**Deliverable report**

# D1.3 Quality control guidelines

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RICH (Research Infrastructures Consortium for Horizon 2020) has received funding from the European Union's Horizon 2020 research and innovation programme under Grant Agreement number 646713

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# 1. EXECUTIVE SUMMARY

This report describes the procedures for ensuring that the consortium activities respect all the obligations related to the Grant Agreement (GA) with the European Commission and in compliance with *RICH* Consortium Agreement (CA).

It provides guidelines on management related issues (preparation and submission of deliverables, reporting procedures, communication within the network).

Roles and responsibility among *RICH* partners will be described to verify and ensure the evaluation and quality of the project technical progress with the project objectives, before the approval of the Steering Committee and a timely submission of deliverables, periodic and final reports to the European Commission.

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## 2. INTRODUCTION

The document, intended as a reference tool for the coordinator and the consortium members, identifies procedures to guarantee high-quality project outputs, including the degree of fulfilment of *RICH* objectives and the status of each work package activity for the analyzed period, in order to ensure the best quality in preparation of the deliverables, interim, periodic and final reports.

In addition, templates for deliverables as well as for activity and financial reporting will be added as standard documents that all *RICH* partners are requested to use during the whole project duration.

The purposes of the quality control procedures are the following:

- make the *RICH* stakeholders confident in the quality of the work that the project teams are performing, putting in evidence how the project is developed, measured, monitored, accounted and safeguarded during its implementation;
- clearly define the content, format, sign-off and review process, and responsibilities for each deliverable;
- provide the project Steering Committee, acting as supplier's quality authority, with adequate guidelines on how to organize quality assurance and control activities that include transfer of information, verification actions, etc.;
- provide all the project participants with standardized procedures, rules and methodologies;

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# 3. CONTENT SECTION

## 3.1 SUBMISSION OF DELIVERABLES

Deliverables are official documents, which are enumerated in *RICH* DoA. They serve as content-oriented reporting towards the European Commission and are also indicators of the project progress and outputs.

In the Description of Action (DoA) each deliverable is identified by a Lead Beneficiary, responsible for its production. Each deliverable has also a concerned WP/task leader assigned as auditor, whose duty is to give the final approval of the document. Deliverables will be submitted in accordance with the timetable specified in the DoA deliverable's list: the coordinator will act ad intermediary between the consortium and the project officer in their submission.

Although according to the GA and the Consortium Agreement,

- the Coordinator has to monitor the compliance of the beneficiaries obligations, both in respect of timing and work plans (deliverables);
- the Work Package Leader is responsible for the coordination, execution and reporting of the concerned *Work Package* activities;
- the Project Steering Committee (formed by Coordinator and all WP Leaders) is responsible for the monitoring and control of the project outputs,

The *Lead-beneficiary* is fully responsible for the deliverable quality and is requested to maintain adequate control on the participants' contributions. This duty is extended to all levels of subcontractors.

The Lead Beneficiary's responsibilities include the following activities:

- assembling and homogenizing inputs from WP partners;
- document writing and editing;
- document finalization and revision by the WP leader;
- document submission to the Coordinator and to the Project Steering Committee for final approval, in good time for publication (public deliverables) or before the GA delivery date;

DELIVERABLES TEMPLATE

Deliverable documents are edited following a standard format (see : Annex I - Deliverable Template) created within the scope of the project, approved by the Project Steering Committee, circulated to the partners and stored in the RICH web-page internal section (Intranet). The use of the format-template for deliverables is *mandatory*.

QUALITY OF DELIVERABLES

In order to ensure the quality and completeness of *RICH* deliverables, prior to their formal submission to the EC, a revision process has been set-up.

Lead –beneficiaries should take into account the following short checklist and use their best endeavors to ensure that the deliverable:

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- addresses clearly and in sufficient depth the subject matter and the objectives described in the DoA (any deviation, if present, must be sufficiently motivated and explained);
- mentions in explicit way the items referred to other/later deliverables, (e.g. the complete deliverable numbering ref.) and includes a glossary of acronyms and main terms (in particular for Public deliverables);
- is spell-checked and conforms to the standard deliverable format (see Annex I: Deliverables Template).

It is foreseen that all deliverables are circulated by the Lead-beneficiary to the Task leaders and/or WP participants one month before the deadline , and assessed by the concerned WP Leader to ensure the above mentioned quality standard.

In case the Lead beneficiary is also WP Leader , he/she should submit the concerned deliverable to another WP Leader.

The WP Leader could request modifications or reject deliverables that do not adequately fulfil the quality standard criteria within 15 days; the Lead-beneficiary should use the best endeavors to avoid any possible disagreement.

After completing this first review process, the WP Leader will send the draft of the deliverable to Project Steering Committee for comments, one week before the deadline date at the latest.

When the document notice is e-mailed by the WP Leader, a deadline for comments is given (not be less than 1 week). If the reviewers do not comment by this date, they are deemed to have accepted it (**TACIT CONSENT**).

When the Project Steering Committee has approved the deliverable, the Coordinator submits it to the Commission .

The Lead-beneficiary contact person should inform and motivate the WP leader concerned and the Projects Steering Committee in case the deliverable is delayed or not made available at the deadline specified. The same applies by the WP leader/s in case of the reviewer feedback is ongoing beyond the deadline limit.

## 3.2 REPORTING PROCEDURES

### EC PERIODIC AND FINAL REPORTS

The coordinator will prepare, with the contribution of the WP leaders, and submit the periodic reports (activity and financial) at month 18 and 36 and the final report, as required by the EC.

All partners are responsible for sending the report to the coordinator in due time (one after the deadline of the reporting period at the latest).

The reports will be submitted on the basis official EC templates and online, and they will include:

- an overview of the activities carried out in the period,
- a description of progress towards the objectives and the milestones,
- the deliverables foreseen,
- the identification of problems encountered and corrective actions taken,
- an updated plan for ‘Communication and Dissemination’,

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information and justification about the resources used/deployed by each beneficiary.

INTERIM PROGRESS REPORTS

In order to monitor the project progress and in addition to EC reporting obligations, 2 interim reports (activity and financial) have been planned at month 9 and 27, to allow an active monitoring of the work performed and to guarantee a coordinated management of both project activities and resources, taking corrective measures when needed.

The coordinator has set up a dedicated reporting tool for the preparation of the activity and financial reports (Annex II), which is provided to all partner and stored in the RICH webpage intranet.

In order to guarantee a smooth process, the template is accompanied by dedicated user guidelines.

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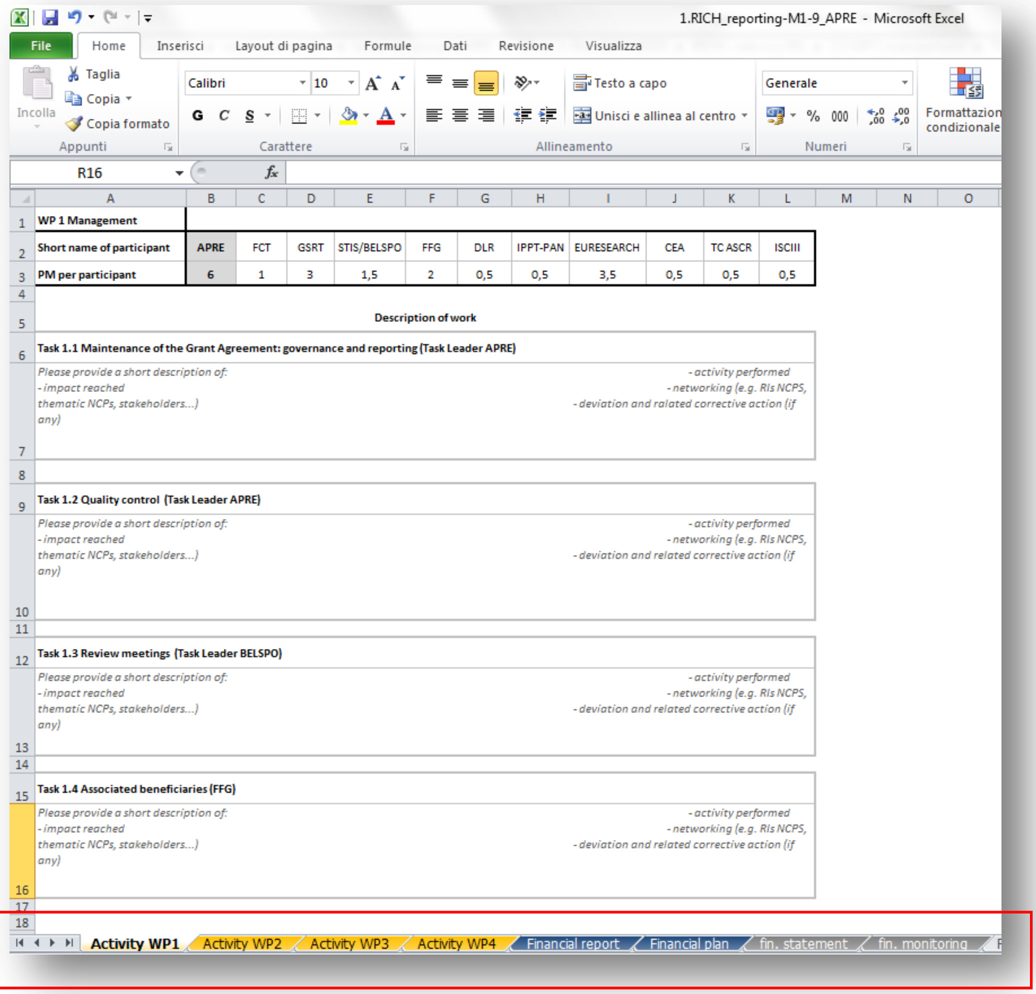
## RICH reporting tool




The RICH reporting tool is contains 8 parts divided in 3 sections:

1. Yellow section for activity report:
2. Blue section for financial report;
3. Grey section for monitoring (not to be filled).

The reporting tool will be used both for the interim informal reports (M9, M27, M42) and in preparation of the contractual reports (M18, M18, M48) and is made available by the coordinator in the RICH intranet: one tool per beneficiary (e.g. 1.RICH_reporting-M1-18_APRE). The same file should be used twice for the a single reporting period: e.g. M9 and M18. Two new tools will be prepared respectively for period M19-M38 and M39-M48. Each partner will upload its own complete tool in the intranet as follows: (e.g. 1.RICH_reporting-M1-18_APRE_complete).

**Timing**: the tool is made available one months before the end of the concerned period, each beneficiary has 60 days  to fill it (both the activitiy and the financial information) in to allow the Task leaders, the WP leaders and the cooridnator to prepare the final consolidated version.

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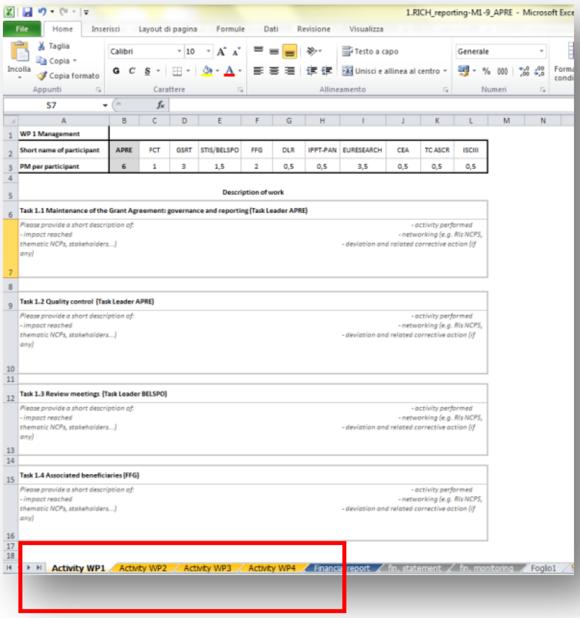
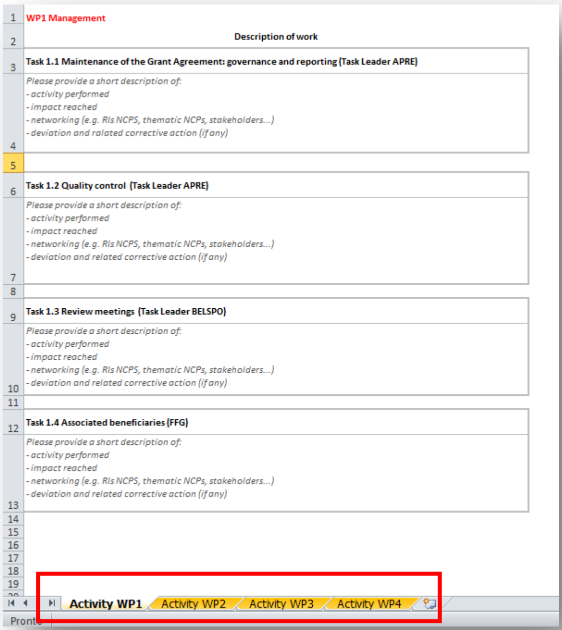
## 1. The YELLOW section:




**This section is devoted to the activity report.** There are 4 parts: one per WP containing the structure/Tasks of the different WPs including the PMs allocated[1]. Each beneficiary is expected to provide, for the tasks it has been contributing to, a short description of:

- activity performed;
- impact reached;
- networking (e.g. RIs NCPS, thematic NCPs, stakeholders...);
- deviation and ralated corrective action (if any).




The information provided in the yellow section will be made available to the Task Leaders as contributions for the consolidated Task report they are expected to prepare using the template "RICH_reporting-M1-18_TASK" available in the intranet. Once completed each Task Leader will upload the consolidated report as "RICH_reporting-M1-18_TASK_N.N[2]". In case a beneficiary is responsible for more than one task the same form can be used and uploaded as "RICH_reporting-M1-18_TASK_N.N_N.N_N[3]".
This file should be filled in only by the Task Leaders.

**Timing**: The task leader has 15 days to prepare the the final consolidated version.

[1] The PMs should be considered as a reference only.
[2] N.N stands for the number of the concerned Task
[3] N.N stands for the number of the concerned Tasks

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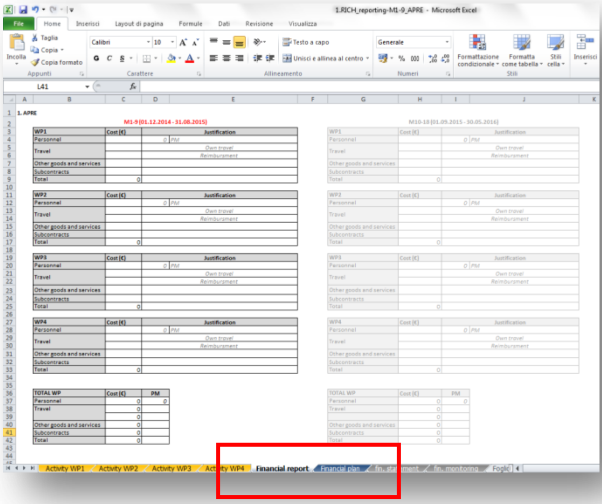
## The BLUE section:

**This section is devoted to the financial information and it made of two parts:**

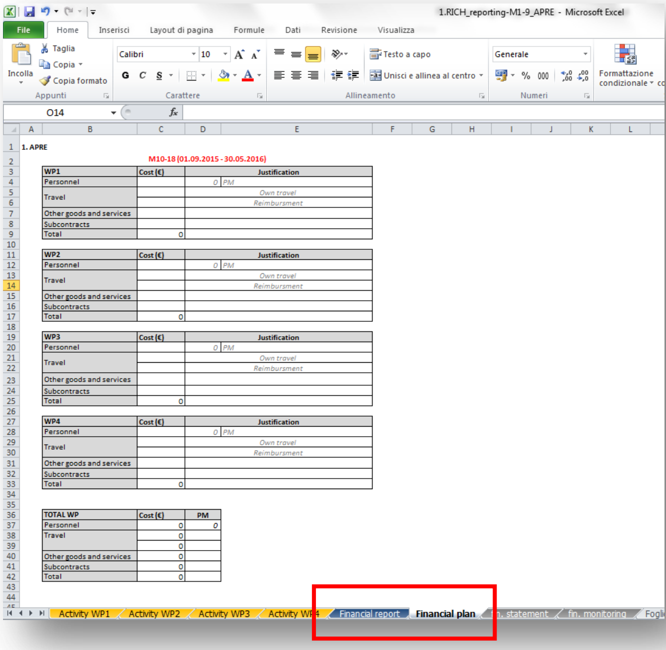
1. Two tables for the Financial report : one for the first 9 months of the concerned reporting period and one for the second half of the period.




Each beneficiary is expected to provide information on the relevant costs incurred divided as follows:

- Personnel (including Person-months);
- Travel (including own staff travel and reimbursment for external experts/stakeholders/speakers/NCPs…), if any;
- Other goods and services (including costs for organising events, meeting, trainings… and disemination related costs), if any;
- Subcontracts, if any

2. One table for the Financial plan[4] for the following 9 months f activities. The inforamtion provided is tentative and may change in the reporting phase.




[4] See art. 7.3.2RICH Consortium Agreement: Pre-financing:A first advance Payment of 80% of pre-financing within 30 days upon receipt from EC A second advance payment of 20% at M10, upon positive assessment of Interim Report M1-9 by the Steering Committee, including plan for future activities M10-18. For Parties that are underspending the remaining share of their advance payment will be distributed by the Coordinator to the requesting Party whenever necessary according to the status of their expenditure following a resolution of the Steering Committee.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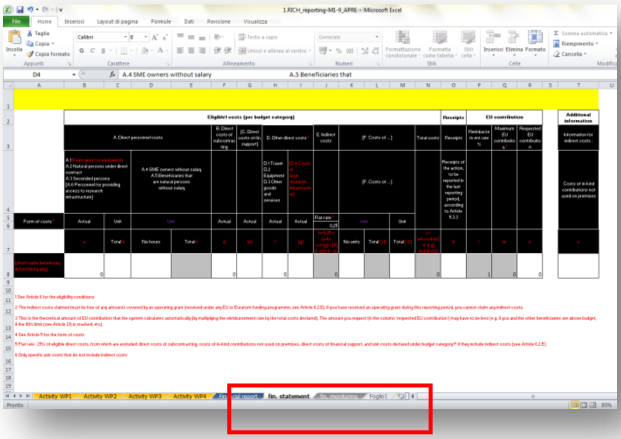
## 1. The GREY section:

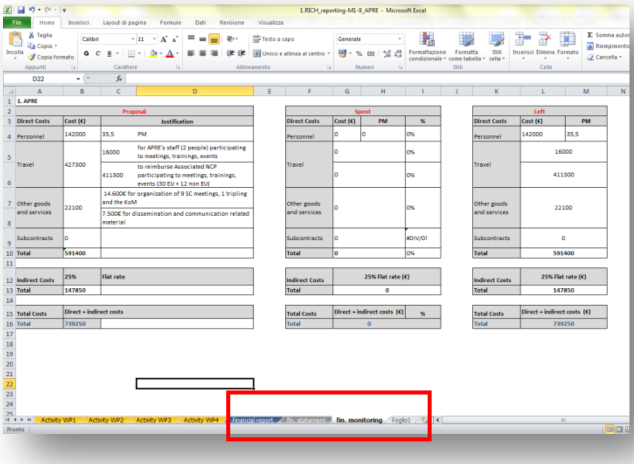
**This section is linked to the financial report.**

There are 2 sheets, none of them should be filled by the beneficiary:

1. A sample financial statement[5]. This table is automatically filled with the data inserted by the beneficiary in the "financial report"



2. A monitoring tool: the tool is composed by 3 different tables: the first one "proposal" contains the budget information for the differnet cost categories, has agreed during the Grant preparation Phase. The second table is updated with the data insered by the beneficiary in the "financial report" and gives a clear overview of the costs incurred in the period divided in cost categories. The last table is linked to the two previous table and shows the amount left.



[5] The table has been inspired by the "Model Annex 4 For H2020 General MGA — Multi" contained in the Model Grant Agreement for Horizon 2020

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