



H-WORK

**MULTI-LEVEL INTERVENTIONS TO PROMOTE MENTAL HEALTH
IN SMEs AND PUBLIC WORKPLACES**

D 1.1

H-WORK HANDBOOK AND QUALITY PLAN



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 847386.

Project

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|--------------------|--|
| Acronym | H-WORK |
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| Consortium | <p>Alma Mater Studiorum – Università di Bologna (UNIBO), Italy</p> <p>Technische Universität Braunschweig (TUB), Germany</p> <p>The University of Sheffield (USFD), UK</p> <p>Universitat Jaume I de Castellon (UJI), Spain</p> <p>Karolinska Institutet (KI), Sweden</p> <p>Universitat Van Amsterdam (UVA), The Netherlands</p> <p>Norges Teknisk-Naturvitenskapelige Universitet (NTNU), Norway</p> <p>Get.On Institut für Online Gesundheitstrainings GmbH (GETON), Germany</p> <p>QED Group a.s. (QED), Czech Republic</p> <p>Azienda Unità Sanitaria Locale di Bologna – IRCCS Istituto delle Scienze Neurologiche (AUSL), Italy</p> <p>Valora Prevención SL (VALORA), Spain</p> <p>OPEN Group Società Cooperativa Sociale O.N.L.U.S. (OPEN), Italy</p> <p>Fédération Européenne des Associations des Psychologues (European Federation of Psychologists' Association, EFPA), Belgium</p> <p>Rete Europea per la Prevenzione della Salute nei Luoghi di Lavoro (European Network for Workplace Health Promotion, ENWHP), Italy</p> |

H-WORK Handbook and Quality Plan

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Disclaimer

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| 0.1 | 25.02.2020 | Basic document structure | UNIBO |
| 0.2 | 28.03.2020 | Input from UNIBO | UNIBO |
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Executive Summary

This document provides the beneficiaries of H-WORK with a handy guide on the H-WORK Consortium internal rules and tools, and on the main administrative and financial obligations associated to the grant. It aims at guaranteeing a correct and smooth implementation of the action, and the close involvement of all members of the Consortiums.

The deliverable is therefore structured in the following main sections:

A. The project organization and internal rules:

This section provides a general overview of the project bodies formed to achieve determined objectives with the description of the roles and responsibilities expected by the Coordinator, the General Assembly, the Advisory Board, the Steering Committee and the Intervention Board.

Similarly, the current deliverable presents a set of prerequisites for each project meeting, the internal quality procedures that will be adopted throughout the project development and an update of the risk mitigation strategies defined to overcome the outbreak of the COVID-19 pandemic.

B. Reporting periods: technical and financial requirements and statements

The second part of the document provides crucial information on the periods, procedures, deadlines and reference documents for fulfilling the technical and financial obligations.

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Acronyms & Abbreviations

| Term | Description |
|------|--|
| EU | European Union |
| WP | Work Package |
| SAB | Stakeholder Advisory Board |
| IB | Intervention Board |
| KoM | Kick-off Meeting |
| CFS | Certificate on the Financial Statement |
| AMGA | Annotated Model Grant Agreement |
| GA | Grant Agreement |

CONSORTIUM ORGANISATION, ROLES AND RESPONSIBILITIES

The H-WORK consortium, aware of the crucial meaning of the management activities for the successful implementation of the project as well as for a transparent accountability of the EC contribution, has been designed in a pragmatic organisational structure, with attention to the clear distribution of responsibilities and the organisation in three levels of the information flow.

The organizational structure of the project includes the decision bodies as depicted in Figure 1 and as describe in the following section:

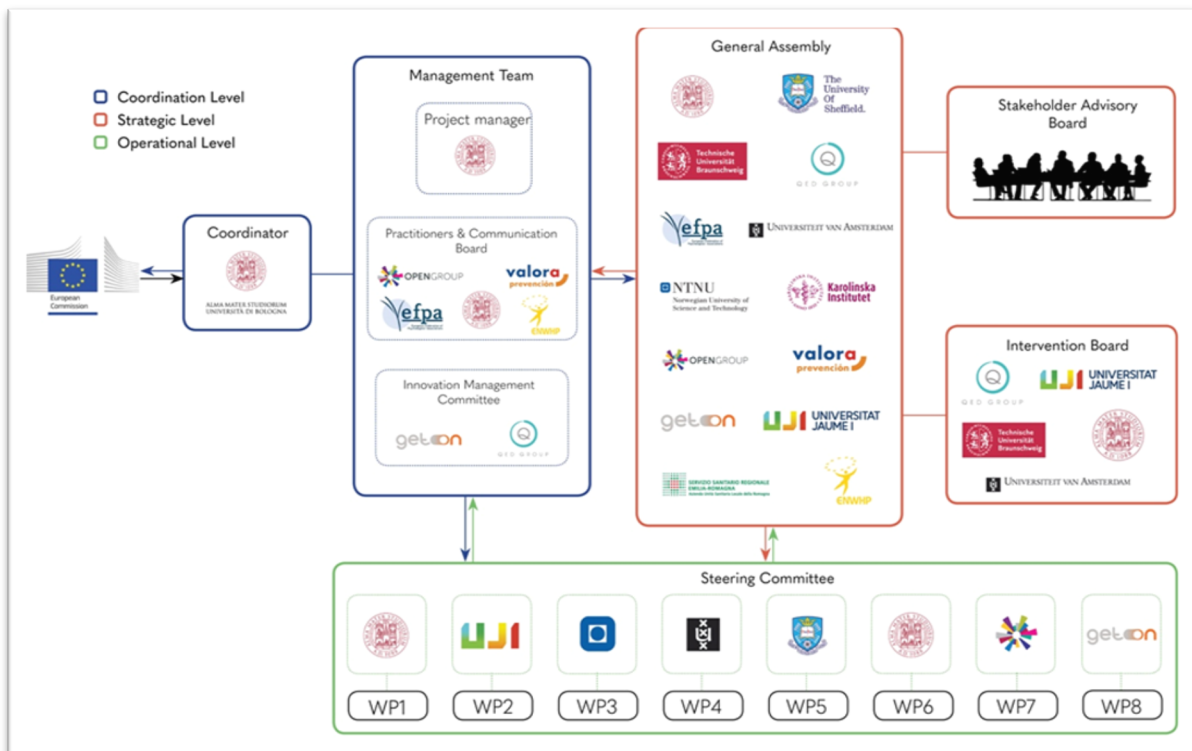


Figure 1. H-WORK Organisational structure

Decision Making Bodies

Coordinator

The lead partner of the H-WORK project, the Alma Mater Studiorum - University of Bologna (UNIBO) coordinated by Prof. Luca Pietrantoni, fulfils the following main tasks and obligations:

- Supervise and monitor the project activities
- Act as an intermediary between the Beneficiaries and the European Commission in order to keep constantly informed both the EC about any aspect that may affect the work progress and the Consortium on EC indications
- Submit to the Commission reports, Project Deliverables and financial statements prepared and duly certified by the Beneficiaries;
- Keep accurate records identifying the budget share allocated to each Beneficiary and inform the EC of the distribution of funds and the date of transfer to the partners on an annual basis;

- Receive the financial contribution from the Commission and ensure the timely transfer of shares to the Beneficiaries
- Chair the meetings of the Scientific and Management Board

The Coordinator will be further assisted by:

- The Project Manager – European programmes and Project Office – Unibo
- The Practitioners & Communication board consists by Prof. Dina Guglielmi (UNIBO); Julie van den Borre, (EFPA); Helga Bianchini, (OPEN); Francisco Garcia Gonzáles, (VALORA); Richard Wynne (ENWHP);
- The Innovation Management Committee consists by Richard Bahbouh (QED); David Daniel Ebert, (GETON).

General Assembly

General Assembly (GA), supported by the external consulting Stakeholder Advisory Board (SAB), will provide guidance to the optimization of project activities to promote mental health in public and private work contexts in the EU. Therefore, the main tasks of the GA includes:

- Discussing the general Research and Innovation direction of the project and for ensuring the completion of the work plan within the scheduled time frame
- Making decisions concerning the work plan and its major changes
- Discussing any financial and budget-related matters
- Making decisions concerning any amendment of the Grant Agreement and Consortium Agreement
- Settling any disputes arising from project implementation
- Discussing PR-related matters

Following each General Assembly meeting, the Coordinator shall draft the meeting minutes, according to the template in Annex 1. As shown in Figure 2, the draft minutes shall be forwarded to all Members within 15 calendar days of the meeting. As overarching principle, the minutes keep track of the main discussions and decisions taken by the Consortium. Beneficiaries are invited to carefully revise the draft forwarded by the Coordinator and use the approved version as an additional term of reference for the project implementation. The minutes shall be considered as accepted if, within 7 calendar days from sending the initial draft version, no Member has sent an objection in writing to the Coordinator with respect to the accuracy of the draft of the minutes. The Coordinator shall send the accepted minutes to all the Members of the Assembly and stored in the cloud storage system and save in the share project folder.

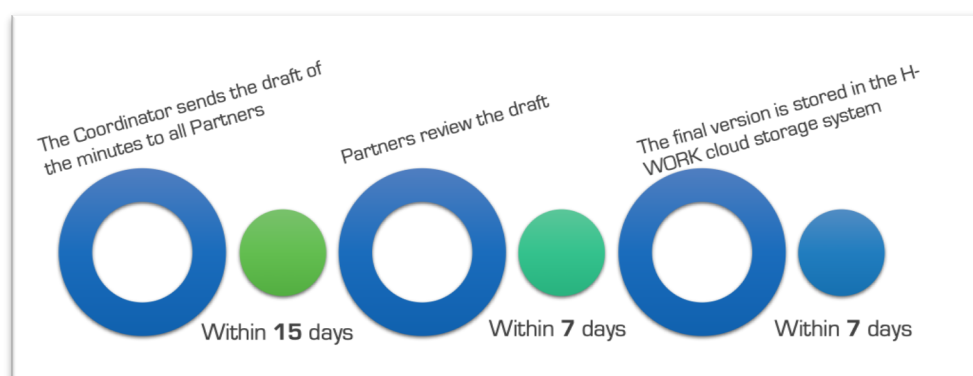


Figure 2. Protocol procedure for the General Assembly meeting minutes

Advisory Bodies

Stakeholder Advisory Board (SAB)

Members of the SAB (Figure 3) have access to all documents and outputs of the project since they have signed a non-disclosure statement.

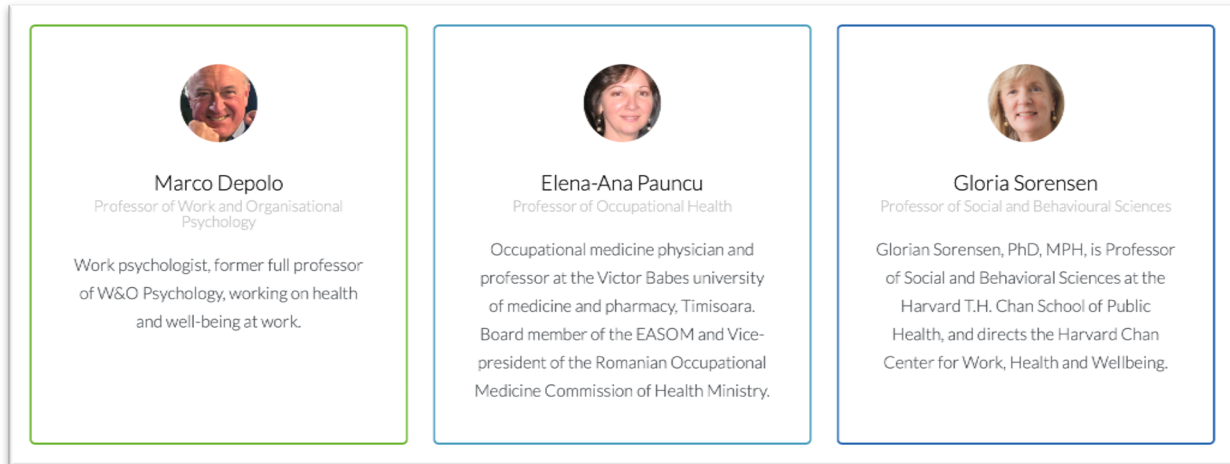


Figure 3. Members of the SAB

The Stakeholder Advisory Board is responsible for:

- Critically reviewing the progress and main results of the project;
- Advising the consortium on societal changes or concerns that may influence the projects objectives, priorities, methodologies, and expected impacts;
- Proposing changes to the direction of the project in line with stakeholder's priorities for maximising the exploitation and benefits of the project;
- Supporting and amplifying the dissemination of the project results;
- Advising the consortium where and how the most promising results, in terms of exploitation, should be transferred;
- Contributing to strengthening links with complementary international initiatives.

Operational bodies

Steering Committee

The Steering Committee is made up of the WP leaders of each Work Package such as: UNIBO, UJI; NTNU; UVA; USFD; OPEN; GETON.

The Steering Committee is responsible for:

- Assessing the fulfilment of tasks and deliverables and supporting the coordinator in monitoring work progress
- Ensuring the coordination among WPs
- Making proposals concerning project strategy
- Supporting the Coordinator in the preparation of meetings agenda
- Making proposals to the GA on dissemination of results and IPR-related matters

- Assisting the Coordinator in the preparation of scientific reports

Intervention Board (IB)

The Intervention Board is composed of the European intervention sites that expressed interest in supporting the project's objectives by making their workforce available for the implementation of the H-WORK interventions, and of consortium partners, responsible for the implementation of the interventions in the respective intervention site (Table 1).

Table 1. Composition of the Intervention Board

| Partner member | Intervention site | Type of organisation | Country |
|----------------|---|----------------------|---------|
| UNIBO | Azienda Unità Sanitaria Locale di Bologna – Istituto delle Scienze Neurologiche (IRCCS) | Public hospital | IT |
| UVA | Rijkswaaterstaat | Ministry | NL |
| | University of Amsterdam (UVA) – HR department | Public university | |
| QED | Eyelevel | SME | CZ |
| | Wandera CZ | SME | |
| UJI | Hospital de Manises | Public hospital | ES |
| | Factor | SME | |
| | Hotel Luz | SME | |
| | Innocv Solutions | SME | |
| TUB | Technische Universität Braunschweig – Professional and Personnel Development | Public university | DE |

The Intervention Board is responsible for:

- involving the management levels and the working force
- co-designing the intervention studies;
- contributing to the customization of the activities,
- effectively introducing and explaining the interventions applied at each site
- providing an effective flow of information.
- facilitating the overall implementation of the interventions.

PROJECT MEETINGS

The project has established a series of prerequisites for each single body instituted whenever moments of confrontation are set up, as summarized in the Table 2.

Table 2. Prerequisites for each type of project meetings

| MEETING | CHAIR | ATTENDEES | FREQUENCY | PURPOSE | MODE |
|---|-------------|---|-----------------------|--|------------------|
| General Assembly | Coordinator | All Beneficiaries | At least twice a year | Decisions on work plan, budget and project strategy | In person |
| | Coordinator | All Beneficiaries | Every two months | Decisions on work plan, budget and project strategy | Online |
| Steering Committee | Coordinator | WP leaders; EFPA | Monthly | Project monitoring, coordination of WPs, proposals to the GA | Online |
| Stakeholder Advisory Board | Coordinator | Designated members | Upon request | Project monitoring, proposals to the GA | In person/online |
| The Practitioners and Communication Board | NA | UNIBO, OPEN, ENWHP | Upon request | Provide guidance on communication and dissemination activities | In person/online |
| Innovation Management Committee | NA | UNIBO, EFPA, OPEN, VALORA, ENWHP | Upon request | Provide guidance on IPR and innovation management | In person/online |
| Intervention Board | NA | UNIBO; UVA; QED; UJI; TUB; AUSL; RIJKSWAATERSTAAT (NL); UVA-HR DEPT.; EYELEVEL (CZ); WANDERA CZ (CZE); HOSPITAL DE MANISES (E); FACTOR (E); HOTEL LUZ (E); INNOCV SOLUTIONS (E); TUB-GER (D). | Upon request | Ensuring correct implementation of interventions | In person/online |

Internal Quality Procedures

The list of deliverables to be submitted to the European Commission is inserted in Annex I to the Grant Agreement. All deliverables must be submitted by the Coordinator through the Commission online Portal

within the foreseen deadline. To ensure the quality of deliverables, during the Kick-off Meeting (KoM) the General Assembly define the internal review process as shown in Table 3.

Table 3. Internal Quality review process

| WHO | WHAT | WHEN |
|-------------------------------|--|--|
| Deliverable leader | Collects contributions from involved partners; drafts the deliverable; sends it to the internal reviewer | Approximately 4 weeks before the deadline |
| Deliverable internal reviewer | Reviews the draft and sends the reviewed version back to the deliverable leader | Approximately 3 weeks before the deadline |
| Deliverable leader | Reviews the deliverable, and sends the final version to the Coordinator | Approximately one week before the deadline |
| Coordinator | Submits the deliverable via the Funds and Tenders Portal | Within the deadline |

During the KoM, the General Assembly also approved the following internal reviewers (Table 4) for all the deliverables expected to be submitted by M9 (for more information see the document entitled “Minutes H-WORK_Bologna_16-17_01_2020.pdf” available on the cloud share folder).

Table 4. Internal deliverables reviewers until month 9

| DELIVERABLE NUMBER | TITLE | LEAD BENEFICIARY | DUE DATE (in months) | INTERNAL REVIEWER |
|--------------------|--|------------------|----------------------|-------------------|
| D7.1 | Communication Plan | OPEN | 2 | AUSL |
| D7.2 | Project website, social media channels | OPEN | 3 | EFPA |
| D1.1 | Handbook and Quality Plan | UNIBO | 4 | USFD |
| D2.1 | Theoretical Framework | UJI | 4 | UVA |
| D8.1 | Initial Data Management Plan | GET.ON | 5 | NTNU |
| D9.1 | H Requirements No. 1 | UNIBO | 6 | GET.ON |

| | | | | |
|------|---|--------|---|----------|
| D8.2 | H-WORK Databank | GET.ON | 8 | UNIBO |
| D3.1 | Needs analysis report including action plan for implementation: group 1 | NTNU | 9 | USFD |
| D5.1 | Evaluation Plan for each intervention site of Group 2 | USFD | 9 | UVA, UJI |

RISK MANAGEMENT

Even though risks are inherent in any activity, research and innovation are generally considered high risk activities due to their pioneering nature and uncertain outcome. Appropriate monitoring is thus particularly necessary to guarantee the most effective implementation of a research project and, whenever necessary, of appropriate adjustments and mitigation measures.

Therefore, as it is shown in Figure 4, a short list of roles and responsibilities in terms of project monitoring has been defined in order to guide the Consortium manage possible risks.

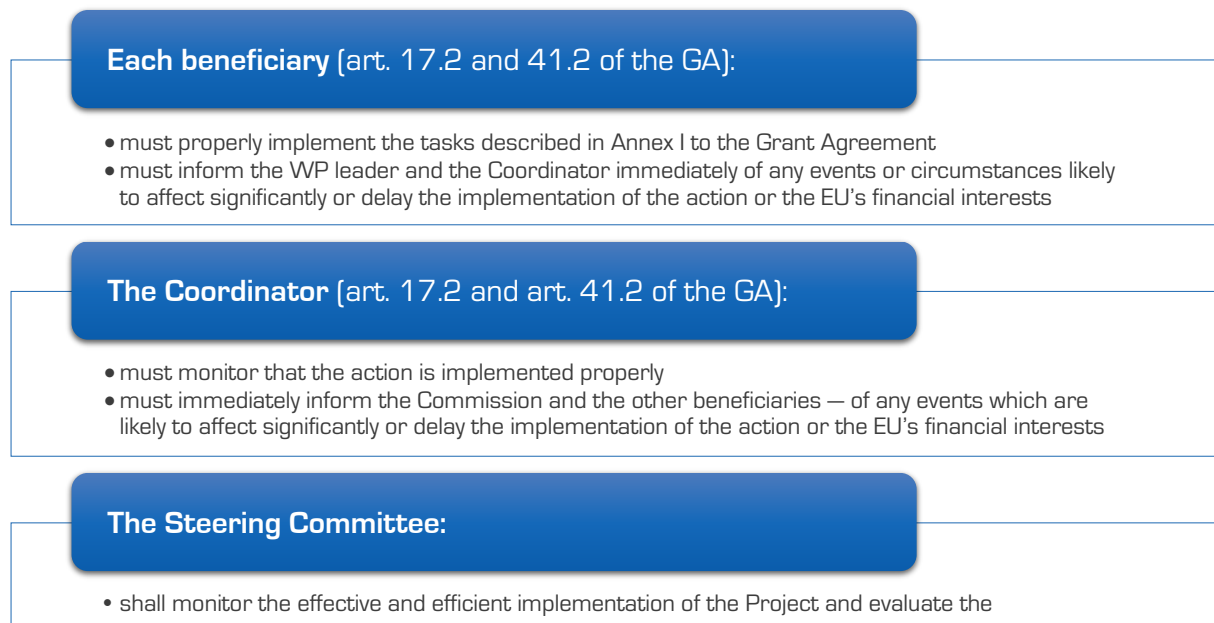


Figure 4. Project Monitoring: who is in charge

Furthermore, the H-WORK Consortium has also defined a detailed means of verification for key milestones on project implementation (Table 5); the risks mitigation strategies associated to the implementation of H-WORK (Table 6), together with mitigation measures that could arise during the outbreak of COVID-19 pandemic.

Table 5. List of key milestones

| MILESTONE NUMBER | MILESTONE NAME | WP | LEAD BENEFICIARY | MEANS OF VERIFICATION | DEADLINE (IN MONTHS) |
|------------------|---|---------|------------------|---|----------------------|
| 1 | Project website deployed and publicly available | 8 | OPEN | Project website is created and accessible to the public | 3 |
| 2 | H-WORK Toolkits developed | 2,3,4,5 | UNIBO | The HAT, HIT & HET Toolkits deployed, needs analysis reports submitted | 7 |
| 3 | Implementation plans for Group 1 intervention sites developed and baseline data collected | 3 | NTNU | Implementation plans report and baseline data collection report submitted | 10 |
| 4 | Implementation plans for Group 2 intervention sites developed and baseline data collected | 3 | NTNU | Implementation plans report and baseline data collection report submitted | 16 |
| 5 | Implementation of interventions in Group 1 accomplished, post-interventions data collected | 4 | UVA | Implementation reports submitted | 22 |
| 6 | Implementation of interventions in Group 2 accomplished, post-interventions data collected, follow-up data collected in Group 1 | 4 | UVA | Implementation reports submitted | 28 |

Table 6. Risk mitigation countermeasures

| N. | TITLE | LIKELIHOOD/IMPACT | WP | RISK MITIGATION STRATEGIES |
|----|------------------------------------|-------------------|-----|--|
| 1 | Deliverables and milestones delays | low/medium | ALL | Efficient project management will keep this risk to a minimum by formulating internal deadlines and effective communication strategies to anticipate any potential delays well in advance and adapt the work and resources accordingly. Internal deadlines will ensure that even if delays occur, deliverables will be prepared on time for the official deadline. |

| | | | | |
|---|--|----------------|-------|--|
| 2 | Key staff members leaving or absent | high/ medium | ALL | <p>Given that the project duration is 42 months, it is likely that key staff members of the consortium will be absent over shorter or longer periods. To prevent any negative consequences of such events, effective communication strategies will ensure that all important information related to the project is shared within more consortium partners, all documentation is well organised and can be easily transferred from one person to another and any longer absence notices are announced, if possible, at least one month in advance.</p> |
| 3 | Communication problems within the consortium | medium/ low | ALL | <p>Effective communication will be crucial as the project requires close cooperation between partners from different parts of Europe.</p> <p>GA meetings will be organised every year and well-structured and documented SC meetings will be organised every 6 months to discuss any important decisions to be made and ensure complete transparency and traceability of the decisions taken. Furthermore, we will establish good communication rules and support exchange with communication technologies.</p> |
| 4 | Poor performance of a project partner | low/ medium | 3 | <p>The distribution of advance payments to partners will require on-time submission of their deliverables in proper quality. The contingency plan is activated in case a partner submits the work with a delay of more than a week from the internal deadline set without justification. The partner is contacted to justify the delay and set a new deadline. If this situation is repeated, then the Coordinator will discuss and decide with the SC appropriate measures to be undertaken.</p> |
| 5 | One or more intervention sites cancel at short notice, despite the Letter of Support | medium/ medium | 3,4,5 | <p>We have carefully chosen all H-WORK intervention sites to ensure their suitability and availability for the project. As such, we have kept this risk to a minimum. Nonetheless, in an unlikely event of one or more sites cancelling, we have included a larger number of various intervention sites (10 in total) which ensures a sufficient number of sites even if one or more cancel. Furthermore, we have prepared an internal waiting list of potential intervention sites that could be contacted as a back-up strategy if necessary.</p> |
| 6 | Poor engagement of employees and employers in the project's activities | low/ low | 3,4,5 | <p>Implementation plans will be developed for each intervention site in cooperation with the organisation's stakeholders to ensure that the envisaged actions are feasible and that the intervention site can guarantee active involvement of their employees in the project thus keeping this risk to a minimum. To this end, we have also established the Intervention Board that will be responsible for the implementation. Furthermore, process evaluation throughout the project will ensure that any potential problems that arise are identified and addressed in a timely and appropriate manner.</p> |

| | | | | |
|----|---|----------------|-------|--|
| 7 | Problem or delays in data collection in one or more intervention sites | high/ low | 3,5 | We have structured the implementation phase sequentially into two groups of intervention sites to ensure enough working capacity. This will enable us to distribute the workload evenly and anticipate, react and counteract on any delays that may arise. Also, we have allocated enough time for each sequence of data collection to prevent any potential delays. Moreover, much of the data will be collected electronically ensuring swift and time-efficient process. |
| 8 | H-WORK Toolkits validated | medium/ medium | 4 | Technical or logistical problems with implementation of interventions in one or more intervention sites - medium likelihood/ medium impact |
| 9 | Problems or delays in the Databank development and deployment | low/ high | 3,4,8 | The H-WORK Databank will be fundamental for data collection and safe data storage during the implementation phase and it must be ready before the beginning of the first data collection [M9]. To prevent any delay we have dedicated an extensive timeframe [3 months] to the development of the Databank. Moreover, the task has been assigned to GETON who has expertise and previous experience in this field and will ensure timely and high-quality delivery. |
| 10 | Problems or delays in the development and deployment of the Innovation Platform | low/ high | 6 | The Web Platform will be one of the main results of the project and its design and deployment will be a crucial part of our exploitation strategy. Therefore, we have allocated an extensive timeframe [starting at M22] for the development of the Platform and we have also included Task 6.3 to test its usability thus fostering its uptake and acceptance by the end-users. Partners with experience in digital platform design and deployment (GETON, UNBO) will be in charge of the Platform supported by the Steering Committee. |
| 11 | Dissemination strategy not appropriate | low/ low | 7 | The consortium has a solid base of academic partners with high expertise in publishing who will ensure development of an efficient Dissemination Plan. Moreover, the consortium network organisations (EFPA, ENWHP) and international SAB will ensure wide-spread dissemination of the project achievements and results. |
| 12 | Exploitation strategy not appropriate | low/ medium | 6 | Particular attention will be paid to the development of an efficient exploitation strategy as it is crucial for the uptake of the project results and its long-term sustainability. We will develop an Initial Exploitation Plan [M27] and its effectiveness and suitability will be constantly monitored and updated as needed. We will then develop a Final Exploitation Plan [M42] that will reflect current market needs to promote and exploit the H-WORK results in the most efficient way. |
| 13 | Stakeholders not engaged as desired in the Innovation Platform | medium/ medium | 6,7 | This risk will be mitigated by efficient promotion of the platform through various communication channels of the consortium along with the SAB. Immediately after the deployment, we will monitor the activity and engagement of the public and different stakeholders. Based on the results we will foster and expand the most successful and cease the |

least successful communication measures in engaging stakeholders and public. Networks of consortium partners EFPA and ENWHP will attract attention of mental health practitioners, organisations, insurance companies and broad public across Europe.

COVID-19 pandemic

During the first months of the project, COVID-19 pandemic has spread around the world, presenting unforeseeable risks to project activities. At this stage (M4), the pandemic has not affected project tasks; however, as its impact on future activities is unforeseeable and potentially high (including risks 1,4,5,7 in the table above), the following mitigation measures have been taken:

- close monitoring of the situation: each partner has been asked to regularly report to the General Assembly on the current/foreseeable impact of the pandemic on the implementation of its project tasks

If necessary, the Coordinator and Steering Committee (together with Consortium members) have the responsibility to formulate proposals on how to address this risk to the General Assembly. As ultimate decision-making body of the Consortium, the General Assembly will take decisions on the adjustments or mitigation measures to be implemented (see Section 1).

Further mitigation measures that can be considered, include:

- Revision of the project Gantt Chart, postponement of selected tasks
- Extension of the project

Moreover, as also specified by the European Commission, Article 51 of the H2020 Annotated Model Grant Agreement (AMGA), conditions in which “Force majeure’ clause can be used relates to an extraordinary and unforeseeable event or situation that is beyond the beneficiaries control and that prevents them from fulfilling their obligations under the action. If such a situation occurs, H-WORK will immediately inform the Commission and the Project Officer, which will examine on a case-by-case basis the possible application of the rules on force majeure. For example, any Gantt Chart or task revision will require an amendment to the Grant Agreement and, in any case, must be approved from the European Commission (see Section 8 on Amendments).

REPORTING

The project is divided in three reporting periods as outlined in Table 7. At the end of each reporting period, a periodic/final report must be submitted to the European Commission. Periodic and final reports must be submitted within 60 day from the end of the reporting period. Below the calendar for the submission of reports:

Table 7. Reporting period deadlines

| REPORTING PERIOD | PERIOD COVERED BY THE REPORT | DEADLINE FOR SUBMISSION |
|--------------------------|--|---|
| Reporting Period 1 (RP1) | Month 1-18 From 01/01/2020 to 30/06/2021 | M 20 August 31, 2021 |
| Reporting Period 2 (RP2) | Months 19-36 From 01/07/2021 to 31/12/2022 | M 38 February 28, 2022 |
| Reporting Period 3 (RP3) | Months 37 to 42 From 01/01/2023 to 30/06/2023 | M 44 August 31, 2023 |

The periodic and final reports are composed of a technical and a financial part. The technical report includes:

- A summary for publication
- An overview of the progress towards the objectives of the action
- Details on exploitation and dissemination activities
- Description and justification for deviations from the work plan and planned use of resources

The financial report contains the “Individual Financial Statements” from each beneficiary for the reporting period concerned.

Technical and financial parts must be submitted together, as a “single package”. If one document is delayed or requires changes or corrections, the whole package is delayed or rejected. The H-WORK project has outlined internal procedures for both parts as shown in Table 8 and Table 9.

Table 8. Internal procedures for the preparation of reports – Technical Part

| WHO | WHAT | WHEN |
|-------------------------|--|--|
| The Coordinator (UNIBO) | Sends an annotated template of the report to all beneficiaries | Before the end of the reporting period |
| All beneficiaries | Provide feedbacks on their activities to relevant WP leaders | End of reporting period + 10 days |

| | | |
|-------------------------|---|---|
| WP leaders | Send a first draft of the section of the relevant WP to the coordinator | End of reporting period + 20 days |
| The Coordinator (UNIBO) | Collects WP leaders' contributions; prepares the first draft of the report and circulates it to all beneficiaries | End of reporting period + 30 days |
| All beneficiaries | Provide their feedback on the draft to WP leaders | NA |
| The Coordinator | Reviews the draft and submits the report | 60 days after the end of the reporting period |

Table 9. Internal procedures for the preparation of reports – Financial Part

| WHO | WHAT | WHEN |
|-------------------------|---|--|
| The Coordinator (UNIBO) | Sends excel reporting tables with the requested financial data to all partners (see Annex 2 to this Guide, excel format is available the H-WORK online shared folder) | Before the end of the reporting period (available in attachment) |
| All beneficiaries | Send back the filled tables with the requested data | End of reporting period + 25 days |
| The Coordinator (UNIBO) | Sends feedback on the tables to each beneficiary | End of the reporting period + 35 days |
| All beneficiaries | Upload the approved data in the online Portal and save them in draft mode | End of the reporting period + 45 days |
| All beneficiaries | Check each beneficiary's data and gives approval. | NA |
| WP leaders | Lock the data and submit the Beneficiary's Financial Statement to the Coordinator | NA |
| The Coordinator | Inserts tables with relevant data in the technical report; includes available Financial Statements in the periodic/final report and submits it | Within 60 days after the end of the reporting period |

Certificates on the financial statements

A Certificate on the Financial Statement (CFS), also named Audit Certificate, is a statement from a competent auditor in which the correctness and compliance with H2020 rules of a cost justification is certified.

Beneficiaries must provide a CFS when the claimed direct costs go beyond the threshold of EUR 325,000. According to the planned budget, this is going to occur to the following beneficiaries: UNIBO, UVA, NTNU.

Auditors eligible to deliver audit certificates must be “external auditors” or “public competent officers” who are “independent” and “qualified to carry out statutory audits of accounting documents”.

As a guideline, Annex 5 of the Grant Agreement includes the model for the certificate on the financial statements.

PAYMENTS

Schedule

Pre-financing

A pre-financing has been transferred by the European Commission to the Coordinator, and by the Coordinator to all Beneficiaries at the beginning of the project (M1-3).

Interim and Final Payments.

The European Commission will transfer subsequent interim and final payments within 90 days from the approval of the related periodic/final report. Figure 5 describes the relation among reporting and payment procedures.

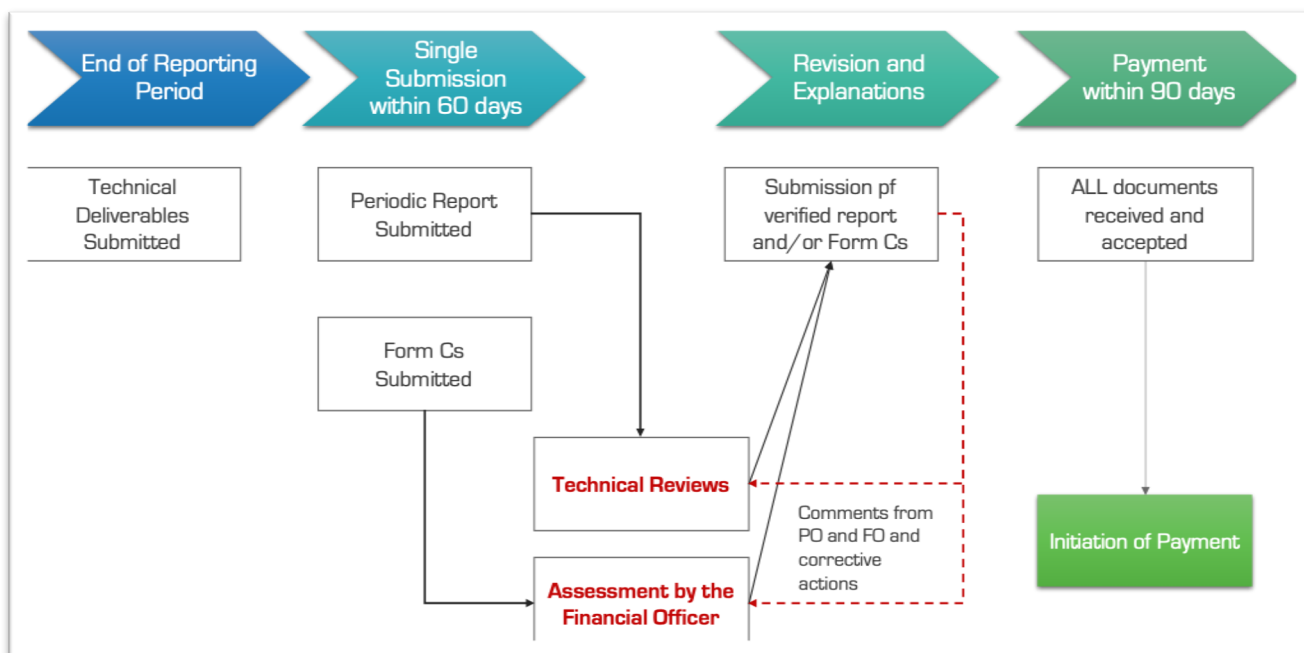


Figure 5. Relation among reporting and payment procedures

Accordingly, in case no delays occur, payments from the European Commission to the Coordinator will be performed according Table 10.

Table 10. Reporting periods and payment deadline

| PAYMENT | REPORTING PERIOD | REPORT DEADLINE | PAYMENT DEADLINE (TRANSFER FROM EC TO COORDINATOR) |
|---------------|------------------|-----------------|--|
| Pre-financing | NA | NA | 20 days before the beginning of the project |

| | | | |
|-------------------|---------|-----|-----|
| Interim payment 1 | M 1-18 | M20 | M23 |
| Interim payment 2 | M 19-36 | M38 | M42 |
| Final Payment | M 37-42 | M44 | M47 |

The Coordinator will transfer any amount received by the Commission to the partner without undue delays.

Amount

Interim payments

- Corresponding to the amount accepted for the reporting period, within the limits of the point below;
- The total amount of the pre-financing (including Guarantee Fund) and interim payment shall not exceed 90% of the Maximum Community financial contribution.

Final Payment

- Corresponding to the amount accepted for the last reporting period plus the amount contributed to Guarantee Fund and any adjustment needed with limits of the maximum Community financial contribution.

AMENDMENTS

The Grant Agreement can and must be changed whenever an important change occurs on a project parameter such as:

- Partnership (members of the Consortium)
- Project duration
- Tasks distribution (among the member of the Consortium)
- Budget (especially changes concerning subcontracting)
- Changes to the work plan (Part A of the Annex I to the Grant Agreement).

Grant Agreement amendment requests must be decided by the General Assembly. Subsequently, the Coordinator submits them to the European Commission on behalf of the Consortium. The European Commission can approve or reject the request, or ask for changes.

REFERENCE DOCUMENTS

Contractual documents

Grant Agreement (GA)

The GA is signed between the coordinator and the EC and is the official and legal base of the project.

The Grant Agreement is composed of different Annexes:

- Annex 1: Description of the Action (DoA)
 - Overall description of the project for the full duration of the contract;
 - The objectives and expected impacts;
 - An outline of the work plan, including the list of deliverables and milestones; a description of the role of the participants; ethical provisions;
 - A description of the organisational, management and governance structure of the project; the plan for using and disseminating knowledge.
- Annex 2: Estimated budget for the action; Annex 2a: Additional information on the estimated budget
- Annex 3: Accession Forms
- Annex 4: Model for the financial statements
- Annex 5: Model for the certificate on the financial statements (CFS)
- Annex 6: Model for the certificate on the methodology

Consortium Agreement

The Consortium Agreement establishes internal rules (i.e., governance, distribution of the EC contribution) and specifies and/or supplements the provision of the Contract. Currently, the Consortium Agreement is under negotiation among H-WORK beneficiaries.

Guides of Reference from the European Commission

H2020 Online Manual

The European Commission has rendered available the H2020 online manual. The section on grant management is available at the following link:

https://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management_en.htm

H2020 Annotated Model Grant Agreement (AMGA)

The AMGA is the reference guide for H2020 projects; it contains all information regarding contractual obligations for participants in h2020 projects.

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

COVID-19 Frequently Asked Questions

The AMGA is further representing the reference guide for H2020 projects during the outbreak of the COVID-19 pandemic.

<https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/support/faq?type=1;categories=;programme=H2020;actions=;keyword=COVID-19%20outbreak>

Annex 1 – Template of the minutes of the H-WORK General Assembly

TITLE OF THE CALL (E.G. WP LEAD CALL)

| | |
|---------------------|---|
| Date | DD.MM.YYYY |
| Time | HH.MM – HH.MM CET |
| Participants | Name Surname (Partner), Name Surname (Partner), Name Surname (Partner), Name Surname (Partner), Name Surname (Partner), Name Surname (Partner), Name Surname (Partner), |
| Type | [NAME OF THE CALL] |

| |
|--|
| <p>Agenda</p> <ul style="list-style-type: none"> ▪ Point 1 ▪ Point 2 ▪ ... ▪ ... ▪ AOB |
|--|

Point 1

- XXXX
- XXXX
- XXXX

Point 2

- XXXX
- XXXX
- XXXX

[...]

AOB

Action points

| Task | Responsible partner(s) | Due date |
|------|------------------------|------------|
| XXXX | XXXX | DD.MM.YYYY |

Annex 2 - Reporting Tables

In order to verify the coherence of the activities described in the technical part, and beneficiaries' Financial Statements, before the submission of each report the Coordinator will distribute and collect the following reporting tables (excel templates are available in the H-WORK shared folder).

| | | |
|--------------|--------|-----------------------------------|
| PARTNER NAME | H-WORK | Please fill out only yellow cells |
|--------------|--------|-----------------------------------|

Reporting period N. XX: DD/MM/YYYY-DD/MM/YYYY

Report MXX-MXX

TABLE1 (see Instruction sheet before filling out)

| WP | number of person-months (PM) | Personnel | Subcontract | Travels and subsistence | Equipment | Other direct costs | Total direct costs | Indirect costs | Total costs | EU Contribution |
|---------------|------------------------------|-----------|-------------|-------------------------|-----------|--------------------|--------------------|----------------|-------------|-----------------|
| WP1 MANAGE | | | | | | | | | | |
| WP2 CREATE | | | | | | | | | | |
| WP3 COLLECT | | | | | | | | | | |
| WP4 INTERVENE | | | | | | | | | | |
| WP5 EVALUATE | | | | | | | | | | |
| WP6 RELEASE | | | | | | | | | | |
| WP7 PROMOTE | | | | | | | | | | |
| WP8 PROTECT | | | | | | | | 0,00 | 0,00 | 0,00 |
| TOTAL | - | - | - | - | - | - | - | 0,00 | 0,00 | 0,00 |

Table 2 Explanations (see Instruction sheet before filling out)

| Category | Short description | Amount |
|--|------------------------------|------------|
| <i>Personnel costs</i> | <i>No explanation needed</i> | <i>0 €</i> |
| <i>Subcontracts</i> | | <i>0 €</i> |
| <i>Travel and subsistence</i> | | <i>0 €</i> |
| <i>Equipments</i> | | <i>0 €</i> |
| <i>Other direct costs (including goods and services)</i> | | <i>0 €</i> |

Table 3 Use of in kind contribution from third party

| third party name | direct cost | indirect cost | TOT |
|------------------------|-------------|---------------|---------------|
| <i>Personnel costs</i> | | <i>0 €</i> | <i>0,00 €</i> |
| <i>travels</i> | | <i>0 €</i> | <i>0,00 €</i> |
| <i>other costs</i> | | <i>0 €</i> | <i>0,00 €</i> |
| TOT | <i>0 €</i> | <i>0 €</i> | <i>0,00 €</i> |

Instructions

Important notice:

The complete set of financial rules are available in the **Annotated Model Grant Agreement:**

http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html#h2020-grants-manual-amga

The following instructions are only indicative and do not cover all the eligibility rules. For complete information please check the AMGA (link above)

General info:

- Fill out yellow cells only!
- All costs reported must be real incurred costs (NOT average estimates)
- You must report only costs incurred during the reporting period
- Only costs incurred by the project beneficiary during the reporting period, necessary, linked to the action and foreseen in the budget must be reported. For reporting of 'extra-budget costs' please contact the coordinator and project manager.

Subcontracts

- Only subcontracts foreseen in the budget are eligible. For any additional subcontract please provide details to the coordinator and project manager
- Subcontracts are tricky so please check the set of rules before subcontracting any action task: Article 13 of the Annotated Model Grant Agreement (link above)

Travel and subsistence

- 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 that was not specifically related to the action are NOT eligible.
- Travel and subsistence 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 the experts' participation is envisaged in Annex 1.
- There is no distinction between travelling in or outside of Europe - the same eligibility rules apply.
- The travel costs must be in line with the usual internal practices for reimbursement of your institution. New administrative practices setup for the action only are not acceptable.
- If the beneficiary reimburses travel and/or related subsistence allowances as a lump sum and/or per diem payment, it is the lump sum or per diem amount that is considered an eligible cost, not the actual prices paid by the person receiving the lump sum or per diem.

Equipment

- The cost of equipment must be declared according to your usual practice. For more information please check the AMGA document p.77 (link above)
- Only the portion of the equipment used on the project may be charged. The amount of use (percentage used and time) must be auditable i.e. the depreciated value. Please check what is the usual depreciation practice in your institution.

Annex 3 - List of deliverables in chronological order

| DELIVERABLE NUMBER | TITLE | WP | LEAD BENEFICIARY | DISSEMINATION LEVEL | DUE MONTH |
|--------------------|---|----|------------------|---------------------|-----------|
| 7.1 | Communication Plan | 7 | OPEN | CO | 2 |
| 7.2 | Project website, social media channels | 7 | OPEN | PU | 3 |
| 1.1 | H-WORK Handbook and Quality Plan | 1 | UNIBO | PU | 4 |
| 8.1 | Initial Data Management Plan | 8 | GETON | CO | 5 |
| 9.1 | H - Requirement No. 1 | 9 | UNIBO | CO | 6 |
| 2.1 | H-WORK Theoretical Framework | 2 | UJI | CO | 6* |
| 8.3 | H-WORK Databank | 8 | GETON | CO | 8 |
| 3.1 | Needs analysis report including action plan for implementation: Group 1 | 7 | NTNU | CO | 9 |
| 5.1 | Evaluation plan for each intervention site of Group 1 | 5 | USFD | CO | 9 |
| 7.3 | Dissemination Plan | 3 | UNIBO | CO | 12 |
| 9.2 | POPD Requirement N. 2 | 9 | UNIBO | CO | 12 |
| 3.2 | Needs analysis report including action plan for implementation: Group 2 | 3 | NTNU | CO | 15 |
| 5.2 | Evaluation plan for each intervention site of Group 2 | 5 | USFD | CO | 15 |
| 4.1 | Intermediate report on the implementation process for each intervention site: Group 1 | 4 | UVA | CO | 16 |

| | | | | | |
|-----|---|---|-------|-------|----|
| 4.2 | Intermediate report on the implementation process for each intervention site: Group 2 | 4 | UVA | CO | 22 |
| 4.3 | Final report on the implementation process for each intervention site: Group 1 | 4 | UVA | CO | 22 |
| 5.3 | Process evaluation report: Group 1 | 5 | USFD | CO | 22 |
| 6.1 | Initial Exploitation Plan | 6 | UNIBO | CO | 27 |
| 4.4 | Final report on the implementation process for each intervention site: Group 2 | 4 | UVA | CO | 28 |
| 5.4 | Process evaluation report: Group 2 | 5 | USFD | CO | 28 |
| 3.3 | H-WORK Assessment Toolkit (HAT) | 3 | NTNU | CO/PU | 35 |
| 3.4 | Data analysis report | 3 | NTNU | CO | 35 |
| 4.5 | H-WORK Intervention Toolkit (HIT) | 4 | UVA | CO/PU | 35 |
| 5.5 | H-WORK Evaluation Toolkit (HET) | 5 | USFD | CO/PU | 35 |
| 5.6 | Cost-effectiveness and economic evaluation | 5 | KI | CO | 35 |
| 6.2 | H-WORK Innovation Platform | 6 | UNIBO | PU | 37 |
| 2.2 | Update on digital technologies and policies | 2 | UJI | CO | 42 |
| 6.3 | Final Exploitation Plan | 6 | UNIBO | CO | 42 |
| 6.4 | H-WORK Innovation Platform validation report | 6 | UNIBO | CO | 42 |
| 7.4 | Policy briefs and recommendations for policy makers | 7 | EFPA | PU | 42 |

| | | | | | |
|-----|--|---|-------|----|----|
| 7.5 | Final communication and dissemination report | 7 | UNIBO | CO | 42 |
| 8.4 | Final Data Management Plan | 8 | GETON | CO | 42 |

* A request to postpone the deadline at month 6 has been accepted by the PO.