

Deliverable Report

# D1.1 Project Management Handbook



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## List of Abbreviations

Abbreviation	Description
CA	Consortium Agreement
CFS	Certificate on the Financial Statements
DoA	Description of Action
EB	Exploitation Board
EC	European Commission
GA	Grant Agreement
KPI	Key Performance Indicator
MoM	Minutes of Meetings
RP	Reporting Period
TC	Technical Committee
WP	Work Package

# 1. Executive Summary

Deliverable D1.1 – Project Management Handbook is a document of internal use within the I-HEROS project, designated as “public” regarding the dissemination level, and which purpose is to provide a quick overview concerning the most relevant managerial aspects of the project. This deliverable is alive and will be modified according to the project needs.

## 2. Introduction

### 2.1. Purpose

The aim of the I-HEROS Project Management Handbook is to give a quick overview of the most relevant managerial aspects of the project, setting the rules and responsibilities of the partners aimed at ensuring a good quality and progress of the work.

This document summarises all the required knowledge for the good management of the project and contains all information related to the management strategy, structure of the consortium, reporting issues, templates to be used, publication procedures, etc. Furthermore, the purpose of this guide is to clarify legal and financial aspects of the Grant Agreement (GA) and Consortium Agreement (CA) that may need further clarifications to beneficiaries.

This guide is alive and can be modified according to the project needs. This document will be updated continuously through the lifecycle of the I-HEROS project extending the information given, including relevant issues and changes in the project or procedures. Each time the document is updated, all partners will be duly informed about the updates and the changes made with respect to the previous version.

### 2.2. Relation to Other Project Documents

In the event of discrepancy between documents, this Management Handbook is overruled by the GA including its Annexes and the CA with its possible addendums.

## 3. Project Basis

### 3.1. Participants

The list of Project Beneficiaries is included in the Grant Agreement, in the Consortium Agreement, and presented in the next list:

N°	Participant organisation name	Short name	Country
1	Toulouse Métropole	TM	France
2	Institut National des Sciences Appliquées de Toulouse	INSA	France
3	Gaz Réseau Distribution de France	GRDF	France
4	Association Départementale pour l'Information sur le Logement en Haute Garonne	ADIL	France
5	Agence Parisienne du Climat	APC	France
6	Solagro	SOL	France
7	Caisse des Dépôts et Consignations	CDC	France
8	Zentrum für Energie, Bauen, Architektur und Umwelt	ZEBAU	Germany

A contact list per organisation will be available on the I-HEROS web repository provided by TM.

New contacts or changes/corrections to the contacts should be sent to [nans.marot@toulouse-metropole.fr](mailto:nans.marot@toulouse-metropole.fr) and/or [ccatalina@zabala.fr](mailto:ccatalina@zabala.fr) in order to keep the contact details of the beneficiaries involved updated.

### 3.2. Project duration, budget and EC Contribution

The effective start of the project is 01.09.2020, and the project ends 36 months later, on 31.08.2023.

The project has an overall budget of 1 499 663.75 €, of which a maximum of 1 499 663.75 € shall be financed by the European Commission (EC).

The budget detailed per beneficiary and the corresponding EU contribution of each beneficiary is detailed in the Annex 1 of the Grant Agreement – Description of Action (DoA). In addition, Annex 2 - Estimated Budget of the action - also details cost activities.

The EC contribution to each of the beneficiaries is a maximum contribution conditioned to the acceptance by the EC of expenses up to the budget of the partner (this means that if a partner



spends less than what it is shown in its approved budget -or the Commission does not accept all its costs-, it will receive only a proportional part of the EC contribution).

### 3.3. Contractual documents

The reference documents for the project Consortium members, which define the tasks, rights and obligations of the partners are the GA (including its annexes) and the CA (including its addendums if any). Both documents will be accessible through the I-HEROS web repository.

#### 3.3.1 Grant Agreement

##### 3.3.1.1 Documents comprising the Grant Agreement

1. Grant Agreement with the EC: Grant Agreement No. 875629. This is the contractual document signed by all the project partners which defines the rights and obligations of the Consortium regarding the EC. The GA includes the following annexes:
2. Annex 1 Description of the action (DoA): This is the contractual document which describes the work to be performed by the project Consortium.
3. Annex 2 Estimated budget for the action
4. Annex 3 Accession Form: This is the form signed by all partners and the coordinator to access the Grant Agreement, as identified in Article 56.1 of the GA.
5. Annex 4 Model for the financial statements. To be used for the periodic financial reporting to the EC.
6. Annex 5 Model for the certificate on the financial statements (CFS): Required whenever the total expenses of a partner is EUR 325,000 or more.
7. Annex 6 Model for the certificate on the methodology: This document sets out the 'Terms of Reference' for an audit engagement for a methodology certificate in connection with one or more grant agreements financed under the Horizon 2020.

The project GA will be available for all partners in the I-HEROS web repository.

##### 3.3.1.2 Grant Agreement Amendments

An amendment to a GA is a legal act modifying the commitments stated in the GA and which may create new rights or impose new obligations on the parties. It allows the Consortium to modify the GA during the project lifetime.

A Grant Agreement amendment can be requested either by the EC to the consortium or by the consortium to the EC. The amendment becomes effective through an exchange of letters:

- Case 1: the consortium formulates the amendment to the EC: a letter-request from the coordinator on behalf of the consortium.

- Case 2: the amendment is formulated by the EC to the consortium: a letter of acceptance of the amendment (the coordinator on behalf of the consortium).

Amendments can only be done by the project coordinator who, after launching the amendment request, and once all the amendment data is completed, signs electronically the request. The procedure for requesting an amendment is described with further detail in the section 9.1.3.

Any project amendment submitted by the consortium is subjected to official acceptance by the EC. Any substantial modification to the content of Annex 1 (DoA), as well to the administrative information of the project (related to project partners, project budget, etc.) needs the official acceptance of the EC through an amendment process.

The project coordination team strongly recommends contacting the project coordinator with any issue that might be the subject of an amendment.

For more detailed information about Project Changes (amendments to the GA), see Section 9.1.

At the time being, no amendments to the GA have been done.

### 3.3.2 Consortium Agreement (CA)

The Consortium Agreement is the internal contract of the consortium partners which is signed and is accepted by all partners. It defines the Consortium internal rules for project management as well as the Consortium organisation and decision taking mechanisms. In case of discrepancy, the Consortium Agreement is overruled by the GA.

The project's Consortium Agreement will be available for all partners in the I-HEROS online repository, accessible for all parties.

## 4. Project Structure

The overall plan of the project follows the tasks and activities, schedule and budget as laid down in the DoA (Annex 1 to the GA). The guiding point of all work and planning will be the Deliverables due to the EC along the 2 reporting periods of I-HEROS.

### 4.1. Work packages list/overview

I-HEROS is a 36-month project organized in the following Work Packages:

WP No	Work package title	Lead part. No	Lead part. Short name	Person-months	Start month	End month
WP1	Project management	1	TM	8.20	1	36
WP2	Integrated home renovation service definition	1	TM	46.50	1	12
WP3	Service implementation in Toulouse Métropole	4	SOL	75.60	9	36
WP4	Optimisation of service and validation of the business model	7	CDC	13.20	12	36
WP5	Upscaling and replication	4	ADIL	19.20	12	24
WP6	Dissemination and communication	1	TM	20.50	1	36
WP7	<b>Ethics requirements</b>	<b>1</b>	<b>TM</b>	<b>N/A</b>	<b>1</b>	<b>36</b>
			<b>TOTAL</b>	<b>184.10</b>		

The previous table shows the Work Plan, as included in the Annex 1 of the GA (DoA). As a result of modifications made in such Work Plan, it will be updated, as long as the modifications obtain the approval of the PO (either if it is necessary or not to include them as an amendment of the GA).

The Work Packages structure and the relationships between the work packages, as defined in the DoA, are presented in the following figure:

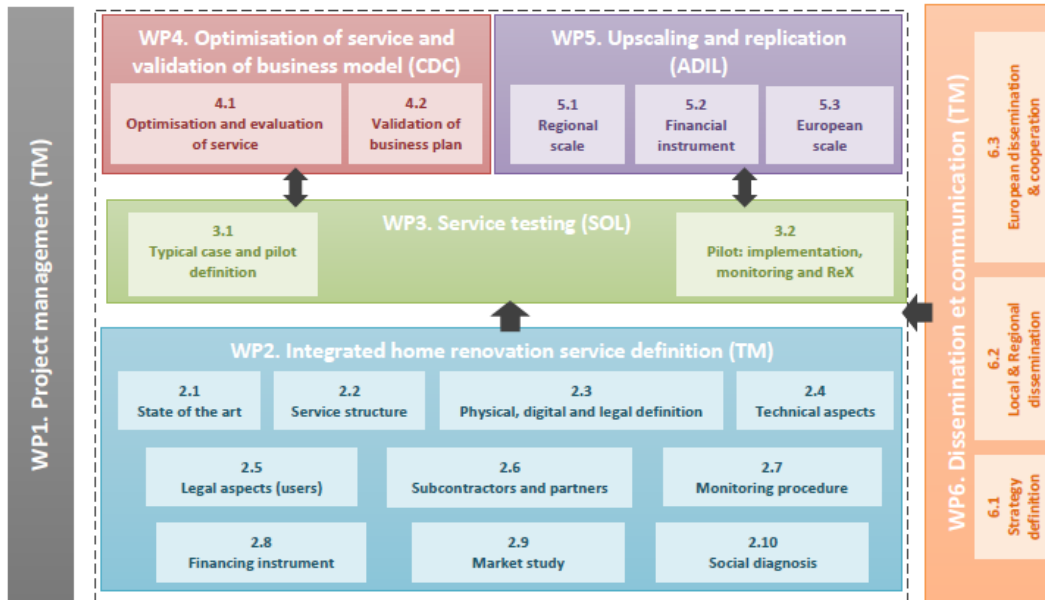


Figure 1. OVERALL I-HEROS PROJECT FLOW

The detailed description of each Work Package’s work is described in Annex I to the GA – (DoA).

Each Work Package has a named Work Package Leader in charge of the leadership and coordination of the technical aspects of the WP. This includes responsibility for the preparation of any technical reports, achieving milestones, achieving deliverables and provision of deliverables to the Coordinator on schedule, provision of interim and progress reports to the Coordinator on schedule. A named individual will be appointed by the relevant partner to carry out the role of Work Package Leader.

## 4.2. Deliverables

Each WP will have deliverables associated with it. It is important throughout the course of the I-HEROS project that all deliverables are rigorously tracked.

The list of deliverables for the 36 months of the project is shown next in chronological order, in order to facilitate the follow up of deliverable submission. If a deliverable is comprised of several versions to be submitted at different dates, the deliverable is shown more than one time (month #). Partners responsible for these deliverables must be cautious with the submission of these deliverables.

N.	DELIVERABLE NAME	WP	LEADER	TYPE	LEVEL	DELIVERY DATE
D1.1	Project Management Handbook	1	TM	R	PU	M1
D1.2	Interim Report	1	TM	R	PU	M13
D2.1.	Cross-report on technical points and building typologies	2	INSA TOULOUSE	R	PU	M6
D2.2	Presentation and analysis report on the main tools for assisting renovation	2	INSA TOULOUSE	R	PU	M6
D2.3.	Final report on preparatory measures for the housing renovation integrated service	2	TM	R	PU	M10
D2.4	Digital platform of the service.	2	APC	DEC	PU	M10
D2.5	Report setting out technical and environmental aspects of renovation solutions in relation to TM building typologies	2	INSA TOULOUSE	R	PU	M12
D2.6	Guides to single-family home / apartment block renovation	2	ADIL	R	PU	M12
D2.7	Training modules for	2	ADIL	R	PU	M12
D2.4	Delivery of scale up HC materials for cell testing	WP2	11 - NIC	Demonstrator	Confidential, only for members of the consortium (including the Commission Services)	18
D2.5	Delivery of scale up HC materials (3 batches) for module testing	WP2	11 - NIC	Demonstrator	Confidential, only for members of the consortium (including the Commission Services)	24
D2.12	Business Plan – standard and stress scenarios	2	CDC	R	PU	M12
D2.13	Market study	2	APC	R	PU	M12

D3.1	Report on study and definition of test cases	3	TM	R	PU	M12
D3.2	Report on pilot result	3	GRDF	R	PU	M36
D4.1	Report on service optimisation	4	SOLAGRO	R	PU	M24
D4.2	Report on external evaluation of the service	4	TM	R	PU	M24
D4.3	Validation of the business plan	4	CDC	R	PU	M36
D5.1	Report on upscaling and replication on a regional scale	5	ADIL	R	PU	M36
D5.2	Report on upscaling and replication on EU scale	5	INSA TOULOUSE	R	PU	M36
D5.3.	Report on the replication potential in Germany	5	ZEBAU	R	PU	M36
D6.1	I-HEROS project website	6	TM	DEC	PU	M3
D6.2	Communication and dissemination strategy	6	TM	R	PU	M3
D6.3	Report on dissemination at regional and national level	6	ADIL	R	PU	M36
D6.4	Report on dissemination on the EU level	6	INSA TOULOUSE	R	PU	M36
D7.1	H - POPD - Requirement No. 1	7	TM	E	CO	3
D7.2	POPD - Requirement No. 2	7	TM	E	CO	3
D7.3	H - Requirement No. 3	7	TM	E	CO	3

#### 4.2.1 Submission of Deliverables

During the course of the Project, the deliverables identified in Annex 1 to the GA have to be finished and submitted to the EC according to the timetable specified in the Deliverable list. All deliverables have to be submitted electronically to the Commission through the SyGMA electronic system in the Funding & tender opportunities portal. **The project Coordinator will be the person responsible for uploading the final version of the deliverable in SyGMA and submit it electronically to the Commission.**

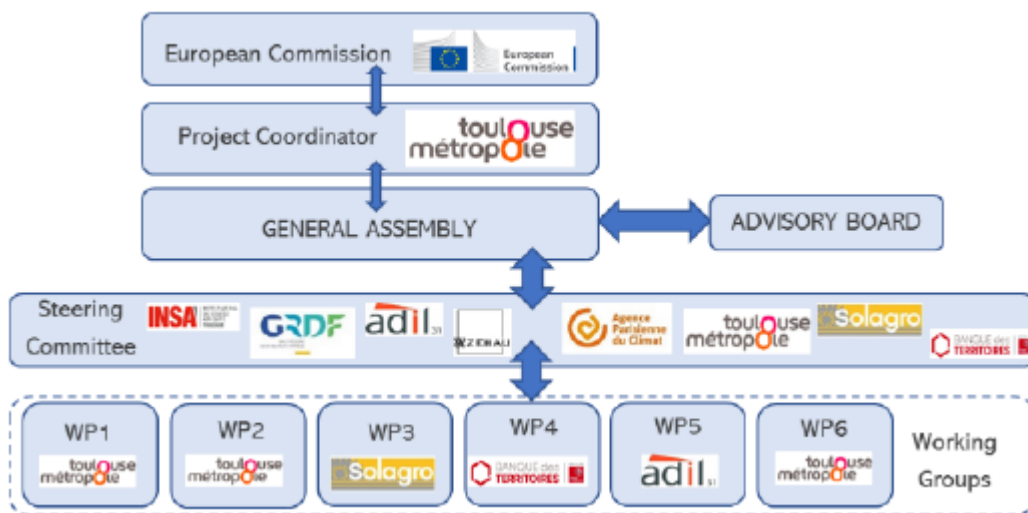
In case any kind of delay is detected, this should be reported to the Project Coordinator, so the necessary corrective actions are taken and the EC officer is kept informed.

See section 6.6 - Review and submission of deliverables - for more detailed information.

## 5. Project Management

### 5.1. Management Structure

The project management structure is the following:



**Figure 2. I-HEROS MANAGEMENT STRUCTURE**

The organizational structure of the Consortium shall comprise the following Management Bodies:

1. General Assembly body of the Consortium. The General Assembly, chaired by the Coordinator (Toulouse Métropole), will meet one a year at the initiative of its Chairman. It brings together the Coordinator and all the parties in the project. Its main role is to inform, allow monitoring and dissemination of the project
2. Steering Committee (SC) as the supervisory body for the project execution. This board shall report and be accountable to GA.
3. Project Coordinator (PC) is the legal entity acting as the intermediary between the Partners and the European Commission. The PC shall, in addition to its responsibilities as a Partner, perform the task signed to it as described in the GA and the CA.
4. Individual Work Package leaders (WP leaders), that will be in charge of managing every day-to-day activity, including technical work and reporting to the TC.

The complete description of the Consortium bodies (role, composition and meetings) can be found in the Consortium Agreement of the project (Article 4 Governance structure).

### 5.2. Risk management

The Technical committee will identify and monitor, during project implementation, internal and external risks as well as any other issues that might affect the Project progress towards its objectives, in order to carry out mitigation actions as early as possible. Risks and contingency

plans have been identified in DoA (section 1.3.5 of Part A) and also in dedicated tasks in WP1, task 1.3. Risk Management and Contingency Plan Monitoring. Each Partner has the responsibility to report immediately to their respective WP Leader and to the Project Coordinator, any risky situation that may arise and may affect the project objectives or their successful completion.

Any change in time schedule of deliverables or in the allocated budget must be reported to the corresponding WP Leader or to the Project Coordinator.

In case of problems or delays, the WP leader will be consulted and he/she may install task forces to take the necessary actions.

In case no resolution is reached, the General Assembly will be consulted and will establish mitigation plans to reduce the impact of risk occurring.

### 5.3. Quality Management Plan

In order to ensure the quality of the project management, special focus should be made on the information flow and management, on the reporting, as well as on the documents elaboration and review.

The sections 6 and 8 of this Project Management Handbook deal with these aspects, particularly:

- Information Management: documentation management and templates (including deliverables management) and meetings management are described in the section 6 of this document:
  - Meetings management (detailed information in Section 6.1)
  - Document management (detailed information in Section 6.2)
  - Technical and administrative information flow (detailed information in Section 6.3 and 6.4)
  - Templates (detailed information in Section 6.5)
  - Review and submission of deliverables (detailed information in Section 6.6)
- Project reporting: deadlines and information flows, responsibilities and contents are described in the section 8 of this document:
  - Interim reporting (detailed information in Section 8.1)
  - Periodic reporting (detailed information in Section 8.2)
  - Final reporting (detailed information in Section 0)
  - Continuous reporting (detailed information in Section 8.4)
  - Report on the distribution of the financial contribution between beneficiaries (detailed information in Section 8.5)

Additionally, a set of key performance indicators (KPIs) have been selected based on the four main measurement typologies used in project management: timeline, budget, quality and effectiveness. Detailed information concerning the KPIs is included in the deliverable D1.3 Project Management Plan (Section 5.3.2).



## Information Management

### 5.4. Meetings

In order to assure an adequate execution and monitoring of the project, the following meetings have been planned:

- *Kick-off Meeting (KoM)*: KoM in the PC facilities (Toulouse Métropole, Toulouse (France), on 25<sup>th</sup> September 2020.
- *TC Meetings*: The TC will meet one a month during the 1<sup>st</sup> year of the project, and then all three months. The PC is responsible to convene the meeting and all WP leaders will provide updated information about the progress of their WPs. During the TC meetings, the technical part of the project will be coordinated in order to determine and implement the technical directions to fulfil the objectives of the project and the individual WPs. These meetings can be by phone (due to sanitary measures) or physical.
- *GA Meetings*: The GA will meet once a year.
- *Review Meetings*: During the project, 2 review meetings will be organized by the EC in order to analyse the main results gathered in the 1 progress report (periodic technical and financial reports) and the final report (final technical and final financial reports) during the 2 reporting periods of the project.

The General Assembly meetings and the Steering Committee meetings are explicitly regulated in the Consortium Agreement. Article 4 include the most relevant considerations included in the CA regarding the General Assembly and Steering Committee meetings.

#### 5.4.1 Convening meetings of the General Assembly and the Technical Committee

The chairperson of a Consortium Body shall convene meetings of that Consortium Body. Convening meetings of the General Assembly and the Technical Committee for I-HEROS are:

	Ordinary meeting	Extraordinary meeting
General Assembly	Once a year	At any time upon written request of the Technical Committee
Technical Committee	Once a month during the 1 <sup>st</sup> year and then all the three months	At any time upon written request of any Member of the Technical Committee

The chairperson of a Consortium Body shall give notice in writing of a meeting to each Member of that Consortium Body as soon as possible and no later than the minimum number of days preceding the meeting as indicated below:

	Ordinary meeting	Extraordinary meeting
General Assembly	45 calendar days	15 calendar days
Technical Committee	14 calendar days	7 calendar days

The Meetings schedule will be available on the I-HEROS web's repository.

#### 5.4.2 Agenda of Meeting:

The chairperson of a Consortium Body shall prepare and send each Member of that Consortium Body a written (original) agenda no later than the minimum number of days preceding the meeting as indicated below:

	Sending the agenda	Adding extraordinary items
General Assembly	21 calendar days, 10 calendar days for an extraordinary meeting	14 calendar days, 7 calendar days for an extraordinary meeting
Technical Committee	7 calendar days	4 calendar days

Any agenda item requiring a decision by the Members of a Consortium Body must be identified as such on the agenda. Any Member of a Consortium Body may add an item to the original agenda by written notification to all of the other Members of that Consortium Body up to the minimum number of days preceding the meeting as indicated below.

#### 5.4.3 Minutes of Meeting (MoM):

The chairperson of a Consortium Body shall produce written minutes of each meeting which shall be the formal record of all decisions taken. He/She shall send the draft minutes to all Members within 10 calendar days after the meeting.

The minutes shall be considered as accepted if, within 10 calendar days from sending, no Member has objected in writing to the chairperson with respect to the accuracy of the draft of the minutes.

The chairperson shall send the accepted minutes to all the Members of the Consortium Body and to the Coordinator, who shall safeguard them. If requested the Coordinator shall provide authenticated duplicates to Partners.

#### 5.4.4 Decision taking mechanism

Decisions have to be taken always at the right decision level. In this sense, the roles and responsibilities of each Consortium body are defined in the project CA.

Each Consortium Body shall not deliberate and decide validly unless the majority + 1 of the Members are present or represented (quorum). If the quorum is not reached, the chairperson shall convene an extraordinary meeting within 15 days which shall be entitled to decide even if less than the quorum of Members is present or represented.

Each Member of a Consortium Body present or represented in the meeting shall have one vote. Decisions shall be taken by majority + 1. In the event of a tie the Project Coordinator will have a casting vote. (one member = one partner representative).

Any decision may also be taken without a meeting if the Coordinator circulates to all Members of the Consortium Body a written document, which is then agreed by the defined majority of all Members of the Consortium Body. Such document shall include the deadline for responses. Decisions taken without a meeting shall be considered as accepted if, within the period set out in the next item ('Veto rights'), no Member has sent an objection in writing to the chairperson. The decisions will be binding after the chairperson sends to all Members of the Consortium Body and to the Coordinator a written notification of this acceptance.

#### 5.4.5 Veto rights

A Member which can show that its own work, time for performance, costs, liabilities, intellectual property rights or other legitimate interests would be severely affected by a decision of a Consortium Body may exercise a veto with respect to the corresponding decision or relevant part of the decision.

When the decision is foreseen on the original agenda, a Member may veto such a decision during the meeting only.

When a decision has been taken on a new item added to the agenda before or during the meeting, a Member may veto such decision during the meeting and within 10 calendar days after the draft minutes of the meeting are sent. A Partner that is not a Member of a particular Consortium Body may veto a decision within the same number of calendar days after the draft minutes of the meeting are sent.

When a decision has been taken without a meeting a Member may veto such decision within 10 calendar days after written notification by the chairperson of the outcome of the vote.

In case of exercise of veto, the Members of the related Consortium Body shall make every effort to resolve the matter which occasioned the veto to the general satisfaction of all its Members. A

Partner may neither veto decisions relating to it being in breach of its obligations nor to its identification as a Defaulting Partner.

The Defaulting Partner may not veto decisions relating to its participation and termination in the consortium or the consequences of them. A Partner requesting to leave the consortium may not veto decisions relating thereto.

## 5.5. Document management

The management procedures have to guarantee that the documents in the project are produced, updated, distributed and stored correctly and efficiently.

The official documentation for the I-HEROS project will be accessible through its project repository. This repository will be provided by ZABALA and is based on TEAMS.

This tool has been chosen to guaranty the security and capacity requirements of the documents to be used in the project. The repository will have different permission levels depending on the users and the users are allowed to edit, upload and download documents according to the permissions granted in each library or folder.

## 5.6. Technical information Flow Chart

The WP leaders as well as the Project Coordinator are key figures in the management of the technical information within the project.

Within each WP, all the technical issues must be transmitted from each partner to the WP Leader. The Work Package Leader will be the responsible for dealing with the issue raised and solving it among WP participants. In the case that the issue cannot be solved, it will be transmitted to the Project Coordinator.

The Project Coordinator will resolve the issues put up by the WP Leaders or will transmit them to the General Assembly if necessary.

All relevant issues with an impact on the work and planning of the project will be discussed with the General Assembly without undue delays.

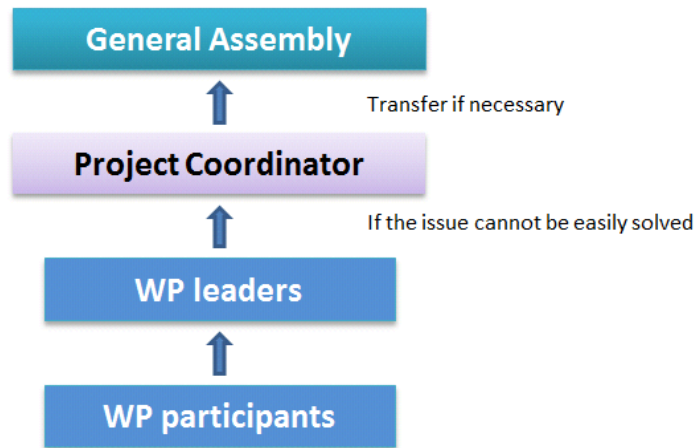


Figure 3. General technical information flow chart

### 5.7. Administrative Information Flow

Any information related to the administrative procedures of the project, including financial issues is understood as administrative information. Information related to the beneficiaries participating in the project is also part of the administrative information of the project and any changes in this information (legal information, change of name of the organisation, change of authorised representatives of each organisation, etc.) has to be transmitted as soon as possible to the Project Coordinator in order to take the necessary measures.

Administrative information must be submitted directly from each partner to the Project Coordinator and ZABALA:

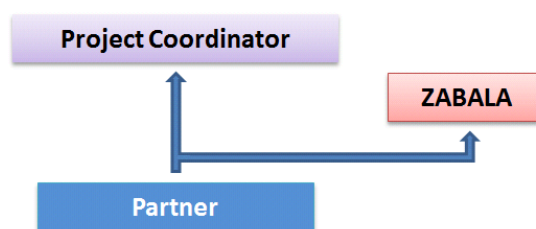


Figure 4. Administrative information flow chart

### 5.8. Templates

All the official documents of I-HEROS (presentations, deliverables, external communication, meeting minutes, etc.) must use the templates which will be available on the project repository. The project logo and the EU flag including this reference *“This project has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 890598.”*

(the reference can be translated) must also be included in all the documents related to the project.

The templates could suffer modifications during the project duration so it is recommended to download the templates each time an official I-HEROS document is going to be generated.

All reports and some deliverables shall be submitted in English (specified in the GA).

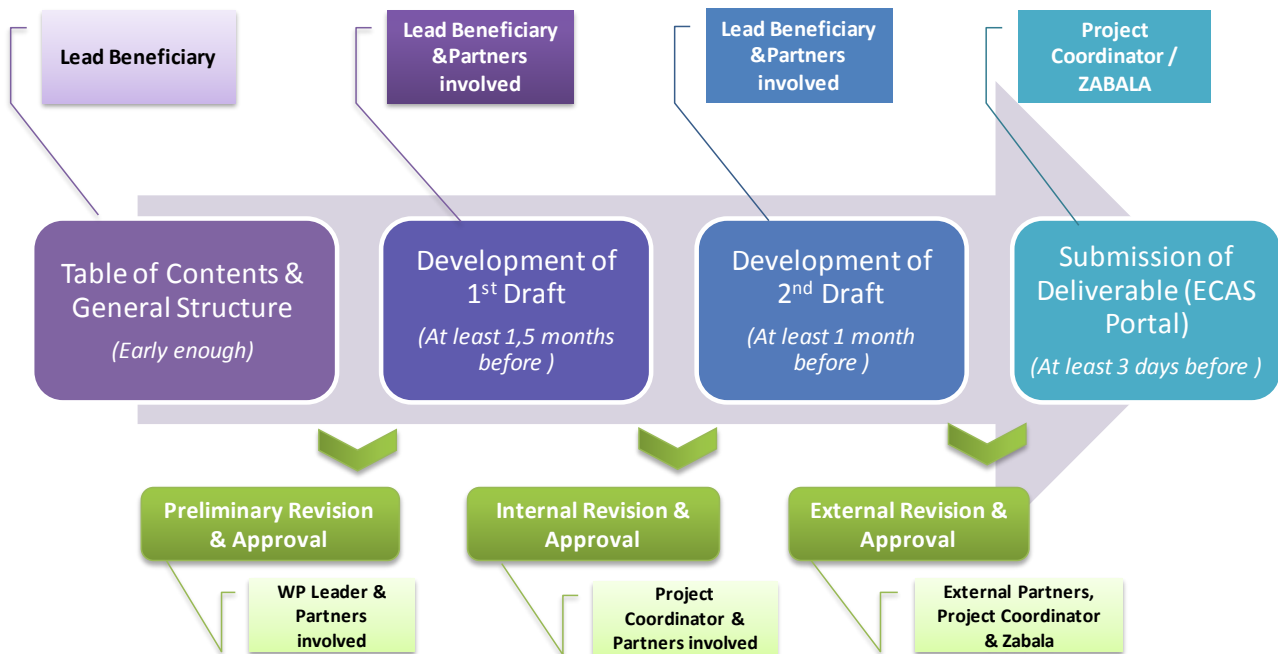
## 5.9. Review and submission of deliverables

All the deliverables must be finalised and submitted within the deadlines defined in Annex 1 to the Grant Agreement. Please see Section 4.2 of this document.

All deliverables shall be submitted to the European Commission, by uploading them to the SyGMA electronic system in the Funding & tender opportunities portal.

The Lead beneficiaries of the deliverables are responsible for the elaboration and technical quality of the deliverables. In order to ensure the quality of the delivery to be submitted, the following procedure to review each deliverable has been defined:

1. *Preliminary Revision & Approval:* early enough the Lead Beneficiary will send the Table of Contents and General Structure of the deliverable to the WP Leader and the partners involved in the task associated to the deliverable, for a preliminary revision and approval.
2. *Internal Revision & Approval:* at least 1.5 months before the due date the Lead Beneficiary and the partners involved in the deliverable preparation will develop a 1<sup>st</sup> draft. Such draft will be sent for an internal revision and approval to the:
  - Partners involved in the task related to the Deliverable
  - Project Coordinator
3. *External Revision & Approval:* at least 1 month before the due date, the Lead Beneficiary and the partners involved in the deliverable preparation will develop a 2<sup>nd</sup> draft. Such draft will be sent for an external revision and approval to:
  - External reviewers (see section 6.6.1 for the external reviewers' designation procedure).
  - Project Coordinator
  - ZABALA team.External reviewers will send their comments 10 days after receiving the 2nd Draft. The Lead Beneficiary of the deliverable will have 1 week after receiving such comments to implement the possible changes and send the final version to PC and ZABALA for final revision. Finally, there will be another week to check this final version and approve it by the majority + one of the partnership.
4. *Deliverable submission:* at least 3 days before the due date the Project Coordinator will submit the final version of the Deliverable to the SyGMA electronic system in the Funding & tender opportunities portal. Additionally, if requested, the final version will be sent to the Project Officer.



**Figure 5. Procedure for revision, approval and submission of deliverables**

Points to be considered in particular are:

1. Does the deliverable fulfil the objectives as set out in the WP description in Annex 1?
2. Does the deliverable justify the resources expended as outlined in the progress reports?
3. Is the document format correct, including the title page and following the template available?

In case of delay, the WP leader will communicate to the Coordinator the situation and along with the lead partner in charge of the deliverable, they will analyse how to address the problem and they will define a new date for submission of the deliverable as soon as possible. If this happens, the Coordinator will be in charge of informing the EC project officer as soon as possible.

### 5.9.1 Designation of External Reviewers for some deliverables

For the designation of the External Reviewers, the following procedure has been defined:

- Step 1. Two months before the final submission date the Lead Beneficiary will propose two external reviewers among I-HEROS participants. Such external reviewers will not participate in the task related to the deliverable.
- Step 2. The external reviewers should be approved by the WP leader corresponding to the Deliverable and by the Project Coordinator.
- Step 3: Once the external reviewers have been approved, the lead beneficiary will confirm with them their acceptance to act as reviewers.

## 6. Financial Contributions and payment issues

I-HEROS project's funding comes from EU funding: for all partners.

Payments to partners are the exclusive task of the Coordinator. According to the GA, the following payments will be made by the EC to the coordinator (detailed information in section 7.3):

- 1 pre-financing payment (including a 5% guarantee fund)
- 1 interim payment, on the basis of the request for interim payment (see Article 20.3 of the GA), and
- 1 payment of the balance, on the basis of the request for payment of the balance (see Article 20.4 of the GA).

The information hereinafter (section 7.1 to 7.3.2) has been extracted from the article 12 of the CA

### ***[Beginning of the literal transcription of contents from the CA in French]***

#### 6.1. 12.1 Principes généraux

##### 6.1.1 12.1.1 Répartition de la contribution financière

La contribution financière de l'Autorité de Financement au Projet devra être répartie par le coordinateur conformément :

- Au plan de Consortium
- A l'approbation des rapports par l'autorité financière,
- Aux dispositions de paiement à l'article 21 de la convention de subvention

Une Partie ne sera financée que pour ses tâches effectuées conformément au plan de consortium.

##### 6.1.2 12.1.2 Justification des coûts

Conformément à ses propres habitudes, principes et pratiques de compatibilité et de gestion, chaque Partie sera seule responsable de la justification de ses coûts dans le cadre du projet auprès de l'Autorité de financement. Ni le Coordinateur, ni aucune des autres Parties ne seront responsables de la justification des coûts envers l'Autorité de financement.

##### 6.1.3 12.1.3 Principes de financement

Une Partie qui dépense moins que sa part du budget alloué comme indiqué dans le plan de consortium sera financée uniquement pour ses coûts éligibles réels et dûment justifiés.

Une Partie qui dépense plus que sa part du budget alloué comme indiqué dans le plan de consortium sera financée uniquement pour ses coûts éligibles dûment justifiés, d'un montant n'excédant pas ce budget.



#### 6.1.4 12.1.4 Conséquences financières de la cessation de participation d'une Partie

Une Partie qui quitte le Consortium remboursera l'ensemble des paiements qu'elle a reçu à l'exception du montant de la contribution acceptée par l'Autorité de financement. De plus, la Partie en Défaut, dans les limites spécifiées à l'article 9 de cet Accord de Consortium, supportera tout coût supplémentaire raisonnable et justifié à l'égard des autres Parties dans le but d'accomplir ses tâches et leurs tâches.

#### 6.2. 12.2 Prévisions budgétaires

Le budget mis en place dans le plan de consortium sera évalué conformément à la compatibilité habituelle, aux principes et pratiques de gestion des Parties respectives.

#### 6.3. 12.3 Paiements

Les paiements aux Parties sont les tâches exclusives du Coordinateur.

En particulier, le Coordinateur devra :

- Notifier promptement à la Partie concernée la date et la composition du montant transféré dans son compte bancaire, en indiquant les références significatives.
- S'acquitter avec diligences de ses tâches dans la bonne administration de l'ensemble des fonds et la tenue des comptes financiers.

Le Coordinateur est en droit de retenir tout paiement dû à une Partie identifiée par un organe du consortium responsable comme étant en violation des obligations qui lui incombent en vertu du présent Accord de Consortium ou de la Convention de Subvention, ou à un bénéficiaire qui n'a pas encore signé le présent Accord de Consortium.

Le Coordinateur a le droit de recouvrer tout paiement déjà versé à une Partie en Défaut. Le Coordinateur a également le droit de retenir les paiements à une Partie lorsque l'Autorité de Financement le suggère ou en convient.

#### 6.4. 12.4 Plan de financement

L'autorité de financement verse au Coordinateur les préfinancements suivants :

- 80% de la subvention, à la signature de la convention de subvention, soit 1 199 731,00 €
- 10% de la subvention, correspondant à un paiement intermédiaire, soit 149 966,38 €€
- 10% de la subvention, correspondant au paiement final, soit 149 966,38 €€

Le premier paiement aux Parties sera effectué dans les 30 jours suivant l'entrée en vigueur du présent Accord de consortium et représentera 30 % du montant de la subvention préfinancée de chaque Partie. Sauf pour l'INSA, qui recevra 40% de préfinancement.

Six paiements suivants seront effectués tous les 6 mois après le 1er paiement et représenteront 10 % du montant de la subvention préfinancée de chaque partie.

L'INSA recevra deux acomptes de 5%, puis 4 de 10%.

Ces paiements seront effectués à condition que les dépenses soient effectivement encourues par les Parties. Les Parties enverront au coordinateur un rapport sur l'état d'avancement des actions qu'elles doivent mener conformément au plan du consortium, en produisant des déclarations de coûts détaillées des dépenses éligibles.

Le paiement du solde (jusqu'à 10% de la subvention maximale de chaque partie) sera effectué à la fin du projet, une fois que les rapports techniques et financiers finaux auront été validés par la Commission européenne et que le paiement du solde aura été effectué par la Commission européenne au coordinateur.

Le plan de paiement détaillé est annexé à l'Accord de consortium, annexe 4.

***[End of the literal transcription of contents from the CA in French]***

## 7. Progress reporting to the European Commission

The project reporting is the procedure used by the EC to assess and follow up the financed projects. Periodic reporting is compulsory to EC and the project continuity depends on these reports.

It is important to remark that project reporting is a responsibility of the whole Consortium and every partner has to be involved in it. The project coordinator is responsible for gathering the information and reports from the different partners and consolidating it before sending it to the EC.

I-HEROS project is divided into 2 reporting periods of the following duration:

1. P1: from month 1 to month 18: from 01/09/2020 to 28/02/2022
2. P2: from month 19 to month 36: from 01/03/2022 to 31/08/2023
3. Additionally, one interim report (D1.2) and 6 financials interims reports each 6 months. , five interim reports will be prepared internally for the consortium to cover project progress every six months (more detailed information in 8.1 Interim Reporting).

### 7.1. Interim reporting

The interim reporting is an internal procedure of the consortium to ensure the correct progress of the project tasks at the middle point of the project.

Each partner and WP leader will report project progress to the project Coordinator. According to this, the interim reporting period is:

- 1<sup>st</sup> Interim report (M13)

The interim reporting will cover technical progress, results, deliverables and compliance with the WP schedule, as well as the monitoring and updating the identified risks. Progress of the task will be reported in terms of percentage of completion and estimated time to completion, deviations from agreed time scales and corrective actions.

Each WP leader will also report to the PC on the main dedication (man-months) actually incurred in that period as well as the estimation of dedication for the next period. The Project Coordinator will summarise overall project progress, updating planning charts and manpower records.

### 7.2. Periodic Reports

#### 7.2.1 Time limit for reporting

All the periodic reports (including the final report) shall be submitted by the coordinator **within 60 days** after the end of the reporting period to the Commission.

According to this, the deadlines for submitting the above-mentioned periodic reports to the Commission are the following:

1. P1 periodic report deadline: 29/04/2022
2. P2 periodic report deadline: 31/10/2023

At the end of each reporting period, the **European Commission** shall evaluate and approve project reports and deliverables and disburse the corresponding payments **within 90 days** of their receipt. Payment is subject to approval of the reports by the EC. In the case that the Commission requests any further information, clarification or documentation on the periodic report, the time of 90 days will be stopped from the Commission side restarting the count-down upon reception of requested information.

### 7.2.2 Content of periodic reports

The content of the Periodic reports is compulsory and determined by the Commission in accordance Article 20.3 of the Grant Agreement. A template of the **Periodic report** will be available at I-HERO web repository. It can also be downloaded from the following link:

[http://ec.europa.eu/research/participants/data/ref/h2020/gm/reporting/h2020-tmpl-periodic-rep\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/gm/reporting/h2020-tmpl-periodic-rep_en.pdf)

The structure of the Periodic Report contains the technical and financial report and it is as follows:

PERIODIC TECHNICAL REPORT	PERIODIC FINANCIAL REPORT
<p>Part A:</p> <ul style="list-style-type: none"> <li>• Cover page</li> <li>• Publishable summary</li> <li>• Answers to the questionnaire covering issues related to the project implementation and the economic and social impact, notably in the context of the Horizon 2020 key performance indicators and the Horizon 2020 monitoring requirements.</li> </ul> <p>Part B: Narrative part that includes explanations of the work carried out by the beneficiaries during the reporting period.</p>	<ul style="list-style-type: none"> <li>• Individual financial statements (Annex 4 to the GA) for each beneficiary <u>and from each linked third party</u>;</li> <li>• 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;</li> <li>• A periodic summary financial statement <u>including the request for interim payment</u>.</li> </ul>

Part A of the Periodic Technical Reporting is generated by the IT system of SyGMA. It is based on the information entered through the periodic report and continuous reporting modules (see section 8.4 for more information concerning continuous reporting) of the electronic exchange system in the

Funding & tender opportunities portal. The Project Coordinator will be the responsible of entering such information, which will be able to be updated in the continuous reporting module at any time during the life of the project.

Part B needs to be uploaded as a PDF document following the template of Part B Periodic Technical report. This will also be done by the Project Coordinator.

The Individual Financial Statements as well as the explanations of the Use of Resources corresponding to each partner (and linked third parties) requesting an EU contribution will be completed on-line by each beneficiary. Beneficiaries will complete their financial statement and that of their linked third parties, if applicable). See section 8.2.3.2 for further detail.

### 7.2.3 Periodic Reporting workflow and submission procedure

#### 7.2.3.1 Data collection from beneficiaries and roles

For the preparation of the periodic reports, technical and financial inputs are necessary from beneficiaries. In order to ensure the accomplishment of the periodic reporting deadlines, a reporting workflow has been defined:

1. 8 weeks before the deadline the Project Coordinator will send a reminder about the reporting delivery planning and will deliver the technical and financial templates.
2. The WP Leaders will coordinate with the Task Leaders in order to complete the templates and deliver them to the PC. Such delivery will be no later than 5 weeks before the deadline.
3. The Technical Committee will evaluate the information receive and will make the convenient comments. Additionally, it will ask, if needed, for additional information from the WP leaders. The answer to the comments made as well as the petition of additional information will be provided at least 3 weeks before the deadline.
4. The PC will make the last revision of the reporting and will submit the documentation to the SyGMA tool 2 days before the deadline. It will communicate the Partners the submission of the reporting and will keep them informed in case any delay takes place.

#### 7.2.3.2 Individual Financial Statement (IFS) completion

##### IFS completion workflow:

The timely receipt of the cost statement duly filled out is of primary importance for reporting issues as well as for providing a proper explanation of the use of the resources within the period in accordance with the EC requirements.

To support this process, a Cost Statement template will be created and delivered to every beneficiary and linked third party. The cost statement is aimed at collecting from all partners costs

incurred in the period and the explanation of the use of the resources required by the Commission in the periodic report. Costs shall be detailed at WP level.

Costs declared must be set out in Annex 2 (estimated budget for the action). Costs not foreseen might be reported and claimed but they will have to be duly explained if we expect that the Commission would accept them.

The following rules shall be followed for the financial report of the I-HEROS:

Each beneficiary and linked third party shall provide to the Project Coordinator and ZABALA the Cost Statement of the period duly completed in order to check and verify costs to be claimed. Once the cost statement would be reviewed, costs shall be completed in SyGMA by each partner.

All persons with the following roles within one organization:

- Participant Contacts: PaCo
- Coordinator Contact: CoCo

will have access to complete the explanation of the use of the resources in SyGMA and complete the Financial Statement.

After the completion of the costs in SyGMA tool, it will create automatically for each beneficiary and linked third party the Individual Financial Statement (IFS), in accordance with Annex 4 of the Grant Agreement. The IFS shall be signed electronically by the corresponding Project Financial Signatories (PFSIGN) appointed by each organization. All beneficiaries and linked third party shall appoint a Project Financial Signatory (PFSIGN) in order to submit a Financial Statement and the request for the payments to the Commission. Each PFSIGN will have to sign in SyGMA using her/his ECAS account.

Before the final submission of the periodic report, the PC will check the IFS, already electronically signed by each beneficiary, and may ask to generate them again should any error be detected.

Instructions for the IFS electronic signature by the PFSIGN:

Following are explained the instructions for the electronic signature of a PFSIGN:

1. The Project Financial signatory (PFSIGN) shall log in the Funding & tender opportunities portal with your ECAS account at the following link:  
<http://ec.europa.eu/research/participants/portal/desktop/en/home.html>
2. Once you are logged in, please go to "My project" tab and click "MP" Manage project button of I-HEROS:



Figure 6. Participant Portal (screenshot 1)

You will see then the following screen:

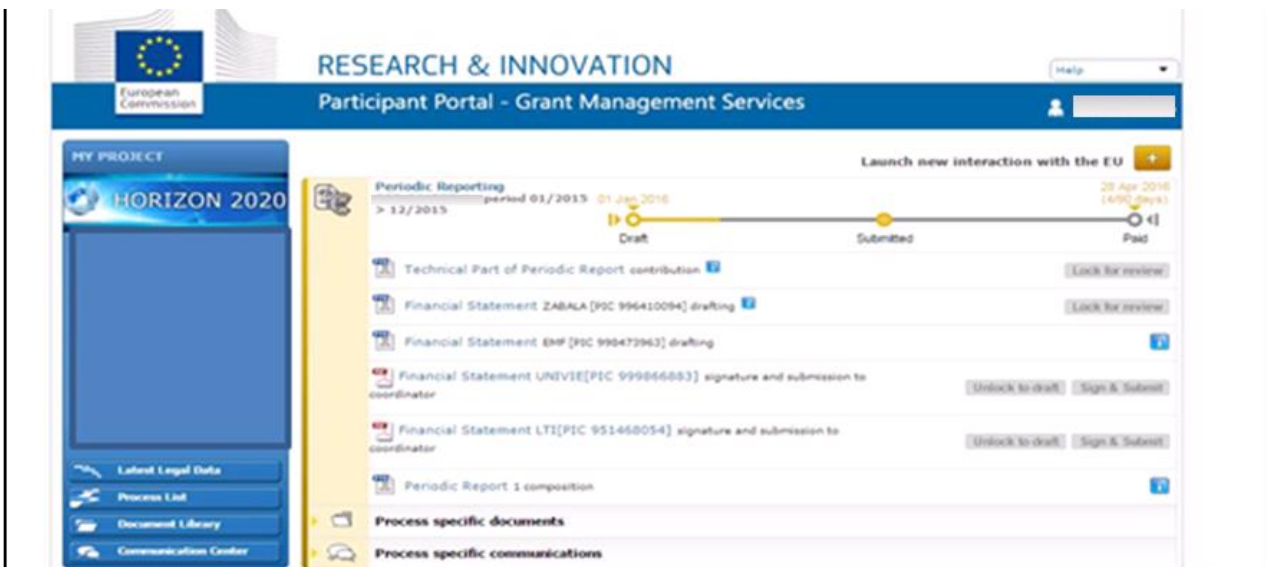


Figure 7. Funding & tender opportunities portal (screenshot 2)

- The PFSIGN will have in the beneficiary's Financial Statement the option "Sign and Submit" Available. Please check that everything is correct and click "Sign and Submit".

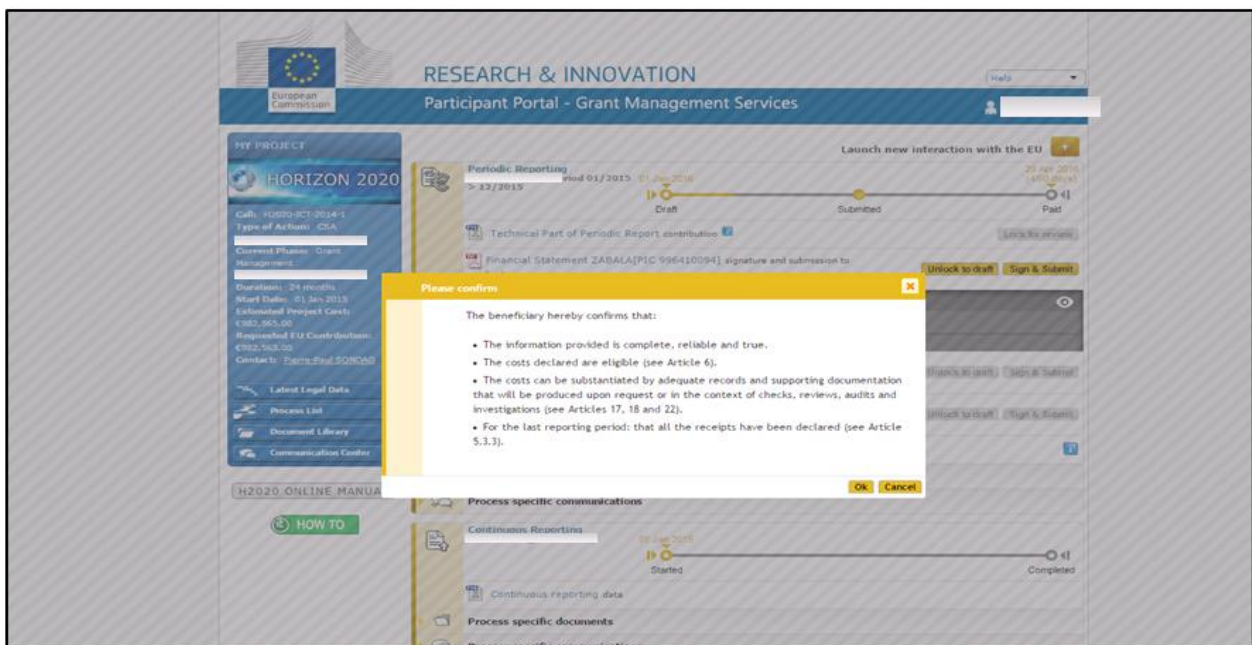


Figure 8. Funding & tender opportunities portal (screenshot 3)

- The tool will ask you to enter again the PFSIGN's ECAS password in order to sign electronically.

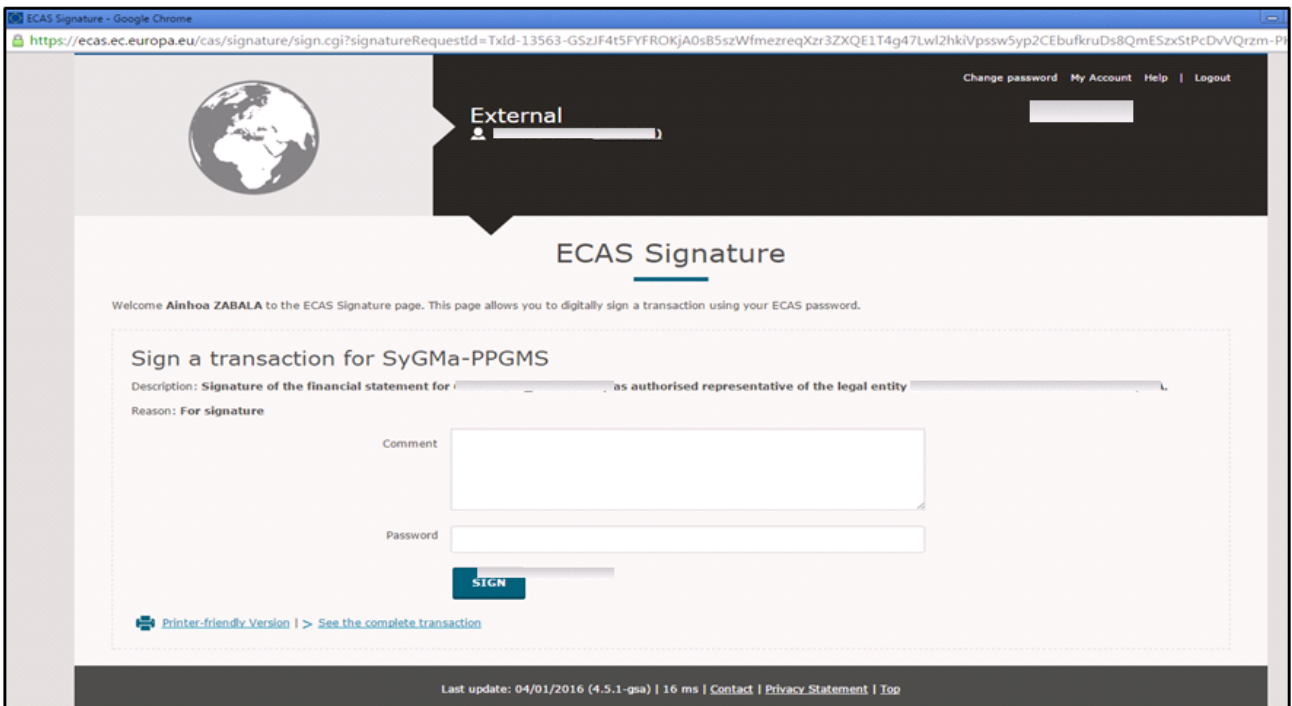


Figure 9. Funding & tender opportunities portal (screenshot 4)

Once the PFSIGN introduces his/her password and clicks “SIGN” the process will be completed and the Financial Statement signed electronically.

#### Important note concerning the EC Contribution request:

The IFS shall include the request to the EC, for the interim payment corresponding to the corresponding reporting period.

Such request must be the maximum possible amount corresponding to the total of eligible costs justified by each beneficiary, even in the cases where due to the payments' schedule, the global amount for all the interim payments has already be reimbursed to a partner.

Requested EC Contribution rate according to the Grant Agreement will be 100% of the total eligible costs accepted by the EC.

### 7.3. Final report

At the end of the project, a **final report** has to be submitted **within 60 days after the end of the project**, month 60. According to this, the deadline for submitting final report to the Commission is 30<sup>th</sup> January 2023.



This Final Report must not be mistaken with the last Periodic Report (in the case of I-HEROS project, the 2<sup>nd</sup>). Both of them must be elaborated and submitted to the EC.

### 7.3.1 Time limit for reporting

The Final Report shall be submitted by the coordinator **within 60 days** after the end of the reporting period to the Commission:

- Final report deadline: 31/10/2023

### 7.3.2 Content of final Report:

The content of the Periodic reports is compulsory and determined by the Commission in accordance Article 20.4 of the Grant Agreement. A template of the **Final report** will be available at I-HEROS web repository.

The structure of the Final Report contains technical and financial information and it is as follows:

FINAL TECHNICAL REPORT	FINAL FINANCIAL REPORT
<p>A summary for publication containing:</p> <ul style="list-style-type: none"> <li>• An overview of the results and their exploitation and dissemination: A final publishable summary report including an executive summary and a summary description of project context and objectives, a description of the main S&amp;T results, the potential impact (including the socio-economic impact and the wider social implications of the project so far) and the main dissemination activities and exploitation of results.</li> <li>• The conclusions on the action</li> <li>• The socio-economic impact of the action</li> </ul>	<ul style="list-style-type: none"> <li>• A ‘final summary financial statement’, 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</li> <li>• A ‘certificate on the financial statements’ (drawn up in accordance with Annex 5 of the GA) for each beneficiary and for each linked third party, 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, of GA).</li> </ul>

### 7.3.3 Final Reporting workflow and submission procedure

The submission of the final report to the European Commission is the responsibility of the Coordinator. The Coordinator will use, according to Article 20 of the GA, the electronic exchange system (SyGMA, via the Funding & tender opportunities portal).

The Final Reporting workflow will be the same that the Periodic Reporting workflow (see section 8.2.3).

## 7.4. Continuous reporting

Additionally to the project reporting obligations, the EC activates a Continuous reporting module via the electronic exchange system (SyGMA) at the time the project starts.

This module makes available the electronic submission of Deliverables plus Periodic Reporting information that can be optionally entered at any time during the life of the project such as:

- Publishable summary
- Submit deliverables
- Report progress in achieving milestones
- Follow up critical risks
- Questionnaire on horizontal issues
  - Publications
  - Communications activities
  - Rest of questionnaire on horizontal issues

### 7.4.1 Data collection from beneficiaries and roles

The Project Coordinator will be responsible for completing the continuous reporting via the exchange tool system (SyGMA) with the Commission via the Funding & tender opportunities portal.

## 7.5. Report on the distribution of the financial contribution between beneficiaries

The coordinator must distribute the amounts received to the beneficiaries — without unjustified delay (Article 21.7 of GA).

The Commission/Agency will be informed of the distribution of the payments by the coordinator in the event of recovery of undue amounts (see Article 44). In this case, there will be a request to the coordinator in order to submit a report on the distribution of payments to the beneficiaries (see article 44.1.2 of GA) within 30 days of receiving notification.

If the participation of one or more beneficiary is terminated (see Article 50 of GA), the coordinator will submit to the beneficiary concerned, within 30 days from when termination takes effect a report on the distribution of payments to the beneficiary concerned.

## 7.6. Financial Information – Reporting costs

The financial reporting, including both in the Periodic and the Final Reporting, must take into account the criteria for cost eligibility.

### 7.6.1 Eligible costs-Non eligible costs

Contractors should report the costs incurred by using the H2020 eligible costs which are structured as follows according to *Article 6 in the Grant Agreement*.

- Direct costs:
  - Personnel costs (Article 6 A)
  - Direct costs of subcontracting (Article 6 B)
  - Direct costs of providing financial support to third parties – not applicable (Article 6 C)
  - Other direct costs (Article 6 D)
    - Travel costs and related subsistence allowances
    - Equipment costs
    - Costs of other goods and services
    - The capitalised and operating costs of “large research infrastructure”
- Indirect costs (Article 6 E)

#### 7.6.1.1 Details about the nature of costs to submit

Here are the levels of detail expected in the course of a sound financial management:

- Personnel costs (amounts, name, function, statute (additional or permanent), monthly rate or hourly rate (A) and working time spent on which WP (in month if monthly rate given in A or in hours if hourly rate is given in A),
- Travel costs (amount by travel and by participants, name of travellers, exact dates (dd/mm/yyyy), origin/destination (from/to), and detailed purpose of the travel),
- Depreciation costs of equipment (amount claimed, nature of the equipment, price by equipment (excl. VAT), depreciation system (in years or month), % of use in the project)
- Consumables (amount by class of consumables, nature, list (when applicable), precise purpose and use of these consumables),
- Subcontracting (amount by subcontract, agreement EC (either technical annex or specific agreement (if so please provide a copy of the agreement), nature of the tasks, name of subcontractor and link of these with the project),
- Other costs (class covering costs not covered by previous H2020 class – amounts by cost, very precise details about the nature of each cost),
- Indirect costs (25% flat rate). Indirect costs are calculated on the basis of the flat rate of 25% of the eligible direct costs (Article 5.2 of the Grant Agreement) from which subcontracting and in-kind contributions are excluded.

According to the procedures and information to be provided to the Commission, it is mandatory for the Consortium to deliver in due time the Cost Statement Template per period. Without the delivery of this cost statement, the Coordinator may not accept costs declared in the Model for the financial statement.

The Cost Statement Template will cover all requested information in order to allow the Project Officer the acceptance of costs declared as eligible costs of the project.

### 7.6.2 Rules for subcontracting action tasks

According to article 13.1.1 of GA, 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 of GA).

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 Agency may however approve subcontracts not set out in Annex 1 and 2 without amendment (see Article 55 of GA), if:

- They are specifically justified in the periodic 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.

The beneficiaries must ensure that the Agency, the Commission, the European Court of Auditors (ECA) and the European Anti-Fraud Office (OLAF) can exercise their rights under Articles 22 and 23 also towards their subcontractors.

If a beneficiary breaches any of its obligations under Article 13.1.1, the costs related to the subcontract concerned will be ineligible (see Article 6 of GA) and will be rejected (see Article 42 of GA).

According to article 13.1.2 of GA, 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 2014/24/EU) or 'contracting entities' within the meaning of Directive 2004/17/EC (or 2014/25/EU) must comply with the applicable national law on public procurement.

If a beneficiary breaches any of its obligations under Article 13.1.2, the grant may be reduced (see Article 43).

### 7.6.3 Certificate on the Financial Statements (CFS)

In accordance with the article 20.4 of the Grant Agreement, certificate on the financial statements' for each beneficiary and for each linked third party are compulsory, 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 of the GA).

The model of a CFS is compulsory and it should be drawn up in accordance with Annex 5 of GA. Please ask your auditors to follow strictly the model requested by the Commission.

A CFS covering costs declared shall be delivered at the end of the project.

Without prejudice to the paragraph above, the Commission may request, on the basis of an analysis of risks, the submission of a certificate on financial statements from any beneficiary at any time until the agreement completion date.

### 7.6.4 Financial documentation to be kept- supporting documents of costs claimed

According to article 18 of GA, all beneficiaries have to keep I-HEROS supporting documentation up to 5 years after payment of the balance, in order to prove the proper implementation of the action and the costs they declare as eligible.

This list summarises all supporting documents (per cost category) that may be requested by an auditor:

Cost category	Supporting documents to be kept
Personnel Costs	Employment contracts (or other independent/legal justification of personnel costs claimed) Ledgers/ accounts, payroll records Time Sheets Detailed breakdown and justification of the productive hours denominator used for calculation of hourly rates
Subcontracting	Invoices Proof of payment Original deliverables from the subcontractors Evidence of own internal management and supervision procedures to confirm completion of work required to specifications needed and reasonableness costs claimed in connection therewith.
Consumables	Invoices Proof of payment In case of rented equipment: Rental contract, inventory list of the rented equipment; proof of the investment values of the rented equipment - Records concerning computer usage, if applicable.
Travel Expenses	Transport tickets, including boarding passes, hotel bills... Invoices

	<p>Mission approval forms (if applicable)</p> <p>A report, records, minutes etc. indicating purpose and participants of the meetings.</p>
Indirect costs	<p>Full documentation concerning the calculation of the overhead costs and back-up documentation such as disaggregated balance sheet</p> <p>Analysis, reconciliation and summary of final breakdown of overhead (by category of expense) charged to the project.</p>
Bank statements (for coordinator)	<p>Relating to the payments of the EC contributions and the distribution among partners.</p>
General ledger / Management Accounts	<p>Salient extracts and reconciliations of costs claimed to underlying accounting records/general ledger to facilitate easy verification of costs claimed and their eligibility.</p>
Certificate on Financial Statement (CFS)	<p>Copies of any auditor certification statements issued with a claim for cost reimbursement.</p>

## 8. Project Changes and Potential problem areas

### 8.1. Project Changes: Amendments to the GA and / or Communication letters to the EC

The basic principle of the project is to carry out the tasks and activities within the time scheduled and resources foreseen as described in the Annex 1 (DoA) to the Grant Agreement.

Any changes in the status of a beneficiary shall be communicated to the coordinator as soon as possible. The coordinator shall resolve queries and advise to beneficiaries. If required, the Project Coordinator will contact the EC Project Officer responsible and request clarifications and procedures to be followed.

Significant project changes and deviations from the work planned must be dealt with in writing. The participant involved or WP Leader proposing the change should communicate them to the PC, which will forward a written communication to the General Assembly explaining the reason behind the proposed changes and direct consequences in terms of budget, work programme, etc.

As a general rule, an amendment to the Grant Agreement is necessary whenever the GA has to be modified. In some cases, the GA gives the parties the possibility to carry out certain modifications without changing the GA. Finally, there are cases where the need for amendment must be assessed carefully.

The amendment request will be forwarded on behalf of the Consortium by the Project Coordinator to the EU Commission.

Minor changes such as insignificant deviations from time schedule will be dealt with in the periodic progress reporting.

#### 8.1.1 Changes requiring amendment to the Grant Agreement:

An amendment is necessary when one of the following changes applies<sup>1</sup>:

- Changes involving beneficiaries & linked third parties
  - Adding a new beneficiary
  - Deletion of a beneficiary whose participation has been terminated because:
    - it has not signed the grant agreement
    - it has not provided a declaration on joint & several liability as requested
    - for some other reason

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<sup>1</sup> This has been extracted from the on-line manual of H2020 “Amendments to the Grant Agreement”, available at [http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/amendments\\_en.htm](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/amendments_en.htm)

- Change of beneficiary due to 'partial takeover'
  - Deletion or addition of linked third party (Article 14)
  - Specific case: if a beneficiary's participation is terminated at the initiative of other beneficiaries (Article 50.2)
  - Change concerning a beneficiary/linked third party 'not receiving EU funding'
- Change involving the coordinator/principal beneficiary
    - Change of coordinator
    - Change in the bank account the coordinator uses for payments
    - Change in the 'authorisation to administer' option
- Changes affecting the project or its implementation
    - Change to Annex 1
    - Change in the title of the project or its acronym, starting date, duration or reporting periods
    - Resumption of project activities after a temporary suspension (Article 49)
- Changes involving the financial aspects of the grant
    - Change to Annex 2 or 2a
    - Change in the maximum grant amount, reimbursement rate(s), the estimated eligible costs of the project, the amount of pre-financing or the contribution to the Guarantee Fund
    - Change concerning specific cost categories ('specific unit costs')
- Specific changes in other Model Grant Agreements (e.g. FPA/SGA MGA, ERC MGA, MSCA MGA)

### 8.1.2 Changes which do not require an amendment: information procedure

1. For certain budget transfers
2. If the name or address of a beneficiary, linked third party or coordinator changes
3. If a [universal takeover](#) results in a change of beneficiary
4. If there is a change in the name of the bank or the address of the branch where the coordinator has an account, or in the name of the account holder.

### 8.1.3 How do I request an amendment?

Amendment requests must be prepared by the requesting party (i.e. the coordinator or the Commission/Agency) directly in the Funding & tender opportunities portal. The request must be unambiguous and complete and submitted in time (i.e. sufficiently in advance to allow proper analysis and preparation before they are due to take effect and — generally — before the end of the action). Requests introduced AFTER the end of the action will be accepted only exceptionally, for very specific (duly substantiated) cases (e.g. change of bank account, change of coordinator to make the payment of the balance).



The coordinator must ensure that it has the agreement of the consortium (in accordance with the internal decision-making processes, e.g. unanimity, simple or qualified majority, etc. set out in the consortium agreement).

The general steps involved in requesting an amendment are:

1. Prepare your request using the Funding & tender opportunities portal's Grant Management Service:
  - The Project Coordinator launches the amendment request in the Funding & tender opportunities portal Grant Management Service.
  - Amend the relevant data in the grant agreement
  - Give reasons for (justify) the amendment
  - Upload supporting documents
  - Make sure the necessary validations are complete (e.g. validation of a new legal entity or bank account)
  - Submit your request.

Exception: if a beneficiary's participation is terminated at the initiative of other beneficiaries, the coordinator must draft a notification to inform the Commission of this. The notification must include the request for an amendment.

Requests proposing more than one change to the grant agreement are treated as a package. They cannot be divided into separate requests; the Commission accepts or rejects them as an indivisible whole.

Consider submitting changes that require more in-depth reflection (e.g. changes to Annex 1) as a separate request. Requests requiring no discussion (e.g. a change in the coordinator's bank account) can then be dealt with faster.

Please prepare and submit any requests for amendments as soon as possible after you become aware of the need to amend the grant agreement. Amendments take time to be processed and the changes introduced will, in most cases, apply only once the amendment is approved, but not retroactively.

2. The requesting party signs and submits amendments electronically.
  - The request (with all its uploaded supporting documents) must be submitted and signed by the PLSIGN of the coordinator.
  - Before it has been accepted or rejected, an amendment request may at any moment be withdrawn. In order to change the amendment request, it must be withdrawn and re-submitted (changes to submitted requests are NOT possible).
  - A request containing several changes to the GA will be considered as one (and must either be agreed or rejected by the other party as a whole).
3. The receiving party countersigns the amendments electronically.

- The receiving party must — within 45 days — agree or disagree.
  - If the receiving party requests additional information/documents, a new deadline will apply, i.e. 45 days from receiving the additional information/documents.
4. The amendment enters into force and is binding from the moment the receiving party has agreed to it (i.e. signed in the Funding & tender opportunities portal).
  5. The amendment will take effect (i.e. the changes to the GA will start to apply) either:
    - On the day of its entry into force (i.e. day of the last signature of the amendment) or
    - On the specific date(s) indicated (and agreed) in the amendment.

The date should normally be after the entry into force of the amendment. In justified cases it may — exceptionally — be before (retroactivity of the amendment). (In some cases, the GA itself provides for retroactivity.)

Detailed instructions about the amendment process can be found in the online manual “Amendments to the Grant Agreement”, available in the following link: [http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/amendments\\_en.htm](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/amendments_en.htm)

## 8.2. Potential Problem Areas

The main potential problem for the project is the case that beneficiaries fail to live up to contractual obligations, in particular deliverables due as described in the DoA. Such problems will be dealt with by the General Assembly, when identified.

Concerning technical problems, different scenarios and problem areas will be described and corrective measures taken when the situation requires during the life span of the project.

Any Partner of the Consortium must inform the WP Leader of any potential inconveniences identified. The WP Leader will duly inform to the Technical Committee and the General Assembly if required.

As already described in section 5.2(Risk Management), risks and contingency plans have been identified in DoA. The Technical committee will identify and monitor potential risks as well as other issues that might affect the project to accomplish its goals, in order to carry out mitigation actions as soon as possible.

All the technical issues must be transmitted from each WP participant to the WP Leader. The WP Leader will be the responsible for dealing with the issue raised and solving it. In the case that the issue cannot be solved, it will be transmitted to the Technical Committee and Project Coordinator. All relevant issues with an impact on the work and planning of the project will be discussed with the Technical Committee (TC) and, if it is necessary, with the General Assembly, without unduly delays.

The Project Coordinator will resolve the issues put up by the WP Leaders or will transmit them to the Commission if necessary.

## 9. Ethical issues

The following table includes the main ethical issues affecting I-HEROS project, which are referred to:

**1. Management of ethical aspects.** Leader: TM; Contributors: All. (M1-M36). TM will monitor and ensure the appropriate procedures confirming to relevant legislations which are applied and satisfied in this project. Moreover, it will manage the database and ensure to reach the highest level of GDPR (Regulation (EU) 2016/679) compliancy.

This task will hence ensure: (1) Data protection in line with the GDPR, with consent from the data subject and (2) Data protection for firms, for competition and security reasons. The dedicated GDPR officer within the host institution will support this management and help the head of the Project to deal with these aspects. Technical and organisational measures that will be implemented to safeguard the rights and freedoms of the data subjects/research participants will be specified (e.g. anonymization/pseudonymisation techniques; measures for tracking, profiling or observation of participants; security measures to prevent unauthorised access to personal data) as well the methods to identify and recruit participants will be described in a deliverable due in month 3. 2.2. The informed consent procedures that will be implemented for the participation of humans and in regard to data processing will be described

in the deliverable. 2.3. Templates of the informed consent/assent forms and information sheets (in language and terms intelligible to the participants) must be kept on file.

2. 4.2 The host institution appoints a **Data Protection Officer (DPO)** and the contact details of the DPO are made available to all data subjects involved in the research. For host institutions not required to appoint a DPO under the GDPR a detailed data protection policy for the project must be kept on file. 4.6 A description of the technical and organisational measures that will be implemented to safeguard the rights and freedoms of the data subjects/research participants will be specified in a deliverable.

**3. 2.1. The procedures and criteria that will be used to identify/recruit research participants are clarified in a deliverable.**

<b>Deliverable Number<sup>14</sup></b>	<b>Deliverable Title</b>	<b>Lead beneficiary</b>	<b>Type<sup>15</sup></b>	<b>Dissemination level<sup>16</sup></b>	<b>Due Date (in months)<sup>17</sup></b>
D7.1	H - POPD - Requirement No. 1	1 - TM	Ethics	Confidential, only for members of the consortium (including the Commission Services)	3
D7.2	POPD - Requirement No. 2	1 - TM	Ethics	Confidential, only for members of the consortium (including the Commission Services)	3
D7.3	H - Requirement No. 3	1 - TM	Ethics	Confidential, only for members of the consortium (including the Commission Services)	3