making body of the project. Chaired by the project Coordinator, it is composed of one representative per partner, each having one vote for decision making. The General Assembly will be responsible for the strategic and political orientation of the project, i.e. overall direction of all activities (research, dissemination and management) and re-orientation whenever necessary (budget revision, incorporation of new contractors, measures towards defaulting partners).

To ensure the relevance of the project implementation plan with respect to the project progress, the General Assembly will (i) analyse performance indicators, activity scorecards and all other relevant information provided by the Ex.Com. and (ii) take into account analyses on the evolution of the context in which the project is carried out, notably, scientific, legal, societal and economic aspects.

Meetings of the General Assembly are held once a year, unless the interest of the project requires intermediate meetings. In this case, the GA meetings are held by decision of the Coordinator or by at least 50% of its members. The General Assembly makes decisions upon simple majority with a casting vote for the Coordinator, in the case of equality of votes. The secretariat of the General Assembly is ensured by the Management Team.

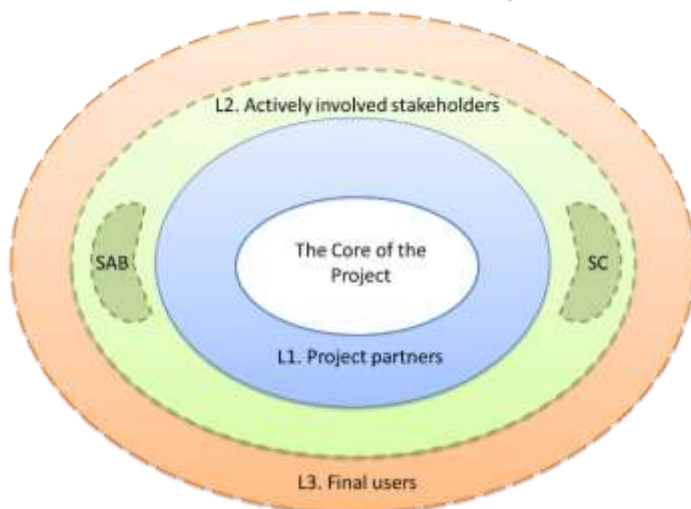
The **Executive Committee (Ex.Com.)** is the decision-implementing body, chaired by the Coordinator. It is made up of WPs leaders and associated WP-leaders. The Ex. Com. will be in charge of the operational management of all activities of the project. It will prepare the decisions to be taken by the General Assembly (description of work, budget and allocation of the contribution, etc.) and ensure that these decisions are properly implemented, integrate recommendations from the Scientific Advisory Board (SAB) part of the Stakeholders Platform (SP). The Ex.Com. will also be in charge of financial management of work packages. It will supervise the work of the Management Team including quality control and preparing meetings with the Commission, including preparation and transmission of deliverables. The executive committee is mainly composed of renowned scientists (WP leaders) and young promising Scientists (associate WP leaders):

WP	WP leaders	Associate WP leaders
WP1	Florian Leiber - FiBL	Simon Moakes - FiBL
WP2	Didier Boichard - INRA	Hélène Leclerc - IDELE
WP3	Roel Veerkamp - DLO	Claudia Kamphuis - DLO
WP4	Mogens Lund - AU	Jan Lassen – AU
WP5	Donagh Berry - Teagasc	Sinead McParland – Teagasc
WP6	Eileen Wall - SRUC	Vera Eory – SRUC
WP7	Miriam van Straten - EFFAB	Cagla Kaya- EFFAB
WP8	Nicolas Friggens, coordinator- INRA	Pamela Lucas - IT

Meetings of the Ex.Com. will be held every second month, unless the interest of the projects require intermediate meetings, usually via Visio conference. The Ex.Com. makes decisions upon simple majority with casting vote for the Coordinator in case of equality of votes. It is also the responsibility of the Ex.Com. to identify and assess risks and provide their contingency plans.

The **Stakeholders Platform (SP)** is an advisory body constituted of a group of persons and organisations representatives that express a stake or view at a certain moment of the project and are willing to share these with the project partners during stakeholder meetings and consultations. They will play a key role in the dissemination and exploitation activities of the project. This group will have a flexible membership and will include representatives from all GenTORE targeted audiences. The platform could be extended with additional stakeholders to have larger round table discussions.

## GenTORE Stakeholders platform



Among the stakeholders platform members there are three degrees of implication. The first level includes partners actively involved in GenTORE WPs. A second level of stakeholders includes those actively involved and consulted, while the third level is constituted by the final users of the project results.

The stakeholders platform includes core groups from the L2, the stakeholders committee (SC) and the scientific advisory board (SAB).

**The Stakeholders committee (SC)** will provide external points of view on the work in GenTORE

to the Executive Committee (Ex.Com) and the general Assembly (GA). It will be used for feedback and input on the project results applicability and exploitation. It will be informed and consulted on a regular basis (every six months at minimum) by the researchers in GenTORE. The stakeholders committee will have the right to review and provide their opinion on the project results before they are submitted and disseminated.

The **Scientific Advisory Board (SAB)** is a consulting committee to the Ex Com to advise about the progress of research WP. The SAB consists of 3 internationally renowned scientists skilled in at least one of the domains covered by GenTORE. The SAB has also a view of current trends and potential innovation aspects of interest to beef and dairy production sector. It is expected to make suggestions to the Ex Com on specific topics that could open new application areas. Meetings of the SAB will be scheduled yearly.

**The Intellectual Property Use and Dissemination Committee (IPUDC)** will advise on the management of knowledge and of intellectual property and of other innovation-related activities arising in the project. Upon request of the ExCom the IPUDC will:

- Assist in identifying knowledge that could be the subject matter of protection, use or dissemination, based on publications and activity reports issued by activity leaders
- Assist the partners in proposing measures in connection with the protection of knowledge and their dissemination
- Advise the ExCom and the concerned partners on the allocation of co-ownership shares over knowledge obtained by several partners. It will propose solutions to the concerned partners in case of co-ownership issues between different partners having different policies and will endeavour to resolve possible conflicts related to intellectual property rights.

IPUDC members will include technology transfer specialists from the partners' organisations. The IPUDC will closely collaborate with the Stakeholder committee (WP7) about the presentation of the project results and tangible outcomes to disseminate.

## 2. Project Outcomes and Technical controls

### 2.1 Deliverables

Deliverables represent verifiable contractual outputs of the project that are submitted officially to the Agency / Commission upon completion.

As deliverables are contractual outputs of the project the below details are also contractual. The EC payment can be conditioned by the timely submission of project deliverables. Project reviewers will thus have the task of evaluating the project deliverables and in providing the Agency / Commission with an evaluation report. It is therefore essential that project deliverables are produced in time and of a high quality to ensure not only that the project runs according to plan but also that we receive the payment!

GenTORE project deliverables are listed according to the workpackage (WP) in which they will be produced in the Description of Action (DoA) and are listed in annex 1 of this document.

In the DoA you can find for each deliverable:

- Deliverable number
- Title
- Lead beneficiary *i.e.* the GenTORE partner responsible for producing the deliverable (deliverable leader)
- Nature of the deliverable:
  - R: document, report
  - DEM: demonstrator, pilot, prototype
  - DEC: website, videos
  - OTHER
- Dissemination level:
  - PU: public
  - CO: confidential, only for members of the consortium (including the Commission Services)
  - CI: classified, as referred to in Commission Decision 2001/844/CE
- Due date for submission to the Agency / Commission (M1 = March 2015 and M48 = February 2019)

**NB** As deliverables are defined in the contract, any changes to these deliverables are subjected to a revised version of the DoA by the Coordinator and the PM to be approved by the Agency / Commission.

Deliverables will be produced in each WP during the project lifetime. The deliverable leader is responsible for defining the exact content of the deliverable and the contribution to be made by each participating partner. He is also responsible for ensuring the timely submission and quality of the deliverable.

**NB** Each partner must be aware of the deliverables to which they must contribute.

Deliverables are most often written reports but can also take another form like prototype, molecular data, protocol setting up, software, etc. Even if the deliverable is not a written report, a written document must be produced and sent to the Agency / Commission outlining the nature of the deliverable.



For example if the deliverable is a piece of software, a report describing the software (its conception, functionalities etc.) must be submitted to the Agency / Commission as the deliverable.

A general process of deliverables production is needed in order to help the WP leaders and deliverable leaders to prepare and deliver GenTORE deliverables in a timely and efficient manner. The deliverable template will be made available by the PM on GenTORE intranet, in the section 'Templates' (Annex 2 of this document)

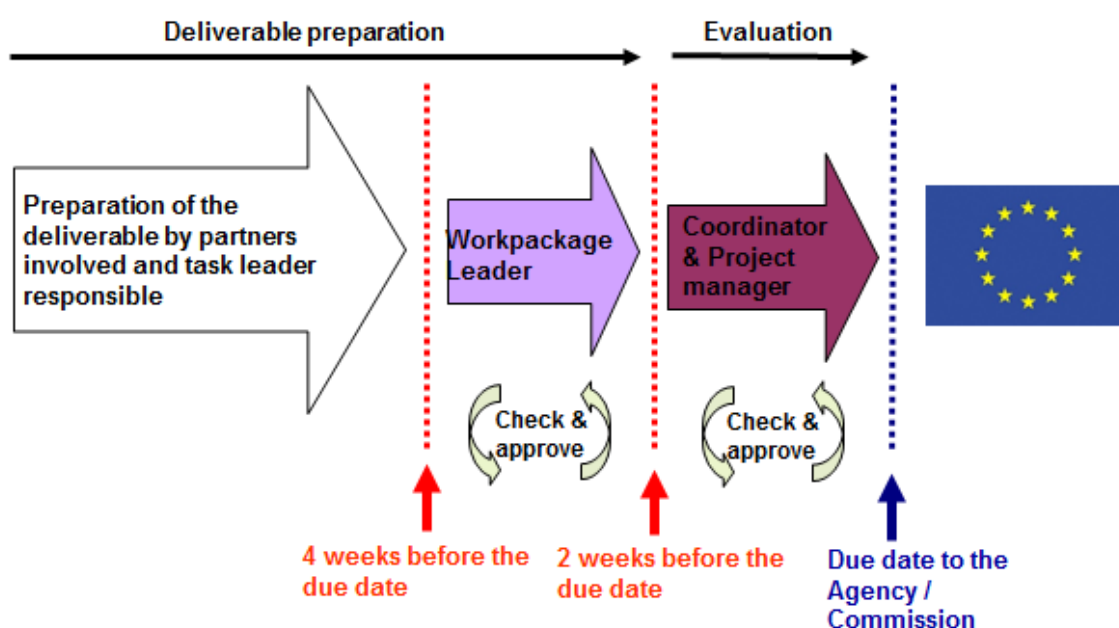
**Step 1** The deliverable leader prepares a plan for the deliverable and circulates the plan to the relevant WP leader, task leader and to all partners contributing to the deliverable. This plan should include a draft table of contents, expected contributions per partner, timing for contributions etc. The deliverable leader writes the deliverable using the deliverable template and includes the contributions of the partners involved in a harmonized fashion (same styles etc). The deliverable leader sends the draft deliverable to the involved partners for their feedback and comments and integrates this feedback thereafter.

**Step 2** The deliverable leader sends the final draft to the WP leader for his feedback and potential modifications. These exchanges may take some time so we advise deliverable leaders to send to the WP Leader the final draft at least 4 weeks before the deliverable due date to the Agency / Commission. The deliverable leader should complete the deliverable check list (Annex 3 of this document) before sending the final draft to the WP leader.

**Step 3** The WP leader sends the final draft of the deliverable to the Project Coordinator and the PM at least 2 weeks before the deliverable due date. The Project Coordinator has 2 weeks to review the deliverable and send back any comments to the WP leader.

**Step 4** The Coordinator submits an electronic copy of the deliverable to the Agency / Commission in due time.

The final version of the deliverable will be made available on the GenTORE intranet and also on the GenTORE website if the dissemination level is public.



**Fig. 1** Deliverables production process



**NB** If a deliverable is delayed, no longer relevant to the initial Description of Action or its content, its leaders or contributors have changed, inform the PM ([agathe.renard@inra.fr](mailto:agathe.renard@inra.fr)) & the Coordinator ([nicolas.friggens@agroparistech.fr](mailto:nicolas.friggens@agroparistech.fr)) as soon as possible, at the latest 1 month before the deliverable due date explaining the reason of deviation and indicating the new due date.

### **NB Role & Responsibilities**

#### **Deliverable leader is responsible for:**

- Producing a deliverable plan including a draft table of contents, expected contributions per partners, timing for contribution, etc.
- Overseeing the quality and nature of the contributions from the deliverable contributors or authors.
- Ensuring that the deliverable is produced in line with the contractual documents (DoA) and is submitted in due time to the WP leader for the evaluation process.

#### **WP leader is responsible for:**

- Defining the deliverables of their WP in consultation with their WP partners and for designating a suitable deliverable leader.
- Overseeing the timely production of the deliverable by the deliverable leader.
- The evaluation of the deliverable submitted in final draft format by the deliverable leader and endorses its quality before submitting it to the Coordination and the European Project Manager (The WP leader is also responsible of the overall content of deliverables of its WP).
- Overseeing any revision to the deliverable further to the evaluation by the European Project Manager.

#### **The PM is responsible for:**

- Providing a deliverable template and guidelines on deliverable submission in the project.
- Following up the production of project deliverables.

#### **The Coordinator is responsible for:**

- Following up the evaluation and endorsement of project deliverables
- Submitting electronically the project deliverables to the Agency / Commission.

## **2.2 Milestones**

A milestone is a critical point of the development of an achievement or product and is a point at which decisions about next steps may have to be made. A milestone is not necessarily a document. It could be a prototype, an intermediary report, or a decision to be taken based on previous results to orientate action during the next period.

The milestones are defined as well as the mean of verification in the Description of Action (DoA) of each workpackage and in Annex 4 of this document.

**NB** The mean of verification of each milestone must be sent by email to the Coordinator and the PM 2 weeks before the due date of the milestone.  
The PM is responsible for putting on the intranet in the appropriate WP folder the information about the milestone.

### 2.3 Project Reporting to the Agency / Commission

The purpose of this part is to provide guidance to assist partners in preparing reports. When the submission tool of the Agency will be available for the submission of periodic reports and financial statements, this section will be consequently updated.

GENTORE is divided into four reporting periods:

- **RP1:** 1<sup>st</sup> June 2017 (M1) to 30 November 2018 (M18) → 18 months report
- **RP2:** 1<sup>st</sup> December 2018 (M19) to 31<sup>st</sup> May 2020 (M36) → 18 months report
- **RP3:** 1<sup>st</sup> June 2020 (M37) to 31<sup>st</sup> May 2021 (M48) → 12 months report
- **RP4:** 1<sup>st</sup> June 2021 (M49) to 31<sup>st</sup> May 2022 (M60) → 12 months

A periodic report is required by the Agency /Commission at the end of each reporting period.

The different reports that are required are the following:

- **M20 (January 2019):** Submission of the 1<sup>st</sup> periodic report covering period M1 to M18
- **M38 (July 2020):** Submission of the 2<sup>nd</sup> periodic report covering period M19 to M36
- **M50 (July 2021):** Submission of the 3<sup>rd</sup> periodic report covering period M37 to M48
- **M62 (July 2022):** Submission of the 4<sup>th</sup> periodic report covering period M49 to M60
- **M62 (July 2022):** Final report covering period M1 to M60

The Project Manager will propose a template for the technical report, which will be filled in by each WP leader together with partners involved in their WP, and a template to prepare the financial statement, which will be filled in by each partner.

#### 2.3.1 Periodic Technical Report

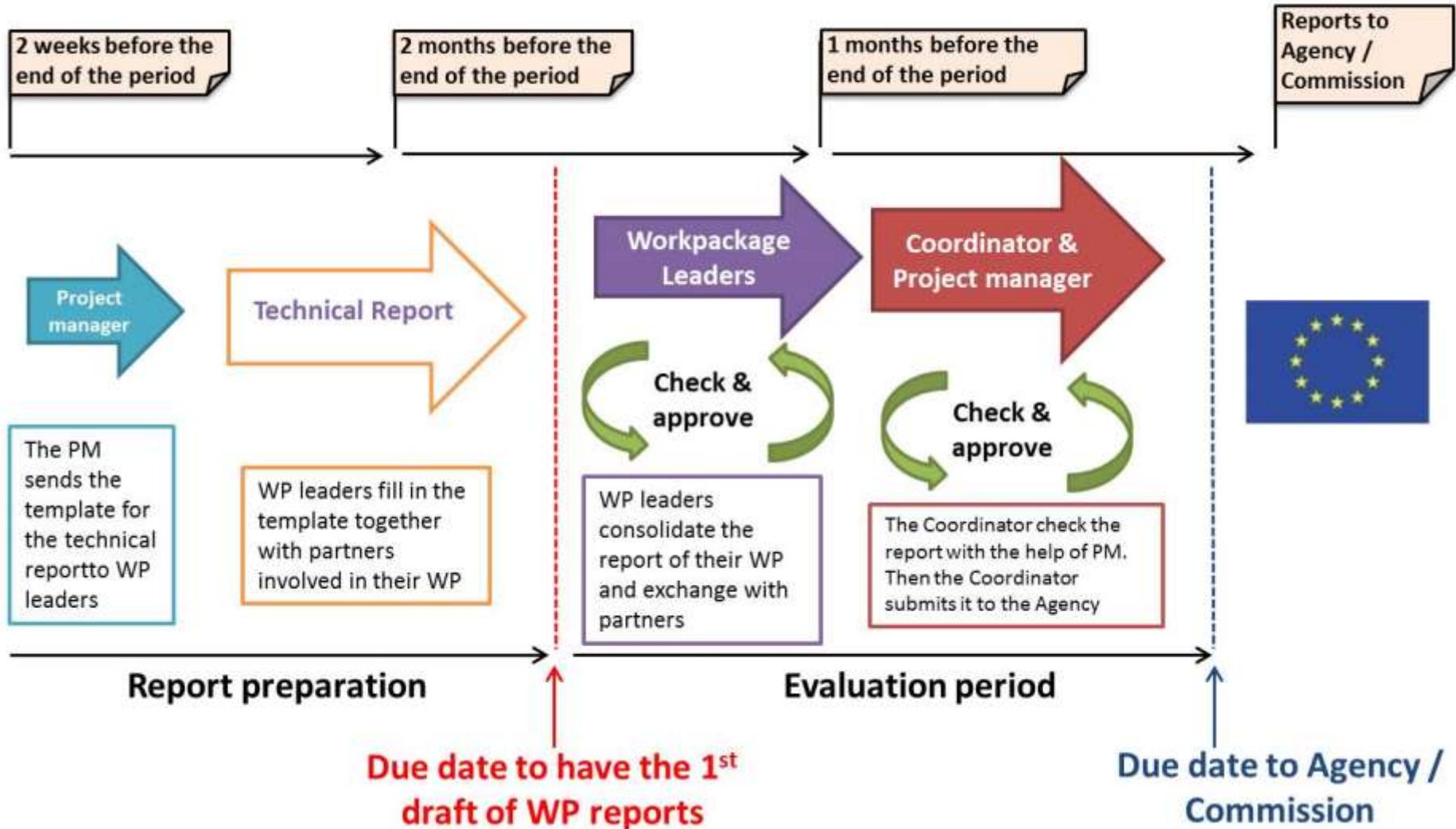
The technical report contains an overview of the activities carried out during the reporting period and describes the progress in relation to the project objectives, the progress towards the milestones and the deliverables set for the period. Any observed or foreseeable problems and corrective actions, taken or to be taken, must to be described in this report.

It will be compiled by the coordinator and the beneficiaries (WP leaders & partners involved in each WP). Once validated, it will be submitted on-line through the Agency / Commission portal by the Coordinator.

It will consist of:

- An explanation of the work carried out by the partners;
- An overview of the progress towards the objectives of the action, including milestones and deliverables identified in Annex 1. This report must include explanations justifying the differences between work expected to be carried out in accordance with Annex 1 and that actually carried out. The report must also detail the exploitation and dissemination of the results and — if required — an updated 'plan for the exploitation and dissemination of the results';
- A summary for publication by the Agency / Commission;
- The answers to the 'questionnaire', covering issues related to the action implementation and the economic and societal impact, notably in the context of the Horizon 2020 key performance indicators and the Horizon 2020 monitoring requirements;

A procedure is needed to ensure the submission on time of the technical report (figure 2).





**Fig. 2** Procedure for production and submission of the technical report

### **NB Tips to make a good report**

- Check the content of the report:
- Check reality of the work performed against the DoA → **explain & justify changes**
- Be coherent with the work done and the explanations in the use of resources (description of deliverables, tasks & persons performing within the time)
- Write your use of resources based on the invoices
- Reflect the use of resources in describing the work in the report

### **2.3.2 Periodic Financial report**

The periodic financial report will contain:

- Individual financial statement from each beneficiary, for the reporting period concerned. The individual financial statement must detail the eligible costs for each budget category. The beneficiaries must declare all eligible costs. Amounts which are not declared in the individual financial statement will not be taken into account by the Agency. The individual financial statements of the last reporting period must also detail the receipts of the action (see Article 5.3.3 of GA).

Each beneficiary must certify that:

- the information provided is full, reliable and true;
  - the costs declared are eligible (see Article 6 of GA);
  - the costs can be substantiated by adequate records and supporting documentation that will be produced upon request or in the context of checks, reviews, audits and investigations, and
  - for the last reporting period: that all the receipts have been declared;
- An explanation of the use of resources and the information on subcontracting and in-kind contributions provided by third parties from each beneficiary, for the reporting period concerned;
  - A 'periodic summary financial statement', created automatically by the electronic submission system, consolidating the individual financial statements for the reporting period concerned and including — except for the last reporting period — the request for interim payment.

A procedure is needed to ensure the submission on time of the financial report and to ensure the internal follow-up of the use of resources (figure 3).

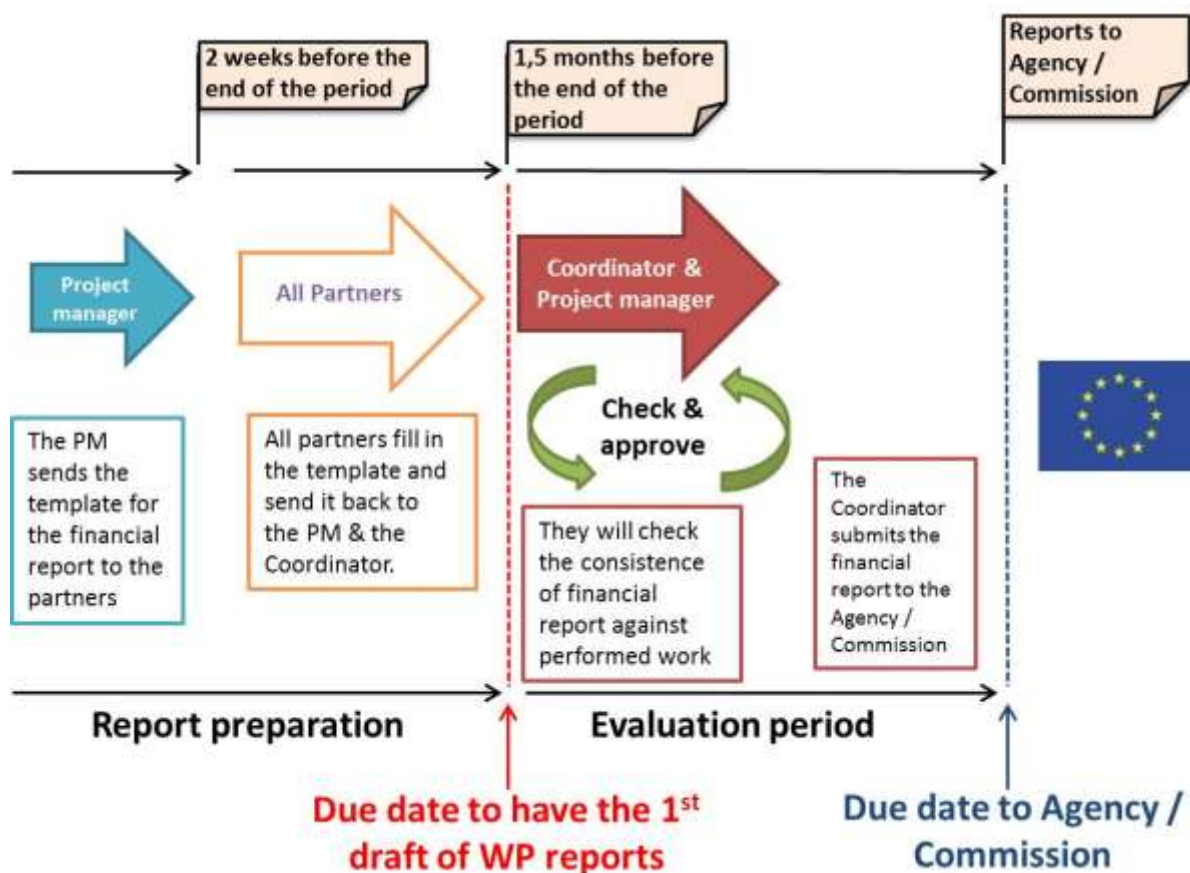


Fig. 3 Procedure for the production and submission of periodic financial report

### NB Tips to avoid errors when claiming costs

Costs are eligible if they are:

- Actually incurred by the beneficiary
- Incurred during the action
- Connected to the action
- Identifiable and verifiable (accounting)
- In compliance with national law
- Reasonable, financially sound

So:

- Be transparent
- Treat all costs as you usually do in your business practice
- Check for exceptions beforehand (inform the coordinator and the PO who will be in contact with PO, FO)
- Record hours devoted to the project and keep trace of expenses linked to the project

### NB Periodic single submission & single rejection

The Agency / Commission require that the Coordinator submits the technical and financial report as "**single package**".

If a beneficiary does not include its financial statement in a periodic report the costs will be considered '**zero**'. However the beneficiary can declare its costs in the next reporting period, **If one document requires changes or corrections the full package is rejected: SINGLE SUBMISSION**

### 2.3.3 Final Report

The Final report is to be submitted at the same time as the last periodic technical report. The final report is a publishable document summarizing the project activities for the full duration of the project. It is aimed at the general interested reader so should not be too technical. The overview report will be mainly drafted by the Coordinator, the WP leaders and the PM with the help of partners where required.

It will consist of final summary for publication and certificates on the financial statements (CFS) (if necessary).

### 2.3.4 Project Reviews

During the whole duration of the project, four reviews will be performed by the Agency / Commission:

- **1<sup>st</sup> Project Review:** it will be organised at M21 (February 2019), probably in Brussels. In order to optimise the use of resources, the review will be organised at the same time of the Ex.Com. meeting.
- **2<sup>nd</sup> Project Review:** it will be organised at M39 (August 2020), the place and the modality (physical or virtual meeting) will be defined later on together with the PO.
- **3<sup>rd</sup> Project Review:** it will be organised at M51 (August 2021), the place and the modality (physical or virtual meeting) will be defined later on together with the PO.
- **4<sup>th</sup> Project Review:** it will be organised at M63 (August 2022), the place and the modality (physical or virtual meeting) will be defined later on together with the PO.

The organisation of project reviews should be further discussed and organised with the PO according to the advancement of the project, the periodic reports submission and the project meetings.

The Agency may seek an opinion of expert(s), who will be involved in the review. Anyway, it is REA who decides if reports are accepted or not. The Coordinator is informed in advance about the name of the expert in order to avoid conflict of interest. Reviews meetings will be organised 60 days after the end of the period. **For this reason, it is very important to submit the project reports on time as they will be sent to the expert(s) for the project evaluation.**



### 3. Financial Issues

Under H2020, several changes concerning the financial issues were introduced:

- Electronic submission of periodic/final reports, amendments
- Reduced number of cost categories, reimbursement rates, indirect costs type
- Shorter delay for financial audit after the final payment

#### 3.1 Cost of the project

The purpose of this section is to summarize how cost claims are made and how claims will be verified by the Agency / Commission. In order to be considered for reimbursement, costs incurred by the beneficiaries in the course of the project must satisfy the eligibility criteria laid down by the Grant Agreement.

##### 3.1.1 Eligible costs

- Actually incurred by the beneficiary
- Incurred during the action
- Connected to the action
- Identifiable and verifiable (accounting)
- In compliance with national law
- Reasonable, financially sound

##### 3.1.2 Non-eligible costs

- Identifiable taxes and duties
- Deductible VAT
- Interest owed
- Provisions for possible future losses/charges
- Exchange losses
- Bank charges
- Excessive or reckless expenditure
- Costs reimbursed in respect of any other EU project

#### **NB Tips**

1. Discuss in advance with the Coordinator and the PM any doubt about eligibility
2. Non-deductible VAT is an eligible cost (new!)
3. Please, keep in mind that in your invoice the name of the project should be indicated (for example in an invoice for renting meeting rooms, it is important that the date, the name of the meeting and the name of the project are indicated).

### 3.2 Expense categories for eligible costs

#### 3.2.1 Direct costs

##### Personnel costs

- Personnel costs (eligible if they are related to personnel working for the beneficiary under an employment contract (or equivalent appointing act) and assigned to the action. They must be limited to salaries (including during parental leave), social security contributions, taxes and other costs included in the remuneration, if they arise from national law or the employment contract (or equivalent appointing act)).
- The costs for natural persons working under a direct contract with the beneficiary other than an employment contract are eligible personnel costs, if:

- the person works under the beneficiary's instructions and, unless otherwise agreed with the beneficiary, on the beneficiary's premises;
  - the result of the work carried out belongs to the beneficiary, and
  - the costs are not significantly different from those for personnel performing similar tasks under an employment contract with the beneficiary.
- The costs of personnel seconded by a third party against payment are eligible personnel costs, if the conditions in Article 11 of GA are met.
  - The number of actual hours declared for a person must be identifiable and verifiable.

#### Direct costs of subcontracting

They are eligible if the tasks to be implemented and the estimated cost for each subcontract is set out in the DoA and the total estimated costs of subcontracting per beneficiary are set out in the budget. 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.

If a beneficiary needs to subcontract tasks and it was not planned in the DoA, he will have to inform the Coordinator and the PO who will take care to check with the PO if an amendment is needed or not. **Subcontracting costs which were not foreseen in the DoA are not eligible.**

#### Other direct costs

This category includes:

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

#### **3.2.2 Indirect costs**

Indirect costs are eligible if they are declared on the basis of the flat-rate of 25% of the eligible direct costs, from which are excluded:

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

### 3.3 Budget transfer

During the whole duration of the project, budget transfers could be done (if needed and if the conditions are acceptable). Please, refer to the table below and to the figure 4.

**Table 1:** Budget transfers

Budget transfers and re-allocation	Amendment needed?
From one beneficiary to another	NO
From one budget category to another	NO
Re-allocation of Annex 1 tasks	YES
Transfers between forms of costs (actual costs, unit costs, etc.)	YES if no budget was foreseen for the "form" receiving the transfer
New subcontracts	YES (strongly advised)

Estimated eligible* costs (per budget category)							
Form of costs****	A. Direct personnel costs				B. Direct costs of subcontracting	[C. Direct costs of fin. support]	D. Other direct costs
	A.1 Personnel		A.4 SME owners without salary				D.1 Travel
	A.2 Natural persons under direct contract		A.5 Beneficiaries that are natural persons without salary				D.2 Equipment
	A.3 Seconded persons [A.6 Personnel for providing access to research infrastructure]						D.3 Other goods and services D.4 Costs of large research infrastructure
	Actual	Unit ①	Unit ② XX EUR/hour		Actual	Actual	Actual
	(a)	Total (b)	No hours	Total (c)	(d)	(e)	(f)
Beneficiary 1	500.000	0	100	3.213	150.000	0	325.000
Beneficiary 2	0	300.000	0	0	0	0	125.000

**Fig. 4:** Budget transfers allowed

**NB** If the change is significant an amendment to the GA is needed. Each time you need to operate a budget transfer, please inform the Coordinator and the PO. They will take care of contacting the Agency / Commission in order to discuss the typology and impact of change.



### 3.4 EC contribution

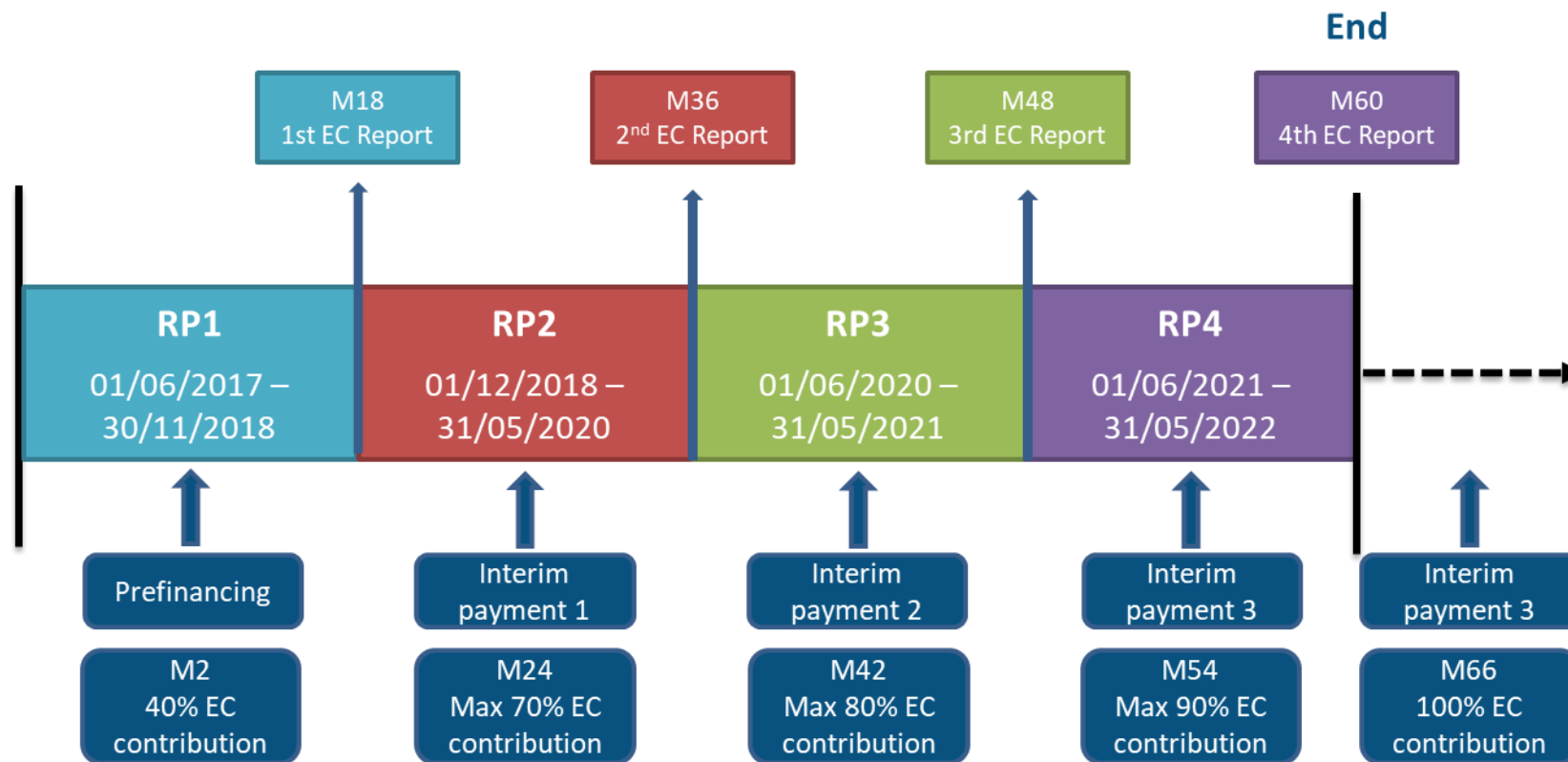
The grant reimburses 100% of the action's eligible costs.

#### 3.4.1 Payments schedule

Each partner's budget is described in the DoA and has been accepted by each partner through the signature of the GA.

The Agency / Commission will transfer to the Coordinator 5 payments (figure 5):

- **Pre-financing**, paid by the Agency after the signature of the GA. The payment was fixed by the Agency and was equal to 40% of the total EC grant. The pre-financing includes the Guarantee Fund (5% of the total EC grant), which was retained by the Agency and will be released at the end of the project. So the real pre-financing payment received by each partner is equal to 35% of the overall EC contribution.
- **3 Interim Payments** will be paid by the Agency maximum 90 days after receipt of periodic report (or additional information or explications, if requested). The sum of received interim payment and pre-financing will not exceed the 85% of the EU grant of each partner.
- **Final Payment** will be made after the approval of the last periodic report and of the final report. It will be equal to the amount of project accepted EU grant claimed by the partner – amount of payments already paid (pre-financing and interim payments).



**Fig. 5** Schedule Payments, Reporting Periods and Project Reviews

### 3.5 Certificate on Financial Statements

Some beneficiaries/linked third parties must submit a certificate on the financial statement (CFS). Such a certificate is needed if the beneficiary/linked third party requests a total financial contribution of 325 000 € (or more) as reimbursement for actual costs and personnel costs declared on the basis of unit costs calculated according to its usual accounting practices (*i.e.* 'average personnel costs').

This means that costs based on lump sums, flat-rates (*e.g.* indirect costs) or unit costs (other than those for personnel costs calculated according to the beneficiary's usual cost accounting practices) are not counted for the 325 000 € threshold (and do not need to be covered by the certificate).

#### Example:

A is a beneficiary in a H2020 action which declared the following total eligible costs for the action:

- average personnel costs = 250 000 €
- subcontracting costs = 40 000 €
- depreciation costs of equipment used to carry out the action = 60 000 €
- indirect costs (25% flat rate) = 77 500 €
- total eligible costs claimed by A = 427 500 €

The reimbursement rate is 100%.

As the amount of eligible actual costs and average personnel costs incurred by A (and hence the corresponding EU contribution) is higher than 325 000 €, A must submit a CFS for the following costs:

#### Type of cost

- Direct personnel costs: 250 000 €
- Subcontracting costs: 40 000 €
- Other direct costs: 60 000€
- Indirect costs: 0 €
- Total costs covered by the CFS: 350 000 €

If a certificate is required, all costs declared as actual costs or average personnel costs must be covered by the certificate. Incomplete certificates will be returned for correction.

Linked third parties must submit a certificate if it (on its own, without its beneficiary) reaches the EUR 325 000 threshold.

Certificates submitted before the 325 000 € threshold is reached will be rejected by the Commission/Agency.

Beneficiaries/linked third parties may submit either one certificate per reporting period or a single CFS for the whole action.

In both cases, the certificate may only be submitted with the final financial report. The Commission/Agency will not accept certificates submitted at any other moment (and costs incurred for those certificates will not be considered eligible, because not necessary).

The certificate must be issued by an external auditor, using the template in Annex 5 of the GA. Only qualified auditors may issue a certificate. 'Qualified' means qualified in accordance with national legislation implementing Directive 2006/43/EC43 (or any EU legislation that replaces this Directive). The auditor must certify that the costs declared in the financial statement are accurately recorded in the beneficiary's accounting system and eligible and that all receipts have been declared. If the auditor cannot confirm (for any reason), s/he must



explain this in detail in the certificate. The Commission/Agency will consider the explanation in light of the facts provided by the auditor, and decide on steps to take.

Specific cases (certificates on the financial statements):

For **public bodies**, the certificate may be issued by an independent public officer with formal competence to audit the beneficiary/linked third party (instead of by an external auditor).

For **international organisations**, it can be an internal or external auditor that is appointed in accordance with the internal financial regulations and procedures of the organisation.

### 3.6 Audit

The Commission/Agency may — **at any moment and up until 2 years after the final payment** — carry out an audit.

Audits are based on the financial statements submitted by the beneficiary, the extension of audit findings is mandatory.

## 4. Communication best practices

### 4.1 How to organise project meeting (e.g. WP meetings, workshops)

The meetings should be prepared and organized in order to optimize the time of the participants and the outcomes of the meetings. Thus, we advise you to follow the following steps for meeting preparation.

#### 4.1.1 Preparation before the meeting

##### Objectives

- Define the overall objectives of the meeting.
- Identify the type of meeting: for instance, it could be an informal meeting to solve a specific issue or a formal meeting with physical persons with a list of decisions to be taken and minutes to be provided.

##### People concerned

- Make out the list of primary participants to be invited.
- Make out the list of other people to be invited, e.g. experts

##### Date and venue

- Make sure that most – at least required quorum when necessary – of the primary participants can attend the meeting. You can use on line tools such as <http://www.doodle.com/> to gather participants availability and preferred dates.
- Choose a location in order that most – at least required quorum – of the primary participants can easily get to the meeting *i.e.* near an international airport.
- In case of phone or video conference, provide phone numbers and national timing of calls.

#### 4.1.2 Actions to be taken to prepare the meeting

- Specify the operational objectives of the meeting.
- Appoint a chairperson, a secretariat, and a person in charge of drafting the minutes.
- Ensure appropriate logistics (rooms, information technology, speakers' presentations, etc.).
- Draw up the first draft agenda and be sure to include:
  - Location, date and time
  - Meeting chair and secretariat
  - Addressed topics and timing per issue
  - Presenters and contributors
  - Breaks and social events
  - Any related documents
  - If you would like to organise parallel workshops or discussion groups, please define their organise before:
    - Inform the person who is organising the meeting (for example the PO in case of annual meeting), in order that s/he will check the availability of additional meeting rooms.
    - Appoint a chairperson before the meeting so s/he will be able to better plan the workshop and animate the discussion.
    - Appoint a secretary in charge of the minute of the workshop
    - If possible, already list partners attending the different workshops.





- Send the agenda to all participants one month in advance to inform partners and if necessary subsequent drafts
- Send details of accommodation (local hotels where possible with preferential rates), transport options and an access plan to all participants when sending the agenda.
- Make sure that presenters send their presentations in advance if possible.

#### 4.1.3 During the meeting

- Keep to the timing in the agenda as far as possible.
- Make sure all issues have been covered and an action list drawn up.
- Make sure all participants contribute to the meeting by soliciting their opinions etc.
- Agree on next steps (actions) and main conclusions before the end of the meeting.
- Get copies of all presentations & hand out material and make it available to all (online) after the meeting.
- Include small group discussions (workshops) and reporting back where appropriate.

#### 4.1.4 After the meeting

- Draft the minutes and action list.
- Send in due time a draft of the minutes and actions to all participants for validation by project members
- Send in due time the official minutes and actions to all participants.
- Post the official minutes and related presentations in the intranet in the relevant folder.

#### 4.1.5 Financial issues

The partner in charge of the meeting organization will finance the rent of the conference rooms and coffee breaks and each partner has to pay for its hotel room, its own travel (taxi, flight and train) and meals unless agreed otherwise.

#### 4.2 Communication between partners

Communication and its traceability are very important particularly in view of the number and large geographical distribution of the partners.

**NB** it is important to remind to all partners that it is very important to communicate as soon as possible any foreseeable delay in project work and outcomes to the WP leader, Coordinator and to the Project Manager.

#### 4.2.1 Document traceability

During the project, numerous documents will be created and modified by partner. That's why it is important to have a good traceability of any document.

For this purpose, a nomenclature has been defined for GenTORE. Each document must be named as follows:

GenTORE – WPx (or Dx.x or MLx) – document title – name of the creator – version n° - date (ddmmyyy)

If you have to modify a document, please active the track changes and rename the document by adding your name at the end.

Example:

GenTORE – GA n° 727213  
D8.1 – GenTORE project management (guidelines)

- Agathe Renard creates the WP8 deliverable 1 “GenTORE project management” the 15 June 2017. So the name of the document will be:  
“GenTORE – D8.1. – GenTORE project management – AR – v0 – 15062017”
- Nicolas Friggens modifies this document. So its name is now:  
“GenTORE – D8.1. – GenTORE project management – NF – v0.1 – 15062017”
- Agathe Renard updates this document with comments received and validated the 20 June 2017. The new name of the document is now:  
“GenTORE – D8.1 – GenTORE project management – AR – vf – 20062017”

**NB** it is important to respect this nomenclature especially for deliverable, milestones and reports to the Agency / Commission in order to allow the follow up of any contractual documents.

#### 4.2.2 Mailing List

A GenTORE mailing list will be created in order to facilitate communication in the consortium. This mailing list enables you to send a message to all GenTORE partners.

Its aim is to send important information concerning all partners.

You should be careful what you send through it and wonder if they all are going to be interested in what you have to say.

So please, use it sparingly.

If you need to include a new member in the GenTORE mailing list, contact the PM ([agathe.renard@inra.fr](mailto:agathe.renard@inra.fr)), and justify your request by giving the name and role of the new member.

#### 4.2.3 GenTORE intranet

The project intranet (collaborative workspace) is under construction and will be accessible through the GenTORE website ([www.gentore.eu](http://www.gentore.eu)).

This internal website is a secured intranet on the web where all partners can share information and documents:

- scientific documents
- administrative documents
- time sheets
- financial documents

This platform is intended to enable collaboration between the different partners at all levels: workpackages, Executive Committee, etc. and to trace document delivery. It should also be used as a central storage system of the project.

Its functions include scientific, administrative and financial information exchange and archiving. It will also be used to monitor the projects through appropriate tools to be developed.

This Collaborative Workspace is secured by password and only authorized people can access this site.

As soon as the GenTORE intranet will be finalised, each participant will be invited to access it through a login together with guidelines on its use.

#### **NB Obligations of the partners:**

- Not sharing the login/password

- Asking for new access only to authorized people working for the partner
- Providing information in advance on any withdrawal of persons working for a partner (e.g. temporary employees)

#### 4.2.4 Yearly Roadmaps

Yearly roadmaps (see Annex 5 of this document) were put in place to improve the visibility of tasks and actions as well as ensure a smooth running of the work plan. These roadmaps are a useful tool for WP leaders, task leaders and all partners to keep a good insight of the work to be performed in the upcoming year.

### 4.3. External communication

#### 4.3.1. GenTORE dissemination plan

The external communication will provide information on GenTORE research in order to share, assess and disseminate GenTORE data and results.

A specific workpackage (WP7) is in charge of the dissemination, which plan is the release and update of the project website, the development of a YouTube channel, the organisation of events, round tables, workshops, training courses and international symposia to allow the dissemination of the project's outcomes and best practices.

**All deliverables and all documents with public dissemination level have to be put on the website.**

#### 4.3.2. GenTORE Stakeholder platform

A web-based stakeholder platform will be created to provide an easy-to-use forum for stakeholders (all levels) to interact with the project. In addition, this platform will provide easy access point for potential new stakeholders to join.

The platform will play a key role in the dissemination and exploitation activities of the GenTORE and will provide external points of view on the work of the project. The platform will also facilitate project interaction with the different stakeholder levels.

#### 4.3.3. Procedure for results dissemination

This section will be further described in the 'Outreach and dissemination plan' in the framework of WP7.

During the Project and for a period of 1 year after the end of the Project, the dissemination of results is governed by the procedure of Article 29.1 of the Grant Agreement.

Any publication or communication (presentation, seminars, conference) by one beneficiary, in connection with the project or with the background, is required to be submitted to the Coordinator and to the other beneficiaries. A beneficiary cannot publish Foreground or Background of another beneficiary, without the other beneficiary's prior written approval.

How to proceed?

1. Prior notice of any planned publication shall be given, including copy of the proposed publication, to the other Parties at least 30 calendar days before the publication or 15 calendar days before a poster presentation or an oral disclosure.
2. Any objection to the planned publication or communication shall be made in accordance with the Grant Agreement in writing to the Coordinator and to the Party or Parties proposing



the dissemination within 25 calendar days after receipt of the notice in case of publication and 10 days in case of oral communication or poster.

3. If no objection is made within the time limit stated above, the publication or communication is permitted.

**NB** Please keep in mind that any communication / dissemination activity related to the action and any results (in any form, including electronic) must:

- Display the EU emblem (downloadable [here](#)) and
- Include the following text:

***“This project has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 727213”.***

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





## Annex 2 – Deliverables Template



# GenTORE

## *Genomic management Tools to Optimise Resilience and Efficiency*

Grant agreement n°: 727213

H2020 - Research and Innovation Action

<b>Deliverable number</b> <b><i>Deliverable title</i></b>
--

**Due date:** MXX (Month Year)

**Actual submission date:** MXX (Month Year)

**Project start date:** 1<sup>st</sup> June 2017      **Duration:** 60 months

**Workpackage concerned:** WPX

**Concerned workpackage leader:** XXX

**Lead Beneficiary:** XXX

**Dissemination level:**

- PU: Public (must be available on the website)
- CO: Confidential, only for members of the consortium (including the Commission Services)
- CI: Classified, as referred to in Commission Decision 2001/844/EC

GenTORE – GA n° 727213  
DXX – Deliverable title

### Annex 3 – Deliverable Check list

## GenTORE Deliverable Check List

	Check list	√	Comments
<b>BEFORE</b>	I have checked the due date and have planned completion in due time		<i>Please inform WPx team of any foreseen delays</i>
	The title corresponds to the title in the DoA		<i>If not please inform WPx team with justification</i>
	The contents corresponds to the description in the DoA		<i>If not please inform WPx team with justification</i>
	The dissemination level corresponds to that indicated in the DoA		<i>If not please inform WPx team with justification</i>
	The contributors (authors) correspond to those indicated in the DoA		<i>If not please inform WPx team with justification</i>
	The Table of Contents has been validated with the WP Leader		<i>Please validate the ToC with the WP leader before drafting the deliverable</i>
	I am using the GenTORE deliverable template (title page, styles etc)		<i>Can be found under templates on the collaborative workspace</i>
<b>AFTER</b>	The deliverable has been reviewed by all contributors (authors)		<i>Make sure all contributors have reviewed and approved the final version of the deliverable. You should leave sufficient time for this validation.</i>
	I have done a spell check and had the English verified		<i>Ask a colleague with a good level of English to review the language of the text and do a spell-check too.</i>
	I have sent the final version to the WP Leader for approval		<i>Please send the final validated draft to the WP leader and leave time for feedback and final changes before the due date. Once the WP leader validates the draft it will be sent to the Coordinator for validation and then to the EC.</i>





## Annex 5 – Yearly Roadmap Template

GenTORE

Year X

Work Package: **X**

<b>Title:</b>
<b>1. Project aims in year X (DD/MM/YYYY - DD/MM/YYYY):</b>  XX XX
<b>2. Tasks:</b>  a. XX (responsible). b. XX (responsible). c. XX (responsible) .....
<b>3. Timeplan:</b>  a1. DD/MM/YYYY specific task (responsible).  b1. DD/MM/YYYY specific task (responsible). b2. DD/MM/YYYY specific task (responsible). b3. DD/MM/YYYY specific task (responsible).  c1. ....
<b>4. Expected results:</b>  XX  XX
<b>5. Critical factors:</b>  - The availability of &&. <ul style="list-style-type: none"> <li>- The sensitivity of the models to &amp;&amp;.</li> <li>- Uncertainty of over accuracy at &amp;&amp;.</li> </ul>
<b>7. Responsibilities:</b>  XX is responsible for &&. <ul style="list-style-type: none"> <li>XX is responsible for the &amp;&amp;</li> </ul>