



PROJECT MANAGEMENT HANDBOOK

[15-03-2021]



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PRIMA
PARTNERSHIP FOR RESEARCH AND INNOVATION
IN THE MEDITERRANEAN AREA



TECHNICAL REFERENCES

Project Acronym	TRACE-RICE
Project Title	
Project Coordinator	Carla Moita Brites carla.brites@iniav.pt
Project Duration	September 2020 –August 2024 (48 months)

Deliverable No.	D7.1
Dissemination level*	PUBLIC
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Task	T7.1 – Project Management Plan
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Contributing beneficiary/ies	UNL-ITQB, CSIC-IATA
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	Date	Beneficiary	Author
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1. Introduction

1.1 Purpose

The aim of the TRACE-RICE Project Management book is to provide 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 and Consortium Agreement 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 when necessary throughout the lifecycle of TRACE-RICE 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 changes made with respect to the previous version.

1.2 Relation to Other Project Documents (Deliverables)

In the event of discrepancy between documents, this Management handbook is overruled by the Grant Agreement including its Annexes and the Consortium Agreement with its possible addenda.

1.3 Abbreviations List

AB - Advisory Board

CA - Consortium Agreement

CFS - Certificate on Financial Statement

DoA -Description of the Action-Annex I

EB - Executive Board

EC - European Commission

Form C - Financial Statement form

GAs - General Assembly

H2020 - Horizon 2020

KOM - Kick-Off Meeting

OJEU - Official Journal of the European Union

PC - Project Coordinator

PFR - Project Final Report

PL - Pilot Leader

PMP - Project Management Plan

PO - Project Officer

PR - Periodic Report

PRIMA – Partnership for Research and Innovation in the Mediterranean Area

TC - Technical Coordinator

WP - Work Package

WPL - Work Package Leader

2. Project Basis

2.1 Participants

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

Table 1. List of Participants

	Participant organization name	Short name	Country
1	INSTITUTO NACIONAL DE INVESTIGAÇÃO AGRÁRIA E VETERINÁRIA	INIAV	Portugal
2	INSTITUTO DE BIOLOGIA EXPERIMENTAL E TECNOLÓGICA	iBET	Portugal
3	UNIVERSIDADE NOVA DE LISBOA	UNL-ITQB	Portugal
4	ASSOCIAÇÃO INTERPROFISSIONAL DA FILEIRA DO ARROZ	CASA DO ARROZ	Portugal
5	ERNESTO MORGADO, SA	EM	Portugal
6	MATER DYNAMICS, LDA.	MATER DYNAMICS	Portugal
7	BUILDING GLOBAL INNOVATORS	BGI	Portugal
8	UNIVERSITY OF ALEXANDRIA	U. ALEX	Egypt
9	AGENCIA ESTATAL CONSEJO SUPERIOR DE INVESTIGACIONES CIENTÍFICAS, M.P.-INSTITUTO DE AGROQUÍMICA Y TECNOLOGÍA DE ALIMENTOS	CSIC-IATA	Spain
10	DESARROLLOS PANADEROS LEVANTINOS	DPL	Spain

2.2 Project Duration, Budget and EC Contribution

The effective start of the project is 01.09.2020, and the project ends 48 months later, on 31.08.2024.

The project has an overall budget of 1.802.080,00€, of which a maximum of 1.599.556,38€ shall be financed by the PRIMA Foundation.

The budget detailed per beneficiary and the corresponding PRIMA contribution of each beneficiary is detailed in the Annex 2 to the Grant Agreement – Estimated budget of the action.

The PRIMA contribution of each of the partners is a maximum contribution conditioned to the acceptance by the PRIMA 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 PRIMA does not accept all its costs), it will receive only the proportional part of the PRIMA contribution.

2.3 Contractual Documents

2.3.1 Grant Agreement

Grant Agreement (GA) with the PRIMA: Grant Agreement No. 1934. This is the contractual document signed by all the project partnership which defines the rights and obligations of the Consortium regarding the PRIMA. The Grant Agreement includes the following annexes:

- Annex 1 Description of the action
- Annex 2 Estimated budget for the action
- Annex 2a Additional information on the estimated budget
- Annex 3 Accession Forms
- Annex 4 Model for the financial statements
- Annex 5 Model for the certificate on the financial statements
- Annex 6 Model for the certificate on the methodology
- Annex 7 Model for technical reports

The Grant Agreement and its annexes will be available for all partners in the project [website](http://trace-rice.eu/) (<http://trace-rice.eu/>, through the “partner’s restrict area” link, accessible for project partners).

Grant Agreement Amendments

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

Amendments can only be done in writing and have to be done through the project coordinator. The amendment is affected through an exchange of letters:

- a letter-request from the coordinator on behalf of the consortium
- a letter of acceptance of the amendment (the coordinator on behalf of the consortium).

Of course, any project amendment is subject to official acceptance by the PRIMA. Any substantial modification to the content of Annex I (Description of the Action), as well to the administrative information of the project (related to project partners, project budget...etc.) needs the official acceptance of the PRIMA through an amendment process.

The project coordination team strongly recommends the partners to check with the project coordinator any issue that might be subject to an amendment.

For more detailed information about Project Changes (amendments to the G.A), see [Chapter 55](#).

2.3.2 Consortium Agreement

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

The project Consortium Agreement will be also available for all partners in the project [website](http://trace-rice.eu/) (<http://trace-rice.eu/>, through the “partner’s restrict area” link, accessible for project partners).

3. Project Structure

The overall plan of the project follows the tasks, activities and schedule as laid down in the Work Plan ([Annex I to the grant agreement](#)). The guiding point of all work and planning will be the Deliverables due to the PRIMA along the four internal reporting periods, two reporting periods of TRACE-RICE:

- ✓ Internal RP1: from month 1 to month 12 - from 01/09/2020 to 31-08-2021
- ✓ Internal RP2: from month 13 to month 24 – from 01-09-2021 to 31-08-2022
- ✓ Internal RP3: from month 25 to month 36- from 01-09-2022 to 31-08-2023
- **RP1: from month 1 to month 24 – from 01-09-2020 to 31-08-2022**
- **RP2: from month 25 to month 48 – from 01-09-2022 to 31-08-2024**
- **Final Report: from month 1 to month 48 – 01-09-2020 to 31-08-2024**

3.1 Work Packages List/Overview

TRACE-RICE is a 48 month project organized in the following Work Packages:

Table 2. Work Packages List 1

WP N°	WP TITLE	LEAD NUMBER	LEAD SHORT NAME	PERSON-MONTHS	START MONTH	END MONTH
1	Test solutions for authenticity, origin and traceability	3	UNL-ITQB	110	1	48
2	Test solutions and best practices to reduce chemicals	5	EM	72	1	40
3	Circular economy applications in rice cultivation and new high-added value products	10	CSIC-IATA	72	1	36
4	Test solutions for blockchain integration and development of predictive models	7	BGI	26,5	6	30
5	Exploitation and replicability	1	INIAV	83,5	24	48
6	Dissemination and communication	4	CASA DO ARROZ	61,25	1	48
7	Project management	1	INIAV	39,5	1	48

The Work Packages structure and a WP relation, as defined in the Description of Work, is the following:

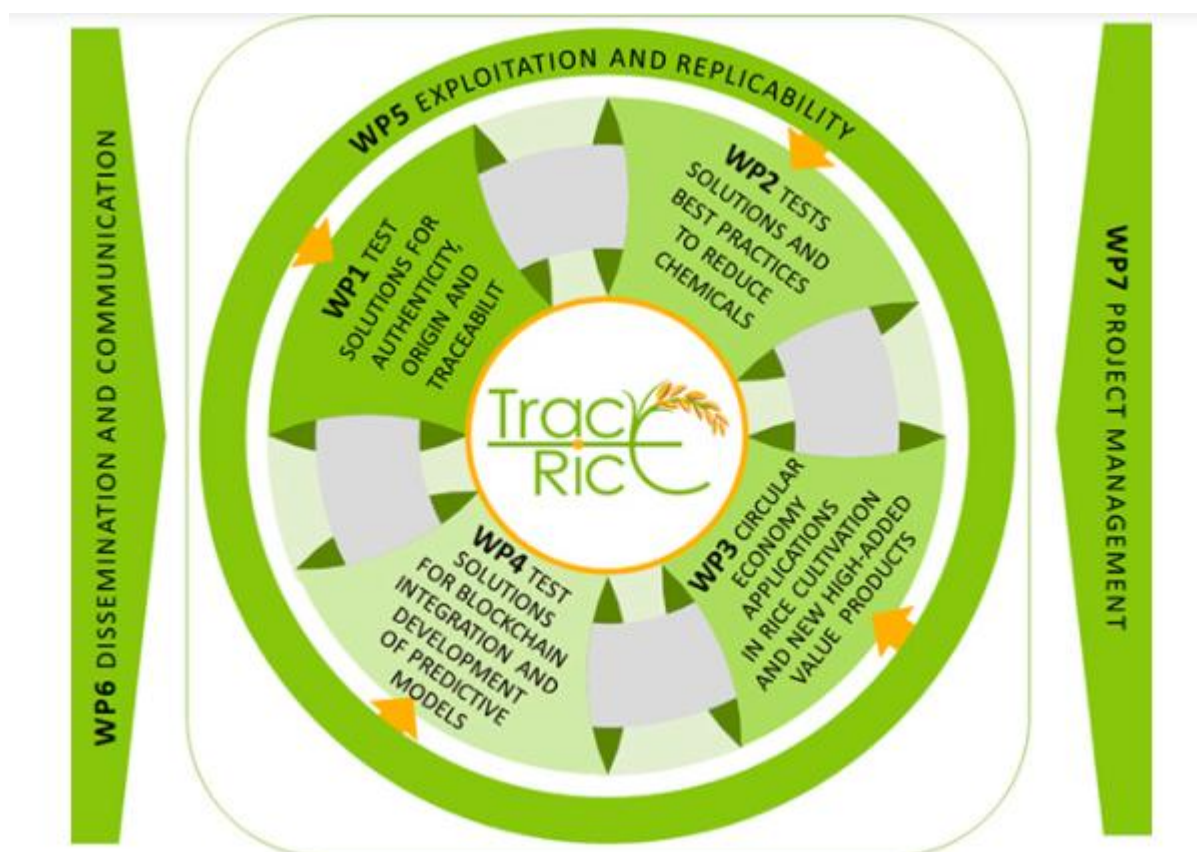


Figure 1. Work Package Structure

The detailed description of each Work Package's work is described in Annex I to the ECGA, Description of Action (DoA).

Each Work Package has a named WP Leader that is the partner in charge of the leadership and coordination of the technical and economic aspects of the Work Package. 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. The partners concerned shall appoint a named individual to carry out the role of Work Package Leader.

3.2 Deliverables

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

The [list of deliverables](http://trace-rice.eu/) (<http://trace-rice.eu/>, through the “partner’s restrict area” link, accessible for project partners) for the 48 months of the project is shown in Table 3 in chronological order of each WP to facilitate the follow up of submission. If a deliverable is comprised of several versions to be submitted in different dates, those versions appear as many times as dates, with the indication of the release month (month #).

For those deliverables that have more than one version but the different dates are not fixed, the delivery is shown only once. Partners responsible for these deliverables must be cautious with their submission.

Table 3. List of Deliverables

Del. No ¹	Deliverable Name	WP no.	Part	Type ²	Dissem. level ³	Date ⁴
D1.1	Identification of the list of possible rice varieties and collection of a subset of 20 target varieties	1	INIAV	R	CO	2
D1.2	Whole genome sequence of 20 varieties and bioinformatics data on genetic variants	1	UNL-ITQB	R	CO	18
D1.3	DNA-based multiplex strategy, with discriminating potential validated across a wide set of varieties	1	UNL-ITQB	R	CO	48
D1.4	Chemical and rheometric data related to rice quality	1	iBET	R	CO	24
D1.5	List of bio accessible compounds	1				24
D1.6	Predictive models of rice authenticity are available	1	iBET/INIAV	O	CO	30
D1.7	Digital platform for rice traceability data check	1	M. Dynamics	O	CO	48
D2.1	Integrated mapping of existing solutions to prevent (i) insect infestation, (ii) mycotoxin contamination, (iii) pathogen development.	2	INIAV	O	CO	6
D2.2	D2.2 Report with results of the testing trials of the solutions selected for prevention of (i) insect infestation, (ii) mycotoxin contamination, (iii) pathogen development.	2	INIAV	R	CO	36
D2.3	Report of assessment of the efficiency of active packaging and bio plastics	2	iBET	R	CO	36
D2.4	A catalogue of predictive models of microbial inactivation and growth as function of processing and storage conditions for process assessment and incorporation in WP5 models for ready-to-eat rice products.	2	CSIC-IATA	R	CO	36
D2.5	Results of validation and final choice of solutions to be incorporated in WP5 case studies.	2	EM	R	CO	36
D3.1	Market analysis of rice-based products and election of consumers targets	3	CSIC-IATA	R	CO	18
D3.2	Physico-chemical, sensory and health related parameters of processed rice	3	CSIC-IATA	R	CO	24
D3.3	List of ingredients/compounds extracted from rice by-products	3	CSIC-IATA	R	CO	30
D3.4	Report on extraction technologies to optimize bioactive compounds	3	iBET	R	CO	36
D3.5	Report on innovative food and beverages, and other edible and non-edible materials from renewable resources	3	DPL	R	CO	36
D4.1	Report of pilot study development. Report	4	BGI	R	CO	30
D4.2	Exploitation Plan and Business Strategy. Report	4	BGI	R	CO	36
D5.1	Pilots specification and design Plan. Report	5	BGI	R	CO	27

D5.2	Pilot setup and deployment (2 sites). Report	5	INIAV	R	CO	33
D5.3	Pilot acceptance evaluation results. Report	5	INIAV	R	CO	40
D5.4	Exploitation and Dissemination Strategy Report	5	INIAV	R	CO	48
D6.1	Communication and Dissemination Plan	6	INIAV	R	PU	6
D6.2	TRACE-RICE website	6	INIAV	O	PU	6
D6.3	TRACE-RICE flyer	6	INIAV	R	PU	10
D6.4	TRACE-RICE presentation video	6	INIAV	O	PU	10
D6.5	Consumer-centric mobile application	6	M. Dynamics	O	PU	18
D6.5	Draft Report on Communication and Dissemination activities and impacts	6	CASA DO ARROZ	R	CO	36
D6.7	TRACE-RICE Good Practices Book	6	UNL-ITQB	R	PU	36
D6.8	Final Report on Communication and Dissemination activities and impacts	6	CASA DO ARROZ	R	CO	48
D7.1	Project management handbook	7	INIAV	R	CO	3
D7.2	Quality Assurance Plan	7	INIAV	R	CO	6
D7.3	Data Management Plan	7	INIAV	R	CO	6
D7.4	Interim reports	7	INIAV	R	CO	18,36,48

¹Deliverable numbers in order of delivery dates of each WP. ²Nature of the deliverable: R = Report; O = Other. ³Level of dissemination: PU = Public, CO = Confidential, only for members of the consortium (including the PRIMA Services). ⁴Measured in months from the project start date (month 1).

Submission of Deliverables

During the course of the Project, the deliverables identified in Annex I to the Grant Agreement have to be finished and submitted to the PRIMA according to the timetable specified in the Deliverable list. All deliverables have to be submitted electronically via MEL PRIMA platform.

In order to verify the correct progress of the Project, apart from uploading the deliverables in the PRIMA platform on the due date, the Project Coordinator has to send an email with each deliverable to the Project Officer.

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 PRIMA officer is kept informed.

See [Chapter 19.1](#) (GA) Review and Submission of deliverables for more detailed information.

4. Project Management

4.1 Management Structure

The project management structure is the following:

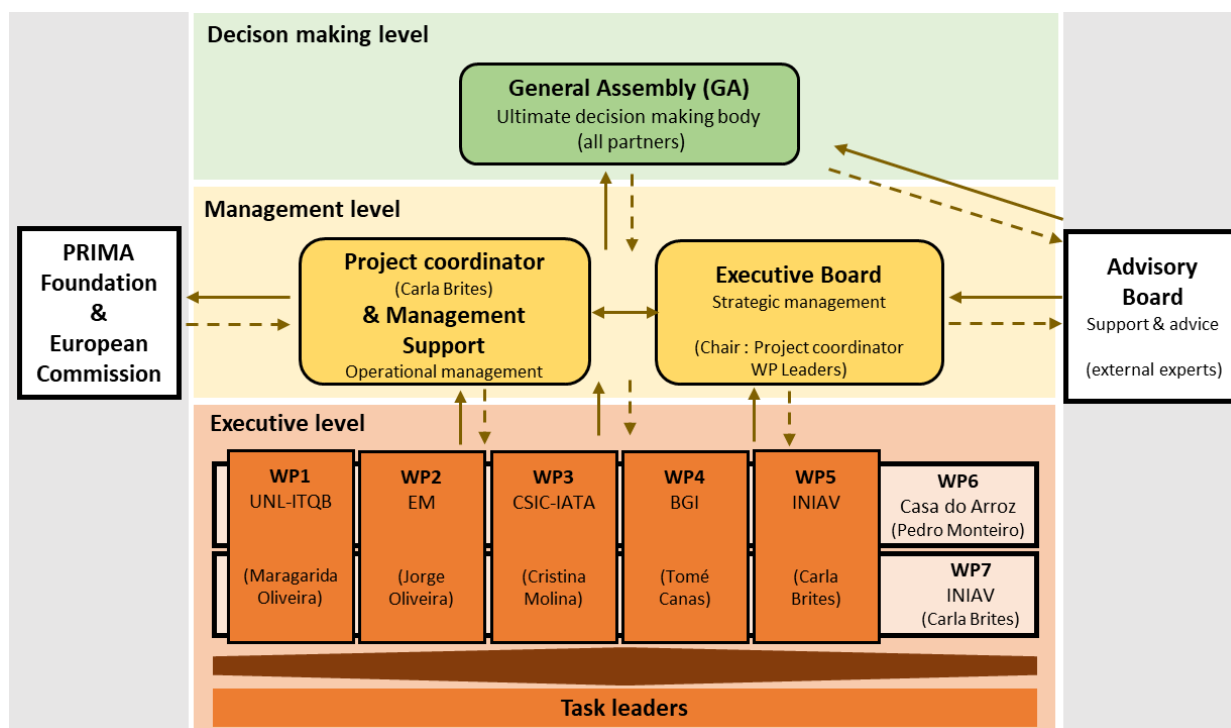


Figure 2. TRACE-RICE Management Structure

Project Coordinator:

The project coordinator will be Carla Moita Brites, from INIAV. As project coordinator she will be responsible for:

- ✓ Communication: all communications between the project and the Commission
- ✓ General assembly and project meetings; administration, minutes;
- ✓ Preparing and communicating the yearly project progress reporting to the General Assembly
- ✓ Global Monitoring:
- ✓ Follow-up and adaptation of the project planning;
- ✓ Organising, steering, checking and assuring the reporting in time towards the PRIMA;
- ✓ Overall monitoring of progress on all work packages and setting in place procedures for ensuring more detailed progress monitoring in consultation with the subgroups;
- ✓ Monitoring of the expenses and allocation of the budget; assistance towards the participants concerning administrative aspects of the project;
- ✓ Coordinating the payments to the partners;
- ✓ Reporting: Deliverables, progress reports, yearly management reports. Sending paper documentation to PRIMA Foundation.

Management Team:

The Management Team will work to support the coordinator also in all the activities that need representation within the PRIMA Foundation. The Management Team will

be led by the Coordinator (Carla Moita Brites, from INIAV). The Management Team is in charge of the day to day technical coordination and execution of the project, supported by the INIAV Project Support Office, and the Technical Manager, that provides administrative support to the parties. Functions of this project office include:

- ✓ Perform the pursuit of progress work involved with technical-administrative aspects.
- ✓ Assistance and coaching at administrative level to the partners.
- ✓ All contract amendments to be presented to the PRIMA Foundation.
- ✓ Quality Management report. This report gathers the methodology of management for the project, models to collect information, people in charge of its delivery, terms of delivery, revision of the deliverables of the project, etc.
- ✓ Preparation of the project meetings in collaboration with the coordinator.

General Assembly:

A General Assembly (GA) as steering and management committee. One main aim is to advise and support the decisions of the Project Coordinator on operational and management issues. This board will be responsible for all decisions of general nature within the frame of the PRIMA Contract and the Consortium Agreement. Especially the detailed budget allocation, any re-definition of the overall work plan, the coordination of the activities and communication between parties, and the overall project progress assessment will be performed by this committee. The General Assembly is responsible for all decisions affecting more than one partner, such as contractual matters, financial matters, major technical decisions, preparation of reporting. The detailed responsibilities and tasks are described in the project's Consortium Agreement. The General Assembly is chaired by the Project Coordinator and her Assistant (Management Team). It will be convened every 12 months in face to face consortium meetings (kick off meeting in month 1 and months 12, 24, 36 and 48) and whenever needed (audio conferences).

Executive Board:

The Executive Board (EB) will be chaired by INIAV and comprises the WP Leaders. As a supervisory body for the execution of the project, the EB will be responsible for:

- Prepare the meetings, propose decisions and the agenda of the General Assembly.
- The proper execution and implementation of the decisions of the GA
- Seek a consensus among the Parties.
- Monitoring the effective and efficient implementation of the Project, collecting information at least every 6 months on the progress of the Project, examine that information to assess the compliance of the Project with the Consortium Plan and, if necessary, propose modifications of the Consortium Plan to the General Assembly.

Pilot Teams:

The project will implement 4 pilot demonstrations:

- PILOT 1: Test solutions for product traceability: Materdynamics, EM, Casa do Arroz
- PILOT 2: Test solutions to decrease chemical fumigations: EM
- PILOT 3: Test natural bioactive ingredients in bakery products: DPL
- PILOT 4: Test solutions for blockchain integration: BGI, EM, Casa do Arroz

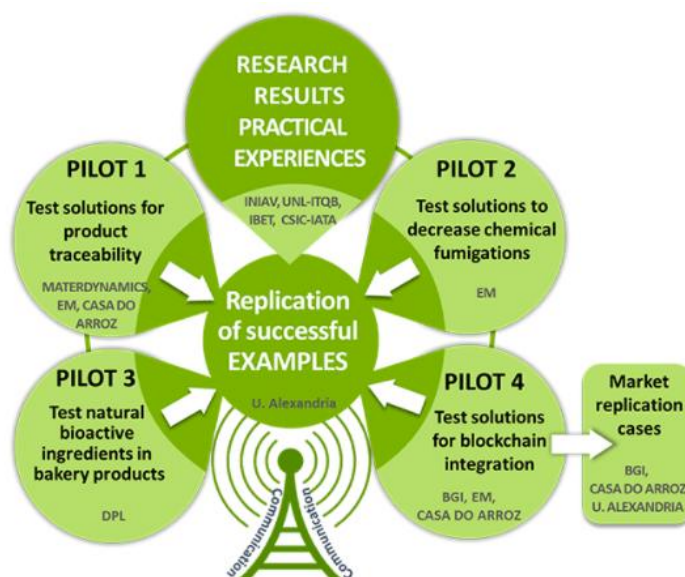


Figure 3. Pilot Structure

Work Packages Teams and Leaders:

The Work Package (WP) Leaders will ensure the timely execution of tasks included in each Work Package, stimulating the interaction between the various partners involved. They are also responsible for the consolidation of the specification reports and execution of the tasks that integrate each WP. Each organization involved will appoint a WP Manager, who is responsible for operational decisions, sending quarterly a short progress report to the Project Coordinator supported by the management team, guaranteeing that the partial and total objectives of the WP are accomplished, elaborating the reports of the WP and organizing the presentation or results.

Advisory Board:

The Advisory Board will be the organ through which external expert people recruited from other related projects in the field of cereals entomology and storage management will give their advice and feedback on the main arising issues of the TRACE-RICE project.

The Advisory Board will play a key advisory and consultative role in the project. The main goals of this board will be the following:

- Providing requirements and feedback to the project objectives.
- Monitoring the main milestones of the project, updating their feedback, and providing the necessary inputs for guiding the project towards the achievement of main objectives.
- Providing a final feedback on results evaluation and expectations for future evolution.

The TRACE-RICE Advisory Group will consist of experts recruited from related projects in the field of cereals entomology and storage management. The members of this Advisory Board are the following:

- Anna Vega, Grintechnik
- António Mexia, University of Lisbon, Entomology Department
- Maria da Graça Barros, Entomology Department

4.2 Project Management Procedures

General Management Procedures:

Partners are responsible for:

- Effective economic management and development of the operational work in accordance with the program guidelines and with ethical and legal standards.
- Complying with general terms and conditions governing grants and any terms and conditions specific to each grant or granting programme established by the PRIMA Foundation.
- Managing and supervising the operational personnel.
- Meeting reporting requirements specific to PRIMA/H2020 and the call
- Acknowledging the financial support of PRIMA for the operational work.

Decision Taking Mechanism:

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

Each Consortium Body shall not deliberate and decide validly unless a quorum of two-thirds (2/3) of its 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 a majority of two-thirds (2/3) of the votes.

Monitoring and Progress Reporting:

Each partner and WP leader will report project progress to the Technical Coordinator on a twelve to twenty four-monthly basis. This will cover technical progress, results, deliverables and compliance with the WP schedule, as well as the monitoring and updating of the identified risks. The technical coordinator will be supported by the management in the whole process and in the revision of legal and administrative aspects. This progress report will be validated by the Executive Board and by General Assembly prior to being sent to the PRIMA Foundation.

5. Information Management

5.1 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 repository for TRACE-RICE project is accessible through its project <http://trace-rice.eu/>

This website contains a public part and a private part. The public part of the project website acts as the main dissemination channel. The private part contains sections to store the document repository needed by the partners during the project. A brief summary of the documentation organization and content is giving below:

Management menu:

- Internal documents [Home menu](#):
 - DoA
 - Grant Agreement
 - Amendments
 - Templates
 - Meeting Minutes
 - Other Relevant Information:
 - [Financial & Administrative H2020 guidelines](#): Access to the generic guidelines provided by the EC for H2020 projects
 - Contact list: Access to the complete [contact list](#) of the project

5.2 Technical Information Flow Chart

The WP leaders 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. In the case that the issue cannot be solved, it will be transmitted to the Technical Coordinator.

The Technical Coordinator will resolve the issues put up by the WP Leaders or will transmit them to the Management Team if necessary.

All relevant issues with an impact on the work and planning of the project will be discussed with the Management Team without unduly delays.

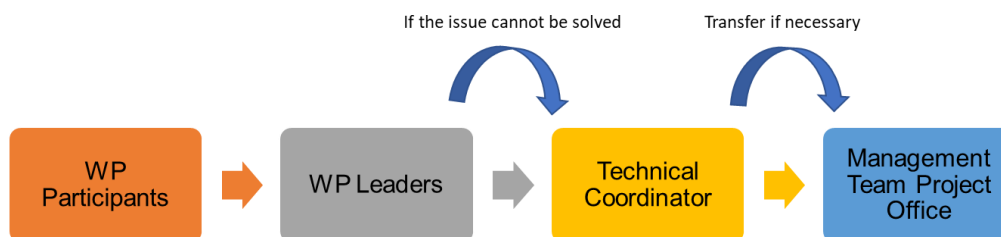


Figure 4. Technical Information Flow Chart and dealing with issues

5.3 Administrative Information Flow

By administrative information it is understood any information related to the administrative procedures of the project, including financial issues. 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 organization, change of authorized representatives of each organization, etc.) should be transmitted as soon as possible to the Project Coordinator to take the necessary measures.

Administrative information must be submitted directly from each partner to the Project Coordinator.

5.4 Templates

Administrative information must be submitted directly from each partner to the Project coordinator. All the official documents of TRACE-RICE (presentations, deliverables, external communication, meeting minutes, etc.) must use the templates which will be available in the project website (<http://trace-rice.eu/>). The project logo 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 from the website each time an official TRACE-RICE document is going to be generated.

5.5 Review and Submission of Deliverables

All the deliverables must be finalized and submitted within the deadlines defined in Annex I to the Grant Agreement. Please see *Subsection 3.2* of this document.

All deliverables shall be submitted to the PRIMA Foundation by electronic means via the MEL PRIMA Platform.

The tasks leaders (who are in charge of the generation of the deliverable) and the WP leaders are responsible for the technical quality of the deliverables.

In order to ensure the quality of the delivery to be submitted, the following procedure has been defined to be followed prior to submission:

1. 2 weeks before the submission of the deliverable, the task leader responsible for generating the deliverable will send it to the WP leader.
2. Once the deliverable is sent, there is 1 week for the WP leader to make comments/suggestions. The WP leader will then send the review back to the Task leader.
3. 3 days before the submission, the partner in charge of the deliverable will send the final version to the WP leader, who will then send the document to the project Coordinator at least 2 days before the due delivery date. The Project Coordinator will be responsible for uploading the document in the participant portal and submitting it to the Commission by electronic means, while also sending the deliverable by e-mail to the Project Officer.

Points to be considered are:

- Does the deliverable fulfil the objectives as set out in the WP description in Annex I?
- Does the deliverable justify the resources expended as outlined in the progress report?
- Is the document format correct, including the title page?

5 weeks in advance to the planned delivery date for each deliverable, the WP leader will contact the lead partner in charge of the deliverable to check whether it will be submitted as planned or whether there is any unexpected problem that may cause a substantial delay.

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 also define a new date, as soon as possible, for submission of the deliverable.

5.6 Deliverable Numbering System

The deliverable numbering will follow the Deliverables list numbering included in DoA. The delivery number shall be used as a code on the front page of all deliverables.

The title of the document/deliverable must follow the titles included in the work program.

5.7 Payment Procedures

5.7.1 Payments to be Made

Article 21 to the Grant Agreement establishes the payments to be made from the PRIMA to the Coordinator and from the Coordinator to the rest of the consortium:

- One Pre-financing payment with 60% of total contribution
- Two Interim payments with up to 30% of total contribution

- A final payment /payment of the balance: up to 10% of total contribution

5.7.2 Pre-financing Payment – Amount Retained for the Guarantee Fund

The amount of the pre-financing payment will be the 60%: 959,733.83 € (nine hundred and fifty-nine thousand seven hundred and thirty-three euro and eighty-three eurocents). The pre-financing was received by the consortium in the last quarter of 2020.

An amount of 40,786.69 € (forty thousand seven hundred eighty-six euro and sixty-nine eurocents), corresponding to 5% of the maximum grant amount (see Article 5.1 of Grant Agreement) is retained by the Coordinator from the pre-financing payment and transferred into the 'Guarantee Fund'.

5.7.3 Interim Payments & Final Payment

Interim payments reimburse the eligible costs incurred for the implementation of the action during the corresponding reporting periods. Payment is subject to the approval of the periodic report. Its approval does not imply recognition of the compliance, authenticity, completeness or correctness of its content.

There will be up to three more payments of contribution from the coordinator to the beneficiaries. These payments correspond to:

- Interim payment of PR1: up to 15% of beneficiary's contribution, after approval of the 1st periodic report, estimated in M29 (31/01/2023)
- Interim payment of PR2: up to 15% of beneficiary's contribution, after approval of the 2nd periodic report, estimated in M53 (31/01/2025)
- Final payment: up to 10% of beneficiary's contribution after approval of the final report, estimated in M53 (31/01/2025)

Cumulative paid amount never will be over 90% of beneficiary's contribution, before the final payment.

6. Project reporting

6.1 Periodic Reporting to the PRIMA Foundation

Monitoring the project implementation is a continuous task that takes place at any moment during the active period and beyond. There are contractual tasks that make the project monitoring most relevant at certain periods in project's life, in particular after each reporting period at the time of payments. In accordance to the Grant Agreement, project reporting obligations with the PRIMA are the following:

- Deliverables (as described in DoA) – Article 19 of the GA. The complete list of deliverables to be submitted to the PRIMA is available in section 3.2 (See Table 3. List of deliverables).
- Periodic Reports (within 60 days following the end of each reporting period) - [Article 20 of GA:](#)
 - Periodic technical report
 - Periodic financial report
- Final Report (in addition to the periodic report for the last reporting period)
 - Final technical report – summary for publication
 - Final financial report – CFSs
- Report on the distribution of payments

6.1.1 Periodic Reports

The action is divided into the following “reporting periods”:

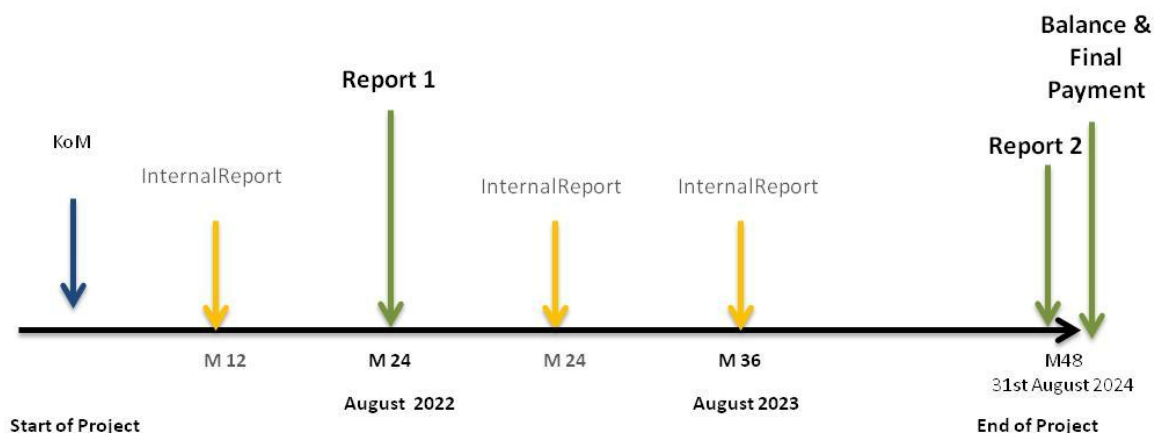


Figure 5. Timeline of Periodic Reports

- ✓ Internal RP1: from month 1 to month 12 - from 01/09/2020 to 31-08-2021
- ✓ Internal RP2: from month 13 to month 24 – from 01-09-2021 to 31-08-2022
- ✓ Internal RP3: from month 25 to month 36- from 01-09-2022 to 31-08-2023
- **RP1: from month 1 to month 24 – from 01-09-2020 to 31-08-2022**
- **RP2: from month 25 to month 48 – from 01-09-2022 to 31-08-2024**
- **Final Report: from month 1 to month 48 – 01-09-2020 to 31-08-2024**



The financial report is used to evaluate the execution of a project and to make adjustments if necessary. Having that in mind, all TRACE-RICE Partners should send all their expenses (digitalized and by e-mail) to INIAV Management Team/Coordinator.

After the end of each interim period, a periodic report shall be submitted to the PRIMA. In TRACE-RICE, three Periodic Reports and the Final Report shall be submitted to the Prima:

- 1st Periodic report covering the activity from M1 to M24
- 2nd Periodic report covering the activity from M25 to M48
- Final Report covering the activity from M1 to M48

6.1.1.1 Time Limit for Submission of Periodic Report and Final Reports

The 2nd Periodic reports and the Final report shall be submitted to the PRIMA Foundation by the coordinator within 60 days after the end of the reporting period.

- 1st Periodic report shall be delivered in M26 – deadline 31/10/2022
- 2nd Periodic report shall be delivered in M50 – deadline 31/10/2024
- Final periodic report shall be delivered in M50 – deadline 31/10/2024

As stated in the Grant Agreement, periodic reports following the termination of a period the Coordinator shall deliver the periodic report 60 days after, that is 31/10/2022 (M26) and 31/10/2024 (M50).

At the end of each reporting period, the PRIMA shall evaluate and approve project reports and deliverables and distribute the corresponding payments within 105 days of their receipt. In the case that the PRIMA requests any further information, clarification or documentation on the periodic report, the time of 105 days will be stopped from the PRIMA side restarting the count-down upon reception of requested information.

6.1.1.2 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

is available at TRACE-RICE Repository (see folder “templates”). It is also available from the following link:

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:

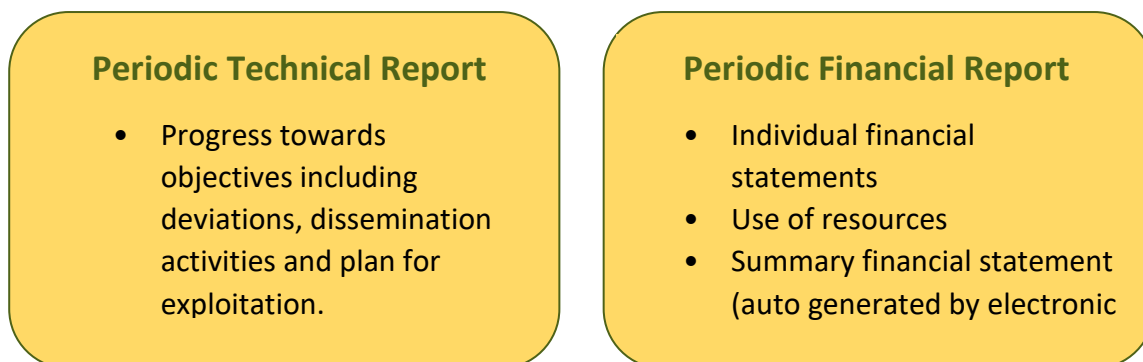


Figure 6. Periodic Report

The Periodic Report must include the following sections:

1. A “**Periodic technical report**” containing:

- ✓ An explanation of the work carried out by the beneficiaries
- ✓ An overview of the progress towards the objectives of the action, including milestones, and deliverables identified in Annex 1.
- ✓ A summary for publication by the PRIMA Foundation
- ✓ Questionnaire covering issues related to the action implementation and the economic and societal impact, notably in the context of the key performance
- ✓ Indicators and monitoring requirements of Horizon 2020 and the PRIMA Programmes

2. A “**Periodic financial report**” containing:

- ✓ An “individual financial statement” ([see Annex 4 of GA](#)) from each beneficiary
- ✓ An explanation of the use of the resources and the information on subcontracting and in-kind contributions provided by third parties (if applicable) from each beneficiary.
- ✓ A “periodic summary financial statement” ([see Annex 4 of GA](#)), created automatically by the electronic exchange system, consolidating the individual

financial statements for the reporting period concerned and the request for interim payment.

6.1.1.3 Electronic Submission of Periodic Reports

The submission of the periodic reports to the PRIMA Foundation via MEL PRIMA Platform is the responsibility of the Coordinator.

6.1.1.4 Data Collection from Beneficiaries and Roles

For the preparation of the periodic period reports technical and financial inputs are necessary from beneficiaries

➤ Technical information: workflow

The process for collecting these inputs is detailed bellow:

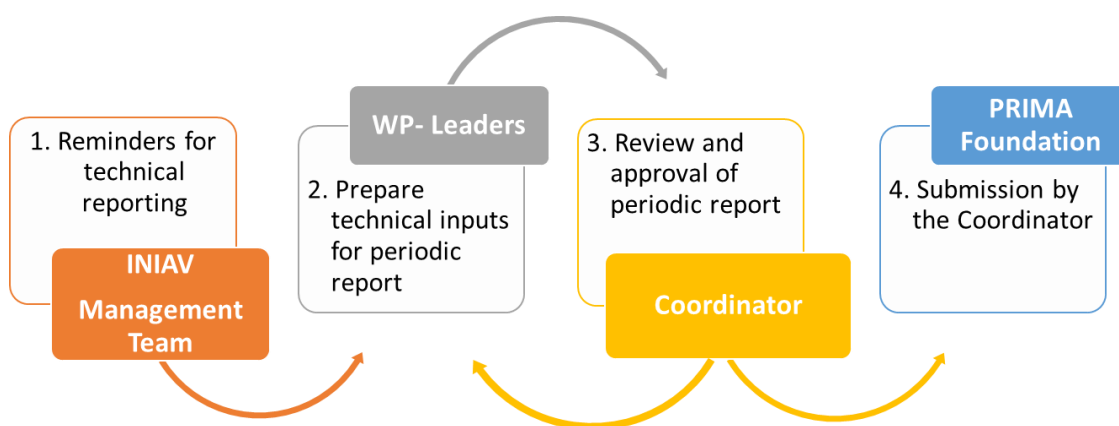


Figure 7. Technical Information - Workflow

The Project Coordinator will launch the process of collecting technical inputs for the technical report at the end of M15, M46 and M49.

➤ Financial information: workflow.

The process for collecting these inputs will be supervised by INIAV and is detailed bellow:

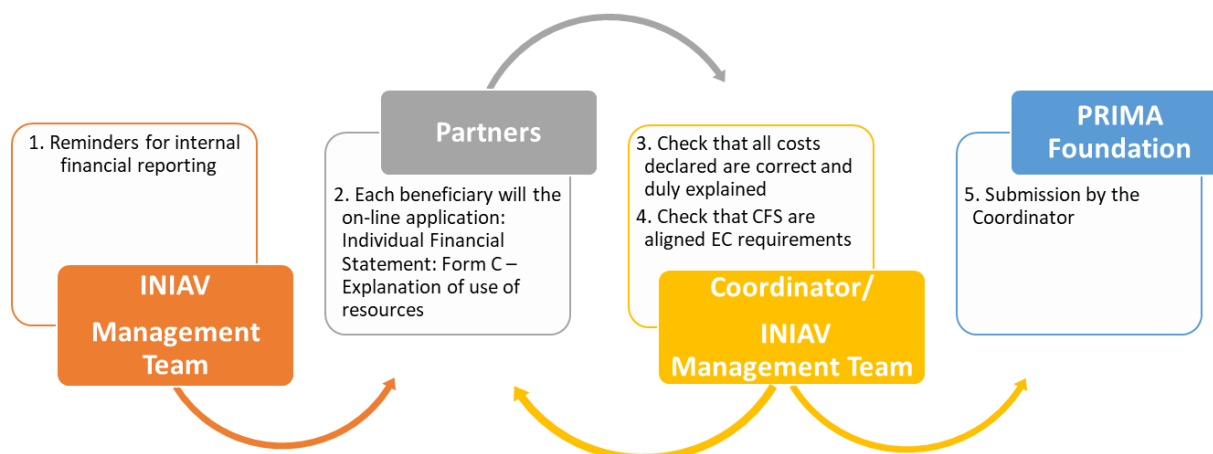


Figure 8. Financial Information - Workflow

The Project Coordinator INIAV will launch the process of collecting financial information one month later after the finalisation of a reporting period M25 (30/09/2022), M49 (1/10/2024) for verification.

All beneficiaries shall complete electronically the model for the Financial Statement via the PRIMA Platform.

The Individual Financial Statements of each beneficiary shall be signed electronically by the corresponding Project Financial Signatories (PFSIGN) appointed by each organization.

To summarize, documents to be sent to the coordinator to elaborate the periodic reports are the following:

Table 4. Inputs for the Periodic Report

REPORT		Date issue	Author
Technical Report	Work Package Leader	WP Progress report within the period	One month after finalisation of each reporting period: M15,M46, M49
	All the partners	Estimation of resources	One month after finalisation of each reporting period: M15,M46,M49
Financial Report	All the partners	Cost statement	One month after finalisation of each reporting period: M25, M49 and M50
	All the partners	Model for the + Certificate on Financial Statements (if required)*	One month after finalisation of each reporting period: M25, M49 and M50

6.1.2 Final Report

At the end of the project one Final Report has submitted in addition to the periodic report for the last period. The content of the Final report is compulsory and determined by the PRIMA [\(see Article 20.4 of the Grant Agreement\)](#).

6.1.2.1 Content Final Report

This final report must include the following:

1. A “final technical report” with a summary for publication containing:

- ✓ 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&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.
- ✓ The conclusions of the action, and
- ✓ The socio-economic impact of the action

2. A “final financial report” containing:

- ✓ A “final summary financial statement” [\(see Annex 4 of the Grant Agreement\)](#) created automatically by the electronic exchange system, consolidating the individual financial statements for all reporting periods, and including the request for payment of the balance and,
- ✓ A “CFS - certificate on their financial statements” [\(in accordance with Annex 5 of Grant Agreement\)](#) or each beneficiary, if it requests a total contribution of 325.000 € or more, as reimbursement of actual and unit costs calculated on the basis of its usual cost accounting practices.

6.1.2.2 Submission of Final report

The submission of the final report shall be done within 60 days following the end of the last reporting period (31/08/2024).

6.1.2.3 Roles

The Final Report will be submitted by the Coordinator through PRIMA platform.

6.1.2.4 Data Collection from Beneficiaries and Roles

For the preparation of the Final Report, technical and financial inputs are necessary from beneficiaries. Technical and financial information will be collected following the same workflow as the one described in *Section 6.1.4*.

6.1.3 Report on the Distribution of Payments

After having received the final payment from the PRIMA, the Coordinator shall submit a report on the distribution of the European Union financial contribution between beneficiaries within 30 days after reception of the final payment (not required for Intermediate payments).

6.1.4 Continuous Reporting

Apart from the project reporting obligations, the Commission activates a Continuous reporting module via the MEL PRIMA platform 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

Data collection from beneficiaries and roles

The project Coordinator will be responsible for completing the continuous reporting via the MEL PRIMA platform

7. Project Changes and Potential Problem areas

7.1 Project Changes: Amendments / Information Letters

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 I \(DoA\)](#) 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 the beneficiaries. If required, the Project Coordinator will contact the PRIMA 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

forward a written communication to the Consortium explaining the reason behind the proposed changes and direct consequences in terms of budget, work programme, etc.

Generally, an amendment to the Grant Agreement (GA) is necessary whenever the GA or its annexes shall be modified. In some cases, the GA gives the parties the possibility to carry out certain modifications without an amendment to the GA. Finally, there are cases where the need for an amendment must be assessed carefully.

If an amendment to the GA is necessary, the Project Coordinator will request the amendment process to the Project Officer on behalf of the Consortium.

Small changes during the implementation of the activities and/or the plan defined in the DoA shall be understood as normal in a research project. However, these minor deviations shall be identified and explained in the description of the activities of the corresponding periodic report and corrective measures that were implemented (if any).

Changes which Require an Amendment

- Removal of one or more legal entities from the list due to their non-accession to the GA
- Addition of one or more beneficiaries
- Change of coordinator
- The coordinator remains in the consortium
- The participation of the coordinator is terminated
- Partial transfer of rights and obligations
- Modification of project title and/or acronym
- Modification of duration and/or of start date
- Modification of reporting periods
- Change of financial contribution of the Union or of Euratom
- Reimbursement as a lump sum to ICPC participants
- Change of banking details
- Change of the amount of the pre-financing and/or of the contribution to the Guarantee Fund
- Addition, removal or modification of special clauses
- Changes to PRIMA's and coordinator's contact details
- Modification of Annex I (Description of the Action)
- Amendment requested for reinstatement of the work after suspension of the project
- Request from the coordinator for suspension
- Suspension by the Commission
- Amendment reinstating the continuation of the GA
- Request from the coordinator for suspension
- Suspension by the PRIMA
- Amendment reinstating the continuation of the GA

Changes which do NOT Require an Amendment

Changes which do not require an amendment but shall be duly notified to the PRIMA Foundation via an information letter are the following:

- Change of name and legal details of a beneficiary
- Universal transfer of activity/or of rights and obligations
- Changes in accounting system of beneficiaries and mistakes in indirect costs calculation procedure
- The specific case of change of authorised representative of beneficiary.

7.2 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 Management Team, when identified.

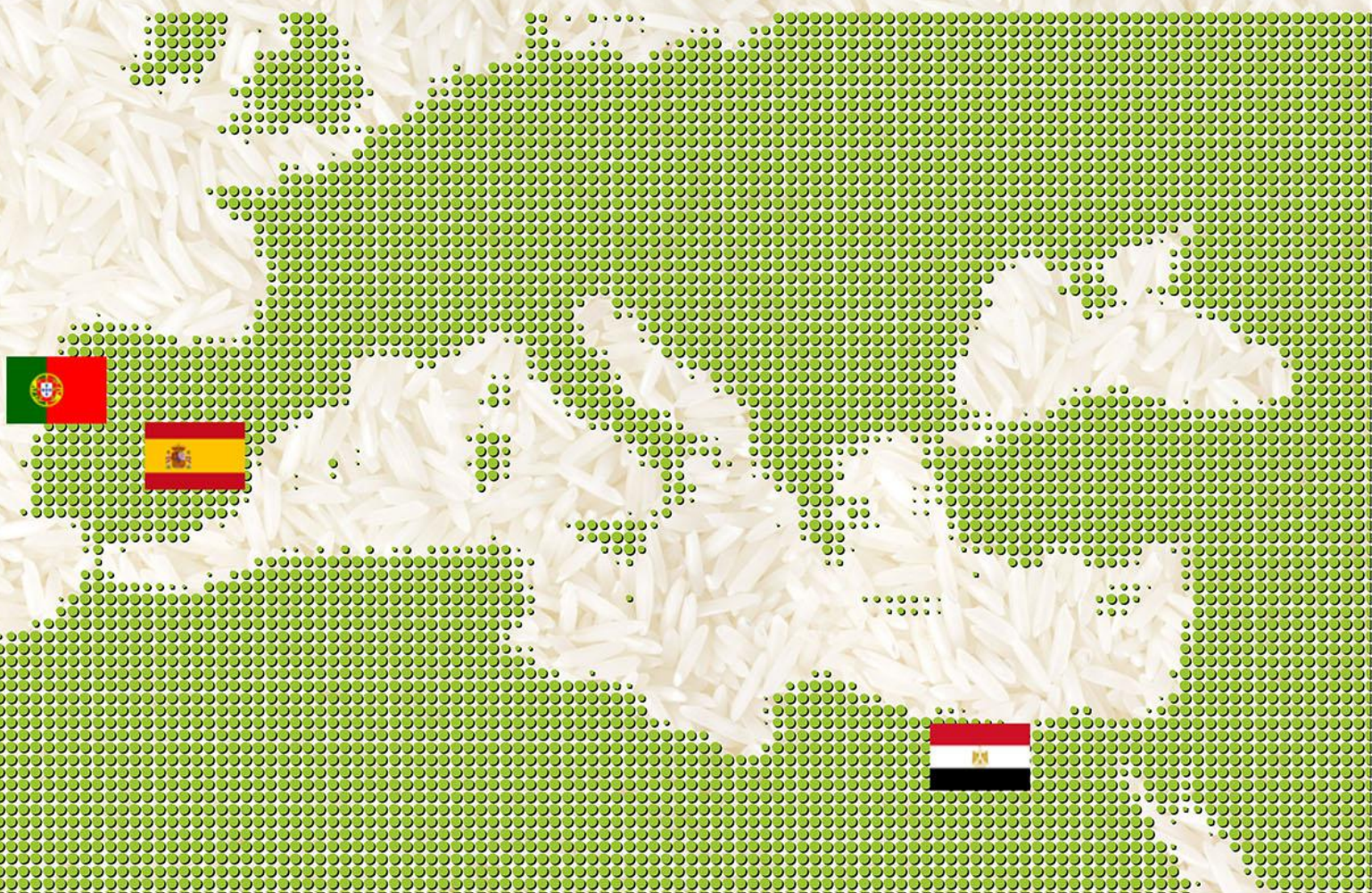
Any Partner of the Consortium must inform the WP Leader of any potential inconveniences identified (see *Section 5.2*). The WP Leader will duly inform to the Technical Coordinator and the Management Team if required.

Appendix 1: Form C

Form C is the financial administrative form (of each partner in each Reporting Period) that will be obtained once introduced the financial data of the cost statement template.

Electronic format is accessible through the private part of the project website: Templates.

Trace Rice



TRACE-RICE Consortium



IBET
Instituto de Biologia
Experimental e Tecnológica



UNIVERSIDADE
NOVA
DE LISBOA



Grupo Desarrollo



Instituto de Agroquímica
y Tecnología de Alimentos

