

## **Minutes of the Meeting held on 05.10.2005 concerning EU co-funded activities (4th meeting)**

**Present:** S.Bergerot, J.Boillot, J.P.Delahaye, D.De Toth, R.Forrest, G.Guignard, J.Letry, A.Lombardi, L.R.Oberli, V.Pietropaolo, N.Polivla, U.Raich, K.Riisager, L.Soby, J.Sladen, G.Suberlucq, M.Vretenar, E.van Hove, C.Wyss.

### **Agenda**

1. Overview of EU activities organization - G. Guignard
2. Financial follow-up and reporting - S. Bergerot
3. EU Specific administrative requirements - R. Forrest
4. Preparation of report to DG on the CERN part of EU-co funded activities

### **Aim of the meeting**

Describe the internal system of coordination and support put in place for helping and guiding the coordinators of the EU co-funded activities on accelerator R&D (CARE, DIRAC, EURISOL, EURONS, EUROTEV).

Discuss the organization of the CERN contributions to EU projects on accelerator R&D.  
Collect the questions and comments from the audience.

### **1. Organization of the CERN part of the EU Activities**

G. Guignard introduced the subject and explained the overall organization at CERN concerning EU activities (see Annex 1). It was noted that:

- this organization is a matrix structure (see Annex 1 and minutes of 13.04.05 meeting)
- there is a team leader as point of contact between EU and CERN for each activity
- there is a support from the EU unit (D.Williams) for helping with rules and requested documents for financial reporting, and for informing everyone about future EU initiatives.
- the EU activity coordination (J.-P.Delahaye and G.Guignard) reports to the Directorate, and includes summaries of the CERN contributions being gathered in regular reports.
- there is a central source of information in the HEP unit (G.Guignard) where the basic information about the EU accelerator R&D projects is gathered. As a tool for this, a cdsweb site was created with the relevant documentation, e.g. administration procedures, activity reports and allocated resources. G.Guignard gave a live demonstration of the use of the site record "CERN Accelerator R&D Projects" accessible from the address <http://cdsweb.cern.ch/> under "Focus on".

The access to the activity resource information is presently restricted by a generic user name and a password to authorized persons. A replacement of the latter by individual NICE user name and pwd is envisaged.

## **2. FP6 and FI Reporting Requirements**

S. Bergerot then presented an overview of the financial aspects of EU activities (see Annex 2). She explained that FI will manage the global aspects of EU activity funding. Emphasis was given on the following points:

- the money received from EU is not a grant for the activities but is an advance for pre-funding. Claims have to be made for re-imbursement of costs and these have to be approved by the commission.
- claims can only be paid for eligible costs, i.e. those expenditures which occur because CERN is performing the specific activity (e.g. only non-permanent staff).
- all EU activity costs must be charged to the EU codes set at CERN and the justification documentation must be kept.
- time sheets must only be filled for the additional staff which is paid from the EU budget part.

It was also mentioned that the secretaries in AB have recently been trained in the claims procedures and that a post has been opened for FI to employ someone to work on financial aspects of EU activities in the Department.

The administrative procedures are directly available at:

[http://fi-dep.web.cern.ch/fi-dep/structure/fi\\_ctr\\_t\\_eu.htm](http://fi-dep.web.cern.ch/fi-dep/structure/fi_ctr_t_eu.htm)

and also accessible from the “CERN Accelerator R&D Projects” cdsweb-record under ”CERN Procedures”.

## **3. EU Specific administrative requirements**

R. Forrest showed (see Annex 3) the structure of the activity budgeting system, the allocation of separate budget codes for the EU funded- and the CERN funded-parts and budget code tables with the names of the persons who have the respective signatory rights. It was demonstrated how it is possible to find codes for the CERN funded activities through CET, using EU as the project name in the search.

## **4. Preparation of report to DG on the CERN part of EU activities**

As indicated under item 1, regular reporting to the Directorate of the CERN contributions to the EU program, i.e. the technical work as well as the resources committed, has to be organized. This has to be done in minimizing additional work and in using as much as possible the reports which are already requested by the coordinators of each activity for reporting to EU. It was agreed to aim at two reports per year to be made available before the CERN Council meetings of June and December. The first one should therefore be ready by the end of November which means that the contributions of each activity technical-coordinator be made available by mid-November.

**Requests to the CERN Technical Coordinators and Deputies.**

(see list in Annex 1)

- *Visit the cdsweb site; check the correctness of the information, give comments and suggestions to G. Guignard , provide him with the names of the persons who need access to the resource tables.*
- *Ensure that all the reports on the CERN contributions to the EU projects are recorded as CERN reports (e.g. CERN-AB..., CERN-AT...,CLIC Notes, etc...) and contain the acronym of the project concerned in the title or the abstract, in order to allow for an efficient document search. Make it retroactively for the project documents already issued.*
- *Make sure that the specific budget codes shown by R.Forrest are used and that the time sheets are filled for additional staff paid from EU budget.*
- *Make sure that secretaries get all documents which need to be filed.*
- *Provide G.Guignard with the list of persons with access permission to the resource information.*
- *Send to Delahaye/Guignard by mid-November their contribution to the report of the CERN activities of the year 2005 within the EU project concerned.*

J.P. Delahaye & G. Guignard  
11.10.2005

Distribution:  
Persons invited and present;  
ABMB.

## **Annex 1 Organization of the CERN part of the EU activities**

The CERN organization of the EU co-funded activities is the matrix structure.

These activities concern several groups or departments.

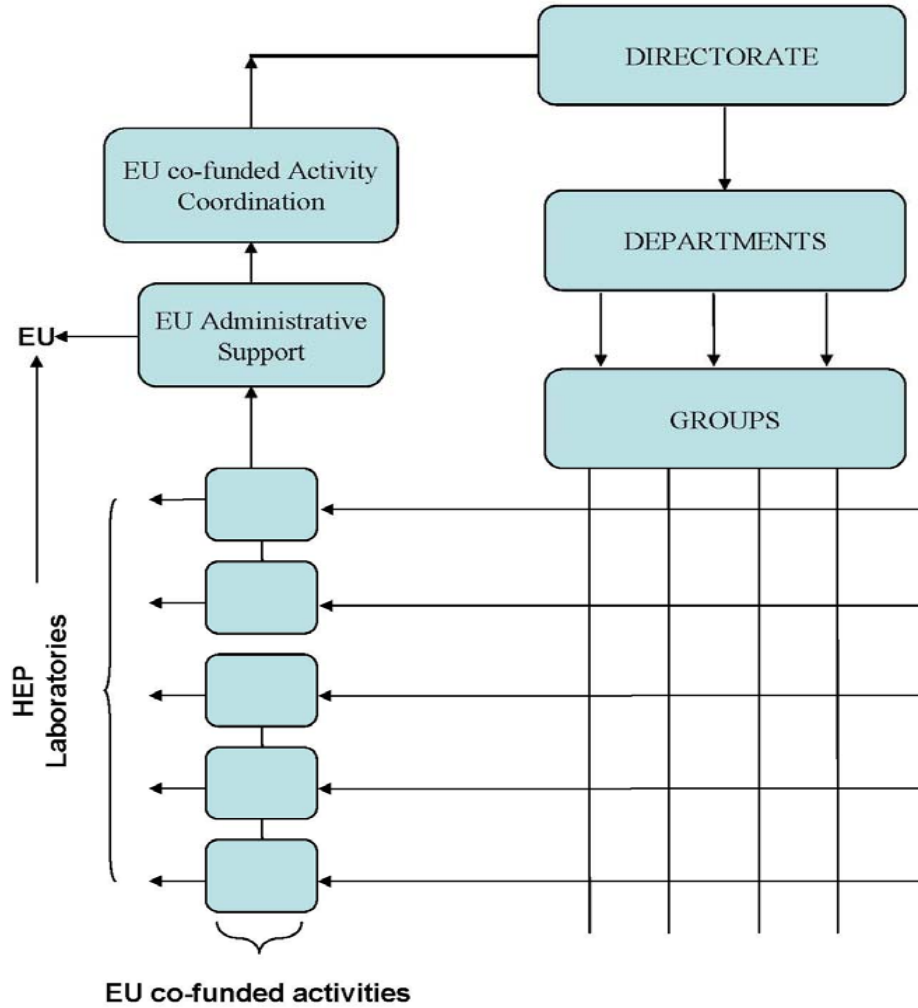
They are sub-divided in sub-activities (tasks), each under the responsibility of one Group in the Executive Line with the Department and Directorate.

The activity management is done transversely by the CERN technical coordinator.

For CARE as an overall project and for each Design Study, an EU Team Leader acts as the point of contact between EU and CERN; in this function he transmits the formal information and requests which he receives from the EC or the project leader and makes sure that replies and reporting are done according to the demand.

The EU unit (D.Williams) provides support to the technical coordinators by giving and making more explicit the guide lines and rules received from the EC, and by guiding the gathering of the necessary documents for financial reporting and auditing. It informs people concerned of the imminent new EU initiatives.

# EU Co-funded Activities



<b>Activities</b>	<b>CERN Technical Coordinators</b>	<b>Deputies</b>	<b>EU Team Leader (Gov. Board)</b>
<b>ESGARD and CARE (I3 project with the NA and JRA listed next) management</b>	G.Guignard	C. Wyss	G. Guignard
Network Activity NA1: E- Linear Accelerator Network (ELAN)	D.Schulte	G. Guignard	
Network Activity NA2: Beam for European NeutrinoExperiment (BENE)	M. Lindroos	H.Haseroth	
Networking Activity NA3: High Energy High Intensity Hadron Beam (HHH)	F.Ruggiero	W. Scandale	
Joint Research Activity JRA2: Photo-injectors (PHIN)	R. Losito	G.Suberlucq	
Joint Research Activity JRA3: High Intensity Protons Pulsed Injectors (HIPPI)	M. Vretenar	A. Lombardi	
Joint Research Activity JRA4: Next European Dipole (NED)	L. Oberli	T. Boutboul	
<b>Design Study : EUROTeV</b>	D. Schulte	G. Guignard	G. Guignard
<b>Design Study : EURISOL</b>	M. Lindroos	K. Riisager	P. Butler
<b>Design Study : DIRAC</b>	U. Raich	C. Rossi	U. Raich
<b>EURONS (I3 project with JRA and TNA, i.e. Trans-National Access)</b>	K. Riisager	M. Lindroos	M. Lindroos

## **Organization of the CERN part of the EU activities      Cont'd**

The EU co-funded activity coordination within CERN (J.-P.Delahaye and G.Guignard) reports to the Directorate.

This reporting includes a summary of the CERN contributions, kind of status report mentioning the changes in the plans, the deliverables met or postponed.

These contributions are somehow included in the yearly reports to the project heads and EU, but need to be singled out.

To facilitate the coordination of the EU co-funded activities and communication it was agreed to have a central source (HEP unit) of the basic information for all. As a tool for achieving this, a cdsweb-site was created (G. Guignard), with basic documents such as:

the tables of allocated resources,  
administrative procedures adopted,  
the activity reports, etc.

and with links to other key web-sites such as the activity sites and the EU-unit site.

CERN Document Server website address

<http://cdsweb.cern.ch/>

Under 'Focus on', in the collection "CERN R&D projects", select:  
**CERN Accelerator R&D Projects**

Workbooks with financial and personal resources are protected:

User name: *ard* Password: *dra2005*

(replacement by NICE user name and pwd of the people who need access is envisaged at a later stage)



Example of Table of Resources from G. Guignard

OVERALL RESOURCES FOR THE CERN PART OF CARE (2004-2008)																						
EU team leader & Governing Board representative: G. Guignard (Deputy: C. Wyss)																						
ACTIVITY	PPA	Activity CERN Coordinator	Budget from EU						CHF/euro Rate 1.544		Budget from CERN						CHF/euro Rate 1.544		Dept/Group involved			
			Code	MATERIAL	TRAVEL	STAFF	VISITORS	Staff+Visit or costs	Material	Personal	Code	MATERIAL	TRAVEL	STAFF	VISITORS	Staff+Visit or costs	Material	Personal				
			kEuros	kEuros	p-y	p-y	kEuros	kCHF	kCHF				kEuros	kEuros	p-y	p-y	kEuros	kCHF	kCHF			
ELAN	FRC.CMS	D.Schulte Dep: G.Guignard	60721		102				157.488	0	60711		80	3		330.3	123.52	509.9832	SG/DSU AB/ABP			
BENE	FNF	H.Haseroth Dep. M.Lindroos	60722		57.8				89.2432	0	60712		105.2	1.87	1.5	322.5	162.4288	497.94	AB/ABP AB/OP AB/ATB			
HHH	FHU	F.Ruggiero Dep. W.Scandale	60723		182.5				281.78	0	60713		123	12.9	3	1653.5	189.912	2553.004	AB/ABP AB/BDI AT/MAS AT/MTM			
PHIN	FRC.CTF	R.Losito Dep. G.Suberlucq	60725	1053	43.2		1	77.7	1692.5328	119.9688	69721	213.3		8.5	2.5	1134.7	329.3352	1751.9768	AB/ATB			
HIPPI	FSP	R.Garoby Dep. M.Vretenar	60726	0	56.2	0	6.5	589.55	86.7728	910.2652	69730	1310	25	38.8	4	4582.9	2061.24	7075.9976	AB/RF AB/OP AB/ABP			
NED	FHU	L.R.Oberli Dep. ?	60727	600					926.4	0	60717	59.2	9.8	0.95	0.4	135.7	106.536	209.5208	AT/MAS			
<b>TOTAL</b>				1653	441.7	0	1	667.25	3234.2168	1030.234		1582.5	343	66.02	11.4	8159.6	2972.972	12598.422				

V 14.07.2005

Basis for salary cost calculations:

-- CERN staff: 170 kCHF/year (no overhead)

-- CERN visitor: 120 kCHF/year (no overhead)

Change rate: 1.544 CHF/Euro (on 01.01.05)

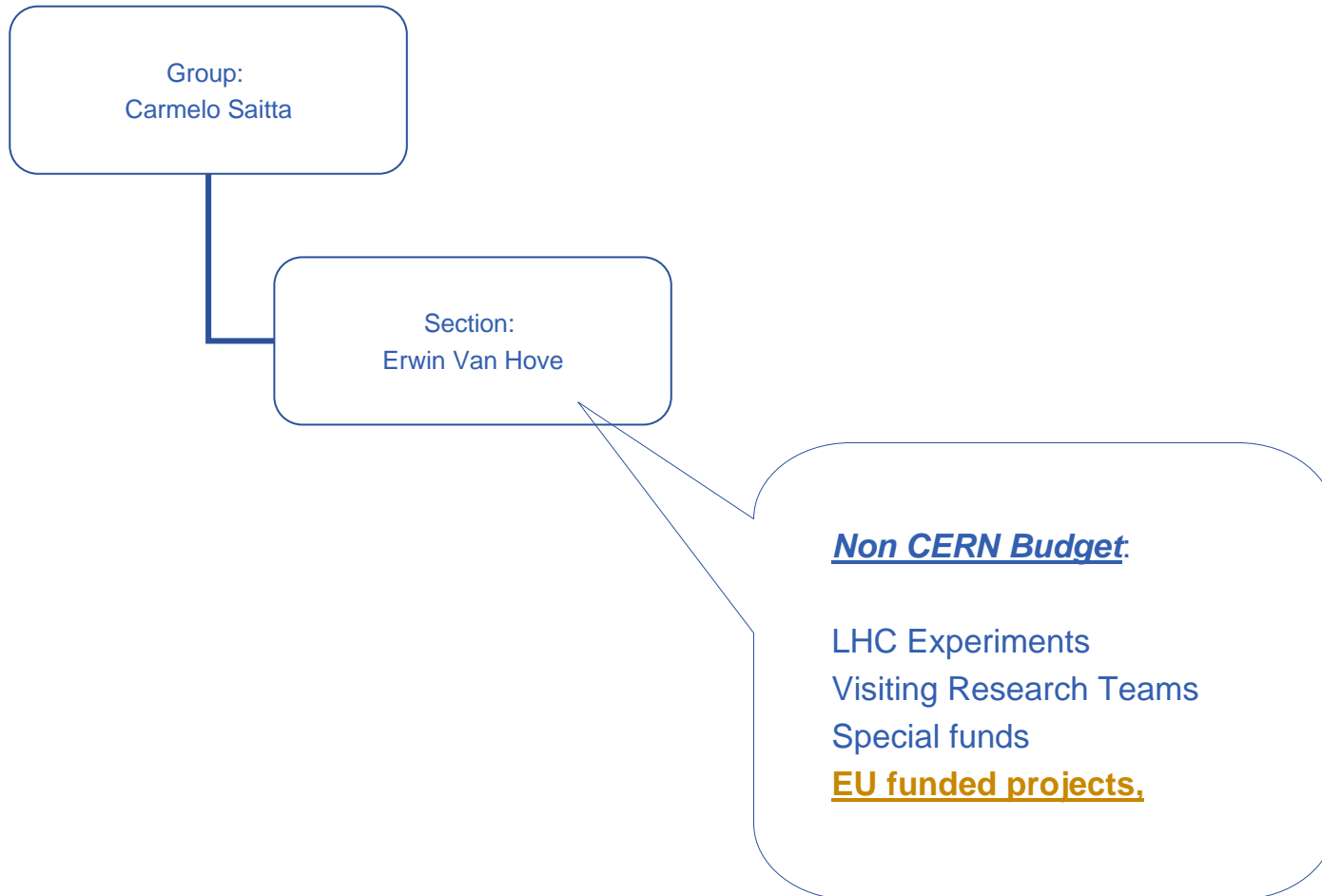
**Annex 2**

# **EU Projects at CERN**

***Framework Programme 6  
and Reporting requirements***

***October 5th, 2005***

# Presentation of the Section CTR-T in FI Department



- 1. The EU Contract, definitions, financial mechanisms
- 2. CERN cost model
- 3. Reporting requirements
- 4. Additional reporting workload and organization

# 1. The EU Contract, definitions, financial mechanisms

- **What is the nature of the contract?**


- **NOT** a grant to the budget
- BUT a scheme of **Reimbursement** of “Eligible” costs

⇒ CERN **will not necessarily** get the amount in the contract.

⇒ This amount is the **Maximum EU contribution** to CERN incurred costs in carrying out the work of the project

⇒ The money received during the project is only a **pre-financing** from the EU.

# 1. The EU Contract, definitions, financial mechanisms

-  the EU reserves the right not to reimburse the institute in case of:
  - Non performance of the project or part of the project
  - Non satisfactory reporting, especially the administrative and financial reporting (FormC and audit certificates)
- In any case, the European “Cour des Comptes” may carry out an audit of the project up to 5 years after the project’s termination
- => Till that date, the EU can claim the money back

# 1. The EU Contract, definitions, financial mechanisms

- **What is an eligible cost?**

To be eligible, a cost must be at least

- **Actual** : real, (not estimated) budgeted or charged.
- **Necessary** for the project.
- **Economic**
- Incurred during the contractual duration of the project
- Determined in accordance with the accounting principles of CERN
- Recorded in the CERN accounts

There are some exclusions... (VAT...)

## 2. CERN cost model

- **AC cost Model and reimbursements**
  - CERN can be reimbursed
    - its actual direct eligible additional costs (AC)
    - +20%

**up to the limit of the maximum contribution** by activity as defined in the contract.
  - An **additional cost** is a cost
    - incurred for the project
    - which would not have been incurred by CERN without the project.
- ⇒ **only non permanent staff** can be reimbursed by the EU
- staff on LD contracts hired for the project,
  - fellows, project associates, students...



## 2. CERN cost model

- **Examples:**

EU Maximum contribution 100

	Case1	Case2	Case3	Case4
EU max contribution	100	100	100	100
CERN Direct eligible Costs	83.3	100	120	50
CERN Indirect eligible Costs	16.7	20	24	10
CERN Total eligible Costs	100	120	144	60
Max EU reimbursement	100	100	100	60
Balance for CERN	16.7	0	-20	10

## 3. Reporting requirements

- **Project internal reporting**
- **Periodic reporting to the EU**
  - Form C or Cost Statement
  - Audit Certificate
- **CERN internal reporting (Ron Forrest)**

## 4. Additional reporting workload and organization

- **Make sure**
  - **All** EU project costs are charged to EU budget codes
  - **And only them**

⇒ **Costs not charged to these codes cannot be reimbursed by the EU**
- **Keep all the documentation to support eligible costs**
  - Each person working in the project must fill in **Timesheets**, to be validated by their supervisor in the project
  - See checklist for material and travel

# 4. Additional reporting workload and organization

<b>CHECKLIST</b>		
<b>Cost charged to EU Budget Codes or EU Teamcodes</b>		
Type of cost	Procedure: Business as usual	Documents to be kept
<b>1. Material</b>		
1.1 Consumables or Materials ordered in the CERN Catalogue	EDH - MAG	copy of the EDH document
1.2 Material Bought outside CERN:	EDH - DAI	copy of the DAI copy of the invoice received from the supplier
1.3 Reimbursement of small purchases outside CERN. (discouraged)	EDH - SUN	original invoice
<b>2. Reimbursement of event attendance outside CERN for CERN personnel</b>		
<b>2.1 Travel Cost: Please use CWT unless it can be demonstrated that private methods are either comparable or cheaper</b>		
2.1.1 CWT: preferred method	EDH - TPP	original flights or train tickets copy of the travel agent bill
2.1.2 Other provider, bought by the member of personnel: (see above)	EDH - TCLM	original flights or train tickets original (if possible) of the travel agent bill or payment proof.
2.1.3 Travel cost (by own car): discouraged	EDH - TCLM	copy of EDH doc
<b>2.2 Other professional travel costs</b>		
2.2 Other costs and subsistence	EDH - TCLM	original of any train, bus, subway tickets original of taxi bill (only if no other means of transport is available) original receipt of registration fee (showing the included cost) certificate of attendance Copy of the EDH claims
<b>3. Reimbursement of event attendance for non CERN personnel</b>		
3.1. Lump sum	EDH -SUBS	invitation letter mentioning the lump sum certificate of attendance reply from the institute that confirms that there will not be other reimbursements Copy of the EDH claims
3.2. reimbursement of actual costs	EDH -SUBS	invitation letter certificate of attendance all originals Copy of the EDH claims
<b>Please remember that VAT is not an eligible cost.</b>		

# 4. Additional reporting workload and organization

- **Who?**

- Secretaries keep the documentation when they do claims.
- Supervisors make sure Timesheets are filled in.
- A new finance person is being hired
  - To keep books, collect timesheets after validation and prepare the cost claims.
  - To help in understanding EU related issues
  - Be the link between projects and CERN FI administration with the DPOs

- 1. The EU Contract, definitions, financial mechanisms  
=> **Money is not given to us**
- 2. CERN cost model  
=> **We cannot do what we want, there are some binding rules**
- 3. Reporting requirements  
=> **There is more administrative work**
- 4. Additional reporting workload and organization  
=> **we are getting organized to do it**

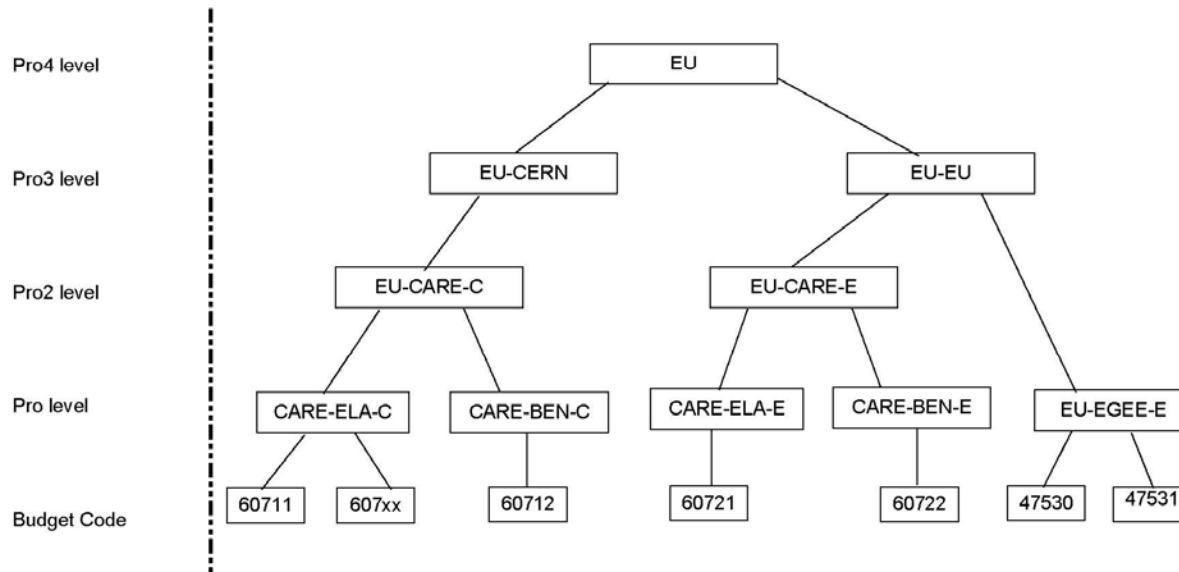
- **DSU**

<http://cerneu.home.cern.ch/cerneu/>

- **FI-CTR**

[http://fi-dep.web.cern.ch/fi-dep/structure/fi\\_ctr\\_t\\_eu.htm](http://fi-dep.web.cern.ch/fi-dep/structure/fi_ctr_t_eu.htm)

# Annex 3 Specific Administrative Requirements



Accounting project structures: CARE example



## CARE BUDGET CODES

Activity	Acronym	EU Code	New PPA	Signatories		CERN Code	New PPA	Signatories
CARE NA1	ELAN	60721	FRC-CMS	D.Schulte G.Guignard		60711	FRC-CMS	I.Wilson
CARE NA2	BENE	60722	FOT-FNF	M.Lindroos H.Haseroth		60712	FOT-FNF	M.Lindroos H.Haseroth
CARE NA3	HEHIHB	60723	FOT-FHU	F.Ruggiero W.Scandale		60713	FOT-FHU	F.Ruggiero W.Scandale
CARE JRA2	PHIN	60725	FRC-CTF	R.Losito G.Suberluq		69721	FRC-CTF	I.Wilson G.Geschonke
CARE JRA3	HIPPI	60726	FOT-FSP	M.Vretenar A.Lombardi		69730	FOT-FSP	M.Vretenar A.Lombardi
CARE JRA4	NED	60727	FOT-FHU	L-R.Oberli D.Leroy		60717	FOT-FHU	L-R.Oberli D.Leroy
ESGARD&CARE Management		60720	FOT-CAR	G.Guignard		60710	FOT-CAR	G.Guignard

## DESIGN STUDIES BUDGET CODES

Activity	Acronym	EU Budget Code	New PPA	Signatories		CERN Budget Code	Old PPA	New PPA	Signatories
Personnel & General services	EUROTEV Global Linear Collider	60740	FRC-CMS	D.Schulte G.Guignard		60750	REU-CDT	FRC-CMS	D.Schulte G.Guignard
PBPM		60742	FRC-CMS	D.Schulte L.Soby		60752		FRC-CMS	D.Schulte L.Soby
WBCM		60743	FRC-CMS	D.Schulte L.Soby		60753		FRC-CMS	D.Schulte L.Soby
TPMON		60747	FRC-CMS	D.Schulte J.Sladen		60757		FRC-CMS	D.Schulte J.Sladen
TARGETRY	EURISOL	60741	FOT-ERL	M.Lindroos, P.Butler Y.Kadi J.Letry		60751	REU-CDR	FOT-ERL	M.Lindroos, P.Butler Y.Kadi J.Letry
BETA		60744	FOT-ERL	M.Lindroos, P.Butler M. Benedikt		60754	REU-CDR	FOT-ERL	M. Lindroos M. Benedikt
BEAMS		34501	FOT-ERL	K.Riisager L-M. Fraile Prieto					
BEAM PREPARATION		60748	FOT-ERL	M.Lindroos, P.Butler T. Otto		60758	REU-CDR	FOT-ERL	M.Lindroos, P.Butler T. Otto
SAFETY									
SIS 100_2	DIRAC (also FAIR or GSI upgrade)	60745	FOT-DIR	U.Raich C.Rossi		60755	REU-CDD	FOT-DIR	U.Raich C.Rossi
SIS 100_3		60746	FOT-DIR	U.Raich C.Rossi		60756	REU-CDD	FOT-DIR	U.Raich C.Rossi
SIS 100_5		60749	FOT-DIR	U.Raich C.Rossi		60759	REU-CDD	FOT-DIR	U.Raich C.Rossi