



Recycling carbon dioxide in the cement industry to produce added-value additives: a step towards a CO₂ circular economy

Deliverable 1.1

Project Quality Plan

WP 1 – Coordination, management, risk and exploitation

Version 1.0

Authors: Giulia Campodonico (IIT)

Lead participant: IIT

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Francesco Piacentini, IIT Bianca Baggiani, IIT	Revision 1	19/09/2017
George Skevis, CERTH	Revision 2	25/09/2017
Giulia Campodonico, IIT	Final version	26/09/2017

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1 Introduction

The RECODE Project Quality Plan is a key deliverable for WP1 setting up the basis for an effective management and coordination of the project. The main goal of this deliverable is to provide a single point of reference on the quality assurance policies that will be applied along the RECODE project.

This document is intended as a manual for all Consortium members to be used as a guide when a specific question needs to be answered for many day-to-day activities. As its guiding purposes, this deliverable provides a harmonized set of indication, procedures, and support documents to be used by all partners for an effective implementation of the project.

The present form represents the official document submitted to the European Commission for compliance with Grant Agreement commitments. Nevertheless, this plan is a living document and will be regularly updated according to project needs along its implementation and evolvement. Partners will be informed and will receive a copy of the amended document in occasion of each update.

1.1 Related documents

This document is based on the terms and conditions established in the Grant Agreement and its Annexes, as well as in the Consortium Agreement specifications and requirements. Alongside to these key documents, this Plan has been produced following the European Commission guidelines and templates. Finally, this document will be complemented by future project deliverables and plans such as D8.3 – Dissemination Plan (M3), D1.2 – Data Management Plan (M6) and D1.3 – Exploitation Plan (M12).

The reference in this deliverable to each key document is described in Table 1 below.

It is important to remark for the avoidance of doubt that in case of ambiguity of interpretation between official EC documents and this Plan, the latter takes a subordinate role.

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Table 1. RECODE key related documents

Document	Access ¹	Availability	Reference within RECODE Project Quality Plan
Grant Agreement: core text	Confidential	<ul style="list-style-type: none"> Participant portal²; RECODE workspace³ 	§2.1, §2.3, §3.1.1, §3.1.2, §3.3, §3.3.1, §3.3.3, §4.1, §4.2, §4.3, §Annex 1
Annotated Model Grant Agreement (AMGA)	Public	<ul style="list-style-type: none"> EC website⁴; RECODE workspace 	
Grant Agreement: Annex 1 – Part A	Confidential	<ul style="list-style-type: none"> Participant portal; RECODE workspace 	§3.1.1, §3.1.2, §3.2, §4.1, §4.2
Grant Agreement: Annex 1 – Part B	Confidential	<ul style="list-style-type: none"> Participant portal; RECODE workspace 	§2.1, §2.2.2, §2.3, §2.4, §3.1.1, §3.1.2, §3.2, §3.3, §4.1, §4.2, §4.3, §Annex 1
Grant Agreement: Annex 2 – Budget	Confidential	<ul style="list-style-type: none"> Participant portal; RECODE workspace 	§2.3, §Annex 1
Consortium Agreement	Consortium	<ul style="list-style-type: none"> RECODE workspace 	§2.1, §2.2.2, §2.3, §2.4, §4.2, §4.3
H2020 Online Manual	Public	<ul style="list-style-type: none"> EC website⁵ 	§3.1.1, §3.3, §4.1, §4.2, §4.3
Data Management Plan (D1.2 and D1.4)	Confidential	First version planned for M6 (January 2018)	§4.2
Detailed Exploitation Plan (D1.3 and D1.5)	Confidential	First version planned for M12 (July 2018)	§4.2
Communication material (D8.2)	Public	Planned for M3 (October 2017)	§4.1
Dissemination plan (D8.3 and D8.4)	Public	First version planned for M3 (October 2017)	§4.1, §4.2

Aside to these key documents, the following additional EC guidelines and templates have been considered when drafting this plan:

- Guidelines on Open Access to Scientific Publications and Research⁶
- Guidelines on FAIR data management in Horizon 2020⁷
- Periodic Report Template RIA⁸

¹ Confidential: limited to Consortium, European Commission, appointed external evaluators and other EU bodies; Consortium: originally conceived as consortium but can be made available to European Commission, appointed external evaluators and other EU bodies if necessary; Public: public and fully open availability

² <http://ec.europa.eu/research/participants/portal/desktop/en/home.html>

³ <https://istitutoitalianotecnologia.sharepoint.com/sites/ext/recode/> (§2.2.3)

⁴ http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf

⁵ http://ec.europa.eu/research/participants/docs/h2020-funding-guide/index_en.htm

⁶ http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf

⁷ http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-data-mgt_en.pdf

⁸ http://ec.europa.eu/research/participants/data/ref/h2020/gm/reporting/h2020-tmpl-periodic-rep_en.pdf

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1.2 Use of this document: licence and disclaimer

This document is intended for Consortium internal use, aiming to provide guidance to Project partners for successful project implementation.



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The author(s) of this document have taken any available measure to ensure that the information contained in this Plan is accurate, consistent, lawful, and up to date. Nevertheless, the author(s) or any RECODE Consortium member that somehow participated to the creation of this document shall be liable for any direct, indirect, or consequential loss or damage caused by or arising from any information advice or inaccuracy or omission herein.

When possible and for completeness of information, hyperlinks to documents and websites created and maintained by other organizations are included in the text. Despite a periodic monitoring, the authors do not guarantee the accuracy, completeness, nor existence of such information.

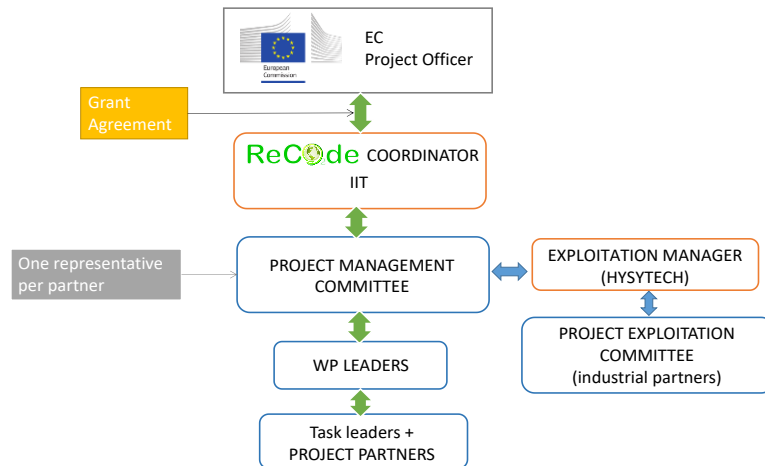
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2 Project management

2.1 Management structure

Related documents		
Grant Agreement/AMGA	Chapter 5, Art. 41	Division of beneficiaries' roles and responsibilities
Description of Action	Part B, Section 3.2	Management structure
Consortium Agreement	Section 6	Operational procedures, roles and responsibilities

The management structure of the RECODE project and the operational procedures are described in details in several project documents and summarised here below.



▪ Project Management Committee

The Project Management Committee is the ultimate decision making body of the consortium. It is constituted by one representative of each Beneficiary.

▪ Coordinator

The Coordinator (IIT) is the legal entity acting as the intermediary between the Parties and the European Commission. It is represented in the Consortium by the **Scientific Coordinator** (Prof. Guido Saracco) and a **Management Team**. Both Coordinating entity and Scientific Coordinator were appointed by the Consortium in proposal phase. The Management Team is composed of IIT Projects Office staff and assists the Coordinating PI in the day-to-day management of the project.

▪ Work Package Leaders

WP Leaders are responsible for the management, coordination, implementation, and reporting of the respective WP.

WP leaders were identified in proposal phase and are appointed by the Project Management Committee

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- WP1 IIT G. Saracco
- WP2 TITAN M. Katsiotis
- WP3 DVGW F. Ortloff
- WP4 MET J. Ulbikas
- WP5 AVT J.K. Schouten
- WP6 HST A. Saldivia
- WP7 POLITO G. Ferro
- WP8 RUG P. Pescarmona

▪ **IPR and Exploitation Manager**

The Exploitation Manager will assist the Coordinator in the management of IP rights protection activities of the Consortium and exploitation of the project results, including negotiations between the Consortium and external parties.

The IPR and Exploitation Manager has appointed by the Project Management Committee in occasion of the project kick-off meeting and chairs the Project Exploitation Committee. The appointed IPR and Exploitation Manager is Mr. Massimiliano Antonini, HST.

▪ **Project Exploitation Committee**

The Committee is in charge of supporting decisions on the exploitation policy of the project results. It has been appointed by the Project Management Committee in occasion of the project kick-off meeting and chaired by the IPR and Exploitation Manager. The Committee is composed of representatives of the industries and technical research centers part of the Consortium.

The operational procedures and specific responsibilities of each Consortium Body are described in details in the Consortium Agreement.

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2.2 Internal communication

The Consortium internal communication strategy aims at ensuring the appropriate transparency and cooperation among partners as well as the timely generation, collection and storage of project information.

The strategy includes three main methods of communication: email exchanges, face-to-face and web meetings, and document sharing on a platform with restricted access.

2.2.1 Emails

2.2.1.1 Mailing lists

Day-to-day communication will be based on e-mails. To facilitate rapid e-mailing and ensure the correct inclusion of involved persons, the following mailing lists have been created:

Short name	Address	Members
All	all@recodeh2020.eu	All project participants, both technical and administrative staff
WP	wp@recodeh2020.eu	WP leaders
PI	pi@recodeh2020.eu	Partners Principal Investigators
Admin	admin@recodeh2020.eu	Partners administrative and financial contacts

In order to ensure a proper coordination, IIT Management Team and Scientific Coordinator contacts are included in each mailing list.

In addition to these, two e-mail aliases have been set up to facilitate communication with the Management Team of the coordinating partner:

- info@recodeh2020.eu for any communication and support requests related to the project
- news@recodeh2020.eu for media and news communications

Additional lists can be set up upon request if necessary (e.g. at WP level).

The mailing lists are set up and maintained by the Management Team of IIT. A current list of the members of each list is uploaded on the project Platform (§2.2.3). It is the responsibility of each Partner to actively and timely inform the Management Team (info@recodeh2020.eu) on changes of contact details or additional persons involved.

2.2.1.2 E-mail etiquette

In order to facilitate the classification of project e-mails, each mailing list has been set-up in order to always include the project acronym and mailing list name in the subject title. In addition, all e-mails subject should be followed by a more specific description and deadline for response/action, if applicable.

File attachments should be avoided when possible to not exceed the email quota of project participants. Consideration should be given to uploading the relevant file to the project Platform (§2.2.3) and share a direct link.

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2.2.2 Meetings

Related documents		
Description of Action	Part B, Section 3.2	Management structure
Consortium Agreement	Section 6.3	Operational procedures

Several virtual and face-to-face meetings will take place over the project implementation to monitor the progress of the project, planning the future activities and develop eventual corrective measures if necessary.

2.2.2.1 Project Management Bodies meetings

All meetings of the project management bodies should follow the procedures defined in both Description of Action and Consortium Agreement, which are summarised below.

Board	Frequency of meetings	Meeting type	Chair
Project Management Committee	Every 6 months	Face to face (at least once a year) or virtual.	Coordinator
WP Leaders meetings	Every 3 months	Preferably virtual meetings. Face-to-face can be considered in conjunction to other consortium meetings	Coordinator
WP meetings (WP leader + Task leaders)	Every 3 months	Preferably virtual meetings. Face-to-face can be considered in conjunction to other consortium meetings	WP leader

Project physical meetings will be combined with scheduled project reviews or technical meetings as much as possible. While virtual meetings are more flexible from an organisational point of view, official agendas and minutes should be produced for all meetings.

The hosting partner is responsible for the logistical organisation and of the meeting in coordination with the meeting Chair. In case of consortium meetings outside the partners' facilities, IIT as Coordinator will take care of the meeting logistics.

The organiser of a web meeting is free to use any provider while meetings set up by the Management Team will be organised through the Skype for Business tool.

The Chair is responsible for setting up the agenda, taking the meeting minutes and sharing them with the relevant participants and project bodies for both physical and web meetings. The template for the meeting minutes is available on the project repository. A signed list of participants should be always enclosed for face-to-face meetings. Once approved by relevant participants, minutes should be shared with participants for approval and then stored in the appropriate folder on the project repository: Final docs>Events for Project Management Committee and WP Leaders meetings; Working docs>WP for WP meetings.

2.2.2.2 Project Reviews with the European Commission

The EC Project Officer and external evaluators will evaluate and discuss with project partners the evaluation of the project progress over the period of reference in occasion of three project reviews.

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A tentative schedule and venue is provided within the Description of Action:

- Period 1: M18, Brussels (BE)
- Period 2: M36, tbd
- Period 3: M48, tbd

The Coordinator (Scientific Coordinator and/or Management Team) will liaise with the Project Officer for the meeting agenda and logistics. WP leaders and all partners should contribute and support the Coordinator in preparing the necessary material.

2.2.3 Project platform

A project working space platform has been set up for internal collaboration and documents distribution. After an accurate analysis of possibilities taking into account security, easiness and flexibility of use, as well as cost efficiency, IIT has opted for the commercial solution "Microsoft SharePoint Online", offered by Microsoft Office365.

2.2.3.1 Platform structure

The restricted platform features the following items:

- A tree of directories for document management
- A forum for exchanges on project relevant matters which can hardly be managed over emails and for indications on project guidelines and procedures

The directory tree is structured as follows:

- **Official data** - This area may be edited by IIT Management Team only but all partners can read and download the documents. It contains the following sub-directories:
 - **Administration** – containing project administrative documents such as mailing lists, guidelines, etc.
 - **Communication package** – containing all project communication material for partner reuse (e.g. logos, press releases, visuals and images)
 - **Contracts** – containing all official project contracts (Grant Agreement and Consortium Agreement), their annexes and eventual official amendments
 - **Deliverables** – containing the finalised versions of all project deliverables
 - **Events** – containing agenda, presentations, minutes and participants list of all project events and official meetings
 - **Reporting** – containing all official RECODE reporting documents, both internal and to the EC, and the files for monitoring the project progresses (deliverables & milestones - §3.1, risks - §3.2, etc.)
 - **Templates** – containing the project templates for reporting, events and deliverables
- **Working documents** – This working and collaboration area can be edited by all project members. It currently includes 8 sub-folders, one per each WP. Each WP leader will be in charge of managing the respective folder and is free to set it up as better suited to the WP needs. Two additional folders "Draft periodic reporting" and "Draft publications for review" will be used for

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internal share of draft periodic reports and publications respectively. Additional folders and subfolders can be created upon request to the Management Team

- **External access** – this area will be used for sharing data and files with the European Commission Project Officer and external reviewers. It will be managed by the Management Team.

2.2.3.2 Access and protection

The platform is accessible through a link on the project external website or direct address: <https://istitutoitalianotecnologia.sharepoint.com/sites/ext/recode/>

Access will be available to registered members of the project consortium only and access will be monitored by IIT Management Team. Each partner participant has been provided with a special username and password allowing access to the site, contribution to the forum discussion, as well as the upload and download of documents.

Aside to partners, access will also be provided to the Project Officer and external reviewers and will be limited to the "External access" folder only and in read-only mode.

Security measures are in place to protect the platform for unauthorised access and disclose of confidential information. Nevertheless, it should be noted that sensitive data should not be shared through this platform and securely maintained on internal servers of project partners. Generally, it is recommended to limit the use of project platform to data that can be classified with Low or Moderate Risk according to the Stanford University classification⁹. If needed, ad hoc solution will be provided for the protected exchange data with high risk.

⁹ <https://uit.stanford.edu/guide/riskclassifications>

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2.3 Financial management

Related documents		
Grant Agreement/AMGA	Chapter 2, Art. 4	Estimated budget and budget transfers
	Chapter 3, Artt. 5-6	Grant (Grant amount, form of grant, reimbursement rates and form of costs; Eligible and ineligible costs)
	Art. 18	Keeping records
	Art. 20	Reporting – Payment requests
	Art. 21	Payments and payment arrangements
	Art. 42	Rejection of ineligible costs
	Art. 43	Reduction of the grant
	Art. 44	Recovery of undue amounts
Description of Action	Part A,	
	Part B, Sec. 3.4	Decision making procedures
Annex 2	-	Estimated Budget
Consortium Agreement	Section 6.3.6	Decisions of the Project Management Committee
	Section 7	Financial provisions

The maximum grant amount of RECODE is equal to EUR 7,904,415.00 and it is shared among the Consortium according to the Estimated budget indicated in Annex 2 of the Grant Agreement. This document provides the budget estimation per partner, broken down into direct and indirect costs, and it is complemented by details included in the project Description of Action: PM allocation per partner and per WP in DoA Part A and Other Direct Costs justification provided in Table 3.4 of DoA Part B.

The Management Team is in charge of monitoring the use of resources of the entire consortium along the project implementation through the periodic internal reporting (§3.3.2). The Coordinator will also handle any re-allocation of funding between partners upon the Project Management Committee approval, as agreed within the project Consortium Agreement.

Finally, IIT Management Team will administer the financial contribution of the EC and transfer payments to partners. Payment modalities have been agreed by all partners within the project Consortium Agreement. The first payment has been already processed in August 2017 with the distribution of the project pre-financing and three further payments are planned along the project implementation pending the EC approval of costs declared in the periodic report in M18, M36 and M48 (§3.3.3). Partners will be notified before payments providing reference calculations for the amount to be distributed and asking for confirmation of partners banking details.

Annex 1 to this document provides useful information and references on eligible costs. Detailed practical guideline for periodic financial reporting will be provided by the IIT Management team in occasion of the first periodic report to the European Commission, in M18 (§3.3.1).

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2.4 Conflicts resolution

Related documents		
Description of Action	Part B, Sec. 3.2.2	Decision making procedures
Consortium Agreement	Section 6.3	Decision (voting and decisions)
	Section 11.8	Settlement of disputes

The partners have agreed within the Consortium Agreement to attempt solving amicably their conflicts, either on technical, financial or procedural issues.

Both Scientific Coordinator and Management Team should immediately be informed about conflicts and should help in the conflict resolution as necessary and as long as such dispute does not involve the Coordinator.

If possible, disputes should be dealt at the lowest decision-making body level. If necessary, a meeting will be held with all representatives of the respective level. In case of failure, a meeting at upper level will be arranged.

In the unfortunate case that the dispute cannot be solved amicably, provisions agreed within the Consortium Agreement (Section 11.8) will be put in place.

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3 Quality management

All partners are responsible for the quality assurance of the RECODE project. The quality of project activities and outputs will be monitored by Task leaders, WP leaders and the Coordinator according to the roles and responsibilities defined both in Project Management section (§2.1) and in the project key documents (§1.1).

3.1 Deliverables, Milestones and KPIs

3.1.1 Deliverables

Related documents		
Grant Agreement/AMGA	Article 19	Submission of deliverables
Description of Action	Part A, WT2	List of deliverables
	Part B, Sec. 3.2.3	Project monitoring and reporting
Online H2020 Manual	Deliverables ¹⁰	

A total of 48 deliverables need to be submitted to the European Commission over the project implementation. A set of guidelines is presented here below to ensure the efficient, timely and high quality delivery of all deliverables.

3.1.1.1 Due date and progress monitoring

The due date of a deliverable is specified as a project month, with month 1 representing the first month of the project. According to GA provisions, deliverables should be completed on time and submitted to the European Commission via the Participant Portal at the latest on the last day of the month in which they are due.

Progress on deliverables is monitored on monthly basis by the Coordinating PI and Management Team through an Excel-based tool – Deliverable & Milestones Monitoring file – which is uploaded the Consortium Platform (§2.2.3). This file contains the list of all project deliverables with their related details: description, due date (in both month and actual date forms), responsible partner, identified internal reviewer, status.

The status of upcoming and eventually pending deliverables should be monitored by the WP leaders within WP quarterly meetings and reported to the Coordinator. Any problems or expected delays should be flagged immediately providing an explanation, any planned mitigation action and the anticipated completion date.

3.1.1.2 Deliverable types, template and naming

According to EC provisions and GA, the RECODE deliverables are classified in 4 different types:

- **Report:** Document, report
- **ORDP – Open Research Data Pilot:** Plan and report on data management

¹⁰ http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/deliverables_en.htm

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- **Demonstrator:** Demonstrator, pilot, prototype, plan designs
- **Website, patents filling, etc:** Websites, patents filing, press & media actions, videos, etc

For deliverables that are of a nature other than written reports, a brief written summary should nevertheless be produced for EC submission and record. Such summary should include any supporting material such as photos, technical designs, descriptive guidelines, etc.

A template for all deliverables has been produced and is available on the platform under “Templates” (§2.2.3).

The template already provides the following general structure to be maintained and followed:

- Cover page - containing the mandatory EU visibility information and disclaimer as well as the deliverable key information: number, title, version, authors, dissemination level and
- Revision History
- Table of Contents
- Introduction
- Core part
- References
- Annexes (optional)

All document deliverables for the project should adhere to the following naming convention:

RECODE_DX.Y_<Title>_vX.X [e.g.: RECODE_D1.1_ProjectQualityPlan_v1.0]

The versioning system will follow the Major.Minor numbering rule, similar to software versioning systems, where drafts will be 0.x (e.g. v0.4) and final versions will be numbered x.0 (e.g. v1.0).

3.1.1.3 *Deliverable processes: preparation, review and approval*

The Coordinator will inform the Consortium of the upcoming deliverables that are due within 3 months from communication.

The Deliverable Leading beneficiary identified in the DoA and reported in the deliverable monitoring table is responsible for the preparation, editing and quality of a deliverable. The partner in charge for each deliverable is reported within the "Deliverable & Milestones Monitoring" file stored in the project platform (§2.2.3, Final docs > Reporting).

A review process is a key step in the preparation of the deliverable in order to guarantee that the result is up to the appropriate standard. All partners should therefore take the appropriate steps to ensure that this process is completed in time in order to issue the deliverable within the due date.

The consortium has identified one internal reviewer for each deliverable among those people and partners who have not been part of the core team developing the deliverable. The reviewers of the deliverable due in the first 6 months of the project have been identified by the Project Management Committee. The remaining reviewers will be suggested by the Coordinator and approved by the partner in charge of said deliverable. A specific reference person will be identified by the beneficiary appointed

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for the reviewing task. Once appointed, the reviewers name and his/her affiliation will be reported within the "Deliverables & Milestones Monitoring" file.

The leading beneficiary will share the deliverable final draft with the appointed reviewer once ready, 2 weeks before the due date at latest. Then, the reviewer is in charge of a thorough check of the deliverable, making sure that the following quality criteria are respected:

- The content is consistent with the project Description of Action
- The objectives of the deliverable are clear, smart and in line with project objectives
- The content is scientifically correct
- Appropriate references and citations are provided
- English grammar rules are correctly applied and the text is easy to read and understand
- The report follows the formatting rules and templates of the project

In case of key deliverables representing the mean of validation of a project milestone (§3.1.2), the reviewer should also assess if the deliverable contains all necessary data and criteria to validate said milestone. Key deliverables and related milestones are reported in the "Deliverable & Milestones Monitoring" file located in the project platform (§2.2.3, Final docs > Reporting).

In addition, the reviewer should also perform proofreading and grammar checks and may make minor corrections and format adjustments directly on the text. Any comments or modification should be provided using the track-changes features and adding the reference to the review author or its affiliation in the file name (e.g. RECODE_D1.1_ProjectQualityPlan_v0.6_revIIT).

Within one week from receipt, the reviewer should respond via email to both leading beneficiary and Management Team indicating whether the deliverable is ready for submission or revisions are required. In the latter case, comments and precise indications must be provided and the revision process will be repeated until final approval.

Once the deliverable has been approved and finalized, the Management Team will submit the deliverable to the Commission on the EC portal, will upload a copy on the project platform and inform the consortium via email.

3.1.1.4 *Timeline for the preparation, approval and submission of deliverables*

Time	Action	Actor
3 months before due date	Reminder to partners of upcoming deliverable	Coordinator
1 month before due date		
2 weeks before the due date	Submission to Reviewer and Coordinator for quality and compliance check	Leading beneficiary
1 week before the due date	Revision report and eventual edits	Reviewer
Due date	Final approval and submission to the EC	Coordinator

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3.1.2 Milestones

Related documents		
Grant Agreement/AMGA	Article 20.3	Periodic reports
Description of Action	Part A, WT4	List of milestones
	Part B, Sec. 3.2.3	Project monitoring and reporting

Milestones are project checkpoints representing the end of a project phase, helping the evaluation and monitoring of project progress.

15 milestones have been identified within the RECODE project to be accomplished along the 48-month implementation. For each milestone, a list of reference deliverables has been identified as means of verification. The list of milestones, reference deliverables, due date and responsible partner is provided in the Deliverables & Milestones Monitoring file stored in the project platform (§2.2.3, Final docs > Reporting).

WP Leaders are responsible for the timely achievement of the milestones as identified in Part A of Annex 1 to the Grant Agreement. The Scientific Coordinator and the Management Team will monitor their progress throughout the duration of the Project. The responsible partners will be informed of upcoming milestones 1 month before the respective due date.

In case of potential delays, the Coordinator will work with the responsible WP leader to develop a contingency plan. Acute delays will be brought to the attention of the Project Management Committee.

Once a milestone has been reached, the responsible beneficiary should inform the Scientific Coordinator and the Management Team specifying the exact date of delivery. IIT Management Team will then update the Milestones Monitoring file and record the accomplishment on the EC portal.

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3.2 Risk management

Related documents		
Description of Action	Part A, WT5	Critical Implementation risks and mitigation actions
	Part B, Sec. 3.2.5	RECODE project risk assessment and related contingency plan

In proposal phase, the Consortium has identified the possible risks and critical issues that could negatively affect the overall quality or jeopardise the successful results of the RECODE project.

The consortium made a first analysis identifying for each risk:

- The associated WP
- The level of risk both before and after risk mitigation
- The appropriate contingency plan

Aside to this preliminary analysis, an accurate Risk Management should be implemented all over the project implementation to identify and manage risks as soon as possible.

The preliminary list of potential project risks and mitigating actions included in the DoA has been reported in a Risk Monitoring file available in the project (§2.2.3, Final docs > Reporting) which will be periodically updated all along the project implementation since previously identified risks may be amended and new risks identified.

As leader of *Task 1.3 – Risk assessment and contingency plan*, IIT is responsible for coordinating the risks management actions within the consortium while WP leaders are responsible for Risk management within their own WP. The ultimate decision of implementing a mitigation measure for a either expected or unforeseen risk lies with the Project Management Committee (§2.1).

As part of the risk management strategy of the project, the risk analysis will be performed at each collegial meeting (§2.2.2) and included in each internal and official progress report (§3.3).

Aside to the periodic monitoring, all project partners are encouraged to promptly communicate and discuss any unforeseen potential risk with the associated WP leader who will be in charge of informing the Coordinator.

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3.3 Project reporting

Related documents		
Grant Agreement/AMGA	Article 20	Reporting – Payment requests
Description of Action	Part B, Sec. 3.2.3	Project monitoring and reporting
Online H2020 Manual	Reports & payment requests ¹¹	

Finally, the project quality will be monitored and managed through periodic reporting on the project status, use of resources and activities planning. The monitoring and reporting process will be facilitated through the management structure of the project.

3.3.1 Project reporting periods

Related documents		
Grant Agreement/AMGA	Art 20.2	Reporting periods

As defined in the Grant Agreement, the RECODE project lasts 48 months and it is divided into three official Reporting Periods:

- RP1: covering months 1-18 (August 2017 - January 2019)
- RP2: covering months 19-36 (February 2019 - July 2020)
- RP3: covering months 37-48 (August 2020 - July 2021)

Since proposal phase, the consortium has agreed to break down further the official reporting periods into additional internal reporting periods to guarantee a constant update and monitoring of project activities.

The project is therefore divided into 8 internal reporting periods of 6 months duration, as follows:

- RP1.1: M1-M6 (August 2017 – January 2018)
- RP1.2: M7-M12 (February 2018 – July 2018)
- RP1.3: M13-M18 (August 2018 – January 2019)

- RP2.1: M19-M24 (February 2019 – July 2019)
- RP2.2: M25-M30 (August 2019 – January 2020)
- RP2.3: M31-M36 (February 2020 – July 2020)

- RP3.1: M37-M42 (August 2020 – January 2021)
- RP3.2: M43-M48 (February 2021 – July 2021)

3.3.2 Internal reporting

At end of each internal reporting period, the Management team will collect information from partners and WP leaders focusing on the progress of the activities and on the financial reporting (expenses):

¹¹http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/reports_en.htm

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Report name	Responsibility	Template	Content
WP progress	WP leaders	InternalReport_WP (Word)	Update of work performed within the WP, planning for upcoming period and justification for eventual deviations
Dissemination & Exploitation	All partners	InternalReport_Diss&ExpIP (Word)	Partner update on Scientific publications, communication and dissemination efforts and IP rights resulting from the project
Use of Resources	All partners	InternalReport_UoR (Excel)	Report on the use of resources of each partner with details of: personnel effort and costs, other direct costs and subcontracting

Partners' and WP leaders' contributions will be collated by the Management Team and a final draft produced. This will be distributed to partners and the Coordinating PI for review. Once approved, the report will be stored in the project repository and informally shared with the European Commission Project Officer.

Any issues arising from the report will be communicated to the Project Management Committee for discussion and eventual decision-making.

Templates for reports at both WP and partner level are available in the project repository (§2.2.3). Short guiding texts have been included in all templates.

Additional guidelines on the H2020 rules for financial management, cost eligibility, and procedures for costs computing are available in the Annotated Model Grant Agreement¹² and in annex to this document (§Annex 1). IIT Management Team is available for constant support and guidance for partners' administrative staff.

3.3.3 Reporting to the EC

Related documents		
Grant Agreement/AMGA	Art 20.1	Obligation to submit reports
	Art 20.3	Periodic reports – Requests for interim payments
	Art 20.4	Final report – Requests for payment of the balance
	Art 20.8	Consequences of non-compliance

The Consortium has the obligation to submit during the course of the project three Periodic Reports and one Final Report to the European Commission that are due 60 days after the end of the Reporting period and of the project respectively.

Both Periodic Reports and Final Reports are formed of a Technical and a Financial part.

The reports will be generated by the Management Team and the Coordinating PI using as input the internal periodic reports and will be shared with the Consortium for review and approval.

¹² http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf

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Once the Financial part has been approved, all partners are requested to upload their financial information on the participant Portal according to indications provided in in annex to this document (§Annex 1).

Once also the Technical part of the reports have been approved, the Coordinator will upload the information and related documents on the EC Portal and submit it to the European Commission. A copy will be stored on the project platform (§2.2.3, Final docs>Reporting).

3.3.4 Timeline for reporting

In summary, the report preparation timeline applicable to either Internal or EC Periodic Report is provided here below with respect to the period end date. (NB: The provided example timing is related to RP1.1)

Timing		Type of report	Action
1 month before	29/12/2017	Internal & EC	Coordinator sends requests to WP leaders and partners
End of period	31/01/2018	Internal & EC	<ul style="list-style-type: none"> - WP leaders start gathering inputs from Task leaders - Partners teams (scientific and admin) start collecting necessary information
3 weeks after	21/02/2018	Internal & EC	WP leaders and partners upload the reports on the related platform folder and informs the Coordinator
4 weeks after	28/02/2018	Internal & EC	Coordinator shares with partners the collated report for review through the project platform
5 weeks after	07/03/2018	Internal	Report is finalised, stored on the platform Final Docs folder and informally shared with EC Project Officer
6 weeks after	14/03/2018	EC	Report is finalised and approved, Partners upload financial information online and Coordinator uploads technical information online
8 weeks after (at latest)	28/03/2018	EC	All uploads are completed, the Coordinator submit the reports on the Portal and save the final version on the platform Final Docs folder

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4 External relations management

4.1 External communication

Related documents		
Grant Agreement/AMGA	Art 38	Promoting the action – visibility of EU funding
Description of Action	Part A, WT3	Work package descriptions (WP8, Task 8.1)
	Part B, Sec. 2.2b	Communication activities
Dissemination Plan (D8.3)	<i>First release planned for M3 (October 2017)</i>	
Communication material (D8.2)	<i>Release planned for M3 (October 2017)</i>	
Online H2020 Manual	Communicating your project ¹³	

4.1.1 Website

The RECODE project web site (<http://www.recodeh2020.eu/>) is presented in deliverable D8.1 and has been launched in occasion of the project kick-off meeting.

The web site will be a key tool for internal and external communication of information and knowledge transfer.

The website has been set up and will be actively maintained by the Coordinator. Requests for updates or changes in the structure of a project webpage should be addressed to the Management Team.

In order to increase visibility, each partners is encouraged to add a link to the project home page in their own institution website. Additionally, IIT will seek non-paying procedures for promoting the visibility of the project website on principal search engines.

This website is composed of a public and private section.

In the public area, visitors can access a short introduction to the project and its expected impact, news, information of project partners, public deliverables, FAQs, events' data, newsletters and contact the consortium. Later in the project development, the website will also contain a section dedicated to the Project Training activities part of Task 8.2 with materials and presentations and Virtual site visits.

The protected area is redirecting to the login page for access to the project platform (§2.2.3).

4.1.2 Social media

To support the project communication, RECODE will be actively promoted through social media.

At this early stage of the project, the sole RECODE Twitter account has been set up (<https://twitter.com/RecodeH2020>). Once more project results will be available and news will therefore be more appealing, additional tools like Wikipedia, LinkedIn, Facebook, SlideShare, etc. will be considered to foster potential impact.

¹³ http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/communication_en.htm

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Any content to be shared using social media should be sent to the Management Team using the following email address: news@recodeh2020.eu. Partners are encouraged to contribute to the visibility of the Project social media through their own personal or institutional account. For instance, when mentioning RECODE on Twitter, partners should always cite the project, EC and SPIRE accounts: [@RecodeH2020](https://twitter.com/RecodeH2020), [@EUScienceInnov](https://twitter.com/EUScienceInnov) and [@SPIRE2030](https://twitter.com/SPIRE2030). More detailed guidelines and procedures will be provided in *D8.3 - Dissemination Plan*.

4.1.3 News & Press

Press coverage will help the project to reach a wider list of stakeholders and, at the same time, to create a general awareness about the importance and main objectives of the project. Feature articles, publications on popscience magazines and news will be promoted by the direct contact with journalists.

As Task 8.1 Leader, IIT will produce press releases in occasion of key project phases in both English and Italian language. These will be shared with partners media offices for translation into the 5 other consortium languages (Dutch, French, German, Greek and Lithuanian). Partners are indeed encouraged to contact media in their countries (either general or specialized) in order to increase the project's visibility and to spread the results. More detailed guidelines and procedures will be provided in *D8.3 - Dissemination Plan*.

4.1.4 Communication package

As part of Deliverable 8.2, IIT will prepare the basic project communication material which will be stored as a Communication package on the project platform apposite folder (§2.2.3). This will contain the project visual identity, basic guidelines for communication, project press release and project information material.

While the version produced by M3 will be based on basic project information (e.g. objectives, expected impact and consortium), the Communication package will be updated alongside the project evolvement. Additional materials to be considered are videos, brochures, posters, presentations and newsletters.

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4.2 Dissemination

Related documents		
Grant Agreement/AMGA	Art 29	Dissemination of results – Open Access – Visibility of EU funding
Description of Action	Part A, WT3	Work package descriptions (WP8, Task 8.1)
	Part B, Sec. 2.2a	Plan for using and disseminating knowledge; Data management
Consortium Agreement	Section 8.4	Dissemination
Dissemination Plan (D8.3)	<i>First release planned for M3 (October 2017)</i>	
Data Management Plan (D1.2)	<i>First release planned for M6 (January 2018)</i>	
Online H2020 Manual	Dissemination & Exploitation of results ¹⁴	
	Acknowledgement of EU funding ¹⁵	
	Open Access & Data management ¹⁶	

The dissemination rules presented here below are a simplified summary of the provisions included in the relevant sections of the Grant Agreement and Consortium Agreement. For doubts, reference should be always made to the official Agreements since those terms are legally binding and thus shall prevail.

4.2.1 Information on EU funding and disclaimer

In line with GA provisions (Art 29.4-29.5), any dissemination of project results (in any form, including electronic) must indicate at all times that the project received funding from the European Union and indicate that it reflects the authors' view, thus excluding any European Commission responsibility for any future use. More in details, in all dissemination partners must:

- Display high resolution EU flag, which should be given appropriate prominence when displayed with the project logo or any other logos;
- Include the following acknowledgement
 - **Promotional material** - “This project has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 768583 (RECODE project)”;
 - **Patents** – “The work leading to this invention has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 768583 (RECODE project)”;
 - **Results** - “The research leading to these results/this publication has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 768583 (RECODE project)”;

¹⁴ http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/dissemination-of-results_en.htm

¹⁵ http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/acknowledge-funding_en.htm

¹⁶ http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/open-access-dissemination_en.htm

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- Include the disclaimer: “This (paper/article/publication/report) reflects only the author's view and the European Commission is not responsible for any use that may be made of the information it contains.”

This is particularly relevant to any scientific publication. Failure to include the acknowledgement could result in the non-payment of the costs claimed to produce the work as specified in GA Art 29.6.

4.2.2 Publication procedures

Before the dissemination and publication of project results, Partners should notify the Consortium at least 45 calendar days prior to any planned publication via the all@recodeh2020.eu mailing list. It is nevertheless acknowledged by the entire consortium that it is not always possible to respect the 45 days prior-notice. In these cases, the partner willing to disseminate will make its best to inform partners and seek for approval with the shorter possible delay.

Any objections on the publication of specific results (i.e. in case such result is susceptible to breach Intellectual Property Rights of another party within the consortium) shall be made via email to all consortium within 30 days after receipt of the notice.

An objecting partner can request a publication delay of not more than 90 days from the time it raises such an objection except for German universities where a 60 days embargo applies (as agreed in CA, Art 8.4.2.3). Feedback given timely should be taken into account. If needed, alterations and modification to the publication can be made.

After this embargo or if no partner objects within the period above, the dissemination is allowed.

In case of dispute, the procedure for settlement of disputes as laid down in the Consortium Agreement applies.

Draft papers and articles shall be placed as soon as possible in the designated folder on the workspace for the whole consortium to review. When applicable, contributions from the whole consortium should be solicited by the publication authors.

4.2.3 Open access

According to GA provisions (Art. 29.2), each beneficiary must ensure full open access (free of charge online access for any user) to all peer-reviewed scientific publications relating to its project results.

The following procedures have been identified for each partner to follow BEFORE applying for scientific peer-reviewed publications:

- Check if the journal/conference policy on open access¹⁷ are compliant with EC rules

¹⁷ <http://www.sherpa.ac.uk/romeo/index.php>

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If open access (either green or gold) is not granted or the embargo period is higher than 6 months, negotiations with publisher are possible and the eventual article processing charges (APC) are eligible for EC funding. Should this not be possible, partners should refrain from publication.

Once the publication is approved, the following additional steps should be followed:

- Upon publication (or assignation of DOI in case of conference proceedings), the publication machine-readable copy must be uploaded on Zenodo within the RECODE project community - <https://zenodo.org/communities/recode/>¹⁸. When possible, cross-reference to project datasets should be included as defined within the project DMP.
- Open access must be provided either on publication or within 6 months from publication if an embargo is requested by the publisher.
- Additional deposit in other repositories (e.g. institutional ones, Arxiv, etc.) is possible as long as attention is paid not to double the DOI assignation to the publication and cross-reference is provided

4.2.3.1 *Open access to research data*

Given the project participation to the open Research Data Pilot, open access – when possible – should be also provided to the digital research data generated in the project. In particular, each RECODE partner shall:

- (a) deposit in a research data repository (possibly RECODE community in Zenodo) and take measures to make it possible for third parties to access, mine, exploit, reproduce and disseminate — free of charge for any user — the following:
 - a. the data, including associated metadata, needed to validate the results presented in scientific publications as soon as possible;
 - b. other data, including associated metadata, as specified and within the deadlines laid down in the Data Management Plan (D1.2 and further updates);
- (b) provide information — via the repository — about tools and instruments at the disposal of the beneficiaries and necessary for validating the results (and — where possible — provide the tools and instruments themselves).

4.2.4 **Reporting**

Partners must keep track of all their publications and dissemination activities related to the RECODE project. These publications and activities will be reported to the Management Team through the Dissemination & Exploitation internal reports (§3.3.2). IIT, as leader of Dissemination Task T8.1) will maintain the overall list of publications and dissemination activities and ensure that this list is well reflected on the designated page on the RECODE website (§4.1.1).

¹⁸ Upload URL: <https://zenodo.org/deposit/new?c=recode>

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4.3 IP management

Related documents		
Grant Agreement/AMGA	Section 3 (Artt. 23-31)	Rights and obligations related to background and results
Description of Action	Part B, Sec. 2.2a	Plan for using and disseminating knowledge; Patent and licensing policy
Consortium Agreement	Section 8	Results
	Section 9	Access rights
Online H2020 Manual	Dissemination & Exploitation of results ¹⁹	
	Intellectual Property ²⁰	

Intellectual Property (IP) protection and access rights are detailed in the project Consortium Agreement.

RECODE partners have the obligation to manage and protect intellectual property, as stated in GA Art. 23a and 27.

The partners have agreed since proposal phase that, in line with EU requirements, when possible the protection of project results will have priority towards dissemination.

Should protection not be possible or reasonable, dissemination will be pursued according to provisions set out and agreed in Section 8 of the CA and summarised above (§4.2).

To avoid possible misunderstanding, the project Exploitation Plan (D1.3) will further detail out all key project exploitable results and identifying the consortium strategy towards either protection or dissemination. Additionally, all partners will be requested to periodically report on IP generation and planned exploitation through the Dissemination & Exploitation internal reports (§3.3.2, §4.2.4).

¹⁹ http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/dissemination-of-results_en.htm

²⁰ http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/intellectual-property_en.htm

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Annex 1. RECODE financial guidelines

This Annex is intended to provide a brief summary of the main financial provisions within Horizon 2020. It is based on the terms and conditions established in the Grant Agreement as well as on details and explanations provided within the Annotated Model Grant Agreement²¹.

Specific links to the Annotated Model Grant Agreement (AMGA) are based on the document version 4.0.1, 20 June 2017.

A1.1 Eligible and ineligible costs

Costs to be eligible must meet the criteria identified within the Grant Agreement. Detailed conditions are reported here below for actual and flat rate costs. Unit costs criteria are not provided since this category is not applied within the RECODE project budget.

Issue	GA/AMGA article	Link to AMGA
Eligible costs: actual costs	Art 6.1	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=39
Eligible costs: flat rate costs		
Ineligible costs	Art. 6.5	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=119

a1.1.1 Eligible costs: actual costs

Actual costs to be eligible must meet the following criteria:

- they must be actually incurred by the beneficiary;
- they must be incurred in the period set out in Article 3, with the exception of costs relating to the submission of the periodic report for the last reporting period and the final report (see Article 20);
- they must be indicated in the estimated budget set out in Annex 2;
- they must be incurred in connection with the action as described in Annex 1 and necessary for its implementation;
- they must be identifiable and verifiable, in particular recorded in the beneficiary's accounts in accordance with the accounting standards applicable in the country where the beneficiary is established and with the beneficiary's usual cost accounting practices;
- they must comply with the applicable national law on taxes, labour and social security, and
- they must be reasonable, justified and must comply with the principle of sound financial management, in particular regarding economy and efficiency;

a1.1.1 Eligible costs: flat rate costs

Flat-rate costs to be eligible must meet the following criteria:

- they must be calculated by applying the flat-rate set out in Annex 2, and

²¹ http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf

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- the actual costs to which the flat-rate is applied must comply with the conditions for eligibility set out in Article 6.1 of the GA.

a1.1.2 Ineligible costs

Ineligible costs are:

- costs that do not comply with the conditions set out in GA Artt. 6.1-6.4, in particular:
 - costs related to return on capital;
 - debt and debt service charges;
 - provisions for future losses or debts;
 - interest owed;
 - doubtful debts;
 - currency exchange losses;
 - bank costs charged by the beneficiary's bank for transfers from the Commission;
 - excessive or reckless expenditure;
 - deductible VAT;
 - costs incurred during suspension of the implementation of the action;
- costs declared under another EU or Euratom grant (including grants awarded by a Member State and financed by the EU or Euratom budget and grants awarded by bodies other than the Commission for the purpose of implementing the EU or Euratom budget; in particular, indirect costs if the beneficiary is already receiving an operating grant financed by the EU or Euratom budget in the same period, unless it can demonstrate that the operating grant does not cover any costs of the action).

A1.2 Budget categories

Art. 6.2 provides additional specific conditions for eligibility for each of the budget categories:

- Direct costs - costs that are directly linked to the action implementation and can therefore be attributed to it directly.
 - A. direct personnel costs;
 - B. direct costs of subcontracting;
 - D. other direct costs;
- Indirect costs - costs that are not directly linked to the action implementation and therefore cannot be attributed directly to it.

a1.2.1 Direct personnel costs

Direct personnel costs are eligible if they are related to personnel working for the beneficiary under an employment contract (or equivalent appointing act) and assigned to the action. They must be limited to salaries, social security contributions, taxes and other costs included in the remuneration, if they arise from national law or the employment contract.

Non-profit legal entities may also declare as personnel costs additional remuneration for personnel assigned to the action if it is part of the beneficiary's usual remuneration practices and paid in a consistent

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manner, the criteria used to calculate it are objective and generally applied by the beneficiary, and up to 8,000 €/year.

According to Art 6.2.A.1, direct personnel costs are broken down into several types:

- costs for **employees (or equivalent)**
- costs for **natural persons working under a direct contract**
- costs for personnel seconded by a third party
- costs for beneficiaries that are SMEs for their owners not receiving a salary
- costs for beneficiaries that are natural persons not receiving a salary.

Additional information are provided for each type of cost:

Issue	GA/AMGA article	Link to AMGA
Types of costs	Artt. 6.2.A.1	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=50
Records for personnel costs (hours worked for the action)	Art. 18.1.2	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=176
Employees		
Basic and additional remuneration	Art. 6.2.A.1	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=51
Conditions for eligibility	Art. 6.2.A.1	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=52
Costs calculation	Art. 6.2.A.1	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=54
Other personnel types		
Natural persons with direct contract	Art. 6.2.A.2	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=78
Seconded personnel (against payment)	Art. 6.2.A.3	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=77
Personnel costs for SME owners not receiving a salary	Art. 6.2.A.4	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=78
Natural persons not receiving a salary	Art. 6.2.A.5	

a1.2.2 Direct subcontracting costs

This category covers the case in which a task **defined in the project description** is carried out by an external third party (the subcontractor) independently rather than by the project participant. A subcontract can only cover part of the work to be done by any beneficiary and the beneficiary remains fully responsible for the work done by the subcontractor.

While the task to be subcontracted must be defined in the DoA, the subcontractors are not defined. Partners have to choose such contractors on the basis of best value for money and follow the usually applicable tendering procedures.

Any budget spent on subcontracting is excluded from the calculation of partners' indirect costs.

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According to RECODE Grant Agreement (Annex 2), only one partner (MET) has included subcontracting costs in its budget and is therefore allowed to declare the related costs.

Issue	GA/AMGA article	Link to AMGA
Eligibility conditions	Art. 6.2.B	http://ec.europa.eu/research/participants/data/ref/h2020/grant_s_manual/amga/h2020-amga_en.pdf#page=80
Difference between subcontracts and other minor contracts for purchase of goods, works or services (contractors)	Art. 8	http://ec.europa.eu/research/participants/data/ref/h2020/grant_s_manual/amga/h2020-amga_en.pdf#page=124
Difference between subcontracts and contractors on one side and linked third parties on the other	Art. 8	http://ec.europa.eu/research/participants/data/ref/h2020/grant_s_manual/amga/h2020-amga_en.pdf#page=124
Difference between subcontracts and contractors on one side and in-kind contributions against payment	Art. 8	http://ec.europa.eu/research/participants/data/ref/h2020/grant_s_manual/amga/h2020-amga_en.pdf#page=125
Implementation of action tasks by subcontractors	Art. 13	http://ec.europa.eu/research/participants/data/ref/h2020/grant_s_manual/amga/h2020-amga_en.pdf#page=141

a1.2.3 Other direct costs: travels

Travel costs and related subsistence allowances (including related duties, taxes and charges such as non-deductible VAT paid by the beneficiary) are eligible for travels related to the project. Travels must be limited to the needs of the project and must be adequately recorded.

Issue	GA/AMGA article	Link to AMGA
Eligibility conditions	Art 6.2.D.1	http://ec.europa.eu/research/participants/data/ref/h2020/grant_s_manual/amga/h2020-amga_en.pdf#page=82
Combination of project travels with personal or other purposes travels	-	http://ec.europa.eu/research/participants/data/ref/h2020/grant_s_manual/amga/h2020-amga_en.pdf#page=83

a1.2.4 Other direct costs: equipment

Beneficiaries may declare the following types of equipment costs as other direct costs:

- Depreciation costs of equipment, infrastructure or other assets;
- Costs of renting or leasing of equipment, infrastructure or other assets;
- Costs of equipment, infrastructure or other assets contributed in-kind against payment.

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Issue	GA/AMGA article	Link to AMGA
Depreciation costs of equipment, infrastructure or other assets		
Eligibility	Art. 6.2.D.2	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=85
Calculation	Art. 6.2.D.2	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=85
Specific cases: low-value assets, full price in one single year, equipment bought before action start, prototype or pilot plant	Art. 6.2.D.2	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=86
Other equipment costs		
Full cost of purchasing equipment, infrastructure or other assets	Art. 6.2.D.2	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=87
Costs of renting or leasing equipment	Art. 6.2.D.2	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=87
Costs of equipment, infrastructure or other assets contributed in-kind against payment	Art. 6.2.D.2	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=88

a1.2.5 Other direct costs: other goods and services

This budget category includes:

- Costs for consumables and supplies;
- Dissemination costs;
- Costs related to intellectual property rights;
- Costs for certificate on financial statements and certificates on methodology;
- Translation costs.

Issue	GA/AMGA article	Link to AMGA
Eligibility conditions	Art. 6.2.D.3	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=90
Difference between subcontracts and other minor contracts for purchase of goods, works or services (contractors)	Art. 8	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=124
Costs of internally invoiced goods and services	Art. 6.2.D.5	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=103
Rules for purchase of goods works or services	Art. 10	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=131
Difference between subcontracts and contractors on one side and in-kind	Art. 8	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=125

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Issue	GA/AMGA article	Link to AMGA
contributions against payment		

a1.2.6 Indirect costs

Issue	GA/AMGA article	Link to AMGA
Eligibility conditions and calculation methods	Art. 6.2.E	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=107

A1.3 Third parties

a1.3.1 Linked third parties

This category applies if there is an “established” contractual or other legal link between the project participant and the contractor.

Such linked third parties are allowed to carry out work for the project independently and to claim their own actual costs for the work they perform (i.e. without any profit margin).

Only one linked party has been identified within RECODE Description of Action: Avantium Support (AVTS) as linked third party of Avantium Chemicals BV (AVT).

Issue	GA/AMGA article	Link to AMGA
Eligibility conditions	Art. 6.3	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=117
Difference between subcontracts and contractors on one side and linked third parties on the other	Art. 8	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=124
Implementation of action tasks by linked third parties	Art. 14	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=148
Records of (linked) third parties	Art. 18	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=178

a1.3.2 In-kind contributions provided by third parties

Issue	GA/AMGA article	Link to AMGA
In-kind contributions free of charges		
Eligibility conditions	Art. 6.4	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=118
Rules for the use of in-kind contributions free of charge	Art. 12	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=138

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Issue	GA/AMGA article	Link to AMGA
In-kind contributions against payment		
Difference between subcontracts and contractors on one side and in-kind contributions against payment	Art. 8	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=125
Rules for the use of in-kind contributions against payment	Art. 11	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=134

A1.4 Additional useful references

Issue	GA/AMGA article	Link to AMGA
Keeping records – supporting documentation		
General rule	Art. 18	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=171
Records for personnel costs (hours worked for the action)	Art. 18.1.2	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=176
Templates for timesheets	-	http://ec.europa.eu/research/participants/data/ref/h2020/other/legal/templ/tmpl_time-records_en.docx
Declaration on exclusive work for the action	-	http://ec.europa.eu/research/participants/data/ref/h2020/other/legal/templ/tmpl_decl_excl-work_en.doc
Records of (linked) third parties	Art. 18	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=178
Financial statements and report		
List of documents for periodic/final report	Art. 20	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=185
Individual financial statements	Art. 20	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=188
Certificate on Financial Statements	Art. 20	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=188
Currency for financial statements and conversion into euro	Art. 20	http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf#page=190

A1.5 List of issues applicable to particular countries

Aside to provisions detailed and explained within the Annotated Model Grant agreement, the European Commission has provided additional information on particular financial issues applicable to some countries only: Belgium, Czech Republic, France, Italy, Netherlands, Portugal, Slovakia, Slovenia, United Kingdom. The document is regularly updated and is available at the following address: http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-issues-list-countries_en.pdf