TWINNING FOR INDUSTRIAL SUSTAINABILITY

TRUST

Deliverable 5.1

Quality Assurance Plan (QAP)

WP5 (Project Coordination)

T5.2 (Financial, Administrative and Contractual Management)

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Executive summary

The TRUST Quality Assurance Plan is an internal document of the TRUST project, delivered in the context of WP5 – Project coordination. The objective of WP5 is to provide the overall internal management of the project, as well as the administrative control of the project and the liaison with the EC, therefore ensuring the overall co-ordination, quality and progress monitoring of TRUST towards the stated project objectives.

This document is about management procedures & quality assurance, and has to be viewed as complementing the TRUST Grant Agreement (GA) [1] and Consortium Agreement (CA) [2] with respect to management and project organisation aspects, as well as quality assessment and control. In the case of discrepancy between documents, the GA and CA will prevail.

It shall communicate all relevant principles of project operation to all TRUST project members. Therefore, the management responsibilities, roles, and technical organisation are described, details on meetings, communication infrastructure, project reporting, document structuring and archiving are specified, along with paragraphs dedicated to project organisational aspects, project management, as well as deliverable production and quality assurance.

This Quality Assurance Plan aims to serve as a Project Quality Manual by the consortium and will be maintained and updated if needed within the project lifecycle.

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Abbreviations

QAP - Quality Assurance Plan
EC - European Commission
GA - Grant Agreement
PC - Project Coordinator
PM – Project Manager
MB – Management Board
WP – Work Package

1. Introduction

TRUST – Twinning for Industrial Sustainability, is a collaborative project financed by the European Commission under the Horizon 2020 framework programme (Grant Agreement no: 810764).

The project which started on the 1st October 2018, and shall run for a period of thirty-six (36) months shall be developed by a consortium coordinated by ISQ (Portugal) and including the University of Cambridge (UCAM, United Kingdom) and Chalmers University of Technology (Sweden).

This document constitutes the TRUST Quality Assurance Plan (QAP) and is produced in the context of WP5, Task 5.2.

The objectives of WP5 are firstly to provide the overall internal management of the project, and on the other hand, to execute the administrative control of the project and the liaison with the European Commission (EC), therefore ensuring the overall co-ordination, quality and progress monitoring of TRUST towards the defined project objectives.

This document is about management procedures & quality assurance, and has to be viewed as complementing the TRUST Grant Agreement (GA) [1] and Consortium Agreement (CA) [2] with respect to management and project organisation aspects, as well as quality assessment and control. In the case of discrepancy between documents, the GA and CA will prevail.

The main objectives of this QAP are to ensure the consortium internal efficiency and quality of the project results, while maintaining consensus and satisfaction of all involved parties. The QAP also helps ensuring the good delivery of TRUST production to the EC, and is a facilitator for improving relationships within the project and with the EC. It is a collection of provisions agreed and adopted by the TRUST consortium to ensure the quality of its development process, project workflow and meetings, aiming at creating reports, workshops, and dissemination activities.

This QAP which constitutes a document to be used internally as a reference guide by the consortium members, communicates all relevant principles of project operation to all TRUST project members. Therefore, the management responsibilities, roles, and technical organisation are described, details on meetings, communication infrastructure, project reporting, document structuring and archiving are specified, along with paragraphs dedicated to project organisational aspects, project management, as well as deliverable production and quality assurance.

This QAP and all related documents (forms / templates) will be available to the project participants on the TRUST SharePoint site specially built by ISQ and accessible only to

project participants. This document will be maintained, and updated whenever needed, throughout the entire duration of TRUST by the Project Coordinator (PC).

2. Project Organization and Management, Conflict Resolution

The TRUST project coordination is provided by ISQ. This role is defined in Section 3.2 Management structure and procedures of the Annex 1 (Part B) to the contract, and reminded in article 6.4 of the CA.

The PC is in charge of following up the implementation of the TRUST QAP, in terms of management procedures and quality assurance. However, all hierarchical levels of project management must be involved in the actual use of the system and contribute to the achievement of the objectives set forth.

The group of all member organizations of the TRUST consortium is again detailed in the GA – ANNEX 1 (Part A), Section 1.2 The List of Beneficiaries. The official language of the project is the English language.

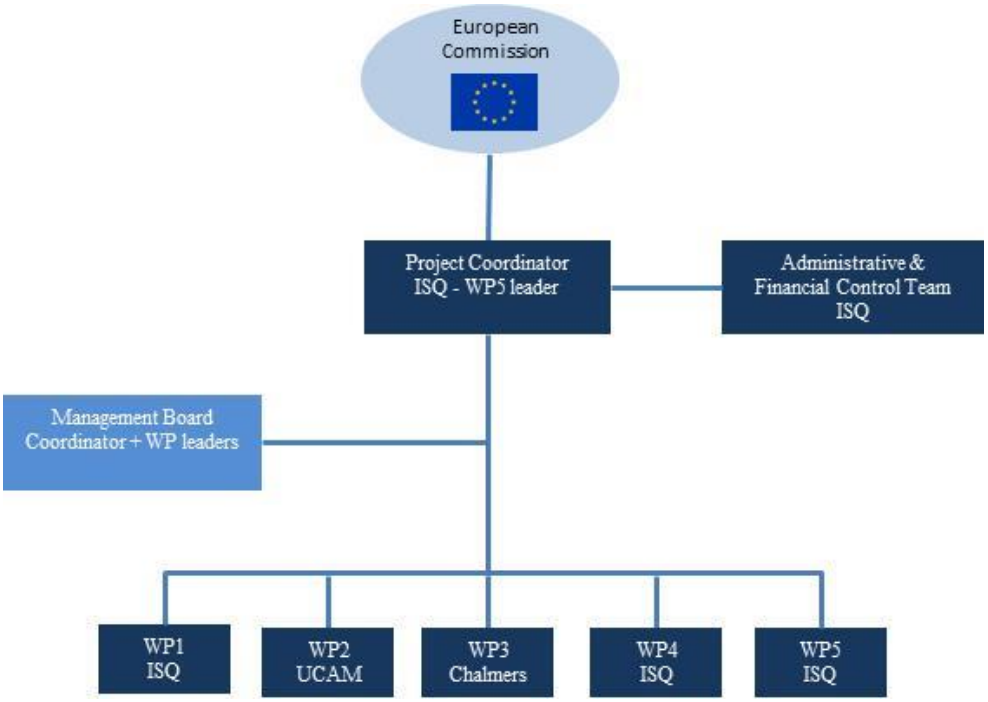
In accordance with the TRUST objectives, the work is structured and carried out in 5 main work packages (WPs) detailed in table 1.

Table 1 - Work Packages and responsible Partners

WP Number	WP Title	Lead beneficiary
WP1	Detailed planning of twinning activities	ISQ
WP2	Training activities	UCAM
WP3	Joint Initiatives & Networking	CHALMERS
WP4	Dissemination and Communication Activities	ISQ
WP5	Project management	ISQ

As mentioned in the GA, Annex 1, Part B, Section 3.2 Management Structure and Procedures, a specific project organisational structure is adopted as follows.

Figure 1 - TRUST Project Organisational Structure



Conflicts should be resolved at the lowest possible level; those which cannot be solved will be taken through a "facilitated negotiation". The conflict resolution process followed by the consortium is shown in the next figure:

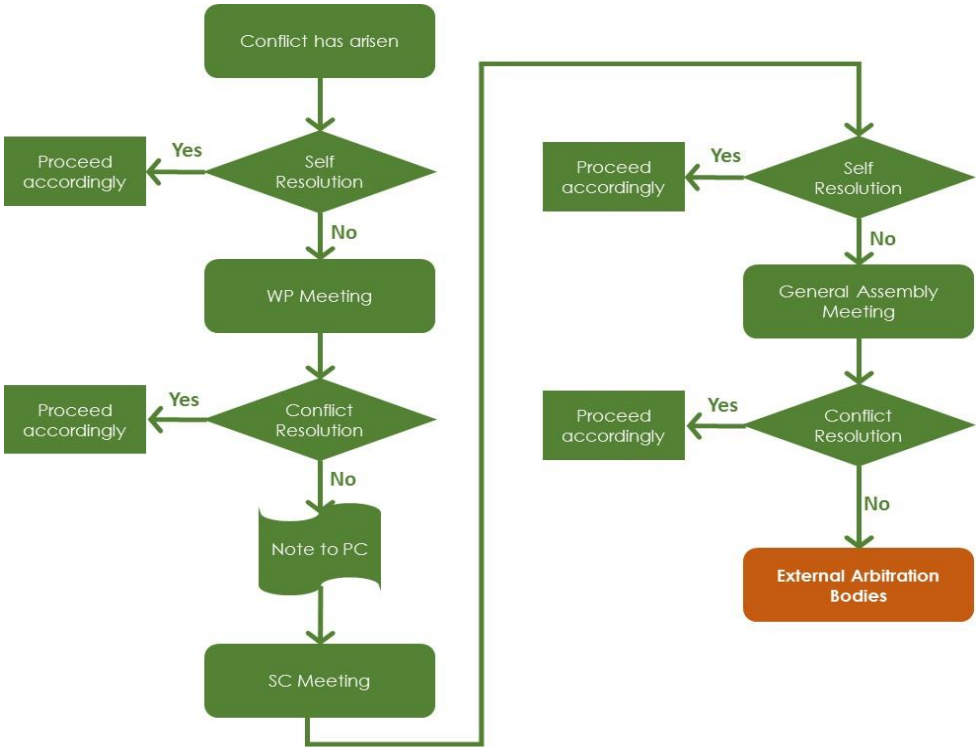


Figure 2 - Conflict resolution process

3. Risk Management

At the beginning of the project, the following list of risks has been identified and the associated contingency plans and mitigation measures have been defined, as described in the following table

Table 2 – List of TRUST project risks

Risk number	Description of risk	WP number	Proposed risk-mitigation measures
1	Lack of participant's motivation to engage in training activities and joint initiatives	WP2, WP3	The planning of the training actions will be made in strict collaboration with the participants so that the proposed development plan is suited to both their needs and personal preferences.
2	Lack of participant's availability to engage in training activities and joint initiatives	WP2, WP3	The accurate planning of activities should permit to overcome any availability-related issues. Participants will be informed well in advance about the events they are expected to join what they are so that they can plan their remaining activities accordingly.
3	Not enough participants in joint summer schools	WP3	The summer schools will be publicised well in advance so that a large number of potential participants get informed about the dates and programme. TRUST website will be one of the tools for disseminating the information.
4	Number of peer reviewed publications below planned	WP4	The timely planning of activities and strong collaboration between all participants will mitigate this risk.
5	Not sufficient participants at workshops	WP4	The workshops programmes and dates will be disseminated using several channels of communication, including the project website, so that a large audience is reached.
6	Unavailability of experts for training courses, joint initiatives and workshops	WP2, WP3, WP4	The planning of the activities will help overcome any expert availability-related issues, with experts being informed well in advance about the events they will run so that they can manage their agenda.
7	Networking with stakeholders not reaching the desired levels	WP4	A strong communication with stakeholders will start right from the beginning of the project, explaining them the objectives of TRUST and how they can gain from the project

This list will be reviewed and updated in every SC meeting in order to discharge risks or identify new ones, revaluate their impact and likeliness and adapt the associated contingency plans.

4. Meetings

In TRUST project the following face-to-face meetings are foreseen:

- Consortium meetings;
- Management Board (MB) meetings;

In order to co-ordinate and manage the various activities of the TRUST project, a consortium meeting will be held 2 times/year. This meeting will allocate time for the MB meetings. Further project meetings may be planned whenever urgent issues will need to be resolved.

The project intends to run virtual bimonthly electronic telcos, using information and communication technologies available as described in section 5 ICT Support to the Project.

Face to face meetings will be organised by the project partners in rotation. The following subsections clarify who will make invitations, how meeting decisions are to be taken, and how meetings are to be recorded. When specific decisions must be taken in the short term, extraordinary meetings may be held by audio-conferencing, including management aspects that may have as consequence the request of an amendment to the Grant Agreement; in this case, the voting shall be held via email.

In terms of attendance, for TRUST MB meeting, the presence of the PM and a designated senior representative of each WP leader, is required. In relation to the TRUST consortium meetings, all partners must attend.

4.1 Meeting Requests

Meetings are invited by the PC. The host of the meeting will provide logistics and accommodation information to the participants. In the case of meetings in a dedicated location in Brussels, the PC will be in charge of organising the meeting. The following tables summarize the main issues about preparation and organization of meetings.

Table 3 – Convening meetings

	Ordinary meeting	Extraordinary meeting
Consortium meeting	Twice a year (face-to-face).	At any time upon written request of the PC or WP leader
MB meeting	Twice a year (face-to-face) in the same dates of the Consortium meeting.	
Regular Telcos	Bimonthly	At any time upon written request of PC, or TRUST partner.

Extraordinary meetings can be held by teleconference or other telecommunication means.

Table 4 – Notice of a meeting

	Ordinary meeting	Extraordinary meeting
Consortium meeting	90 calendar days	15 calendar days (10 calendar days in case of meetings by teleconference or other telecommunication means
MB meeting	45 calendar days	
Regular Telcos	10 calendar days	5 calendar days

Table 5 – Agenda definition

	Ordinary/Extraordinary meeting
Consortium meeting	21 calendar days. 10 calendar days for an extraordinary meeting.
MB meeting	Partners may add items to the agenda until 14 calendar days (7 calendar days for an extraordinary meeting) before the meeting.
Regular Telcos	5 calendar days. Partners may add items to the agenda until 1 calendar day before the meeting.

4.2 Meeting Decisions

Any project meeting will require a quorum of at least two thirds (2/3) of the called partners in order to make any decision.

The consortium will follow a consensus-based decision-making process.

Without prejudice to decisions rules of the Consortium Agreement, meeting decisions are aimed to be adopted unanimously. If voting is required, each organisation is granted one vote.

Decisions shall be taken by a majority of two-thirds (2/3) of the votes cast.

Whenever possible, the meeting invitation/agenda will indicate what decisions will be discussed. Non attending parties have to identify a partner that will represent their interest during the decision process. This has to be previously communicated to the PC via email.

4.3 Meeting minutes

The following rules will apply to minutes:

Recording: Minutes must be recorded for every official project meeting. The PM or other designated member of the PC will be the recorder of all meetings.

Consolidation / Approval: As a general procedure, the draft meeting minutes will be sent to all partners, via e-mail, by the PC within 15 calendar days after the meeting.

The minutes shall be considered as accepted if, within 10 calendar days from sending, no partner has sent an objection in writing to the PC.

Circulation / Distribution: The PC will send the final version of the minutes by email to all partners. Also a copy of the minutes will be archived in the project SharePoint platform.

Content: The minutes must at least contain:

- The meeting attendance list;
- The approved meeting agenda, including date and venue;
- Decisions taken, including motivations as far as possible;
- An action list containing for each action a short description, a responsible and a time schedule (if an action was given to a person not attending the meeting, a person for contacting that person needs to be given);
- A list of agreed upcoming events;
- If relevant, a list of related documents (appendices).

5. ICT SUPPORT

This section relates to the organisational aspects of ICT usage and support for communication and information spread within in the Consortium during the course of the project.

5.1 Project Website and Social Media

The TRUST website, currently under development, will act as a "brochure" of the project and will not include many interactive features. The main objective is to make tools and knowledge resources available to key stakeholders, and raise awareness of the benefits of implementing this twinning project aimed at promoting industrial sustainability. The website shall include the following sections:

- About the project (scope and objectives, timeline, thematic areas and project activities)
- About the consortium partners (description, logos and redirection to respective sites)
- Resource library (relevant publications, project results, public reports, etc.)
- News & events (news, success stories, newsletters, events calendar, etc.)
- Contact page

The project website will be managed by partner ISQ, which will update its content on a regular basis.

Regarding social media, a LinkedIn account will be created and managed in order to communicate on the project and its results, build a community and increase engagement by raising awareness on the need for and the benefits of industrial sustainability.

5.2 TRUST SharePoint Platform

The SharePoint platform made available by ISQ will be used to store the documentation (drafts and final) produced during the project. All members of the TRUST consortium are registered on the platform and will have access to all documents.

When uploading a document on the TRUST platform, the issuing member will inform all concerned members by e-mail.

5.3 Electronic communication

Electronic mail is used extensively by the partners to communicate and exchange documents with each other.

Based on the list of project participants maintained by the PC and considering the project structure, the following mailing lists will be maintained:

- TRUST global mailing list, with all official members and their teamwork components, to be managed by the PC;

The consortium will use SKYPE (www.skype.com) teleconference services for the bimonthly telcos. Both of them provide several modes of communication regardless of the application used, e.g. chat, voice, message board, data conferencing and file transfer. It can be used in a multiple-user mode so groups can hold online conferences.

To reduce the information exchange effort, project information will be exchanged by use of electronic communications. The intention of the guidelines below is to make efficient use of electronic communications (by e-mail) in the project, in order to:

- Ensure that all partners get the information they need in a timely manner,
- Avoid e-mail spamming and information overload,
- Minimise travelling costs.

Note: to allow some flexibility however, only the rules in bold are mandatory.

General rules:

- Only relevant information (strictly related to the TRUST project) is sent to the appropriate project participants, using the relevant mailing list.
- Each mail will have a specific subject (field “Subject”), with the following elements:
- The project acronym (TRUST) followed by word “ACTION” whenever an action is needed from the recipient(s)
- The WP-number, preceded with a hyphen “-“,
- The required action,
- The deadline, preceded and followed with a hyphen “< >“,

Examples of a subject field:

- TRUST ACTION – WP5: Propose dates for next Consortium meeting <10 April 2019>.
- TRUST – WP3: Meeting with relevant stakeholders
- Each mail must contain one topic only. The topic must be clearly expressed in the subject field.
    - If it is not practical to separate multiple topics, then the different topics in the e-mail must be separated by clear heading. In this case, if the mail is long (more than can be seen on a screen) then it should start with a list of contained topics at the beginning.

- Communication of relevance to a particular group (such as comments and votes) will be given as group replies so as to give all group members the opportunity to receive a clear view of every partner's opinion, in an effort to speed up and harmonise the agreement process;
- Deadline for reply. In the case of no response to a message within fifteen (15) calendar days, response will be considered as positive. "Out of Office" partners should make the necessary internal arrangements to avoid failing to response to a message.
- e-Mail messages sent in response to a message should quote the relevant parts of the initial message, in such a way that the receiver can easily and clearly understand what the initial message was about (what issues were raised) and what the added comments are;
- Documents of project-wide relevance are stored on the TRUST platform (SharePoint). They are not generally and necessarily distributed by e-mail to the whole project membership. Project participants are notified by e-mail and invited to consult the documents on the platform.

5.4 Software tools / document formats

TRUST will employ the Microsoft Office packages with Word (version 2010 or newer) for documentation, PowerPoint (version 2010 or newer) for presentation, and Excel (version 2010 or newer) for tables. Project document templates are made available in these document formats.

Documents will be exchanged by e-mail and are archived on the TRUST platform (SharePoint).

Use of PDF Acrobat format is also recommended as far the documents are sent for information and with no need / requirement to change, typically so as to reduce the size of the attachment of mails.

6. PROJECT DOCUMENTATION

6.1 Deliverable template

A deliverable template (initially referring to all deliverables except if explicitly mentioned) will be produced and put available in the TRUST platform. This template is to be used for all technical deliverables. It may also be used for non-technical reports and other project documents. The first two pages contain information that are necessary for the identification of the document including its status, author(s) and contributors, the companies they belong to, version history and date. For official deliverables, the title page must contain the name of the deliverable as defined in the DoA annexed to the Contract (GA).

For public deliverables, these initial pages will be substituted for public release versions, avoiding project terminology and, whenever possible, making use of pictures/ graphic design for a more attractive appearance.

6.2 Document naming convention

The deliverable's files will be named according to the following rule:

DocRef_TRUST_ DocName_V.X.X.filetype

Where:

- "DocRef#" is the Deliverable number, according to the DoA.
- "DocName" is the title of the document
- "VX.X." is the version of the document. First version submitted to the EC will be version 1.0. Previous versions will be V0.X. Each time a version is submitted to the EC the main number will be changed: V2.0, V3.0…

For example:

D5.1_TRUST_Quality Assurance Plan _ v1.0.pdf

6.3 Deliverable quality assurance procedure

The procedures for deliverable quality assurance are defined as follows:

- Status **Draft** is achieved when the primary author of a deliverable has defined the Table of Content (ToC) of the document, which is then ready to be sent to other contributors with preferably explicit information of what type of contribution and where in the document;
- Sending time (latest): before submission date
- Status **Working Document** is achieved when the primary author of a deliverable has reviewed the document and approved it internally and makes it available to other

partners for comments; Note that for both Draft and Working Document status, it is not required that the document has been fully completed;

- Sending time: at any time during the task development, and at the latest at My – 30 days (My: end of the corresponding document delivery deadline)

- Status **Released** is achieved when the edition process is finished by the author partner and the document is ready to be reviewed by the other TWO project partners. This should be done at least two weeks before submission:
  - Review and approval (or request for revision) has to be done within one week days after sending time.
  - Potential revision is then to be done in one week.

- Status **Delivered** is achieved when a deliverable is approved by the reviewers and author(s), and given to the PC for submission to the EC. The issuing date is that of the approval. Once a document reaches Delivered status, it has to be uploaded to the Funding&Tenders Portal.
  - Sending time: My -2 days (My: end of the corresponding document delivery deadline)

- Status **EC Approved** is achieved when the EC has approved and accepted the deliverable.

When reviewing a document, comments are made in writing to the editor(s). Moreover, it is recommended that electronic annotation techniques (Comment function in MS Word 2010 or newer) be used as much as possible.

Document status of every distributed version must be clearly visible in the front page (except for public release versions).

6.4 Project reports

7.4.1. Reports to the European Commission

The following reports will be produced during the course of the TRUST project and submitted to the European Commission:

- **Periodic Reports**: these reports will provide a comprehensive account of the progress made on the project during the relevant reporting period. Two (2) Periodic Reports will be issued, the first for the reporting period M1-M18 and the second for the period M19-M36. Each report will include:

a) a **periodic technical report** containing:

i. an **explanation of the work carried out** by the beneficiaries;

ii. an **overview of the progress** towards the objectives of the action, including milestones and deliverables identified in GA-Annex 1. This report must include explanations justifying the differences between work expected to be carried out in accordance with GA-Annex 1 and that actually carried out. The report must also detail the exploitation and dissemination of the results and — if required in GA-Annex 1 — an updated 'plan for the exploitation and dissemination of the results';

iii. a **summary** for publication by the Commission;

iv. 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;

b) a **periodic financial report containing**:

i. an **individual financial statement** (see GA-Annex 4) from each beneficiary, for the reporting period concerned. The individual financial statement must detail the eligible costs (actual costs, unit costs and flat-rate costs; see GA-Article 6) for each budget category (see GA-Annex 2). The beneficiaries 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 (see GA-Annex 2). 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. The individual financial statements of the last reporting period must also detail the **receipts of the action** (see GA-Article 5.3.3). Each beneficiary must **certify** that:

· the information provided is full, reliable and true;

· the costs declared are eligible (see GA-Article 6);

· the costs can be substantiated by adequate records and supporting documentation (see GA-Article 18) that will be produced upon request (see GA-Article 17) or in the context of checks, reviews, audits and investigations (see GA-Article 22), and - for the last reporting period: that all the receipts have been declared (see GA-Article 5.3.3);

(ii) an **explanation of the use of resources** and the information on subcontracting (see GA-Article 13) and in-kind contributions provided by third parties (see GA-Articles 11 and 12) from each beneficiary, for the reporting period concerned;

(iii) a **periodic summary financial statement** (see GA-Annex 4), 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.

Individual reports will be issued by all partners within thirty (30) calendar days after the end of each reporting period if not requested differently by the EC.

- **Final Report:** this report is to be submitted within two (2) months of project completion, and will comprise a final publishable summary report which includes:

a) a '**final technical report'** with a summary for publication containing:

(i) an overview of the results and their exploitation and dissemination;

(ii) the conclusions on the action, and

(iii) the socio-economic impact of the action;

b) a '**final financial report'** containing:

(i) a '**final summary financial statement'** (see GA-Annex 4), 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

(ii) a '**certificate on the financial statements'** (drawn up in accordance with GA-Annex 5) for each beneficiary, if it requests a total contribution of EUR 325 000 or more, as reimbursement of actual costs and unit costs calculated on the basis of its usual cost accounting practices (see GA-Article 5.2 and GA-Article 6.2, Point A).

7.4.2. Interim progress reports

In addition to the above mentioned reports, the PC will collect from each work package leader (WPL) five **Interim Progress Reports** (WP5, tasks 5.1 and 5.2). These reports will be issued every 6 months (in month 6, 12, 18, 24 and 30).

The purpose of these reports is to provide regular information to the project partners and EC (Project Officer) on the status and progress of the project, namely: i) the research and technical activities and their results; ii) management activities; iii) deviation from the work plan (if any) and recovery actions. Each interim progress report will contain:

- Section 1 – Explanation of the work carried out by the beneficiaries and overview of the progress.
- Section 2 – Deliverables and Milestones. This section lists all deliverables and milestones due in the reporting period and delivery status.
- Section 3 - Project Management. This section should summarise the status of the project and its management activity, including financial information

The recommended length of this report is 15 pages (or less).

In order to achieve this progress / effort reporting, **each WPL will send the information about his/her WP regarding the items mentioned above to the PC 7 days in advance of the delivery**

day to the EC. Moreover, every partner is in charge to report about his/her work to each WPL in time.

6.5 Presentations template

All (public and internal) presentations will be based on the official PowerPoint template available for all project partners on the TRUST platform.

7. CONSORTIUM CONTACT INFORMATION

The following table lists the relevant contacts in each consortium entity. This information shall be updated whenever necessary.

Table 6 – Consortium contacts

Entity	Role	Name	e-mail
ISQ	PC	Marco Estrela	maestrela@isq.pt
		Cristina Ascenço	cgascenco@isq.pt
		Ricardo Rato	rarato@isq.pt
UCAM	Leader WP2	Steve Evans	se321@cam.ac.uk
		Doroteya Vladimirova	dkv21@cam.ac.uk
CHALMERS	Leader WP3	Mélanie Despeisse	melanie.despeisse@chalmers.se
		Björn Johansson	bjorn.johansson@chalmers.se
		Mats Winroth	mats.winroth@chalmers.se

References

[1] TRUST GRANT AGREEMENT

[2] TRUST CONSORTIUM AGREEMENT