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Deliverable 1.1

Project Quality and Risk Management Plan

Work Package	WP1, Project Management & Coordination
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Deliverable Abstract

D1.1 Project Quality and Risk Management Plan is the manual laying down the process and procedures within the project consortium ensuring high-quality project results. It will remain as the EOOSC Focus project handbook defining the organisation and the methodology which the project partners will be expected to apply throughout the entire project lifecycle.



DISCLAIMER

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0.1	27/06/2022	First draft preparation	Sara Garavelli (CSC), Iiris Liinamaa (CSC), Roosa Ripatti (CSC), Ute Gunsenheimer (EOSC-A), Tia Van Renterghem (EOSC-A), Giulia Lodi (EOSC-A)
0.2	15/07/2022	Version incorporating comments and feedback from MB	Sara Garavelli (CSC), Iiris Liinamaa (CSC), Roosa Ripatti (CSC), Tia Van Renterghem (EOSC-A)
1.0	28/07/2022	Final version ready for submission to the EC	

TERMINOLOGY

Terminology/Acronym	Definition
AuCo	Audit Contact
Belnet	Belgisch Telematica Onderzoeknetwerk
CLARIN	Common Language Resources and Technology Infrastructure
CoCo	Coordinator Contact
CREAF	Centre de Recerca Ecològica i Aplicacions Forestals
CSC	CSC - IT Center for Science
DESCA	Development of a Simplified Consortium Agreement
EC	European Commission
EGL.eu	Stichting EGL
EOSC	European Open Science Cloud
EOSC-A	EOSC Association
EU	European Union
Focus	Focusing on Open, Collaboration and Useful Science
FSIGN	Financial Signatory
GA	General Assembly
HE	Horizon Europe
KPI	Key Performance Indicator
LEAR	Legal Entity Appointed Representative
LSIGN	Legal Signatory
MB	Management Board
MIM	Mutual Insurance Mechanism
NCN	Narodowe Centrum Nauki
PaCo	Participant Contact
PAuCo	Primary Audit Contact
PC	Project Coordinator
PCoCo	Primary Coordinator Contact
PFSIGN	Project Financial Signatory
PLSIGN	Project Legal Signatory
REA	European Research Executive Agency
RoP	Rules of Participation
SEDIA	Single Electronic Data Interchange Area
SME	Small and Medium Enterprises
SRIA	Strategic Research and Innovation Agenda
TaMa	Task Manager
TeMe	Team Member
TU Graz	Graz University of Technology
TU Wien	Vienna University of Technology
WP	Work Package

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Executive Summary

EOSC Focus will support the Horizon Europe co-programmed EOSC Partnership to meet the objectives outlined in the Memorandum of Understanding between the European Commission and the EOSC Association¹.

The six work packages of the project will help numerous activities of the broader stakeholder community to focus on the ambitious goal of delivering EOSC:

- WP1 Project Coordination
- WP2 Stakeholder Engagement and Management
- WP3 SRIA Update and Technical Development
- WP4 Monitoring and Impact Assessment
- WP5 Sustainability of EOSC
- WP6 Communication, Dissemination & Stakeholder Forum.

Throughout its lifespan of 36 months, the project will address the following key activities:

- Establishing coordination of technical activities and some non-technical activities within the EOSC ecosystem, and supporting the coordination and alignment activities in the EOSC ecosystem collaborating with EOSC Association members and Task Forces, EOSC projects, international stakeholders, other partnerships and initiatives.
- Helping diverse activities of the broader stakeholder community to focus on the ambitious goal of delivering EOSC.
- Soliciting inputs to further develop the Strategic Research and Innovation Agenda (SRIA).
- Advancing conditions to ensure effective implementation of the Rules of Participation (RoP).
- Thriving into effective resourcing models and developing a consistent EOSC monitoring framework by particularly developing and testing resourcing models for EOSC services to inform decisions on stakeholder funding.

This D1.1 Project Quality and Risk Management Plan will remain as the EOSC Focus project handbook defining the organisation and methodology which the project partners will be expected to apply throughout the project's lifetime. Common project procedures, conventions, and processes are essential for the project management to ensure the results are produced according to defined standards, to ensure the agreed Key Performance Indicators (KPIs) are met and to gauge their impact. Based on the project's Grant Agreement and Consortium Agreement, this document introduces procedures for:

- Management structure and procedures
- Quality assurance framework including collaboration tools, quality control of project outcomes, preparation for review meetings, dissemination and communication process, publications, KPIs
- Risk management and contingency plan monitoring

¹ Memorandum of Understanding between the European Union and the EOSC Association. 2021. https://www.eosc.eu/sites/default/files/EOSC_Memorandum_30_July_2021.pdf

Annex 1 contains Project templates. Annex 2 contains copies of relevant European Commission rules and requirements.

The main goal of the EOSC Focus project is to meet the expectations and commitment of the European Commission as a funding body as well as the expectations and needs of the EOSC Partnership.

1. Introduction

The Project Quality and Risk Management Plan is considered the handbook for the management and execution of the EOSC Focus project for its entire lifetime. It defines the framework and mechanisms to ensure that the objectives of the project are met.

It provides guidelines for the project execution concerning the following items:

- Chapter 2: Management structure and procedures
- Chapter 3: Quality assurance framework
- Chapter 4: Risk management and contingency plan monitoring
- Annex 1: Project templates
- Annex 2: European Commission rules and requirements.

Implementation of this handbook will ensure regular monitoring of Key Performance Indicators (KPIs) defined to measure progress and gauge impact based on the Grant Agreement and Consortium Agreement. The handbook provides the methodology to ensure a smooth communication process among project actors and describe the processes to record project outcomes.

2. Management Structure and Procedures

The EOOSC Focus overall organisational structure has been designed to ensure efficient and streamlined strategic, administrative and financial coordination of the consortium. The consortium consists of nine partners: European Open Science Cloud Association AISBL (EOOSC-A), Technische Universität Graz (TU Graz), Technische Universität Wien (TU Wien), Narodowe Centrum Nauki (NCN), Stichting EGI (EGI.eu), Belgisch Telematica Onderzoeknetwerk (BELNET), Centro de Investigacion Ecologica y Aplicaciones Forestales (CREAF), CLARIN ERIC (CLARIN) and CSC - It Center for Science (CSC).

The organisational structure of the consortium comprises the following consortium bodies:

- The General Assembly (GA)
- The Management Board (MB)

The GA and MB are led by the Project Coordinator (PC).

EOOSC Focus Governance

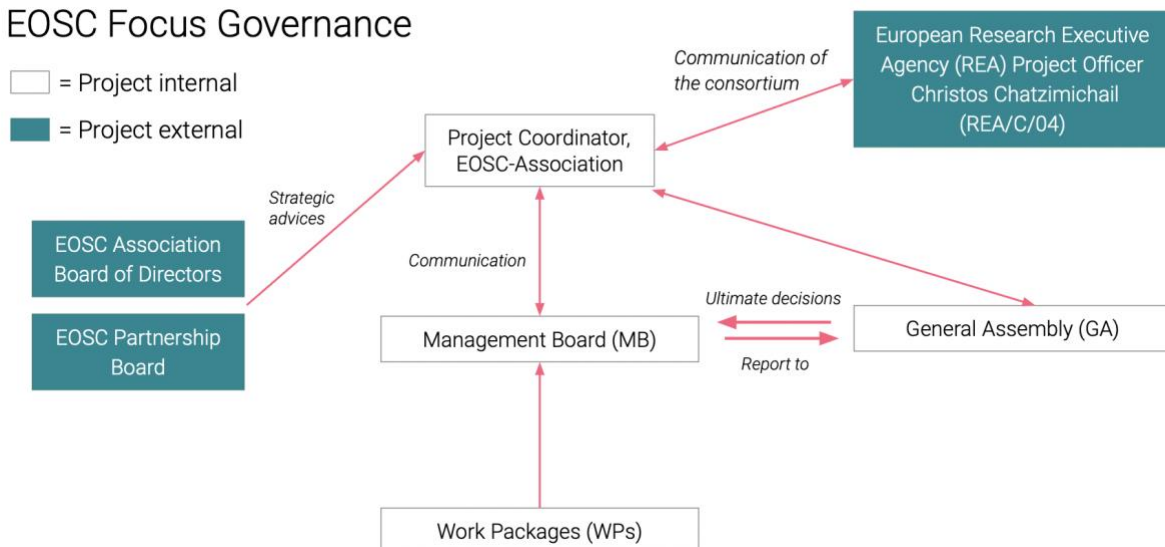


Figure 1: Overview of the EOOSC Focus Governance

2.1 General Assembly

The General Assembly (GA) is the ultimate decision-making body of the EOOSC Focus Consortium. It consists of one representative of each partner organisation. The General Assembly is free to act on its own initiative to formulate proposals and take decisions in accordance with the procedures set out in the Consortium Agreement.

The table below reports the members of the EOOSC Focus General Assembly:

Partner No	Partner	Partner Short Name	Representative
1	EUROPEAN OPEN SCIENCE CLOUD ASSOCIATION AISBL	EOOSC Association	Karel Luyben
2	TECHNISCHE UNIVERSITÄT GRAZ	TU GRAZ	Claudia von der Linden

3	TECHNISCHE UNIVERSITÄT WIEN	TU WIEN	Barbara Sanchez Solis
4	NARODOWE CENTRUM NAUKI	NCN	Jadwiga Spyrka
5	STICHTING EGI	EGI.eu	Sergio Andreozzi
6	BELNET BELGISCH TELEMATICA ONDERZOEKNETWERK	BELNET	Nathalie Pinsart
7	CENTRO DE INVESTIGACION ECOLOGICA Y APLICACIONES FORESTALES	CREAF	Joan Maso
8	CLARIN ERIC	CLARIN	Dieter van Uytvanck
9	CSC-TIETEEN TIETOTEKNIKAN KESKUS OY	CSC	Damien Lecarpentier

Table 1: Members of the EOSC Focus General Assembly

The following decisions shall be taken by the General Assembly according to the Consortium Agreement:

- Content of the project, finances and intellectual property rights
- Proposals for changes to Annexes 1 and 2 of the Grant Agreement
- Changes to the Consortium Work Plan
- Evolution of the consortium (entry or withdrawal of partners)
- Identification of a breach by a party of its obligations under the project's Consortium Agreement or the Grant Agreement
- Declaration of a party to be a Defaulting Party and remedies to be performed by a Defaulting Party
- Termination of a Defaulting Party's participation in the consortium
- Proposal to the Granting Authority for a change of the Coordinator
- Proposal to the Granting Authority for suspension of all or part of the project
- Proposal to the Granting Authority for termination of the project and the Consortium Agreement

The GA is expected to meet (face-to-face or virtually) at least once per year, or upon written request of any partner. Each GA member has one vote.

2.2 Management Board

The Management Board (MB) is the supervisory body for the execution of the project, which shall report to and be accountable to the General Assembly. The Management Board shall be free to act on its own initiative to formulate proposals and take decisions in accordance with the procedures set out herein. It is responsible for the operation of the project.

The table below reports the members of the EOSC Focus Management Board:

Partner No	Partner	Partner Short Name	Representative
1	EUROPEAN OPEN SCIENCE CLOUD ASSOCIATION AISBL	EOSC Association	Ute Gunsenheimer (PC & WP1 leader)

2	TECHNISCHE UNIVERSITAET GRAZ	TU GRAZ	Ilire Hasani-Mavriqi
3	TECHNISCHE UNIVERSITAET WIEN	TU WIEN	Andreas Rauber (WP2 leader)
4	NARODOWE CENTRUM NAUKI	NCN	Oskar Wolski (WP4 leader)
5	STICHTING EGI	EGI.eu	Dale Robertson
6	BELNET BELGISCH TELEMATICA ONDERZOEKNETWERK	BELNET	Chris de Loof (WP3 leader)
7	CENTRO DE INVESTIGACION ECOLOGICA Y APLICACIONES FORESTALES	CREAF	Kaori Otsu
8	CLARIN ERIC	CLARIN	Franciska de Jong (WP5 leader)
9	CSC-TIETEEN TIETOTEKNIIKAN KESKUS OY	CSC	Sara Garavelli (WP6 leader)

Table 2: Members of the EOSC Focus Management Board

The MB is responsible for ensuring the proper execution and implementation of the decisions of the General Assembly.

The MB supports the Project Coordinator to prepare meetings with the European Commission and to prepare related data and deliverables. The MB will oversee the content and timing of press releases and joint publications by the consortium or proposed by the EC in respect of the procedures of the Grant Agreement.

The MB is expected to meet (face-to-face or virtually) at least once every month, or upon written request of any partner. Each MB member has one vote.

2.3 Project Coordinator

The Project Coordinator (PC) is responsible for designing and applying overall quality management processes in all strategic, administrative and financial aspects of the project and to define and propose procedures and metrics throughout the project execution, including

- monitoring compliance by the parties with their obligations under this Consortium Agreement and the Grant Agreement
- keeping the address list of members and other contact persons updated and available
- collecting, reviewing to verify consistency and submitting reports, other deliverables (including financial statements and related certification) and specific requested documents to the Granting Authority
- preparing the meetings, proposing decisions and preparing the agenda of General Assembly meetings, chairing the meetings, preparing the minutes of the meetings and monitoring the implementation of decisions taken at meetings
- transmitting promptly documents and information connected with the project to any other party (partners of the project or the REA Project Officer) concerned

- administering the financial contribution of the Granting Authority and fulfilling the financial tasks described in the Consortium Agreement
- providing, upon request, the parties with official copies or originals of documents that are in the sole possession of the Project Coordinator when such copies or originals are necessary for the parties to present claims.

2.4 Consortium Agreement and Conflict of Resolution

The collaboration among the nine partners in the EOSC Focus project is regulated by the Consortium Agreement that is based on the [DESCA Model Consortium Agreement](#). The Consortium Agreement is constructed in accordance with and governed by the laws of Belgium, excluding its conflict of law provisions. The agreement has been evaluated by the legal experts of all partner organisations. The evaluation process was coordinated by the President, the Treasurer and the Secretary General of the EOSC Association. After the two iteration rounds and comments addressed, the final version of the CA will be circulated for signatures to the partners.

Conflicts will be proactively prevented. However, in case of a conflict, parties are expected to settle their disputes amicably. Therefore, a solution will be found primarily by negotiations by the parties involved. In section 6.3.5.5 as part of Veto rights in the Consortium Agreement it is stated that in case of exercise of a veto, the parties shall make every effort to resolve the matter occasioned by the veto to the general satisfaction of all parties. If negotiations did not solve the issue, a dispute settlement mechanism will be used as described in the Consortium Agreement section 11.8 Settlement of disputes followed by arbitration if needed. In case no satisfying solution was found, an external dispute solution will be used. The Consortium Agreement does not limit the parties' right to seek injunctive relief in any applicable competent court.

3. Quality Assurance Framework

Work Package 1 “Project Coordination”, led by the Project Coordinator, EOSC Association, is responsible for the overall quality assurance of the project. This chapter is devoted to explaining the framework provided in order to perform all EOSC Focus tasks ensuring maximum quality standards.

3.1 Collaboration tools

To exchange information and monitor the project activities and engage the EOSC stakeholders, a set of tools has been put in place for the project.

3.1.1 EOSC collaboration platform

The new EOSC community collaboration platform will serve as the engagement tool to exchange information within the EOSC Association membership and its Task Forces. The platform is provided by [Plek](#) and customised for the EOSC Association’s needs. The platform will be also used as an internal project management tool for the EOSC Focus project.

The platform is not only a platform where the EOSC Association, EOSC Task Forces and EOSC Focus members can communicate but will serve as a platform to share documents, send messages, and maintain both open and closed groups. Subgroups can be created within members assigned.

After registering to the platform, the platform gives an opportunity to its users to

- Create different EOSC-related stakeholder channels where information can be easily shared among the community
- Each work package of the project will have its own working space.
- Internal calendar will be shared internally within the project. Public calendar is shared within the community
 - Public calendar includes only open events where the assigned calendar managers will be able to post events. Internal calendar includes WP events and meetings in addition to the open events.
 - The internal calendar should also include agendas of events once available in order to enable the PC to track WPs organising meetings and travels. WPs are responsible for adding their information to the internal calendar.
- Connect and discuss with the members using the platform
- May serve as a file repository and provide online meeting system

Currently the project is using Google Drive as its main internal collaboration and working tool to co-create and to share documents with each other. The EOSC Focus participants will serve as a “guinea pig” community to test and improve the EOSC Collaboration Platform experience before it is being rolled-out to the wider community of stakeholders.

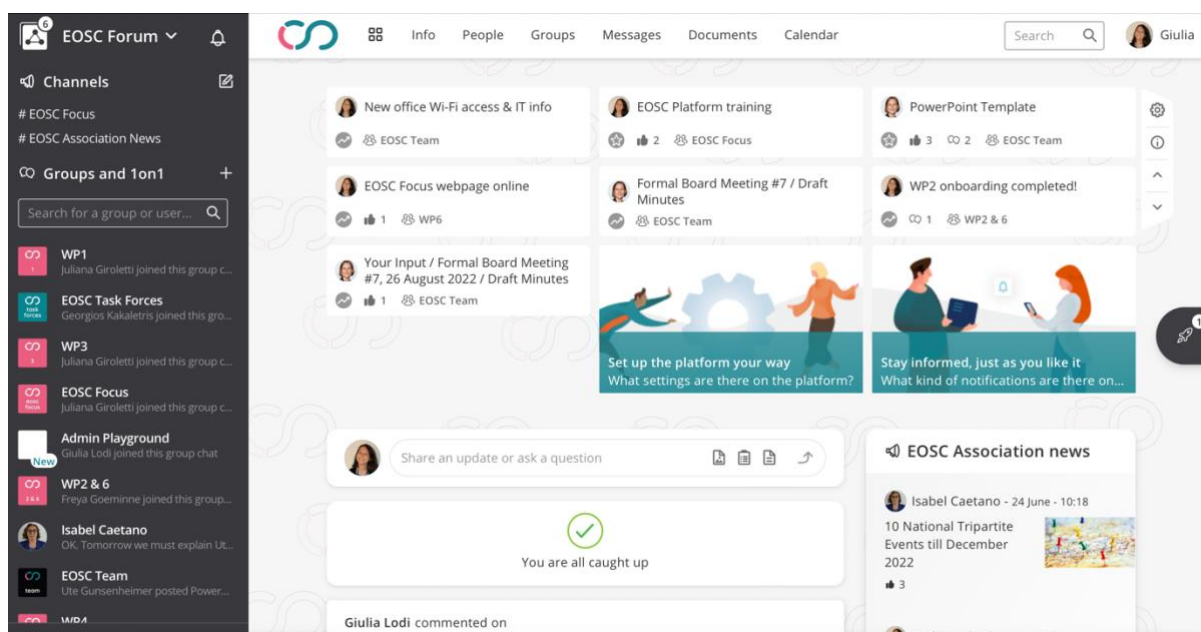


Figure 2: Screenshot of the EOSC Collaboration Platform

The screenshot above shows the general overview of the structure of the EOSC Collaboration Platform site. On the left side the user may find his/her channels as well as a list of groups he/she is involved in. The groups may be either closed and to be used by specific users or open to the whole community. Along the top there is the navigation bar to scroll around the platform. On the right side of the channels' bar, the main page provides an overview on various news and ongoing activities.

3.1.2 Eosc.eu website and social media

The eosc.eu website will serve as the key external communication tool towards the broader EOSC stakeholders community. The website remains as the public hub of the project, where all the relevant activities, events and results will be published, mainly to:

- Promote outreach activities, raising awareness
- Promote demonstrators and related impact
- Engage stakeholders

Another top-level navigation section has been added on the eosc.eu website dedicated to EOSC Focus. Basic project related information is provided on it. It ensures that the content produced in the framework of EOSC Focus to be clearly identifiable, however communicated through the EOSC Association's regular communication platforms.



Figure 3: Screenshot of where to find the EOSC Focus section at the eosc.eu website

The outcomes and relevant updates of the project will be disseminated via social media accounts as well, namely through Twitter, LinkedIn and Youtube.

3.1.3 EOSC Association Newsletter

The monthly newsletter of the EOSC Association is the key tool for informing the broader community about activities and developments around the EOSC Partnership. It consists of four sections:

- News from the EOSC Association
- Partnership with the European Commission
- From the EOSC ecosystem
- People

The Newsletter is released the first Tuesday of the month and has almost 1600 subscribers with an average open rate of 40%. Subscribers are EOSC Association's members and observers, EOSC stakeholders, researchers and professionals interested in the topic.

3.1.4 Mailing lists

To facilitate the communications among the project partners and boards, the EOSC Association will set up and maintain the following mailing lists:

- EOSC Focus Consortium
 - eoscfocus.consortium@eosc.eu
- EOSC Focus General Assembly
 - eoscfocus.ga@eosc.eu
- EOSC Focus Management Board
 - eoscfocus.mb@eosc.eu

3.2 Deliverables and Milestones

This section describes the quality assurance process for the management (production, review, approval, submission, and dissemination) of the deliverables and milestones of the EOOSC Focus project, as planned in its Grant Agreement.

3.2.1 Deliverables

The following table specifies the deliverables, the work package they belong to, the associated deadlines and the corresponding leading partners.

Deliverable No	Deliverable Name	Work Package No	Lead Beneficiary	Type	Dissemination Level	Due Date (month)
D1.1	Project quality and risk management plan	WP1	1 - EOOSC Association	R – Document, report	PU - Public	1
D2.1	Rolling engagement plan	WP2	3 - TU WIEN	R – Document, report	PU - Public	4
D6.1	Communication and dissemination plan	WP6	1 - EOOSC Association	R – Document, report	SEN - Sensitive	5
D1.2	Data management plan	WP1	3 - TU WIEN	R – Document, report	PU - Public	6
D4.1	Selection of KPIs to be reported by HE projects	WP4	2 - TU GRAZ	R – Document, report	PU - Public	6
D3.1	First annual report on technical collaboration with other European Partnerships and relevant initiatives	WP3	6 - BELNET	R – Document, report	PU - Public	9
D4.2	Annual report published by the EOOSC-A & monitoring framework revision (first release)	WP4	4 - NCN	R – Document, report	PU - Public	10
D5.1	Resourcing models	WP5	2 - TU GRAZ	R – Document, report	PU - Public	16
D3.2	Second annual report on technical collaboration with other European Partnerships and relevant initiatives	WP3	6 - BELNET	R – Document, report	PU - Public	22

D4.3	Annual report published by the EOSC-A & monitoring framework revision (second release)	WP4	4 - NCN	R – Document, report	PU - Public	22
D4.4	Annual report published by the EOSC-A & monitoring framework revision (third release)	WP4	4 - NCN	R – Document, report	PU - Public	28
D3.3	Third annual report on technical collaboration with other European Partnerships and relevant initiatives	WP3	6 - BELNET	R – Document, report	PU - Public	33
D5.2	Sustainability status and plans/issues for future work	WP5	8 - CLARIN	R – Document, report	PU - Public	34
D3.4	Strategic Research and Innovation Agenda (SRIA) update	WP3	1 - EOSC Association	R – Document, report	PU - Public	35
D2.2	Engagement activities review	WP2	3 - TU WIEN	R – Document, report	PU - Public	36
D6.2	Final communication, dissemination and exploitation plan (incl. reporting from other tasks)	WP6	9 - CSC	R – Document, report	SEN - Sensitive	36

Table 3: Deliverables

Process for accomplishing a deliverable

A standard deliverable template (Microsoft Word document) shall be used by all partners in order to produce standardized documentation. WP6 is responsible for providing a template for the deliverables. The naming convention for the deliverables is as follows: “DX.Y_DeliverableName_vZ.W.docx”, where x.y is the deliverable number (e.g. 1.3) and version is an identification of the different versions freely selected by the author(s). The version number shall be less than 1.0 in versions not submitted to the EC (version numbers below 1.0 indicate that the deliverable is in process; version 1.0 is the version that can be submitted to the EC.)

Each deliverable has a dissemination level attribute. This attribute defines the confidentiality level:

- PU: Public
 - Public, fully open, e.g. web
 - Deliverables flagged as public will be automatically published in CORDIS project’s page
- SEN: Sensitive
 - Deliverables classified as sensitive are limited under the conditions of the Grant Agreement

For each deliverable, where appropriate, one or several responsible authors will be designated by the Work Package Leader (WPL) responsible for the deliverable. This assignment should be made as early as possible, typically at the beginning of the period during which the results should be produced. Contributors to the deliverable will be identified at the beginning of the document. The WP Leader will check for presentation, completeness, accordance and accomplishment of the objectives set out for the deliverable he/she is in charge of.

The content of each deliverable depends on the type of information provided. As a general principle, the responsibility for content of each deliverable is always with the author(s). Nevertheless, the report should always meet a set of requirements conforming to the main aspects of quality information namely:

- **Completeness:** Information provided in the deliverable must be reliable and must correspond with reality. This means that all background information used should be appropriately supported by references. Foreground information should be supplied in a clear fashion and be sufficiently supported such that misinterpretation will be avoided;
- **Accuracy:** Information used in the deliverable should be focused on the key issues and be written in a fashion that takes into consideration the scope of the specific work and its target audience;
- **Relevance:** All information used should be provided at the right level of detail needed for the purpose of the reports;
- **Uniformity:** Although deliverable reports will be authored by different partners within the framework of EOSC Focus, it is important that reports are prepared with uniform appearance and structure, such that they appear as originating from a single initiative, using the appropriate template as mentioned above;
- **Punctuality:** Deliverable will be produced in accordance with the review process as described below.

Each of the EOSC Focus deliverables submitted to the Commission during the lifetime of the project will undergo an internal review process to ensure their quality and compliance with the objectives set for each in the Grant Agreement. ^[1]_{SEP}

Once a deliverable has been finalised by the authors, the deliverable will be sent by the responsible Work Package Leader to the Project Coordinator that will be responsible for a first internal review (14 days before the MB meeting previous to the actual submission deadline). The Project Coordinator can ask for revisions or integration of information and the authors will be responsible for addressing the comments within 5 working days. Once the Project Coordinator has accepted the deliverable, the deliverable will be sent for final review to the Management Board at least 7 working days before the MB monthly meeting where the deliverable will be discussed and finalised. During the MB monthly meetings the deliverables will be officially approved. If the deliverable is rejected by the Management Board, the authors will have a maximum of 10 working days to address all the comments. To mitigate delays, the monthly MB meetings will be organised around the 15th of the month (to make sure that the end of the month deadline is met) and will be used to monitor the progress of the deliverables.

The Management Board is expected to evaluate the deliverable and provide feedback according to the following criteria:

- **Technical aspects:**
 - The deliverable provides the methodology used;

- The technical decisions are appropriately elaborated and justified;
- The deliverable takes into consideration the scope of the project work, its objectives, its phases (roadmap and schedule), and its target audience.
- Innovation/Impact aspects:
 - The deliverable describes how the activities performed in the project support the achievement of the project expected impacts;
 - The deliverable describes how the work performed represents a significant innovation or advance to the state-of-the-art.
- Style and format:
 - The deliverable is clearly written and presented in a logical order;
 - The deliverable is concise and complete;
 - The deliverable is easy to read and to understand by different types of public, but especially it targets adequately the right audience;
 - The deliverable contains a good executive summary such that the reader can understand what is contained in the document without necessarily having read it in its entirety;
 - The deliverable contains suitable conclusions;
 - The deliverable contains appropriate references;
 - The deliverable conforms to the layout and formats of the deliverable template;
 - The deliverable conforms to the graphical identity of the project;
 - The information is presented in correct English spelling and grammar.

3.2.2 Milestones

The following table specifies each milestone, the work package it belongs to, the associated deadline and the corresponding leading partner.

Milestone No	Milestone Name	Work Package No	Lead Beneficiary	Means of Verification	Due Date (month)
MS1	EOSC Focus kick-off meeting	WP1	1 - EOSC Association	Minutes of the kick-off meeting	1
MS2	Support mechanism for the governance of the Horizon Europe co-programmed EOSC Partnership is in place	WP1	1 - EOSC Association	Responsibility assignment matrix (RACI- responsible, accountable, consulted, informed) agreed	3
MS3	Stakeholder role models for RoP and EOSC Catalogue List and procedures in place	WP5	5 - EGI.eu	Models described and validated by the relevant TF RoP-CM	6
MS4	EOSC Symposium 2022	WP6	6 - BELNET	EOSC Symposium 2022 has been held.	6
MS5	Successful engagement enabled and future planning (first release)	WP2	3 - TU WIEN	The milestone incorporates the reporting and review of engagement activities done and the	12

				planning of engagement activities for the future months	
MS6	EOSC stakeholder forum status and gap analysis (first release)	WP6	9 - CSC	Short report documenting the composition of the EOSC stakeholder forum and giving engagement activities for WP2	12
MS7	EOSC Symposium 2023	WP6	6 - BELNET	EOSC Symposium 2023 has been held	16
MS8	Report in the form of the half-yearly digest on EOSC technical activities following the ETCC (first release)	WP3	1 - EOSC Association	EOSC project digests to keep up-to-date with merged information from EOSC projects and the big picture regarding the technical EOSC ecosystem.	17
MS9	Mid-term risk assessment and (if applicable) a mitigation plan	WP1	1 - EOSC Association	Protocol of risk assessment	18
MS10	Mapping of global actors addressing the global Open Science Commons	WP5	8 - CLARIN	Series of consultations with representatives of project EOSC Future	18
MS11	Release of EOSC branding & co-branding guidelines	WP6	1 - EOSC Association	EOSC branding and co-branding guidelines available on eoscc.eu	18
MS12	Launch reporting and monitoring tools following a testing phase	WP4	4 - NCN	Software released, tested and validated by a user-group	21
MS13	Successful engagement enabled & future planning (second release)	WP2	3 - TU WIEN	The milestone incorporates the reporting and review of engagement activities done and the planning of engagement activities for the future months	24
MS14	EOSC stakeholder forum status and gap analysis (second release)	WP6	9 - CSC	Short report documenting the composition of the EOSC stakeholder forum and giving engagement activities for WP2	24
MS15	EOSC Symposium 2024	WP6	6 - BELNET	EOSC Symposium 2024 has been held	30
MS16	Report in the form of the half-yearly digest on EOSC technical activities following the ETCC (second release)	WP3	1 - EOSC Association	EOSC project digests to keep up-to-date with merged information from EOSC projects and the big picture regarding the technical EOSC ecosystem.	30

MS17	Updated KPIs in SRIA, MoU and in the monitoring framework for the co-programmed European Partnerships	WP4	1 - EOSC Association	EOSC Partnership Board review and approval	34
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Table 4: Milestones

A specific template to report the accomplishment of the milestones has been developed (See Annex 1).

The partner responsible for the milestone should complete the milestone template and share it with the PC and Management Board via email 7 working days before the MB meeting. The partner responsible for the milestone should communicate as well in advance as possible to the PC eventual delays in the achievement of the milestone providing a justification (or minimum of 45 calendar days before the actual deadline of achievement).

To mitigate delays, the monthly MB meetings will be organised around the 15th of the month (to make sure that the end of the month deadline is met) and will be used to monitor the progress of the milestones.

The PC and Management Board will check the completeness of the information and if needed they can require extra information that needs to be provided in maximum 7 working days. The PC will flag the milestone as achieved in the ECAS portal.

3.3 EOSC Focus Project Meetings

Different project meetings are foreseen in EOSC Focus as described in the following table:

Meeting Type	Frequency of meetings	Communication of meeting to be done prior the due date (calendar days)		Communication of agenda to be done prior the due date (calendar days)		Communication of adding agenda items to be done prior the due date (calendar days)	
		Ordinary meeting	Extraordinary meeting	Ordinary meeting	Extraordinary meeting	Ordinary meeting	Extraordinary meeting
General Assembly	At least once every six months ²	30	14	14	7	7	5
Management Board	At least once every month ³	10	5	7	3	4	2

Table 5: Notifications of internal meetings

The Project Coordinator chairs the GA and MB meetings. The Management Board meetings are aimed to be recurring once per month starting from the second half of August 2022. The timings of General Assembly meetings will be agreed separately during the project life cycle. These will, however, be organised at a minimum of once every six months.

² Extraordinary meetings can be requested at any time by any member.

³ Extraordinary meetings can be requested at any time by any member.

The General Assembly and Management Board meetings will be complemented by other meetings organised by the work package and task leaders as necessary. Meetings may also be held as tele- or videoconference, or other telecommunication means as appropriate to the circumstances.

The Chair of the meeting shall produce minutes of each meeting which shall be the formal record of all decisions taken. He/she shall send the draft minutes to all members within 10 calendar days of the meeting. The minutes shall be considered as accepted if, within 15 calendar days from receipt, no member has sent an objection by written notice to the chairperson with respect to the accuracy of the draft of the minutes by written notice. The chairperson shall send the accepted minutes to all the parties and to the Project Coordinator, who shall retain copies of them.

3.4 Reporting Procedures

In addition to the periodic report to the Granting Authority (M12, M36), an internal progress report will be requested by the PC every three months (except when a periodic report is submitted to the Granting Authority).

The internal reporting allows the Project Coordinator and therefore the General Assembly to be able to monitor the progress of the project so that the requirements of the Grant Agreement and the Granting Authority will be fulfilled and the consumption of resources (the partners are requested to provide estimates of effort and costs).

The structure of internal periodic reports will be the following.

- WPLs will be requested to produce a couple of slides reporting the following information:
 - Activity report per work package
 - Main achievements
 - Potential risks
 - Deviations from the work plan
 - External events & project meetings
 - Publications
 - Deliverables and milestones due in the reporting period
 - KPIs
- The PC will collect estimates of resources and budget consumed in a spreadsheet.

The PC will request the WP Leaders to prepare the needed information at least 20 days before the due date of reporting. The slides produced by the WP leaders and the overall spreadsheet including the resource/financial information will be discussed during the MB meetings and submitted for information to the GA. Reporting will be done within the following month of each quarter. Therefore the first reporting will take place at the end of October 2022 (Q3/2022). The second one in January 2023 (for Q4/2022) etc.

3.5 Review Preparation

As specified in the Grant Agreement, there are two reviews in Brussels during the project life cycle. The first review will take place after M12 after the submission of the EC reporting. The

second review will take place after M36. An informal midterm review around M24 might be requested by the REA Project Officer as discussed in the Grant Agreement negotiation phase. If this additional review takes place, it will be performed in a virtual mode.

The aim of the review meetings is to evaluate the progress of the project and consider how the project has met the objectives set in the Grant Agreement. The exact dates will be agreed with the REA Project Officer in advance. The REA Project Officer will appoint additional experts as reviewers for the review meeting. As a result of the meeting, REA will send a review report to the Project Coordinator concerning the assessment of the progress of the project and may include recommendations.

The Project Coordinator will organise and prepare the review meetings in advance with support of the work package leaders and all consortium members. The Project Coordinator is responsible for the following activities in review preparations:

1. Prepare the agendas for review preparation as well as for the review meeting
2. Liaise with participants to ensure all review presentations are in place and the quality is acceptable
3. Present an overview of the project and activities taken place and foreseen at the beginning of the review
4. Send to all partners the review report received from REA
5. Follow up all the comments and recommendations received from the reviewers and REA Project Officer
6. Schedule at least one rehearsal meeting in advance of the review meeting, where the goal is to rehearse all the presentations that will take place during the official REA review meeting.

3.6 Procedures for Dissemination, Communication and Publication

Work package 6 is responsible for the communication and dissemination activities throughout the project. Stated in the Consortium Agreement (chapter 8), a prior notice of any planned publication to the partners is at least 30 calendar days before the publication. If there are any objections towards the publication, it should be announced within 20 calendar days after the planned publication has been announced. If no objection is made within this time limit, the publication is permitted to be done.

By exception to the 30 calendar days' notice, the prior notice period shall be reduced to 15 calendar days for the following dissemination activities: poster presentations, slides and abstracts for oral presentations at scientific meetings. In this case, any objection to the planned dissemination shall be made in writing to the Project Coordinator and to the party or parties proposing the dissemination within 10 calendar days after receipt of the notice. If no objection is made within the time limit stated above, the dissemination is permitted.

The communication and dissemination activities to be carried out in the project should be done in accordance with the Communication and dissemination plan (D6.1).

Any partner planning to make an external publication, talk or a presentation outside the project consortium should communicate a proposal to the Project Coordinator.

The proposal should include the following items:

- Title and summary/abstract of the content to be disclosed
- In which format the information will be disclosed (paper, journal, presentation given, poster, press release, talk at an event, etc.)
- Further details: event, venue, organizer, date, relation to the project, participants, etc.

All published communications should include a reference to the source of EU funding. Unless not agreed otherwise any dissemination results (in any form, including electronic) must include the following:

- Display one of the the following EU emblems with the following text⁴:
 - “Funded by the European Union”



-
- Apart from the emblem above, no other visual identity or logo may be used to highlight the EU support. When displayed in association with other logos, the emblem must be displayed as prominently and visibly as the other logos.
- Include the following disclaimer:
 - “Funded by the European Union. Views and opinions expressed are however those of the author(s) only and do not necessarily reflect those of the European Union or [name of the granting authority]. Neither the European Union nor the granting authority can be held responsible for them.”

3.7 KPIs

Different types of KPIs have been defined to monitor the progress of the EOSC Focus project:

- KPIs supporting the achievement of the EOSC Focus objectives

Objective 1: Provide an effective stakeholder forum			
KPI description	Lead Beneficiary	Baseline	Final KPI
10% increase in EOSC-A membership facilitated by the organisational engagement in WP2	EOSC-Association	241 Members and Observers	at least 285 members and observers

⁴ https://rea.ec.europa.eu/communicating-about-your-eu-funded-project_en

50% increase in stakeholder forum membership (individuals active in EOSC) during the course of the project	CSC	EOSC-A newsletter database	Number of members of the EOSC Forum platform + number of external stakeholders engaged in events & consultations
Objective 2: Consolidate and enhance existing monitoring frameworks			
KPI description	Lead Beneficiary	Baseline	Final KPI
The EOSC Partnership is provided with at least 70% of the data it requires to monitor KPIs	NCN	0	70%
Monitoring data is received from key stakeholders within all Member States	NCN	0	Number of Member States providing data
Objective 3: Identify strategic gaps to inform future iterations of the SRIA			
KPI description	Lead Beneficiary	Baseline	Final KPI
At least 150 responses are generated to SRIA consultations	BELNET	534	Single comments / suggestions through consultations run through the eoscc.eu website.
Research community and/or RI responses account for at least 30% of the total	BELNET	0	30% of the responses coming from research community
Objective 4: Develop and test resourcing models for a sustainable EOSC			
KPI description	Lead Beneficiary	Baseline	Final KPI
At least 4 resourcing model patterns are identified, elaborated and tested or validated by end of project, e.g. provider-paid, project-based, voucher schemes or excellence-based applications	CLARIN	0	4 resourcing model patterns in place and adopted
Objective 5: Implement the EOSC Rules of Participation (RoP)			
KPI description	Lead Beneficiary	Baseline	Final KPI
The RoP are validated by and contributed to by 8 regional or thematic EOSC communities	EGI.eu	0	RoP validated by 8 regional or thematic EOSC communities
Updated RoP are accepted by at least 75 resource providers (both existing and new)	EGI.eu	0	RoP accepted by at least 75 resource providers

Table 6: Main KPIs supporting the achievement of the EOSC Focus objectives

- Communication and dissemination KPIs

KPI	KPI description	Lead beneficiary	Baseline	Final KPI
KPI1	eosc.eu views	EOSC Association	2000 views/month	+100%
KPI2	EOSC newsletter opening rate	EOSC Association	500 openings/ issue	+50%
KPI3	Balanced representation per country of stakeholder types in the EOSC Stakeholder Forum	CSC	To be defined at the start of the project	(per country) 60% RPOs, 10% RFOs, 30% SPs
KPI4	Questionnaire on satisfaction levels from the EOSC related to projects on communication with the Partnership	EOSC Association	No questionnaire now	70% satisfaction

Table 7: Communication and dissemination KPIs

4. Risk Management and Contingency Plan Monitoring

Risk management identifies the risks that might be encountered during the project implementation. It allows risks to be understood and managed proactively, optimising project processes and minimizing threats.

The objective of the risk management system is to identify and evaluate key risks, treat and monitor these risks effectively and efficiently and establish ongoing monitoring for supporting decision-making.

Risk management addresses several processes:

- Risk identification: determining which risks might affect the project and documenting their characteristics;
- Risk analysis: prioritizing risks for subsequent further analysis or action by assessing and combining their probability of occurrence and impact;
- Risk response planning: developing options and actions to reduce risks/threats to project objectives;
- Risk monitoring and control: tracking identified risks, monitoring residual risks, identifying new risks, executing risk response plans, and evaluating their effectiveness throughout the project life cycle.
- The efficiency of these processes depends on the responsiveness and coordination of all project members. It is the responsibility of the WP leaders to manage risks and report accordingly to the PC and the project boards, as necessary.

At the start of the project the following risks have been identified:

Risk No	Description	Work Package No(s)	1. Impact 2. Probability	Proposed Mitigation Measures
1	Too heterogeneous/diverging views on EOSC and its short- and medium-term goals	WP1, WP3, WP5, WP2, WP4, WP6	Impact: High Probability: High	Support the EOSC Partnership in aligning the development of EOSC within the EOSC ecosystem through the alignment of diverging inputs.
2	Too limited resources to achieve effective engagement given the large set of stakeholders and heterogeneous landscape.	WP1, WP3, WP5, WP2, WP4, WP6	Impact: High Probability: Medium	Regular comparison of costs/efforts and actual goals in order to lower costs/expenses needed; prioritising the key stakeholder groups if needed.

3	The lack of control of activities executed by other EOSC-related projects.	WP1, WP3, WP5, WP2, WP4, WP6	Impact: High Probability: High	The consortium partners are well connected within the EOSC ecosystem; proper definition of a Vademecum for the collaborations of EOSC-A with EOSC-related projects.
4	Limited resources available in EOSC-A due to the start-up nature.	WP1	Impact: High Probability: Medium	Support capacity and expertise by the members of EOSC-A.
5	Not timely delivered qualitative output from the EOSC TFs	WP3	Impact: Medium Probability: Medium	Execute well-coordinated activities for liaising, cross-fertilizing, animating, internal communicating and inspiring and awarding taskforce coordinators and members
6	Delayed flow of information from relevant sources for monitoring	WP4	Impact: Medium Probability: Medium	Use of several distinct sources: – engagement with the community through well-coordinated information activities based on several communication and dissemination channels (for instance newsletters, survey pre-announcements, reminders, engagement through the social media, meetings and workshops); o hands-on training materials (guidelines, manuals, FAQs, video tutorials available online) will be provided; – a helpdesk will offer ongoing support; – engagement with the EC communication channels to support the EOSC Partnership's monitoring tasks

Table 8: Critical risks & risk management strategy

Each risk has been associated to the relevant work packages and for each risk the following monitoring factors will be analysed:

- Risk probability: a 3-level scale will be used to assess probability, bearing the categorisations of 'high', 'medium', or 'low'.
- Risk impact: a 3-level scale will be used to assess impact, bearing the categorisations of 'high', 'medium', or 'low'.

If the risk expected value is very low to low, no immediate action is required. However, these risks need to be monitored to identify possible situations where the risk value may turn to a higher level.

If the risk expected value is medium, then either mitigation actions are undertaken, or a risk monitoring process is implemented to anticipate the occurrence of the risk.

If the risk expected value is high to very high, then mitigation actions must be taken early in the project to reduce/mitigate the risk.

Risk management will be a standard item for the agenda of the MB meeting. The work package leaders will be requested to assess the risks and propose corrective and preventive actions as follows:

- Corrective actions include contingency plans and workaround plans. The latter are responses that were not initially planned but are required to properly manage the risk. Corrective actions should be properly documented in periodic progress reports and potentially included in an immediate or future contract amendment, if needed.
- Preventive actions are proactive measures that are used to bring the project into compliance with the project contractual obligations. Preventive actions, if different from the ones already planned, should be properly documented and justified in periodic progress reports.

ANNEX 1 Templates

Please find the following templates within our internal tools:

- Template for deliverables
- Template for milestones
- Template for internal reporting
- Template for meeting minutes

ANNEX 2 EC Rules and Requirements

1. EC Participants Portal

The information in the Annex 2 is based on the EC rules and requirements mentioned in the Grant Agreement (internal to the project), Consortium Agreement (internal to the project), Annotated Grant Agreement⁵, EC Online Manual⁶ as well as IT How To⁷. Visit these documents to receive further information.

1.1 Roles and responsibilities⁸

For Horizon Europe projects specific roles are assigned to all grant participants on the EC Participants Portal. The chart below outlines the different levels and relation of the specific roles on the EC Funding and Tenders Portal. One person can have several roles at the same time.

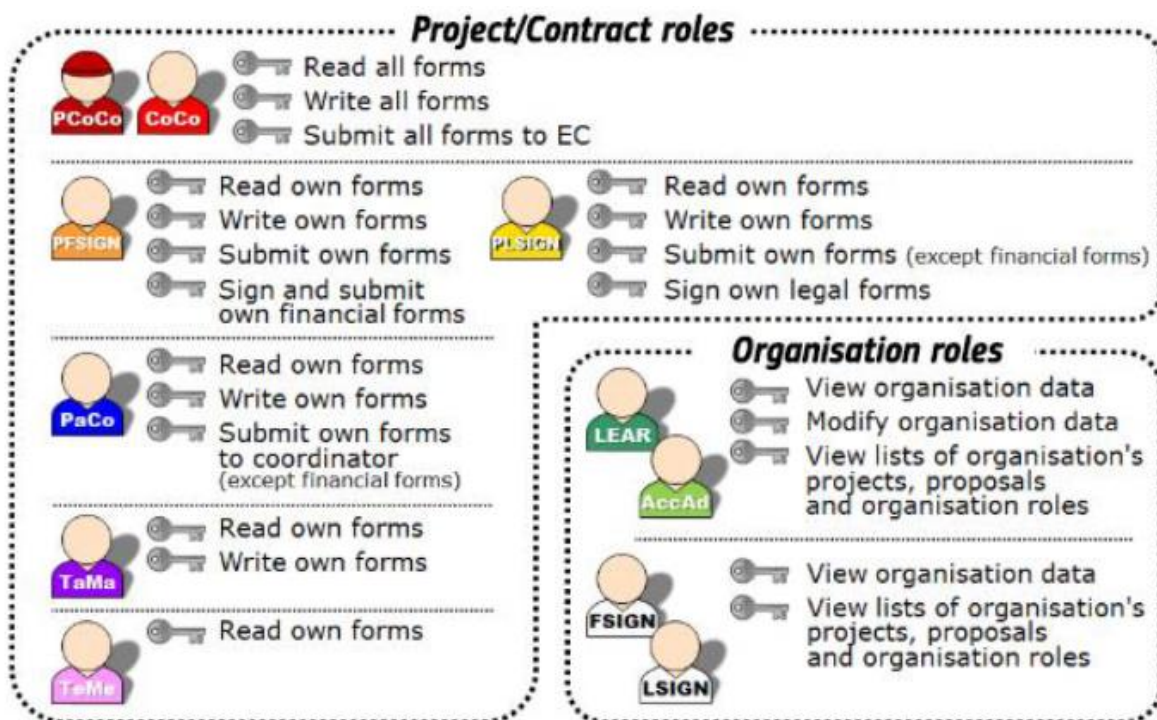


Figure 4: Project / Contract Roles⁹

Legal Entity Appointed Representative (LEAR) is the main responsible for an organisation's use of the portal and bears the final responsibility for all the organisation's actions in the Portal. The

⁵ Annotated Grant Agreement: https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/aga_en.pdf

⁶ EU Funding & Tenders Portal: Online Manual: V1.0 – 08.02.2021: https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/om_en.pdf

⁷ IT How To: <https://webgate.ec.europa.eu/funding-tenders-opportunities/display/IT/IT+How+to>

⁸ EU Funding & Tenders Portal: Online Manual: V1.0 – 08.02.2021: https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/om_en.pdf

⁹ The source of the picture is the EU Funding & Tenders Portal: Online Manual: V1.0 – 08.02.2021: https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/om_en.pdf

LEAR does not assign the Legal Signatories and Financial Signatories for a particular project/contract. This is done by the Coordinator Contact (CoCo) or Participant Contact (PaCo).

(Primary) Coordinator Contact (PCoCo/CoCo) is the main contact between the consortium and the EU for a particular project/contract.

Participant Contact (PaCo) is a representative of an organisation in the consortium that is not the coordinating organisation. PaCo has access to Grant Agreement and amendments as well as to continuous reporting. PaCo can add Legal and Financial Signatories to the project from a list created by LEAR. Partner Contact can add financial periodic reports.

Self-registrant first registers an organisation in the portal participant register. Before the LEAR is validated, self-registrants can provide the EU with requested information and documents about their organisation. Once the LEAR has been formally validated (normally after the organisation has been validated by the central validation service), the role of self-registrant is revoked and replaced by the LEAR.

Task Manager (TaMa) can perform some restricted actions: creating, updating and uploading documents about their organisation's participation and completing, modifying or deleting project/contract information.

Team Member (TeMe) has limited access rights: search and read-only functions.

Project Legal Signatory (PLSIGN) is able to sign the grant/contract (and amendments) for a specific project on behalf of the organisation.

Project Financial Signatory (PFSIGN). Participant Contact adds one or several PFSIGNs to EOSC Focus, only then will the PFSIGN be able to work on the project. There may be one or more Financial Signatory(s) assigned to a project within an organization. PFSIGN can electronically sign financial statements and submit them and has read and write access to his/her organization's forms

Account Administrator. Though the LEAR keeps the full responsibility, Account Administrators can fulfil tasks for their LEAR. An organisation can have an unlimited number of Account Administrators.

Legal Signatory (LSIGN) is assigned to a particular project by a Coordinator or Participant Contact.

Financial Signatory (FSIGN) is assigned to a particular project by a Coordinator or Participant Contact.

Primary Audit Contact (PAuCo) and Audit Contact (AuCo) The LEAR is automatically assigned the Primary Audit Contact (PAuCo), and can nominate other PAuCos in the organisation. The PAuCo(s) must also nominate at least one Audit Contact (AuCo) as main contact for audits on the organisation, and additionally, assign both the AuCo and the audit to an audit team within the organisation.

For HE projects specific roles are assigned to all grant participants on the EC Participants Portal. The chart above outlines the different levels and relation of the specific roles on the EC Participants Portal.

1.2 Functionalities

The EC Funding & Tenders Portal¹⁰ hosts services that facilitate the monitoring and the management of the projects. It is also a secure Internet site that ensures adequate authentication and confidentiality mechanisms, based on the Single Electronic Data Interchange Area (SEDIA). The EC Funding and Tenders Portal is used for all areas of EC Grants administration including but not limited to:

- Proposal submission
- Official evaluation of proposals,
- Grant agreement negotiations,
- Ethics review,
- Submission of project deliverables and milestones,
- Submission of project progress reports,
- Submission of financial reports,
- Overall communication with the Project Officer at the EC

Funding & Tenders Portal is the entry point for electronic administration of an EU-funded project. All exchange between the EC and participants will be done through the system, such as

- Legal entity updates
- Access and contact updates
- Grant Agreement
- Amendments
- Reporting
- Communication between the EC and coordinator (and beneficiaries)

To log into the EC Funding & Tenders Portal¹¹, you need an account associated with the email address registered in your organisation data. If you do not have an account yet, register [here](#) and follow the instructions to create a new account.

You can access the EOSC Focus project on the EC Funding & Tenders Portal by selecting 'My Projects' in the 'Manage my area' top left menu (see screenshot below). To navigate through the project functionalities, use the action buttons on the right hand side of EOSC Focus.

¹⁰ <http://ec.europa.eu/research/participants/portal/>

¹¹ <https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/home>

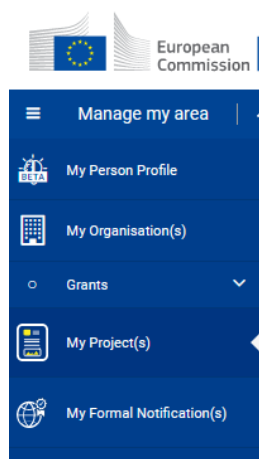


Figure 5: Access EOOSC Focus on the EC Funding & Tenders Portal by selecting 'My Projects' in the 'Manage my area' top left menu

ACRONYM ^	TOPIC ID ^	PROGRAMME ^	PROJECT ^	PHASE ^	^	ACTIONS
EOOSC Focus	HORIZON-INFRA-2021-EOOSC-01-02	HORIZON	101058432	Active		Actions

Figure 6: Access the project functionalities, use the action buttons on the right hand side of EOOSC Focus.

1.3 Continuous reporting

The beneficiaries must continuously report on the progress of the action such as deliverables, milestones, outputs/outcomes, critical risks, indicators, etc; if any) in the portal continuous reporting tool in accordance with the timing and conditions it sets out (as agreed with the granting authority). Standardised deliverables such as progress reports not linked to payments, reports on cumulative expenditure, special reports (if any) must be submitted using the templates published on the EC Funding and Tenders Portal. .

1.4 Periodic technical reports

The Project Coordinator must submit a periodic report within 60 days following the end of each reporting period outlined in the EOOSC Focus Grant Agreement. EOOSC Focus has two reporting periods:

- Reporting period 1: from month 1 to month 12 (01.06.2022 - 30.06.2023)
- Reporting period 2: from month 13 to month 36 (01.07.2023 - 31.05.2025)

In line with Article 21.2 of the Grant Agreement each periodic report consists of a technical report and a financial report. Each periodic technical report must contain:

- An explanation of the work carried out by the beneficiaries
- An overview of the progress towards the objectives of the action, including milestones and deliverables

- *This report must include explanations justifying the differences between the work that is expected to be carried out in accordance with Annex 1 and that that is actually carried out.*
- *The report must also detail the exploitation and dissemination of the results and – if required in Annex 1 – an updated plan for the exploitation and dissemination of the results*
- A summary for publication by the European Commission
- The answers to the 'questionnaire', covering issues related to the action implementation and the economic and societal impact, notably in the context of the Horizon Europe key performance indicators and the Horizon Europe monitoring requirements

The Project Coordinator will request this information from the beneficiary.

2. Financial administration and reporting

Financial report consists of structured forms from the grant management system, including:

- individual financial statements (Annex 4 to the Grant Agreement) for each beneficiary (and third parties)
- explanation of the use of resources and the information on subcontracting and in-kind contributions provided by third parties, from each beneficiary for the reporting period concerned
- periodic summary financial statement including the request for interim payment

All beneficiaries - including the Project Coordinator - must fill in their own financial statement, electronically sign it and submit it to the Project Coordinator.

Users who can electronically sign & submit the statement: *Project Financial Signatory (PFSIGN)* only. Make sure you have assigned an FSIGN user role to your project in your organisation.

2.1 Eligible costs

Actual costs

- *actually incurred by the beneficiary;*
- *incurred in the project period* as set out in Art. 4 in the GA (with the exception of costs relating to the submission of the final periodic report, which may be incurred afterwards; see Article 21);
- *indicated as eligible costs in the estimated budget* as set out in Annex 2 of the GA;
- *incurred in connection with the action* as described in Annex 1 of the GA
- *necessary for its implementation;*
- *identifiable and verifiable* in the beneficiary's accounts in accordance with the national accounting standards applicable and with the beneficiary's usual cost accounting practices;
- *in compliance with the applicable national law* on taxes, labour and social security, and;
- *reasonable, justified* and must comply with the principle of sound financial management, in particular regarding economy and efficiency

Flat-rate costs

- they must be calculated by applying the flat-rate
- the costs (actual costs or unit costs) to which the flat-rate is applied must comply with the conditions for eligibility

Ineligible cost

- costs that do not comply with the eligibility conditions set out in the GA, in particular:
 - costs related to return on capital and dividends;
 - 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 grant
- costs or contributions for staff of a national (or regional/local) administration, for activities that are part of the administration's normal activities (i.e. not undertaken only because of the grant)
- costs or contributions (especially travel and subsistence) for staff or representatives of EU institutions, bodies or agencies

2.2 Direct personnel costs

Eligible costs

Eligibility rules in line with article 6.2.A of the Horizon Europe Model Grant Agreement

- | |
|--|
| <ul style="list-style-type: none"> ● Calculated as <i>actual costs</i> (individual actual personnel cost of each participating employee) |
| <ul style="list-style-type: none"> ● On the basis of <i>unit costs</i> in accordance with its usual cost accounting practices |
| <ul style="list-style-type: none"> ● Personnel must be <i>directly hired</i> by the beneficiary in accordance with its national legislation |
| <ul style="list-style-type: none"> ● Personnel costs need to reflect the total remuneration |

- Burden of proof for eligibility is with the beneficiary

Table 9: Eligible costs for direct personnel costs

A.1 Costs for employees (or equivalent) are eligible as personnel costs if they fulfil the general eligibility conditions and are related to personnel working for the beneficiary under an employment contract (or equivalent appointing act) and assigned to the action.

A.2 and A.3 Costs for natural persons working under a direct contract other than an employment contract and costs for seconded persons by a third party against payment are eligible personnel costs if

- the person works under the beneficiary's instructions and, unless otherwise agreed with the beneficiary, on the beneficiary's premises;
- the result of the work carried out belongs to the beneficiary, and;
- the costs are not significantly different from those for personnel performing similar tasks under an employment contract with the beneficiary.

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 (including net payments during parental leave), social security contributions, taxes and other costs linked to the remuneration, if they arise from national law or the employment contract.

Record keeping

Time worked for the beneficiary under the action must be supported by declarations signed monthly by the person and their supervisor, unless another reliable time-record system is in place; the granting authority may accept alternative evidence supporting the time worked for the action declared, if it considers that it offers an adequate level of assurance.

For persons who work for the action (regardless if they are full and/or if they work exclusively or not for the action). You can either:

Use reliable time records (i.e. timesheets) either on paper or in a co-recording system, to record (at least) all their hours worked in the action. Reliable time records must be dated and signed at least monthly by the person working for the action and their supervisor.

If the time recording system is computer-based, the signatures may be electronic, with a documented and secure process for managing user rights auditable log of all electronic transactions.

or

(i) sign a monthly declaration on days spent for the action ([template](#))

[Additional information on Unit Costs and contributions](#)

Beneficiaries should follow the instructions on how to calculate unit costs as set out in Annex 2 of the Grant Agreement in the following cases:

- SME owners / natural person beneficiaries without salary
- HE and Euratom Research Infrastructure actions
- Euratom staff mobility costs

Calculation of the personnel costs

In most cases you have to calculate your personnel costs for the action as follows:

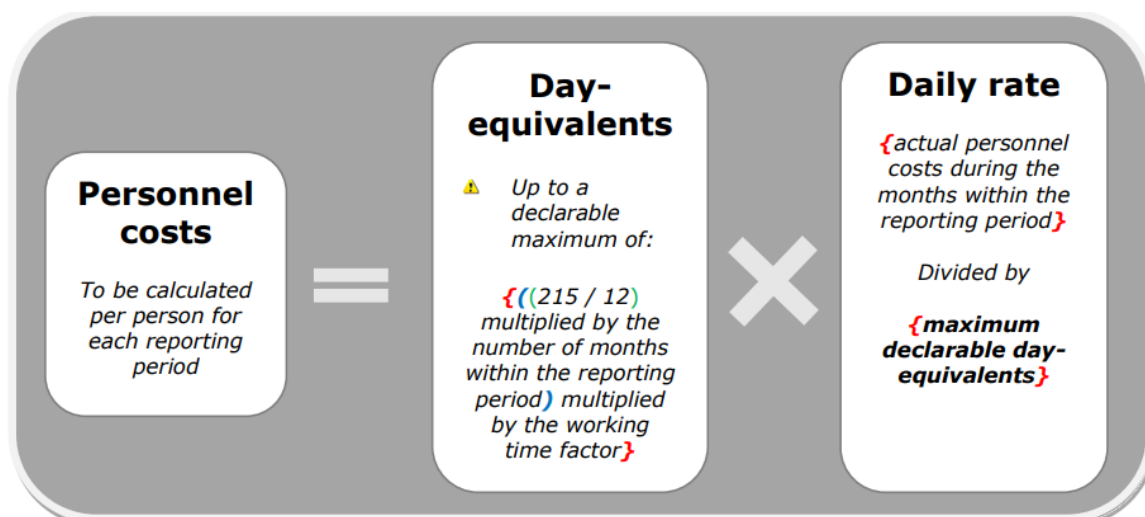


Figure 7: Most common case to calculate personnel costs for the action

You must do these calculations normally once per reporting period (RP) for each person who worked in the action.

Calculation of day-equivalents worked in the action: It is the sum of the day-equivalents actually worked for the action, rounded to the nearest half day, and recorded in the monthly declarations or in your time-recording system.

To avoid double-funding of personnel cost, the actual number of days equivalents declared across EU and Euratom grants can not be higher than 215 per calendar year.

Regarding the maximum declarable day-equivalents

To calculate the daily rate, you first need to determine the maximum declarable day-equivalents. Since you may not declare more than 100% of your personnel cost, the number of declarable day equivalents in each reporting period is capped. The maximum declarable day-equivalents for each reporting period are calculated as follows:

$\{((215 / 12) \text{ multiplied by the number of months [during which the person is employed] within the reporting period}) \text{ multiplied by the working time factor [e.g. 1 for full-time, 0.5 for 50\% part time etc.]}\}$

You will round up or down to the nearest half day-equivalent.

Regarding calculation of the daily rate

You have to calculate a daily rate per person for the reporting period. Many actions have a reporting period not aligned with the calendar year, or part-time work etc.

The Grant Agreement uses a fixed number of 215 as eligible days of work per year. More days per person cannot be charged. The number of days the person has spent on parental leave or adjust to a pro-rata when on part-time may be deducted. How to calculate the daily rate?

- Divide the actual annual salary, incl. social security contributions, taxes and other mandatory costs linked to the remuneration, by 215.
- Multiply the daily rate by the number of days worked on the Horizon Europe action in that calendar year.

The Annotated Model Grant Agreement describes three options for calculating the day-equivalent, as following:

- 1) Possibility of using a fixed rate of 8 hours equaling a day
- 2) If on the work contracts in the organization is said as working time for 37,5 hours over 5 days per week, for example, the day-equivalent is 7,5 hours.
- 3) Conversion rate can be based on the usual standard productive hours: if standard annual productive hours are, for example, 1.600 hours, the day-equivalent is 7,44 hours.¹²

2.3 Travel costs and related subsistence allowances

Travel is a necessary and inherent part of the activities in EOSC Focus. However, it is very important to keep detailed track of all meetings held during the project's life-time as incurred costs must be traceable to individual events. The travels will be tracked by the internal calendar explained in section 3.1.1 EOSC Forum.

Eligible costs

Eligibility rules in line with article 6.2.C.1 of the Horizon Europe Model Grant Agreement

- Travel must be necessary for the action (e.g. management meetings or presenting results at a conference)
- Costs must be adequately recorded (e.g. Receipts and boarding passes)

¹² Cost calculation in Horizon Europe – main changes to H2020. Emdesk.
<https://www.emdesk.com/horizon-2020-horizon-europe-basics-guide/cost-calculation-in-horizon-europe-main-changes-to-h2020>

- Costs must be in line with beneficiary's travel policy

Table 10: Eligible costs for travel

Record keeping

As a general rule travel and subsistence costs must be declared as actual costs (except if per diem payment is applied by the beneficiary). Travel costs may relate to the personnel of the beneficiaries as well as to external experts that participate in the action on an ad hoc basis (e.g. attending specific meetings, if necessary to achieve the action's objectives)

Generally there is no distinction between travelling in or outside of Europe.

The travel for which costs are claimed must be necessary for the action (e.g. to present a paper explaining the results of a conference). Travel costs related to an event at which the beneficiary carried out work not specifically related to the action are not eligible.

When keeping/filing records related to travel and subsistence, partners should file their travel costs using the date of the meeting (and not the date of departure or any other date). This way, there is a direct link between the travel and meeting schedules and the travel costs.

The respective organisation's travel policy is binding for all travel booked and made within a grant-funded project. This means that travel bookings need to go through usual approval and booking channels. All bookings must be explicitly referenced to the EOSC Focus project.

It is essential to attach all *receipts, boarding passes, train tickets as well as conference/meeting agendas, minutes and participants lists* to the travel reimbursement form submitted to the Finance Division.

Travel funds will be reallocated to all beneficiaries in an amended budget once necessary relative to the planned and actually incurred costs.

2.4 Other goods and services

Eligible costs

Where necessary to implement the project, the beneficiary may purchase goods or services. The beneficiary must make such purchases ensuring the best value for money or, if appropriate, the lowest price. In doing so, they must avoid any conflict of interests. It is advised to prove such costs through obtaining and filing at least 3 independent offers for the service/goods and to have an internal system in place for deciding on "best value for money".

Eligibility rules in line with article 6.2.C.3 of the H2020 Model Grant Agreement

<ul style="list-style-type: none"> • Actual costs of renting or leasing equipment, infrastructure or other assets (including related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary) are eligible, if they: <ul style="list-style-type: none"> • <u>do not</u> exceed purchasing or depreciation costs of similar equipment, infrastructure or assets and, • <u>do not</u> include any financing fees
<ul style="list-style-type: none"> • Costs for consumables and supplies
<ul style="list-style-type: none"> • Dissemination costs
<ul style="list-style-type: none"> • Costs related to Intellectual Property Rights (IPR)
<ul style="list-style-type: none"> • Costs for certificates on the financial statement
<ul style="list-style-type: none"> • Translation costs

Table 11: Eligible costs for other goods and services

Record keeping

Beneficiaries that are 'contracting authorities/entities' within the meaning of the EU Directives on public procurement must also comply with the applicable national law on public procurement. In addition, each participant must ensure proper implementation of the purchase in line with the beneficiaries' internal procurement procedures and rules. For record keeping purposes each participant must establish sufficient archiving mechanisms to store relevant records of the claimed costs. All procurement documentation, original invoices and additional receipts or documentation proving the necessity of the cost claim, such as signed participants lists for meeting costs, must be archived until 5 years after EOSC Focus² finalisation.

Breaches to any of these obligations will render all costs related to the contract concerned ineligible and the costs will not be reimbursed by the Funding Authority.

2.5 Direct costs of subcontracting

Eligible costs

Eligibility rules in line with article 6.2.B of the Horizon Europe Model Grant Agreement

Subcontracting differs from the purchasing of goods and services whereas the subcontractor independently carries out a task defined in the project description, rather than by the project participant. Subcontracting costs are eligible if they:

- 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.
- have been chosen on the basis of best value for money and follow the usually applicable tendering procedures

Table 12: Eligible costs for subcontracting

Record keeping

If necessary to implement the project, the beneficiaries may award subcontracts covering the implementation of certain action tasks, and if not already included in the GA budget these subcontracting costs are subject to an amendment. Yet, subcontracting may cover only a limited part of the project. For EOSC Focus subcontracts have only been planned in tasks 4.1 and 5.1. No other beneficiary may subcontract tasks within the EOSC Focus budget.

Note that for Horizon Europe grants, no indirect costs are applicable to subcontracting costs (no 25% overhead). Please note that in contrast to other cost categories, which may generally be re-allocated between work packages and even between partners without amendment, it is strongly advised that any changes to the subcontracting category are checked with the PC first. Reason is that unannounced changes in subcontracting costs at the time of financial reporting often result in the European Commission declaring these costs ineligible. If notified prior to incurring the cost, the PC will verify with the EC whether an amendment to the subcontracting is necessary or not. The responsibility to ensure eligibility of subcontracting costs remains always with the partner wishing to claim these costs as project costs.

The beneficiaries must award the subcontracts ensuring the best value for money or, if appropriate, the lowest price. In doing so, they must avoid any conflict of interests. It is advised to prove such costs through obtaining and filing at least 3 independent offers for the service/goods and to have an internal system in place for deciding on “best value for money”.

Costs for subcontracting are reimbursed and reported according to the usual beneficiary accounting practices. The beneficiary needs to ensure that:

- Internal procurement rules, national procurement legislation as well as EC procurement legislation are followed
- All relevant procurement documentation is filed as well as clearly assigned to the grant project and specific work package
- Supporting documentation must be filed and archived.

2.6 Indirect costs / Overhead

“Indirect costs” are costs that cannot be identified as specific costs directly linked to the performance of the action.”

In practice, indirect costs are costs whose link to the action cannot be (or has not been) measured directly, but only by means of cost drivers or a proxy (i.e. parameters that apportion the total indirect costs (overheads) among the different activities of the beneficiary).

In Horizon Europe indirect costs are planned as a flat rate overhead of 25% of the eligible direct costs of each beneficiary. Each beneficiary may allocate these funds according to their internal rules and requirements. There are no record-keeping requirements for indirect costs.

2.7 Financial Report / Financial Statement

Content and timing

As outlined previously the periodical reporting to the EC consists of a technical report and a financial report to be submitted within 60 days following the end of each reporting period.

The following is required to be submitted as financial reports by the Project Coordinator:

- Each beneficiary must submit an 'individual financial statement' earlier known as form C, for the reporting period concerned:
- The individual financial statement must detail the eligible costs for each budget category.
- The beneficiaries must declare all eligible costs, even if they exceed the amounts indicated in the estimated budget (see Annex 2 of the respective Grant Agreement). The European Commission will not take amounts, which are not declared in the individual financial statement, into account.
- If an individual financial statement is not submitted for a reporting period, it may be included in the periodic financial report for the next reporting period.
- Each beneficiary must certify that:
 - The information provided is full, reliable and true
 - The costs declared are eligible
 - The costs can be substantiated by adequate records and supporting documentation that will be produced upon request or in the context of checks, review, audits and investigations
- Each beneficiary must provide an 'explanation of the use of resources' including information on subcontracting and in-kind contributions provided by third parties for the reporting period.
- A 'periodic summary financial statement' will be created automatically by the electronic exchange system, consolidating the individual financial statements for the reporting period concerned and including the 'request for interim payment'.

Submission and approval

Financial reporting to the EC is made in a financial statement on the Participant Portal. The financial statement is signed electronically by the beneficiary's Financial Signatory, called FSIGN. In addition to the financial statement, the beneficiaries are requested to explain and justify any deviations to their budgeted costs and effort (PMs) per work package in the technical report.

3. Project internal monitoring

Part of the responsibilities put on the PC by the Grant Agreement is that the PC must be “in control” of project progress and be able to demonstrate that it has the appropriate tools and systems in place. In practice this means that the PC will have regular contact with each partner organisation and work closely with the persons responsible for the technical, financial and administrative delivery of their part of the activities and deliverables.

In order to be able to take mitigating actions where necessary with regard to timing or completion of activities during a project cycle, the PC will also send each partner organisation (=Grant Agreement Beneficiary) an excel table to complete every 3 months during the project.

The excel sheet will capture at least the following headline items of each partner’s activities:

- Estimates of the number of person months spent thus far and personnel costs
- Estimates of cost expenditure on “other goods & services” (incl. ‘travel’), ‘consumables’, ‘subcontracting’
- Activities in WPs carried out thus far (2-line text clarification)
- Technical deliverables achieved thus far (2-line text clarification)
- Any other business (issues related to timing, technical risk management etc.)

The excel table must be completed by each partner organisation within 10 working days after reception and be sent back to the PC. Based on analysis by the PC, the PC will contact individual organisations where necessary in order to assure that at the time of formal periodic reporting to the EC, all possible steps have been taken to ensure that activities and deliverables have been achieved on time and on budget.

4. Pre-, interim and final payments

The EC makes payments to the EOSC Focus Project Coordinator who then has to distribute the funding among the consortium members. The following payments are made to the PC:

- one pre-financing payment equivalent to 80% of the estimated EC contribution in the budget, with 5% retained for the MIM (Mutual Insurance Mechanism)
- one interim payment, on the basis of the request(s) for an interim payment and not exceeding a total of 85% of the grant amount (Article 21 of the Grant Agreement)
- one payment of the balance, on the basis of the request for payment of the balance

The EOSC Association as the EOSC Focus Project Coordinator shall notify the partners promptly of the date and composition of the amount transferred and distribute the funds among the beneficiaries without delay after receipt of the payment. The beneficiaries are responsible for keeping their bank account details up to date for the PC.