

Innovation Action (IA)

ICT-14-2016-2017

H2020-ICT-2017-1

Enabling procurement data value chains for economic development, demand management, competitive markets and vendor intelligence



Deliverable D8.2

Project manual and quality assurance plan

Date	21/03/2018
Author(s)	Svein G. Johnsen (SINTEF)
Dissemination level	Confidential
Work package	8
Version	0.9

Document metadata

Quality assurers and contributors

Quality assurer(s)	Dumitru Roman
Contributor(s)	Svein G. Johnsen

Version history

Date	Version	Description
10/03/2018	0.1	ToC and initial chapter structure inserted
18/03/2018	0.5	Initial contents of chapter 1 – 9 written.
21/03/2018	0.9	Contents ready for quality assurance.
04/04/2018	1.0	Quality check
10/4/2018	Final	Final version, approved by MBIG.

Executive summary

This document is the Project manual and Quality assurance plan for the H2020-ICT-2017-1 Innovation Action TheyBuyForYou and constitutes the deliverable D8.2 as described in the Grant Agreement Annex-1 WT2. This document is the operational document for the TheyBuyForYou project, initiating a Quality Assurance System for the project intended to provide support for an effective execution of the project, and to ensure that the project goals are reached and delivery of the project deliverables with a level of quality the Commission will consider acceptable.

The following management bodies in the project organisation are identified: the Management and Business Innovation Group (MBIG), Project coordinator, Technical manager and the Technical Management Board (TMB), the Advisory Board, Work package leader, Responsible editor, Internal Peer-reviewer and Site leader.

The responsibilities of the management bodies are described in correspondence with and as a refinement of the descriptions of the management bodies in the Grant Agreement Annex-1 and in the Consortium Agreement.

The Work package leaders are involved in the project monitoring and control on a day-to-day basis (the work within each work package).

The Technical Manager is responsible for the overall technical progress, and the Project Coordinator is responsible for the overall monitoring of the progress and the achievements of the project. The TMB is involved in strategic decision making, monitoring of the technical progress, project plan reviews and project level re-planning.

The tasks of the Advisory Board include provision of feedback and advices to the MBIG on the vision and progress of the project, to supervise the definition of the exploitation plan, and to suggest adjustments of the exploitation strategy.

The monitoring and control by the MBIG includes overall progress according to plan, the financial status, allocation/reallocation of the project budget, follow up the Project manual and quality assurance plan (i.e. this document), review and approve the project's technical results and deliverables, resolve potential and actual disputes between the participants if not solved a lower decision levels, and the execution of risk management procedures.

Risk management contributes to project monitoring and is executed according the Risk Management Plan. The plan specifies an incremental and iterative process for risk management, and includes risk identification, risk assessment, identification and execution of preventing and mitigation actions. A dedicated Risk Register as a database is proposed for storage and updates of all information related to the risk management process. The MBIG has the overall responsibility for the risk management.

Periodic technical and financial report will be submitted at M18 and M36, and a final technical and financial report will be submitted at the end of the project according to the Terms and Conditions of Annex-1 of the Grant Agreement. To support the administrative reporting, each partner shall submit progress reports to the Project Coordinator each quarter. The leaders of each work package shall report on the progress of the work packages in a work package progress report every six month to the Project Coordinator.

Details for routines for report deliverable preparation and release are provided, including the role of the Responsible editor and the internal reviewer(s). Milestones for deliverable report preparations, reviews and submission are specified, and the role of an additional Review summary document is described.

On the topic of version control and content management, it is the responsibility of the Responsible editor of a deliverable to decide on the routines to use.

Conventions for naming of files for report deliverables are proposed at the end of this document.

Table of contents

1	INTRODUCTION.....	7
1.1	ROLE OF THIS DOCUMENT	7
1.2	UPDATES OF THIS DOCUMENT	7
1.3	INTENDED AUDIENCE	7
1.4	DEFINITIONS AND INTERPRETATIONS.....	7
2	APPLICABLE DOCUMENTS.....	8
2.1	REFERENCE DOCUMENTS.....	8
3	PROJECT ORGANISATION.....	9
3.1	MANAGEMENT STRUCTURE OVERVIEW	9
3.2	MANAGEMENT BODIES, PROJECT ROLES AND RESPONSIBILITIES	9
3.2.1	<i>The Project Coordinator.....</i>	<i>9</i>
3.2.2	<i>The Management and Business Innovation Group (MBIG).....</i>	<i>9</i>
3.2.3	<i>The Technical Manager and the Technical Management Board (TMB).....</i>	<i>10</i>
3.2.4	<i>The Advisory Board.....</i>	<i>11</i>
3.2.5	<i>Work package leaders.....</i>	<i>11</i>
3.2.6	<i>Responsible editors.....</i>	<i>11</i>
3.2.7	<i>Internal peer-reviewers.....</i>	<i>11</i>
3.2.8	<i>Site managers.....</i>	<i>11</i>
4	MANAGEMENT PROCEDURES.....	12
4.1	PROJECT MONITORING AND CONTROL	12
4.2	QUALITY MANAGEMENT.....	12
4.3	PROJECT ASSESSMENT AND EVALUATION PLAN	12
4.4	KNOWLEDGE AND IPR MANAGEMENT	13
4.5	CONFLICT RESOLUTION	13
4.6	RISK MANAGEMENT PLAN	13
4.6.1	<i>Risk identification.....</i>	<i>14</i>
4.6.2	<i>Risk assessment.....</i>	<i>14</i>
4.6.3	<i>Identification of prevention and mitigation actions.....</i>	<i>15</i>
4.6.4	<i>Performing the prevention and mitigation actions.....</i>	<i>15</i>
4.6.5	<i>The Risk Register.....</i>	<i>15</i>
5	SUPPORT FOR COMMUNICATION, COLLABORATION AND INFORMATION SHARING	17
6	INFORMATION ON EU FUNDING — OBLIGATION AND RIGHT TO USE THE EU EMBLEM....	18
7	REPORTING ROUTINES.....	19
7.1	ADMINISTRATIVE AND FINANCIAL REPORTING	19
7.1.1	<i>Reporting during the project.....</i>	<i>19</i>
7.1.2	<i>Reporting at the end of the project.....</i>	<i>20</i>
7.2	PROGRESS REPORTING	20
7.2.1	<i>Quarterly progress reporting.....</i>	<i>20</i>

7.2.2	<i>Work package progress reporting</i>	21
7.3	SUMMARY OF THE REPORTING	22
8	DELIVERABLE PREPARATION AND RELEASE ROUTINES	23
8.1	ROUTINES FOR REPORT DELIVERABLES	23
8.1.1	<i>Roles and responsibilities</i>	23
8.1.2	<i>Deliverable report preparations, review and submission</i>	24
8.2	THE DELIVERABLE REGISTER	26
9	DOCUMENT TEMPLATES AND NAMING CONVENTIONS	27
9.1	TEMPLATES	27
9.2	NAMING OF FILES FOR REPORT DELIVERABLES	27
10	REFERENCES	28

1 Introduction

1.1 Role of this document

This document is the Project manual and Quality assurance plan for the H2020-ICT-2017-1 Innovation Action TheyBuyForYou and constitutes the deliverable D8.2 as described in the Grant Agreement Annex-1 WT2.

This document is the operational document for the TheyBuyForYou project, initiating a Quality Assurance System for the project intended to provide support for an effective execution of the project, and to ensure that the project goals are reached and delivery of the project deliverables with a level of quality the Commission will consider acceptable.

The Project manual and Quality assurance plan describes the project management and administrative procedures and their practical implementation. Furthermore, the rules and basic support for co-operation between the partners in the Consortium are defined, and the procedures of documentation, quality control, management decisions schemes and control procedures are established by this manual and plan.

1.2 Updates of this document

To ensure that this manual and plan reflects the needs of the project, this document might be updated during the course of the project. Any updates will be based on proposals from the project partners and approval from the Management and Business Innovation Group.

1.3 Intended audience

The intended audience of the present document is composed of and restricted to the TheyBuyForYou Project Consortium and the European Commission.

1.4 Definitions and interpretations

The terms used in this document have the same meaning as in the contractual documents referred in the Grant Agreement number 780247 with Annexes and the TheyBuyForYou Consortium Agreement unless explicitly stated otherwise.

2 Applicable documents

Reference	Title
[GA]	TheyBuyForYou – Grant Agreement number 780247
[DoA]	[GA] Annex-1 – Description of the action
[CA]	TheyBuyForYou Consortium Agreement

Table 1 – Applicable documents

2.1 Reference documents

There are no reference documents in addition to the ones described in Table 1.

3 Project organisation

3.1 Management structure overview

An overview of the structure is outlined in the figure below, as described in the [DoA], part B section 2.3.2.

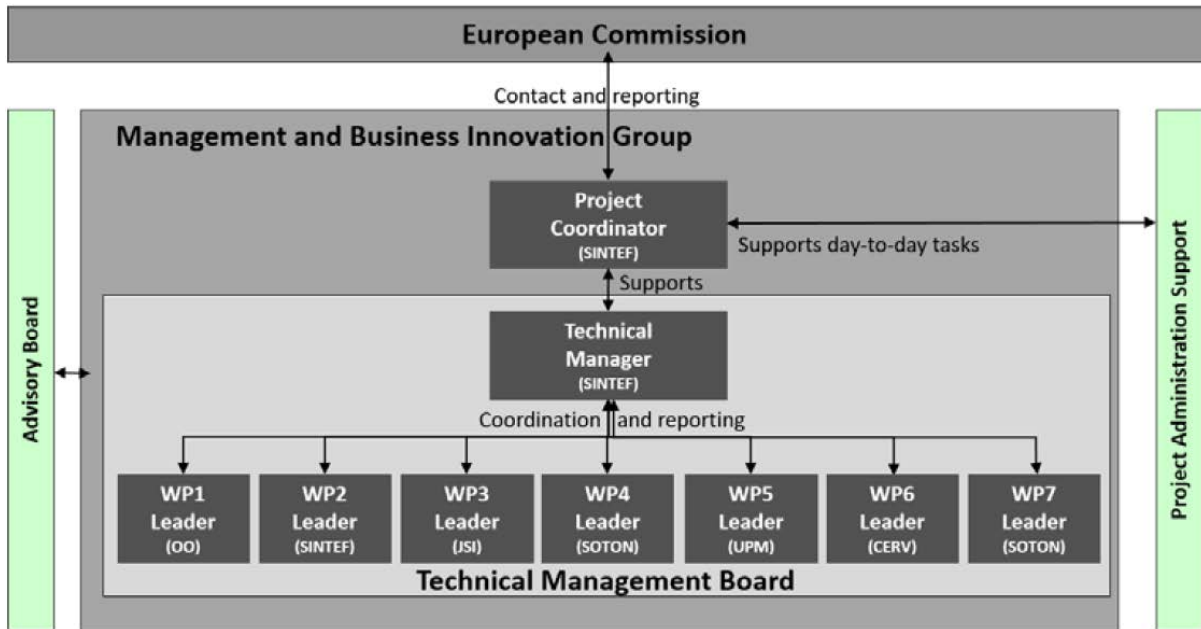


Figure 1 – Management structure overview

3.2 Management bodies, project roles and responsibilities

3.2.1 The Project Coordinator

SINTEF will act as coordinator, the legal entity acting as the intermediary between the partners of the project Consortium and the Commission, with overall responsibility for the management and administration of the project. The coordinator, Mr. Till Christopher Lech, and the SINTEF Project Administration Support team as a whole have extensive experience in EU project management.

The coordinator will be responsible for the preparation of budgets, expenses, task allocations and compliance to the overall plan, for aspects such as obtaining audit certificates from project partners, and for the distribution of payments from the commission to the partners. SINTEF operates regular checks on the financial performance of all European projects, and will collect the summary statements of expenditure from all the project partners.

Further details on the responsibilities of the Project Coordinator are available in section 6.4 of the [CA] and in section 3.2.2 of the [DoA].

3.2.2 The Management and Business Innovation Group (MBIG)

The Management and Business Innovation Group (MBIG) is the ultimate decision-making body of the Consortium and will be chaired by the Project Coordinator. All partners in the Consortium will be

represented in the MBIG by their site leaders. Each member of the MBIG shall be deemed to be duly authorised to deliberate, negotiate and decide on all matters to be handled by the MBIG.

The group is responsible for the overall success of the project. The group will review the overall progress of the project, acting as the common forum for discussion and a body for high-level decisions such as: approval of budgets and work plans, approval of major changes in the work of the project, changes in the Consortium, proposed changes to the [GA] or the [CA], suspension or termination of all or part of the project or of the [GA], actions to be taken in the case of misconduct of a partner.

In the event of disagreements, these will be resolved by a majority vote, with each partner casting one vote; the coordinator will have the casting vote if necessary. Since all partners are involved in the MBIG, it will be directly informed about all the activities of the project and its decisions will be able to be implemented speedily.

On the exploitation and business innovation side, the MBIG is responsible for ensuring that the results of TheyBuyForYou are exploitable beyond the project end, the marketplace and service prices are competitive and sustainable, and that business activities are undertaken (e.g. pricing models, IPR strategies) to ensure the self-sustainability of the marketplace and its services.

MBIG will also oversee the production of the market analysis reports and the business plan. On the basis of these, it will ensure that the market is fully addressed by the combination of the industrial partners, and it will oversee the dissemination of best practices throughout Community countries, by leveraging the use cases and the industrial focus group.

Ordinary meetings for the MBIG will be arranged three times a year in conjunction with the project meetings, and extraordinary meeting can be arranged at any time upon the request of the Technical Management Board or 1/3 of the members of the MBIG. Meetings can be held by teleconferences or by other telecommunication means.

For more details on the MBIG, see sections 6.2 and 6.3 of the [CA] and section 3.2.2 of the [DoA].

3.2.3 The Technical Manager and the Technical Management Board (TMB)

The Technical Management Board (TMB) is the supervisory body for the execution of the project and shall report to and be accountable to the Management and Business Innovation Group (MBIG). The board is formed by the Work Package leaders and will be chaired by the Technical Manager Dr. Dumitru Roman (SINTEF).

The board has the assignment of ensuring the timely progress of the technical deliverables and the high quality of the results. It reports to the Management and Business Innovation Group and will meet at least three times a year. Between the meetings, the members will be permanently in contact, in particular by Skype and e-mail.

The responsibilities of the board are: reporting to the MBIG about the progress of the project, coordinating the preparation and distribution of all major technical deliverables, coordinating the integration of the software components according to the work plan, ensuring technical consistency and maximum synergy between work packages, coordinating the work packages in the implementation phase, and forming ad-hoc technical Task Forces, if necessary.

For more details on the TMB, see sections 6.2 and 6.3 of the [CA] and section 3.2.2 of the [DoA].

3.2.4 The Advisory Board

The Advisory Board consists of six to eight representatives of public sector, industry, data journalism, and transparency initiatives, as follows: up to three from the public sector, preferably from countries not present in the consortium, up to three from industry (e.g., Deloitte, SME associations, credit rating and risk analysis companies, open data entrepreneurs), one data journalist, and one researcher.

The tasks of the Advisory Board are to provide feedback and advice to the MBIG on the vision and progress of the project and access to broader market validation, and to supervise the definition of the exploitation plan in WP7. Moreover, the board has the responsibility of ensuring that a critical mass of stakeholders is represented and active in the evaluation of the technology and procurement tools, and to suggest adjustments of the exploitation strategy of the project.

3.2.5 Work package leaders

Each work package is assigned a work package leader, responsible for continuously monitoring and ensuring progress with the tasks in the work package, coordinating efforts between the partners involved, managing the timely generation of deliverables, and produce a report on the work package progress every six month. The work package leaders will work closely with the Project Coordinator and the Technical Manager.

3.2.6 Responsible editors

According to the list of project deliverables (table WT2 in the [DoA]), each deliverable has a lead beneficiary responsible for the deliverable. Each lead beneficiary appoints a responsible editor for the deliverable (normally from the organisation of the beneficiary) to act on behalf of the beneficiary. Each responsible editor has the overall responsibility for the production of the deliverable, including, planning and coordination of the contributions, version releases, progress of work, and final release according to the work plan. Typical tasks for a responsible editor is to collect contributions from partners and to integrate the contributions to a coherent whole.

3.2.7 Internal peer-reviewers

For the quality assurance of each project deliverable, the responsible editor appoints one or more peer-reviewers internal to the Consortium for each deliverable. The internal peer-reviewers are responsible for the peer-review of the deliverable they are appointed to. Close collaboration with the responsible editor of the deliverable is needed to ensure an effective production of the deliverable. See also section 4.2.

3.2.8 Site managers

Each partner of the Consortium will assign a site leader responsible to the Project Coordinator for the contributions from that partner. The site leaders will be the Project Coordinator's contact point with the partner for administrative matters. Furthermore, the site leaders are responsible for quarterly reporting on progress to the Project Coordinator, providing input for the periodic technical reports as well as for the final report, and for preparations of the financial statements for the partner to be included in the periodic financial reports. The Project Coordinator and the site leaders will together form the MBIG.

4 Management procedures

4.1 Project monitoring and control

The roles and management bodies involved in monitoring and control of the project are:

- Site leaders (coordination of the contributions from the site, including management and financial reporting to the Project coordinator);
- Work package leaders (the day-to-day monitoring and ensuring progress of the work within each work package);
- The Technical Manager (the day-to-day overall monitoring of the technical progress);
- The Project coordinator (the day-to-day overall monitoring);
- The Technical Management Board (strategic decision making, monitoring of the technical progress, and project plan reviews); and
- The Management and Business Innovation Group (for details, see section 3.2.2 above, sections 6.2 and 6.3 in [CA] and [DoA] part B section 2.3.2.

Project progress will be continuously monitored, and where discrepancies between plans and progress are observed (or predicted), corrective actions will be initiated. In particular, the MBIG will carry out risk assessment (see section 4.6.2). This involves identifying project risks; assessing their probability and the nature of the consequences should the risk be incurred. If the risk level is judged to be high, changes in project, planning may be necessary.

Proposal of project level changes will be the responsibility of the TMB (except in the case of major changes - see below). In addition to any reviews arising from regular risk assessment, the detailed project plan will be reviewed at least once per year, and revised if necessary.

4.2 Quality management

Each deliverable will be reviewed by peer-reviewer from a partner who did not take part in writing the deliverable, if possible external to the WP in which the deliverable is produced. In this way, problems can be detected early and acted upon quickly. Internal submission deadline for deliverables with thus be three weeks ahead of the official date to allow time for the quality procedure.

4.3 Project assessment and evaluation plan

The project assessment will be based on self-assessment of project progress which aims to achieve an overall evaluation of the quality and outcome of the work done, ensuring high quality standards in the work carried out and addressing potential problems encountered during the project development. The assessment will be an iterative process that will be based on the following feedbacks:

- self-assessment of work done by work package leaders and technical project staff, benchmarking,
- inputs from Risk Management plan, and
- inputs from peer reviewers.

Regarding periodic self-assessment, SINTEF will prepare a self-assessment questionnaire, to be answered periodically by work package leaders. SINTEF will analyse all the self-assessment questionnaires and summarise the overall project progress, to be presented as reports to the Commission. The questionnaire will be structured into three major sections:

- assessment of the work done vs. the planned work,
- key issues for the development of TheyBuyForYou; and
- ongoing results of evaluation indicators.

4.4 Knowledge and IPR management

The management of knowledge (results, copyright, patents, designs, etc.) resulting from TheyBuyForYou involves the on-going identification, tracking, and registration of knowledge as it is produced. It is also concerned with decisions on ownership of Intellectual Property (IP) and the standard procedures included in the [CA]. All the participants in the project will identify and register knowledge as it is produced within TheyBuyForYou. For regulations concerning the dissemination and exploitation of knowledge and access rights, see [CA] sections 8 and 9 and [GA] sections 25 - 31.

4.5 Conflict resolution

The general principle applied to the resolution of disputes is that steps to resolve any dispute should be taken at the most appropriate level, and referred to the next level in the organisational structure should satisfactory resolution not be achieved. Ultimately, any unresolved dispute is referred to the Management and Business Innovation Group (MBIG) who, in the event that an amicable agreement cannot be reached within that body, will have the right to appoint external independent arbitrators.

4.6 Risk management plan

The risk management in TheyBuyForYou will be implemented according to a **Risk Management Plan**. The plan is adopted to manage project issues and conflicts, and will contribute to the monitoring of the project. The plan is based on a dynamic and iterative process as outlined in the figure below.

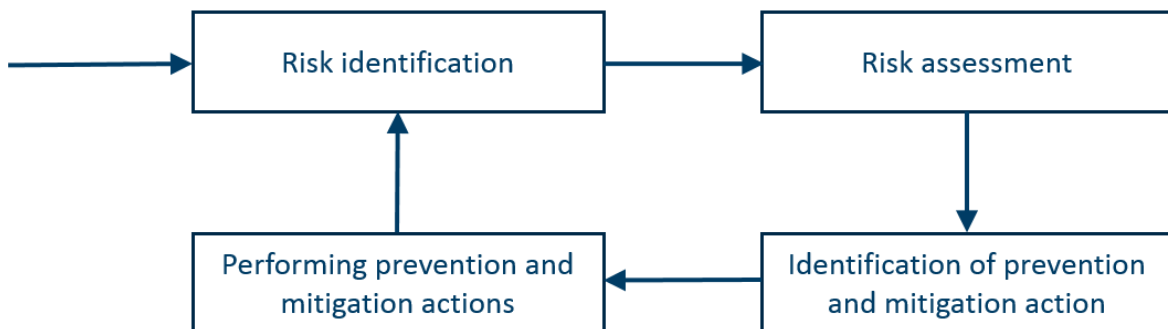


Figure 2 – Overview of the risk management process

Initially a set of risks have been identified with proposed mitigation actions measures (see [DoA] WT5 for more details). For identified risks events, the risk management plan mandates assessment of the events, and for the set of risks with assessed gravity greater than a specified threshold, actions for prevention and mitigation should be identified and performed.

In the next iteration step, risks identified since the previous assessment are fed into the loop and are subject for assessment, which also include re-assessment of risks identified in the previous iteration step, either they have led to prevention / mitigation actions or not.

Although the MBIG team is responsible for the risk management, all projects members are encouraged to contribute to the risk management process by continuously look for potential problems and risks for the project of any nature that might occur. The risk assessment and identification of prevention and mitigation actions will be performed regularly - at least every six month under the supervision of the MBIG team, while prevention and mitigation actions should be performed continuously according to the specifications.

Further details of the steps in the risk management process are described in the subsections below.

4.6.1 Risk identification

The first step in this process is the elicitation and identification of risks. This implies identification of the possible risks events within the potential areas (technical, technological, legal, management, exploitation,...) that might occur, exploring all areas and the consortium knowledge. All important aspects of each identified risk event must be thoroughly documented, including all aspects of assumed relevance for the risk assessment and prevention / mitigation actions. The documentation should also include date of the identification, and the person / role / body appointed to be responsible for the management of the risk.

4.6.2 Risk assessment

The core task of the risk assessment is to evaluate each identified risk event with respect to the following aspects:

- Probability P (for the risk event to occur in the course of the project);
- Impact I (the degree of negative impact on the project if the risk event should occur); and
- Unmanageability U (low then the project's ability to act on the risk event is high).

For all aspects, the evaluation should use a reference scale from 0 to 1 to enable quantified results (scores). The scores will be proportional to the assessed probability / impact / unmanageability (e.g. 0 means none, 1 means the highest possible).

When scores of the aspects of a risk event are determined and expressed as integer properties, the **Risk Index** for the event is calculated as the product $P \times I \times U$ of the properties. The risk index will then act as a measure for the degree of gravity for each risk event.

For the overall risk assessment the list of all identified risks are sorted by the risk index in descending order. All risk events with risk index greater than an identified threshold should then be the subject for identification of prevention or mitigation actions. This threshold should be determined by the MBIG team for each iteration of the risk management process.

4.6.3 Identification of prevention and mitigation actions

For all risk events with risk index greater than the threshold, actions for preventing and mitigation of the event should be identified. The identified actions should be specified in concrete terms to avoid any confusion and should include:

Who, i.e. the persons / roles / management bodies responsible for the actions;

What, i.e. description of the actions; and

When, i.e. timing of the actions

4.6.4 Performing the prevention and mitigation actions

For each risk event with risk index greater than the threshold, the prevention and mitigation actions should be performed according to the specification from the previous step.

4.6.5 The Risk Register

To support the risk management process, a dedicated Risk Register is proposed. The register is a database where a record should be created for each identified risk event. All information produced during the management of the risk event should be inserted and updated in the corresponding fields.

Field name	Field type	Description
Risk ID	Auto-generated number	A unique identifier for the risk event
Risk description	Unformatted text	A description of the risk event
Identification date	Date	The date of the risk identification
Responsible	Unformatted text	Name of person / role / body responsible for handling of the risk event
Probability	Decimal	The estimated probability for the event to occur. The value must be between (and including) 0 and 1. 0 means probability zero, and 1 means a probability of 100%.
Impact	Decimal	The estimated degree of negative impact for the project if the event should occur. The value must be between (and including) 0 and 1. 0 means no negative impact and 1 means the highest possible negative impact.
Unmanageability	Decimal	The estimated unmanageability of the event, i.e. low value means high ability for the project to act on the event and vice versa. The value must be between (and including) 0 and 1.

Risk Index	Decimal	The combined result of the assessment of the event represented as the product of the values of <i>Probability</i> , <i>Impact</i> and <i>Unmanageability</i> . Hence the value should be between (and including) 0 and 1.
Assessment date	Date	Date of the most recent assessment of the event.
Prevention and mitigation actions	Unformatted text	Description of one or more identified actions to prevent the event and/or mitigate the effects of the event when occurred. The description should include names of persons responsible for and timing of the actions.
Prevention and mitigation actions status	Unformatted text	Status of prevention and mitigation actions (including date for the status registration).

Table 2 – The risk register

5 Support for communication, collaboration and information sharing

For tools used by the TheyBuyForYou project to support communication, collaboration and information sharing, see the deliverable D8.1 – Internal Communication Tools [1].

6 Information on EU funding — Obligation and right to use the EU emblem

According to article 29.4 of [DoA], Terms and Conditions, the following must be noticed:

Unless the Commission requests or agrees otherwise or unless it is impossible, any dissemination of results (in any form, including electronic) must:

- a) display the EU emblem and
- b) include the following text:

"This project has received funding from the European Union's Horizon 2020 research and innovation Programme under grant agreement No 780247."

When displayed together with another logo, the EU emblem must have appropriate prominence. For the purposes of their obligations under this Article, the beneficiaries may use the EU emblem without first obtaining approval from the Commission. This does not however give them the right to exclusive use. Moreover, they may not appropriate the EU emblem or any similar trademark or logo, either by registration or by any other means.

7 Reporting routines

The routines for administrative, financial and progress reporting are briefly described in the subsections below, in accordance with Articles 20 and 52 in Terms and Condition of [DoA]. Although the overall responsible for the reports referred to below is the Project Coordinator, each beneficiary has the responsibility to provide the needed input to the reports when requested by the Project Coordinator.

7.1 Administrative and financial reporting

7.1.1 Reporting during the project

During the course of the project, a periodic report should be submitted within 60 days of the end of both reporting periods. The reporting periods¹ are defined in Article 20 in Term and Conditions of [DoA]. The periodic report must include a periodic technical report and a periodic financial report, which comprise:

The **periodic technical report** must include:

- An **explanation of the work carried out** by the partners;
- an **overview of the progress** towards the objectives of the action, including milestones and deliverables identified in [DoA];
 - explanations justifying the differences between work expected to be carried out in accordance with [DoA] and that actually carried out;
 - details for the exploitation and dissemination of the results;
- a **summary** for publication by the Commission; and
- 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 2020 key performance indicators and the Horizon 2020 monitoring requirements.

The **periodic financial report** must include:

- An **individual financial statement** from each partner and from each linked third party, for the reporting period concerned. The statement must detail the eligible costs (actual costs, unit costs and flat-rate costs) for each budget category. The partners and linked third parties must declare all eligible costs, even if – for actual costs, unit costs and flat-rate costs – they exceed the amounts indicated in the estimated budget. Amounts which are not declared in the individual financial statement will not be taken into account by the Commission. 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. For more details on the individual financial statement, see [DoA] "Terms and Conditions" article 20.3;

¹ The first reporting period ends by M18, and the second reporting period ends by M36, i.e. at the end of the project.

- An **explanation of the use of resources** and the information on subcontracting and in-kind contributions provided by third parties from each partner and from each linked third party, for the reporting period concerned; and
- A **periodic summary financial statement**, created automatically by the electronic exchange system, consolidating the individual financial statements for the reporting period concerned and including – except for the last reporting period – the request for **interim payment**.

7.1.2 Reporting at the end of the project

In addition to the periodic report for the last period of the project, a **final report** has to be submitted, within 60 days after the end of the project. This final report shall comprise:

A **final technical report** with a **summary** for publication containing:

- an overview of the results and their exploitation and dissemination;
- the conclusions on the action, and
- the socio-economic impact of the action.

A **final financial report** containing:

- a final summary financial statement, created automatically by the electronic exchange system, consolidating the individual financial statements for all reporting periods and including the request for payment of the balance; and
- a certificate on the financial statements (drawn up in accordance with [GA] Annex 5) for each partner and for each linked third party, under specific conditions. See [DoA] "Terms and Conditions" article 20.4 for more details.

7.2 Progress reporting

7.2.1 Quarterly progress reporting

To support the project monitoring and production of the periodic management reports to the Commission as described in the previous section, the project has decided upon project internal progress reports for all partners and work packages every 3rd month. Hence, there are 12 reporting periods in the course of the project, all of them covering 3 months.

Each partner reports **consumed resources** (in person months) for each deliverable the partner has contributed to during the period. Short descriptions of the work performed should be added when convenient.

In addition, each partner reports the **assessed earned value** for each deliverable where contribution has been made. The earned value is reported as a percentage number, and is intended to express the assessed degree of deliverable completion resulting from of the partner's total efforts by the period. An earned value of 100% would reflect that the contribution to the deliverable from the partner is considered as complete.

Each partner's site leader is responsible for the progress reports from the partner.

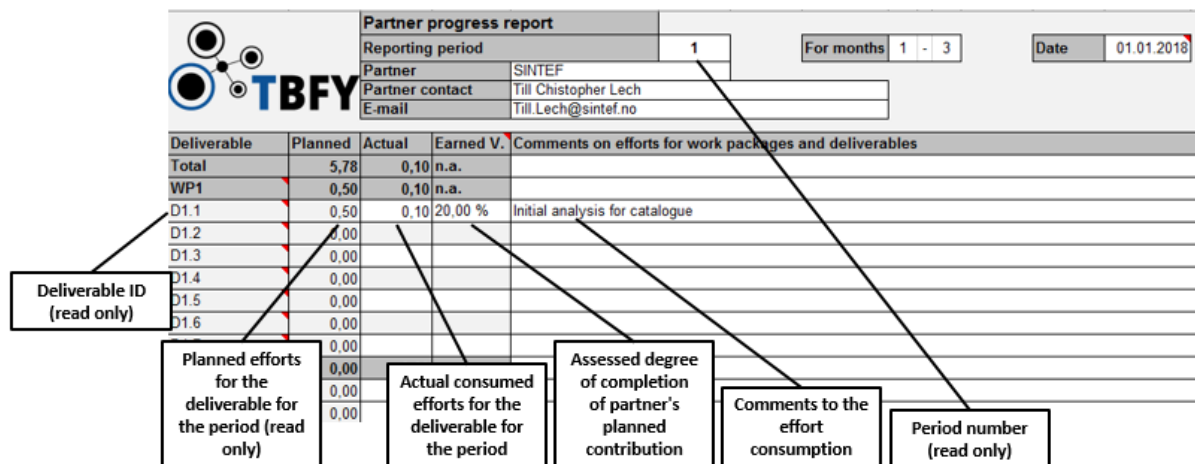
7.2.1.1 Reporting procedure

To support the reporting on consumed efforts and earned value assessment, dedicated spreadsheets have been prepared and have been made available for the consortium partners. The reporting spreadsheet provides one sheet to be used for each period. In addition, a sheet for accumulated planned and actual consumed efforts and earned values (converted into PMs) is available for convenience.

The following procedure should be followed for the partner progress reporting:

- Access your partner's spreadsheet for progress reporting and choose the sheet "Accumulated" and see to that the name of the contact person (i.e. the Site leader of the partner) and the corresponding email address are present;
- Choose the sheet for the reporting period (the sheets are numbered accordingly) and, for each deliverable where efforts have been consumed for the period, insert the number of person months consumed in the period and the assessed earned value by the period. Add short comments on the activities performed where appropriate. Only deliverables for which the partner has planned efforts for the period will be available for input;
- Save and close the file.

The structure of a sheet for partner progress reporting is shown in Figure 3 below (in this case, the sheet for SINTEF to be used for period 1²).



Partner progress report				
Reporting period		1		For months 1 - 3
Partner		SINTEF		
Partner contact		Till Christopher Lech		
E-mail		Till.Lech@sintef.no		
Date	01.01.2018			
Deliverable	Planned	Actual	Earned V.	Comments on efforts for work packages and deliverables
Total	5,78	0,10	n.a.	
WP1	0,50	0,10	n.a.	
D1.1	0,50	0,10	20,00 %	Initial analysis for catalogue
D1.2	0,00			
D1.3	0,00			
D1.4	0,00			
D1.5	0,00			
D1.6	0,00			

Figure 3 – Structure of sheet for partner progress reporting

7.2.2 Work package progress reporting

Every 6 months the work package leaders produce a report on work package progress based on the partner's quarterly progress reports. The reports will cover: activities during the reporting period; major achievements; dissemination (publications, conferences and workshops); project and work package meetings; deviations from the plan, risks and issues affecting timely delivery, cost or quality; next steps and foreseen actions. These reports are for the internal use of the project and the EC's project officer.

² The numbers and text in the figure are fictitious, made up for the example.

7.3 Summary of the reporting

Figure 4 below provides a summary of the reporting described in the previous sections. Formal reports to the Commission are indicated above the timeline, and internal report for the Consortium are indicated below the timeline.

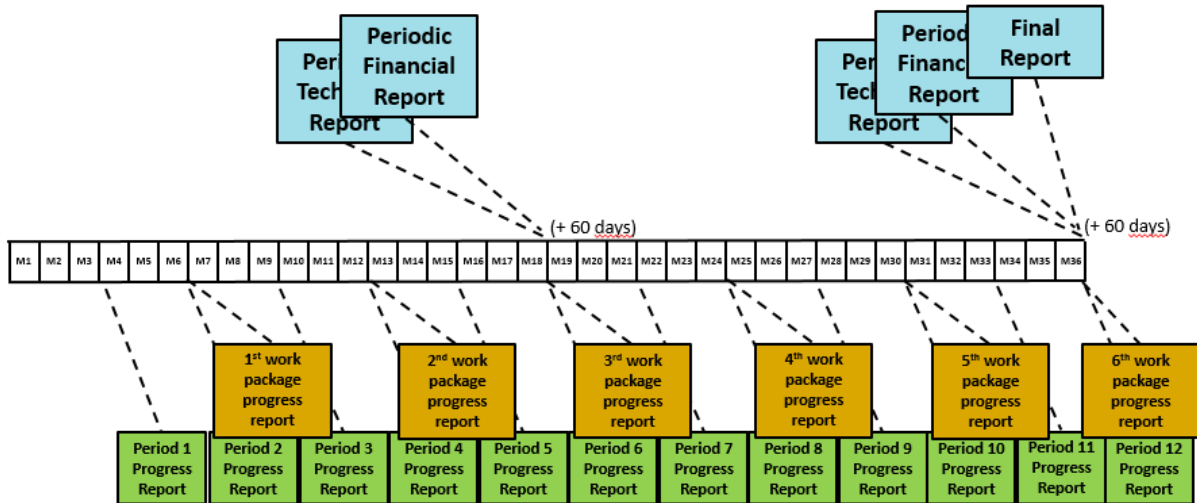


Figure 4 - Summary of periodic reporting

8 Deliverable preparation and release routines

To support the quality assurance and the progress of the deliverable preparation process, routines for deliverable preparation and release for report deliverables are described in the following subsections.

8.1 Routines for report deliverables

8.1.1 Roles and responsibilities

Below, a summary of the roles and their responsibilities for deliverable preparation and release is provided.

Lead beneficiary (of a deliverable)	Responsible for the production of the deliverables, including planning and coordination of the editorial process, version releases and progress of work and final release according to the work plan.
Responsible editor	Appointed at the Lead beneficiary (by the site leader) to act on behalf of the beneficiary.
Internal peer-reviewers	Appointed by the responsible editor to perform the peer-reviews during the deliverable preparation process.
Technical Manager	Responsible for the overall quality control of the deliverables. This includes the overall, final quality check of each deliverable prior to the final approval and the final submission to the Commission.
MBIG	Responsibility of the final approval of the deliverables.
Project Coordinator	Submission of the deliverable to the Commission.

8.1.2 Deliverable report preparations, review and submission

8.1.2.1 The milestones

Milestone	When (relative to due date)	Responsible
Initial table of contents (TOC) ready	3 months before	Responsible editor
Internal peer-reviewers appointed	10 weeks before	Responsible editor
Peer review of TOC performed	10 weeks before	Technical Manager
Editorial team established	10 weeks before	Responsible editor
Report ready for peer-review	Three weeks before	Responsible editor
Peer-review results are ready	Two weeks before	Peer-reviewers
Report ready for final quality check	One week before	Responsible editor
Final quality check performed	Three days before	Technical Manager
Final approval given	One day before	MBIG
Report submitted to the Commission	On due date	Project Coordinator

Table 3 – The milestones for report preparation, review and submission

8.1.2.2 The Review summary document

To support the process of final preparations, review and submission of a report deliverable, an additional, review summary document should be used - one for each deliverable and internal review. The proposed summary should consist of three sections providing tables to document:

- Reviewer's comments and change requests (table in section 1)
- Responsible editor's actions on the reviewer's comments and change requests (table in section 2)
- Acceptance / approval history for internal reviews (table in section 3)
- Acceptance / approval history for Technical Manager's final quality check (table in section 3)
- History for MBIG's final approval (table in section 3)

In addition, the following information should be filled in at the front page of the summary:

- Deliverable number and title
- Responsible editor
- Internal reviewer
- Dates for approval (Internal reviewer, Technical Manager and MBIG)

The usage of the review summary implies that the roles involved in the review / approval steps prior to submission should update the summary with the resulting information. It is the responsibility of the

Responsible editor to initialize the summary document and keep the review summary updated until the final quality check by the Technical Manager.

8.1.2.3 The actions related to internal review and final approvals

The actions related to the milestones “Report ready for peer-review” and “Peer-review results are ready” (see Table 3) are detailed in the flow chart in Figure 5 below. Note the role of the review summary document as it flows between the involved roles.

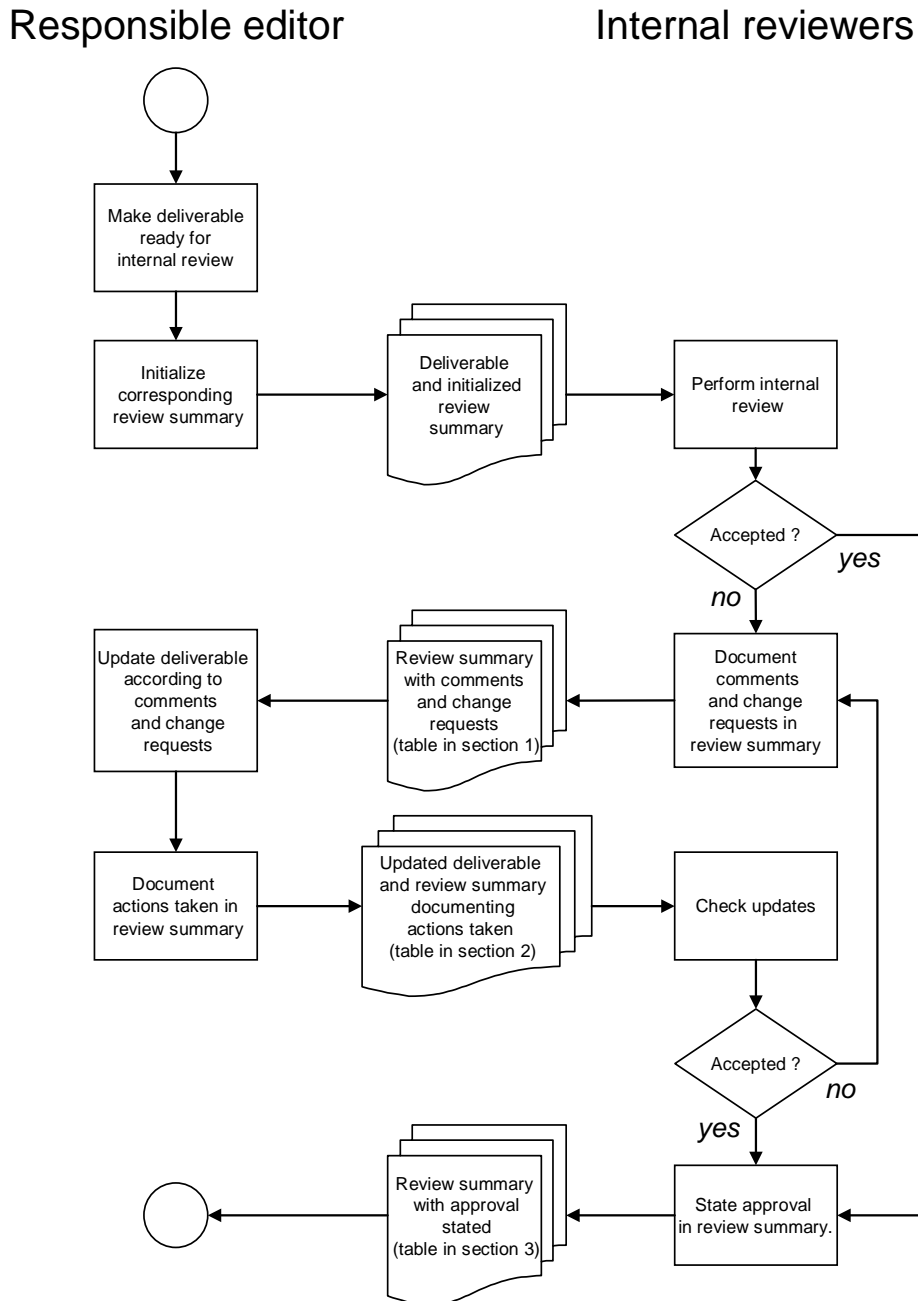


Figure 5 - Actions and flow of review summary document in the internal review process

Below a summary of the roles involved and the usage of the review summary in the remaining, final steps towards deliverable submission:

- Final quality check performed by the Technical Manager (only when approved by the internal reviewers): The Responsible editor sends the deliverable and the review summary documents to the Technical Manager that states the result of the check (approval / rejection / change requests) in the review summary. Several iterations may be needed in this step.
- Final approval by the MBIG (only when approved by the Technical Manager): The Technical Manager makes both the deliverable and the review summary documents available for the MBIG. The decision of the MBIG is stated in the review summary by the Technical Manager.

8.2 The Deliverable Register

For additional support for the deliverable preparation and release process, a dedicated database for registration of status of the deliverable throughout the process is proposed: *The deliverable register*. An overview of the proposed fields in the database is given in the table below.

Field name	Description
Del no.	Deliverable number (e.g. D1.1)
Deliverable name	Title of the deliverable
Due date	The planned due date
Work package	The number of the work package of the deliverable
Responsible editor	Name of the responsible editor
Internal reviewer 1	Name of first internal reviewer
Internal reviewer 2	Name of second internal reviewer
Preparation status	Current status of the deliverable
Internal review status	Current status of the internal review
Final quality assessment status	Status of the final quality assessment
Final internal approval status	Status of the final approval status
Submitted	Yes or No
Submission date	Actual date of the submission
Approval status	Status of the external approval
Approval comments	Comments to the external approval

Table 4 - Overview of the fields in the proposed Deliverable Register

9 Document templates and naming conventions

9.1 Templates

Templates for various kinds of documents will be available. Templates are planned for:

- Report deliverable (draft available)
- Summary of internal review of deliverable
- Attendance list
- Project meeting minutes
- Powerpoint

In a report deliverable, the dissemination level should be stated in the dedicated field at the front page.

9.2 Naming of files for report deliverables

A (master) file for a report deliverable should be named according to the following convention:

"TBFY_Dx.y.zzz", where Dx.y is the deliverable id and zzz is the file extension corresponding to the file format (e.g. "doc").

If version numbers should be part for the file name, the naming should be according to:

"TBFY_Dx.y_Vn.zzz", where Dx.y is the deliverable id, n is the version number and zzz is the file extension corresponding to the file format (e.g. "doc").

As an example: TBFY_D8.2_V0.5.doc is the version 0.5 of deliverable D8.2 edited in MS Word®.

Any deliverable ready for submission to the commission should include the version number 1.0, 2.0 etc in the file name.

For the approach on content management with a master file and supplementing files for contributions, the naming of such contribution files should be according to:

"TBFY_Dx.y_Vu.v_PA.zzz" where:

- Dx.y is the report id,
- u.v is the version number of the master file on which the contribution file is based up-on,
- PA is the acronym of the partner providing the contribution, and
- zzz is the file extension corresponding to the file format (e.g. "doc").

One example:

TBFY_D8.2_V0.5_SINTEF.doc would be the name of SINTEF' s contribution to the deliverable D8.2. SINTEF has based this contribution on the TBFY_D8.2.doc version 0.5.

10 References

- [1] Till Christopher Lech (SINTEF), D8.1 Internal Communication Tools, 2018