



Grant Agreement No.: 761802

## D6.2: Quality Assurance Plan



This deliverable outlines the project organisation and documentation processes, in order to ensure that the partners follow well defined procedures and project management is at all stages aware of the status of the project. The document also describes the measures for quality assurance of project results and documentation.

## D6.2: Quality Assurance Plan (v0.3) | Public

Work package	WP 6
Task	D6.1
Due date	30/11/2017
Deliverable lead	JRS
Version	0.1
Authors	Werner Bailer, Pooran Jalili (JRS), Mike Matton (VRT)
Reviewers	
Keywords	Quality assurance, management procedures

**Document Revision History**

Version	Date	Description of change	List of contributor(s)
V0.1	04/12/2018	1 <sup>st</sup> version of the document	Werner Bailer (JRS)
V0.2	04/12/2018	Added list of internal reviewers	Mike Matton (VRT)
V0.3	08/12/2018	Minor corrections before submission	Mike Matton (VRT)



## Disclaimer

This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No. 761802.

This document reflects only the author's' views and the Commission is not responsible for any use that may be made of the information it contains.

Project co-funded by the European Commission in the H2020 Programme	
Nature of the deliverable:	R
Dissemination Level	
<b>PU</b>	Public



## Executive Summary

This deliverable outlines the project organisation and documentation processes, in order to ensure that the partners follow well defined procedures and project management is at all stages aware of the status of the project. The document also describes the measures for quality assurance of project results and documentation.



# Table of Contents

Executive Summary	4
Table of Contents	5
Abbreviations	7
1 Introduction	8
1.1 About this document	8
1.2 Quality Assurance Plan for the project	8
2 Project Organisation	9
2.1 Overview on Consortium Organisation	9
2.2 European Commission	9
2.3 Responsibilities of different project boards	10
2.3.1 Project Board	10
2.3.2 Work Package and Task Leaders	10
2.4 Conflict resolution	10
2.5 Quality Assurance	11
3 Contractual framework	12
3.1 Grant Agreement	12
3.2 Consortium Agreement	12
4 Project Documentation	14
4.1 Quarterly Reporting of project progress	14
4.2 Periodic Reports	14
4.3 Intermediate management reports	14
4.4 Time Sheets	14
4.5 Deliverables	15
4.5.1 List of Official Deliverables	15
4.5.2 Quality Assurance for Deliverables	15
4.5.3 Deliverable Reviewers	16
4.5.4 Issues to be checked by Internal Reviewer	16
4.6 EC Reviews	17
4.7 External Publications incl. scientific publications	17
5 Financial Management	18
5.1 Payments by the Commission	18



5.2	Financial Statements and Certificate on the Financial Statements CFS	18
5.2.1	Financial Statements	18
5.2.2	Certificate on the Financial Statements CFS	18



## Abbreviations

CA	Consortium Agreement
DoA	Description of Action
EC	European Commission
GA	General Assembly
IPR	Intellectual Property Rights
NDA	Non-disclosure agreement
PO	Project Officer
QA	Quality Assurance
R&I	Research and Innovation
WP	Work Package



# 1 Introduction

## 1.1 About this document

This document is the Quality Assurance Plan for the MARCONI Project.

The purpose of this document is to provide all project partners with a summary of the most important project procedures (project monitoring, reporting tools, financial management, internal communication structures, etc.). By defining the management and decisions structures and procedures in the project, it describes the quality assurance measures taken by the project.

## 1.2 Quality Assurance Plan for the project

The Quality Assurance Plan includes all procedures undertaken within the MARCONI consortium in order to assure high quality results for the project. This includes the management structure of MARCONI in detail, the applied quality assurance procedures and the project documentation.

For MARCONI, a flat management structure consisting of the project management with its assigned project office and Work Package (WP) leaders is applied. These management structures, their responsibilities and the decision rules are described in Section 2.

The quality assurance procedures applied within MARCONI include an internal review mechanism, project monitoring and standards & conventions on how to prepare documents. The internal review process has been defined for paper and software deliverables. Internal reviewers will be appointed at project meetings always at least six months ahead of the delivery date of the respective deliverable.

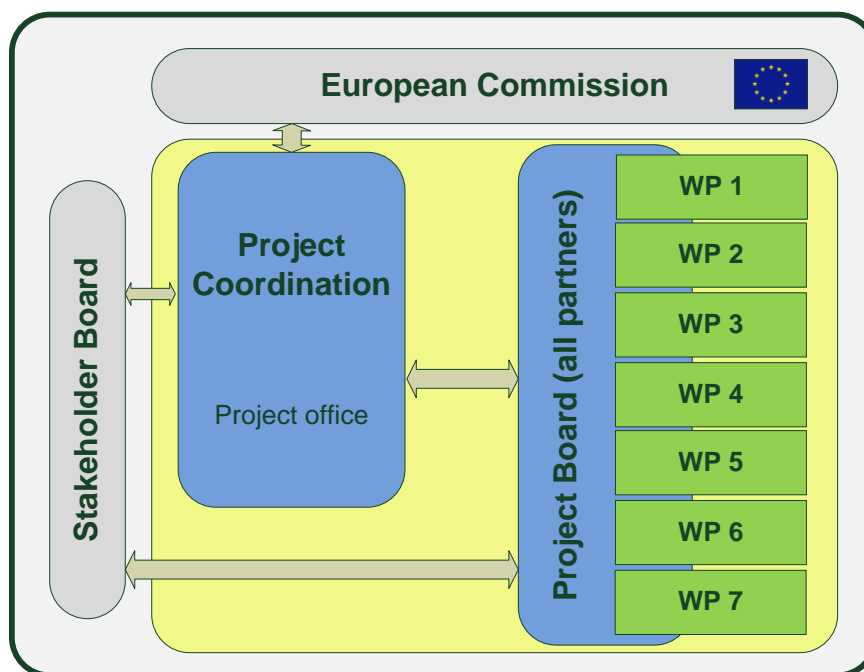
Project monitoring will be enabled by quarterly activity reports which are to be delivered by each partner to the WP leader on or before the three weeks after the end of the reporting period. A summarized report will be delivered to the coordinator by each WP leader at the latest on or before four weeks after the end of the reporting period, accompanied by financial statements and by the project management reports. Project management reports will be prepared with the help of WP leaders. The details are described in Section 0.

In order to assure an efficient communication amongst a geographically dispersed consortium, the project management has put an internal communication infrastructure in place. This includes the setup of a central document store (OwnCloud) and mailing lists. The document store is the central repository for all project partners and is organized in areas. The WP folders are the main repository for documents (structured by tasks). The meetings folder covers agenda, presentations given at meetings and the minutes.



## 2 Project Organisation

### 2.1 Overview on Consortium Organisation



*Figure 1: project organisation & management structures*

### 2.2 European Commission

The Coordinator is the intermediary between the European Commission and the Consortium. At the European Commission, the responsible officer for MARCONI is Peter Friess (Peter.FRIESS@ec.europa.eu)

## 2.3 Responsibilities of different project boards

### 2.3.1 PROJECT BOARD

The Project Board is the highest decision body within the project. It is chaired by the Project Coordinator: Mike Matton, VRT. The Project Board is responsible for the overall direction of the project. It decides on project budget redistributions, new partners or defaulting parties. For any voting, at least two-thirds (2/3) of the members have to be present. Each partner has one vote.

### 2.3.2 WORK PACKAGE AND TASK LEADERS

The Work Package Leader is responsible for

- Controlling and reporting of the progress of the work package;
- Collecting work reports from all parties and confirming the results of the parties (quarterly reports) in the corresponding work package;
- Evaluating possible actions and activities;
- Preparing, administrating and providing minutes as chairperson of work package meetings;
- Transmitting any documents and information connected with the work package between the parties concerned;
- Transmitting the project deliverables of the parties within the work package to the coordinator.
- Informing all concerned parties within the work package, other work package leaders of other affected work packages and the coordinator about delays if it is brought to his or her notice that a party is late in the submission of its planned results.

Similar to the Work Package Leader Task Leaders are responsible for the Work in their respective Tasks. The Task Leader is responsible for

- Task Leaders regularly report to the corresponding WP Leader.
- Any issues endangering the success of the Work Package or the project have to be reported immediately to the Project Coordinator (VRT) and discussed by telephone or E-mail.

## 2.4 Conflict resolution

Problems have to be reported as early as possible to the Project Coordination in order to immediately define and apply mechanisms for remedial actions (if necessary) within the respective boards. For more information – please have a look on the documents “Description of Action” and “Consortium Agreement” available on the document store.

Conflicts between project partners and/or team members have a major influence on the overall success of the project. Therefore it is the responsibility of the Project Coordination to



deal immediately with these conflicts in order to avoid major damage to the project.

There are many procedures mentioned in the Consortium Agreement for avoiding any conflicts, however in case of any conflict, the General Assembly will act as the highest conflict resolution level within the project. The members of the General Assembly will be in charge of analysing any problems and providing proposals for a solution in an amicable way. Any Consortium member may, however, contact the Project Coordination or the respective boards directly if they identify an actual or potential conflict. The Coordinator will immediately attempt to resolve this by discussion or by calling an ad hoc meeting. If conflicts cannot be solved in this way, voting on the issue will be necessary.

If a conflict cannot be resolved at one level, the next board up the management chain will be involved, which will decide using the voting structures and procedures set out in the Consortium Agreement. In most cases, each member has one vote and simple majority decisions will be taken. Where partners are failing to meet their obligations, where serious financial measures need to be taken or partners may be excluded from the project, are treated in a different way and require two-thirds majorities of all members of the General Assembly with a casting vote by the Coordinator in case of a tie.

## 2.5 Quality Assurance

Quality assurance applies to all project activities including Deliverables. Quality assurance is the joint responsibility of all partners during the project duration. The Project Coordinator has the authority for implementing and verifying compliance with all quality evaluation policies and procedures related to the project.

Please see section/chapter 1.2 for a detailed description of the Quality Assurance Plan. For the Deliverable review procedure, please see section 4.5.



## 3 Contractual framework

The contractual framework of an EC project consists mainly of two core contracts which are mandatory for EC funded projects within Horizon 2020:

- Grant Agreement
- Consortium Agreement

### 3.1 Grant Agreement

The basis for all EC funded projects is the signed project Grant Agreement which regulates the relationship between the European Commission and the Project Consortium.

The European Commission signed the Grant Agreement with the Project Coordinator. All other project partners signed Accession Forms to the contract in order to be integrated within the project. The Grant Agreement contains all specific project details like project start date, project duration, budget, project results etc.

The Grant Agreement consists of the following parts:

- Terms and Conditions
- Annex 1 Description of the action
- Annex 2 Estimated budget for the action
- 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
- Annex 6 Model for the certificate on the methodology

You can find the Grant Agreement including annexes on the project document store.

### 3.2 Consortium Agreement

The Consortium Agreement is mandatory for EC projects. It regulates the cooperation within the project consortium and mainly contains the following topics:

- Legal name, address and authorised people to sign the contract of all partners
- Preamble
- Subject of the contract (title of project)
- Organisational provisions (project boards and their responsibilities, management, voting procedures, ...)
- Financial provisions (financing plan, modification procedures, auditing of costs, payments, ...)



- Intellectual Property Rights (IPR) and commercial provisions (confidentiality, ownership of results, legal protection of rights, exploitation of results, background know-how, ...)
- Dissemination of knowledge (publications, trade-shows etc.)
- Legal provisions (legal form of the cooperation, duration of the agreement, applicable law, settlement of disputes, ...)

During the project the Consortium Agreement may “evolve” and be changed by agreement of all partners, e.g. to take into account changes in the partner structure, additional rules for exploitation or protection of generated knowledge.

The Consortium Agreement can be found on the project document store.



## 4 Project Documentation

Each partner has to document the project progress during the duration of the project. This documentation will be the basis on which all efforts, payments, audits and so on will be checked and verified.

### 4.1 Quarterly Reporting of project progress

The project progress will need to be reported by all partners on a three-monthly basis. For this purpose an Excel reporting sheet has been prepared and made available for partners.

The goals of the three-monthly status report are:

- documentation of project progress
- to discover deviations at an early stage and
- to start remedial actions (if necessary) as soon as possible.

The partners enter their progress works into the reporting sheet within 3 weeks after the end of each quarter. The work package leaders will then approve the submitted reports within one week. Each work package leader provides a summary of the works done in his work package to the project co-ordinator.

### 4.2 Periodic Reports

A Periodic Report is required at the end of each reporting period (M12, M30) as defined in the Grant Agreement. The Periodic Report contains the report on overall project progress as well as on financial statements (see Section 5.2.1). The Project Coordinator will merge the information provided by the partners in reporting tool to one report. WP Leaders are asked to consolidate the documentation of their work package. The consolidated report is submitted to the European Commission.

### 4.3 Intermediate management reports

In addition to the reports at the end of the reporting period, intermediate management reports are delivered in M8 (D6.4) and M20 (D6.5). The procedure is the same as for other management reports.

### 4.4 Time Sheets

Please note that all consortium partners have to keep time sheets (contractually obligatory



according to the Grant Agreement) for each project employee on a monthly basis. These time sheets are necessary to demonstrate your working hours in the case the European Commission will have the project efforts checked by independent auditors. You may use your own institution's timesheets provided they are giving sufficient information.

## 4.5 Deliverables

Deliverables (reports, prototypes, etc.) are evidences of the project's performance and enable the Coordinator and the Commission to monitor the project.

- The responsible partner, i.e. Lead Beneficiary, compiles the deliverable with the support of the other partners assigned to this specific task.
- Internal Review: An internal review procedure for deliverables will be established according to the Quality Assurance for Deliverables (see 4.5.2) in order to improve the quality of each deliverable.
- The responsible partner forwards the deliverable and the related deliverable review report to the Project Coordinator (leaving at least one working day for formal checks) who will transmit the Deliverable to the Commission.

Please note that a deliverable template has to be used for all deliverables created within the project. You can find the template document on the project document store.

In case the nature of the deliverable is a demonstrator, please consider the following:

- Forward demonstrator to internal reviewer for tests
- Provide short manual (installation/operation)

### 4.5.1 LIST OF OFFICIAL DELIVERABLES

Official Deliverables that will be made available to the EC are listed in the DOA in WT2.

### 4.5.2 QUALITY ASSURANCE FOR DELIVERABLES

The Quality Assurance Plan foresees the following procedure to assure the quality for deliverables:

- Two weeks before deadline: Responsible partner sends deliverable in final draft to the internal reviewer
- One week before deadline: Internal reviewer sends back Review Report to responsible partner
- Deadline: Responsible partner send final version deliverable together with Review Report (including author's response) to the Project Coordinator. The Project Coordinator submits the deliverable to the EC.

This means that the final draft of the deliverable has to be sent to the internal reviewer at least two weeks before the deadline in order to allow enough time to comment and make adjustments.



### 4.5.3 DELIVERABLE REVIEWERS

Deliverable reviewers are assigned during project meetings. The list of deliverables together with the responsible internal reviewer will be kept up-to-date in the project handbook wiki. The internal reviewers for the first upcoming deliverables are listed in the table below.

Nr	Name	Resp.	Type	access	M	Reviewer
D6.1	Internal communication platform	VRT	Report	Pu	M01	JRS
D1.1	General MARCONI concept	NPO	Report	Pu	M03	PLUX
D5.1	Communication plan, implementation of project website and social media presences	VRT	Report	Pu	M03	NPO
D6.2	Quality assurance plan	JRS	Report	Pu	M03	UHasselt
D1.2	Use cases, requirements, architecture and initial content	VRT	Report	Pu	M06	IN2
D6.3	Data management plan	VRT	ORDP	Pu	M06	UNIVIE
D7.1	PODP – Requirement No. 1	VRT	Ethics	Co	M06	JRS
D2.1	Initial version of services	JRS	Demo	Co	M08	PLUX
D6.4	Half year management report	VRT	Report	Co	M08	JRS
D1.3	Legal validation report and system architecture	UNIVIE	Report	Pu	M09	VRT
D3.1	Initial version of integrated core platform – minimum viable product	PLUX	Demo	Co	M09	UHasselt
D4.1	Stakeholder feedback on exploratory mock-ups	UHasselt	Report	Pu	M09	SFilter

### 4.5.4 ISSUES TO BE CHECKED BY INTERNAL REVIEWER

The internal reviewer has to check the quality of the deliverable concerning the issues listed below and compiles a Review Report. A template for the Review Report can be found on the document store.

- Ensure conformance of Deliverable to the Description of Action
- Furthermore check document for
  - clear and concise structure
  - executive summary
  - introduction / related documents
- Check for references: text copied without reference?
- Formal presentation: document template used? etc.
- Recommend corrective actions if necessary



## 4.6 EC Reviews

EC reviews will be organised to present the project results in regular periods (in most cases: annually) to the European Commission and their independent experts. This enables the Commission to monitor the project and to ensure that the contractual obligations are fulfilled. Additionally future project plans are discussed and agreed within such a meeting.

Reviews are scheduled after M12, M24 and M30, with the tentative location Brussels. Reviews take place within 60 days of the end of the corresponding period.

## 4.7 External Publications incl. scientific publications

The Coordinator and all partners have to be informed on project related publications well in advance (see also the DoA and the CA for details). External publications should be joint publications between project partners, whenever possible. References to published articles will be stored on the project's public web page <https://www.projectmarconi.eu>. If possible, PDF versions of publications should also be made available, but complying to the publisher's copyright rules.

The Intellectual Property rights (especially in connection with planned patents) as included in the Consortium Agreement have to be respected.

In any publication, the following notice must be included:

*This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 761802.*

or

*This [insert type of result] is part of a project that has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 761802.*

When possible, the EU flag must be used, in a size similar to other logos present.

Whenever possible/applicable, the following disclaimer should be included:

The information in this document is provided as is and no guarantee or warranty is given that the information is fit for any particular purpose. The user thereof uses the information at its sole risk and liability.



## 5 Financial Management

### 5.1 Payments by the Commission

The contract specifies a maximum EC contribution to the project.

Payments are made to the Project Coordinator on behalf of the consortium. The Project Coordinator is responsible for receiving and ensuring the distribution of the community financial contribution. The allocation of the payments to the partners has to be decided by the consortium (consortium agreement).

Whenever changes regarding the bank account information occur on the partner's side the Project Coordinator has to be informed immediately.

By a system of periodic advance payments (pre-financing) a permanent positive cash flow is guaranteed, giving great financial certainty to the consortium.

### 5.2 Financial Statements and Certificate on the Financial Statements CFS

#### 5.2.1 FINANCIAL STATEMENTS

Financial statements cover each partner's cost claim for the previous project period. After month 18 the participants enter their financial statements, the explanation of the use of the resources and upload the certificate on the financial statement (if required) into NEF via the EC Research Participant Portal.

The Project coordinator submits the entries from all partners to the Commission via NEF (together with the Project Management Report).

#### 5.2.2 CERTIFICATE ON THE FINANCIAL STATEMENTS CFS

If the cumulative funding is less than 325.000€, no certificate is required.

The auditor must be an independent, external and qualified to national regulations. He certifies that costs incurred during period meet the conditions required by the contract; should expressly state amounts verified

Make early contact with your external auditor and establish with him how to submit cost claims/certificates 45 days after end of period.

The coordinator has to submit all final reports and financial statements from all participants (including signed original financial statements) within 60 days after end of each period to EC, which means the financial statement and the audit certificate (if required) of all partners



## D6.2: Quality Assurance Plan (v0.3) | **Public**

should be with the coordinator at least 2 weeks before the submission to EC.

Costs of certificates are an eligible cost.

