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Research Infrastructures

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DEEP-ER

DEEP Extended Reach

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D1.1
Procedure for quality control

Approved

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Project and Deliverable Information Sheet

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* - The dissemination level are indicated as follows: **PU** – Public, **PP** – Restricted to other participants (including the Commission Services), **RE** – Restricted to a group specified by the consortium (including the Commission Services). **CO** – Confidential, only for members of the consortium (including the Commission Services).

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Table of Contents

1 Introduction

This document describes the quality assurance process for the production and approval of deliverables that have to be submitted to the European Commission according to the DEEP-ER Description of Work (Annex I to the Grant Agreement). It also covers presentations and dissemination material based on the provisions laid out in the Consortium Agreement and the Grant Agreement.

2 Project Deliverables

Each of the 31 DEEP-ER deliverables that have to be submitted to the Commission within the next three years will have to undergo a rigorous DEEP-ER internal review process to ensure their acceptance by the external reviewers and the Commission[1]. The DEEP-ER Project Management Team (PMT), on behalf of the Board of Partners (BoP) has already set up a panel of document reviewers from the project partners and maintains a list of individuals on that panel. Typically, the reviewers are selected from partner organisations that are not involved in the generation of the results which are documented in the deliverables. A member of the Project Management Team (PMT) is normally an additional reviewer. To support the production of deliverables, the PMT will maintain a deliverable release schedule. This schedule will take into account the due dates of deliverables and the time required for the quality assurance procedure. This schedule is maintained on the BSCW.

The PMT has the responsibility to collect the deliverables, ensure that the internal reviews are performed in a timely fashion and that the deliverables are submitted to the Commission on schedule.

2.1 Production of Deliverables

The majority of deliverables are reports. Besides the creation of the public web site in some cases, a piece of hardware or software is to be deployed at the deliverable deadline. A written deliverable is then submitted describing the said hardware/software. This is the case for example in deliverables D3.3 (DEEP-ER Prototype) and D4.4 (I/O Software packages).

For each deliverable a responsible author has been designated by the respective Work Package leader. This assignment should be made as early as possible, typically at the beginning of the period during which the results will be produced. This assignment must be documented and communicated to the PMT.

The PMT has already provided a template for the deliverables as OOXML Word Processing Document (as used by Microsoft Word 2007) on the BSCW. Some functions, like free placement of graphics, will not work with Microsoft Word 2003. The name of the template on BSCW is: *DEEP-ER_Deliverable_Template.docx*. It should be renamed to: *DEEP-ER_Dx.y_Title_version.docx*, where *x.y* is the deliverables number (e.g. 1.3 or 2.1) and version is an identification of the different versions freely selected by the author.

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[1] Experience from previous projects shows that deliverables are often rejected because the achieved project results were not communicated clearly; sloppy presentation, like numerous spelling and grammatical errors, do not stimulate the reader to judge the deliverable favorably.

The authors of a deliverable have to submit it for internal review at not later than fifteen (15) working days before its due date. The corresponding word document should be uploaded into the *In progress* folder on BSCW.

All partners are aware that the writing of the deliverable should not be left to the last minute. This is especially true if input from other partners is required and has to be consolidated. Authors are encouraged to involve the reviewers in the production of the deliverables as early as possible. This can be especially helpful to those without extensive experience in writing deliverables for EU projects.

If the author foresees that a timely production of the deliverable will not be possible, it is her or his responsibility to alert the Work Package leader and the PMT immediately to enable corrective actions.

As the last step the author will have to produce a final version of the deliverable and upload it to BSCW five (5) working days before its due date. This should address the reviewer's comments and/or corrections. It may require direct interaction with the reviewers. This will give BoP/PMT five (5) working days for approval and PMT one day for a final check and production of pdf files for submission.

The PMT has the responsibility to package and submit the approved deliverables to the Commission.

2.2   Review of Deliverables

At the same time authors are designated for the production of the deliverables, the PMT also assigns the reviewers for each deliverable. This information is already recorded by the PMT together with the author information on BSCW. A table can be found in the DEEP-ER directory under */DEEP-ER/Reports and Deliverables/Reporting Standards/DEEP-ER_ Deliverables_Status*. This table contains a list of all the deliverables ordered by due date with the names of their corresponding authors and reviewers.

Normally, one reviewer from a partner who has not been involved in the production of the deliverable and creation of the project achievements that are documented in the deliverable will be selected. In addition, one member of the PMT will participate in the review to ensure consistency of deliverables across the whole project.

The Deliverable report will be edited with Change Tracking by the internal reviewer and uploaded to the BSCW in Microsoft Word format with the new file name: *DEEP-ER_ Dx.y_Title_version_Review_ReviewerName.docx* (for example: *DEEP-ER_D2.1_ DisseminationPlan_v0.x_Review_Guerich.docx)*. In case of minor changes the comments may be sent per email to the author without editing the document. Editing the document in this way allows acceptance or rejection of the changes by the author.

The PMT reviewer will edit the document on the same way than the internal reviewer saving a new version on the BSCW server. This fact should be communicated to the author and the other reviewer.

The reviewers have to complete their review within five (5) working days and upload the review report (as docx or pdf) and the updated document, if any, to BSCW into the *In progress* folder. The author has five (5) days to produce a final version of the deliverable.

Should a designated reviewer be unable to perform the review within the required time frame, it is the responsibility of her or his organisation to identify a substitute. If necessary, the Work Package leader has to be involved to find reviewers from a different partner.

Should the reviewers conclude that the project results that the deliverable documents are likely to be rejected by the Commission and the external reviewers, they have to alert the Work Package leader and the PMT to initiate corrective actions. This should be an exceptional case.

Many deliverables will be due at month 6, 12, 24 or 36. Authors and reviewer are required to reserve adequate time prior to these dates.

3 Dissemination Material

The rules for dissemination are covered in section 8.4 of the Consortium Agreement and article II.30 of the Grant Agreement (Annex II). In accordance to them, the partners in the DEEP-ER project are bound to follow the following rules for the dissemination of project material.

- Each beneficiary shall ensure that the foreground of which it has ownership is disseminated as swiftly as possible. If it fails to do so, the Commission may disseminate that foreground.

- Dissemination activities shall be compatible with the protection of intellectual property rights, confidentiality obligations and the legitimate interests of the owner(s) of the foreground.

- Before the submission of any project material, the leader of Work Package 2 and all other beneficiaries concerned must be properly informed and provided with sufficient information concerning the planned dissemination activity and the data envisaged to be disseminated. For this purpose, the parties have designated a person responsible for the matter of publications. Following notification, any of those beneficiaries may object to the envisaged dissemination activity if it considers that its legitimate interests in relation to its foreground or background could suffer disproportionately great harm. In such cases, the dissemination activity may not take place unless appropriate steps are taken to safeguard these legitimate interests. If no objection is made, the publication is permitted.

- Beneficiaries shall deposit an electronic copy of the published version or the final manuscript accepted for publication of a scientific publication relating to foreground published before or after the final report in an institutional or subject-based repository at the moment of publication.

- Beneficiaries are required to make their best efforts to ensure that this electronic copy becomes freely and electronically available to anyone through this repository:

  - immediately if the scientific publication is published "open access", i.e. if an electronic version is also available free of charge via the publisher, or

  - within 6 months of publication.

- All publications or any other dissemination relating to foreground shall include the following statement to indicate that said foreground was generated with the assistance of financial support from the Community:

> **"The research leading to these results has received funding from the European Community's Seventh Framework Programme (FP7/2007-2013) under Grant Agreement n° 610476."**
>
> Additionally, any communication or publication shall state that it reflects only the author's views and that the European Commission is not liable for any use that might be made of the information contained therein.

- Any dissemination activity shall be reported in the plan for the use and dissemination of foreground, including sufficient details/references to enable the Commission to trace the activity. With regard to scientific publications relating to foreground published before or after the final report, such details/references and an abstract of the publication must be provided to the Commission at the latest two months following publication. Furthermore, an electronic copy of the published version or the final manuscript accepted for publication shall also be provided to the Commission at the same time for the purpose set out in Article II.12.2 if this does not infringe any rights of third parties.

3.1 Publications

Authors preparing articles that are intended for publication in journals or other media have to seek approval from the other partners. This is done by placing the draft on BSCW and informing the partners thereof. Partners have the right to object to publications but need to justify their objection. As described above, one person per partner has been designated to review the articles before submission and give (or not) authorisation for their publication in name of his/her institution. A mailing list (pub@deep-er.eu) has been setup to easily contact these authorising representatives when needed.

The statement about EU funding has to be included.

3.2 Presentations

A PowerPoint presentation template and a set of approved PowerPoint slides are available on BSCW for use by all DEEP-ER partners. Each partner giving a presentation must take care not to publish foreground or background from other partners without their prior written consent. The presented slide sets and published documents should also be uploaded to BSCW to maintain a complete record of all dissemination activities. The statements about EU funding have to be included in each presentation. The EU flag, together with the FP7 and the EC/e-Infrastructures logos must be also visible on the slides.

4 Project Reports

The purpose of the Quarterly Work Package and Financial Reports is to monitor the progress of each Work Package and consequently of the overall project. It also documents the contribution of the partners to the Work Package.

4.1 Production of quarterly Work Package reports

The Work Package leaders collect contributions from the partners involved in the work package, including organisations under special clause 10. A partner who is involved in more than one Work Package has to submit information for every Work Package he is involved in.

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Each partner has to provide the Work Package leader with information about his activities during the reporting month (contribution to deliverables and milestones, dissemination and standardisation activities), the planned activities for the next months, any problems or risks that have occurred during the quarter and information about the Person Months contributed in the Work Package. Given the purpose of the report to allow internal progress monitoring, a bullet list with short pieces of text is sufficient, no extensive reporting is expected. The report should start with a summary section provided by the Work Package leader.

A template is available in the BSCW in the folder *DEEP-ER / Reports and Deliverables / Reporting Standards / DEEP-ER_WP_Quarterly_Report_Template*.

For each quarter, a separate document is created by each Work Package. It should be available within 15 working days before due date and uploaded to BSCW to the appropriate subfolder of *DEEP-ER / Reports and Deliverables / WP Quarterly Reports*.

The BoP is to be informed if a partner who claims cost in a Work Package does not contribute to the related Work Package report.

4.2 Production of Quarterly Financial reports

In this report the personnel resources (in Person Months) and other major expenditures (in €) used by the partners in each Work Package should be reported. These data serves three purposes:

- Allow the PMT to become aware of serious over- or under-spending of personnel resources and other major cost items.
- Serve as a basis for the project progress reports that the PMT has to deliver to the EC at month 6 and month 18. In these reports only PMs spent per partner and WP are reported. Personnel costs and travel expenses are reported through the cost statements "C-Forms" at the end of each year.
- Allow PMT and the work package leaders to monitor if the contributions of the partners to the work package are consistent with the planned PMs.

Given the purpose of the report, it is disclosed only to the PMT, to the BoP (if corrective actions are needed), but not to the DEEP-ER partners in general or to the European Commission. For the project progress reports to the EC, only the accumulated values per partner and Work Package are used, not the individual names of the researchers. It is the common understanding of the PMT that the figures should be as accurate as possible, but that small deviations from the figures that will be reported in the annual cost statement usually cannot be avoided. In particular, it is not necessary that the figures in the M6 and M18 report are backed up by a cost statement or an audit certificate.

A template Excel table is available at BSCW in the folder *DEEP-ER / Reports and Deliverables / Reporting Standards / DEEP-ER_Quarterly_Financial_Report*. It contains a summary sheet and a separate sheet for each organisation providing work to the project. Such organisations are the partners and the organisations listed in special clause 10 of the Grant Agreement.

Each organisation should fill out its sheet, providing for each month of the reporting period the following information:

- Which person has worked for how long (in PMs) for which Work Package.

- Which other major eligible costs have occurred (e.g. prototypes procured or subcontracting).

All partners are asked not to modify the Excel sheet, except where needed to extend the list of persons involved in a Work Package or in the list of other major eligible costs. Keeping the sheet as it is, is a prerequisite for combining the information provided by all partners into a single summary document.

In order to achieve maximum consistency, only one report per organisation (partner or Third Party involved via special clause 10) is expected. Having individual researchers submit and report their efforts or gathering and submitting this data through the Work Packages would likely lead to inconsistencies. In general a designated person who has insight into the workforce accounting (of those persons in his organisation that are working for DEEP-ER) should be the one providing the report. Depending on the internal structure of the organisation this could be someone from the financial department or a manager of the involved institute.

For each quarter of the year, a report for the past 3 month period is expected. The report should be submitted via email to the PMT latest 7 working days after the end of each quarter.

4.3 List of available documents

The following documents are available on the BSCW server to ensure the quality control process:

- DEEP-ER_Deliverable_Template.docx
- DEEP-ER_Deliverables_Status.xls
- DEEP-ER_Quality_Assurance_Process.pdf
- DEEP-ER_Internal_Reporting_Guidelines.pdf
- DEEP-ER_WP_Quarterly_Report_Template.docx
- DEEP-ER_Quarterly_Financial_Report_Template.docx

5 Copyright

Copyright of the DEEP-ER styles and templates belongs jointly to all project partners who are free to use those templates and assert their copyright over what they derive from those templates. Any partner developing a project-related presentation may then assert its copyright over that presentation with a simple copyright statement referencing the legal entity holding the copyright (e.g. Copyright © 2013 Forschungszentrum Jülich GmbH). Please note that the DEEP-ER Consortium does not constitute a legal entity and cannot assert copyright, although individual members can, of course, assert copyright. If you wish to share copyright of a presentation with the other members of a Consortium, the following is an acceptable form "Copyright © 2013 DEEP-ER Consortium Partners, www.deep-er.eu. Note that "Copyright © 2013 Forschungszentrum Jülich GmbH" means that slides cannot be used by other parties without the permission of Forschungszentrum Jülich, whereas the latter form gives members of the DEEP-ER Consortium permission to use and modify those slides as they wish.

Project partners are free to use whichever of these forms they wish bearing in mind the implications of the form chosen.

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List of Acronyms and Abbreviations

A

B

BoP: Board of Partners for the DEEP-ER project

BSCW: Basic Support for Cooperative Work, Software package developed by the Fraunhofer Society used to create a collaborative workspace for collaboration over the web

C

D

DEEP-ER: DEEP Extended Reach– this project proposal

E

EC: European Commission

EC-GA: Grant Agreement

EU: European Union

Exascale: Computer systems or Applications, which are able to run with a performance above 1018 Floating point operations per second

F

G

H

I

J

JUELICH: Forschungszentrum Jülich GmbH, Jülich, Germany

K

L

M

N

O

P

ParTec: ParTec Cluster Competence Center GmbH, Munich, Germany
PM: Person Month or Project Manager of the DEEP project (depending on the context)
PMT: Project Management Team of the DEEP-ER project

Q

R

S

T

U

V

W

WP: Work Package

X

Y

Z