Quality Assurance and Risk Management Plan

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V0.2	2022-09-19	Medina Ćustić (VIF)	Deliverable Process and Review added
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V2.0	2022-10-28	Medina Ćustić (VIF)	Update based on Reviewer Comments

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1. Executive Summary

The Quality Assurance and Risk Management not only includes the quality and risk management process in WP7 (Task 7.2) but is also the project handbook for the greenSPEED consortium. It establishes the procedures and guidelines within greenSPEED to ensure the quality of the project outcomes and to identify and mitigate risks in time. The project set-up is outlined in more details and the templates to be used are included. All this will support an efficient and high-quality project execution.

Keywords: Project Handbook, Quality Assurance, Risk Management

2. Introduction

The Quality & Risks Management (T7.2) within greenSPEED is led by the coordinator team (Technical Coordinator and Administrative Coordinator) from VIF, actively supported by the Strategic and Technical Steering Board (STSB) and the task leaders. Together they aim to ensure a high-quality project execution by establishing procedures and guidelines and identifying and mitigating risks in time.

D7.1 covers therefore the following aspects:

- Project Management Structure
- Communication
- Document Management
- Deliverable Review and Submission Process
- Reporting Process

2.1 Quality Assurance

International cooperation with many project partners for a common goal can present the project team with several challenges and obstacles. It is important that the defined goals are not only achieved on time and within the agreed budget, but also that the quality is high. Therefore, it is very important that attention is paid to quality assurance.

For greenSPEED, guidelines and templates have been prepared to ensure that also new members of the consortium know where to find documents, support and detailed instructions for different topics. Especially the deliverable process has been created to ensure the submission of high-quality results. For the reporting, not only the quality of the activities and the results is monitored but also the risks are monitored to ensure that immediate action can take place.

2.2 Risk Management

During the preparation of the greenSPEED project, the partners already identified risks that could potentially affect the proper implementation of the project. As part of the quality and risk management process in WP7, this list will be monitored and updated within the project duration. By doing so, it is possible to identify and mitigate the risks.

Together with the Strategic and Technical Steering Board (STSB), the project coordinator will ensure proper risk management within greenSPEED. Section 8 of this deliverable discusses the Reporting Process (internal and external reporting). On WP level, the WP leaders will be asked to report the risk status monthly. If any risks occur, this is communicated to the consortium and the project officer will be informed immediately about the respective mitigation measures that will be taken.

3. Objectives

This deliverable contributes to all greenSPEED objectives. It forms the base for the executed project work and facilitates that all WP leaders can monitor the quality and risks within their work packages. By doing so, it is possible for greenSPEED to develop a battery cell consisting of electrodes manufactured using innovative dry processes to reduce energy consumption, lower the carbon footprint and achieve ZERO emissions of Volatile Organic Compounds (VOCs) and in the long-term achieve European leadership in battery production with lower carbon footprint.

4. Project Management Structure

This chapter provides a brief overview of the greenSPEED project management structure (PMS). The detailed PMS with its responsibilities, rights and obligations is defined in Section of 6 the Consortium Agreement (CA). The CA shall therefore be consulted, especially when it comes to decision-making.

The greenSPEED project management structure comprises the following consortium bodies:
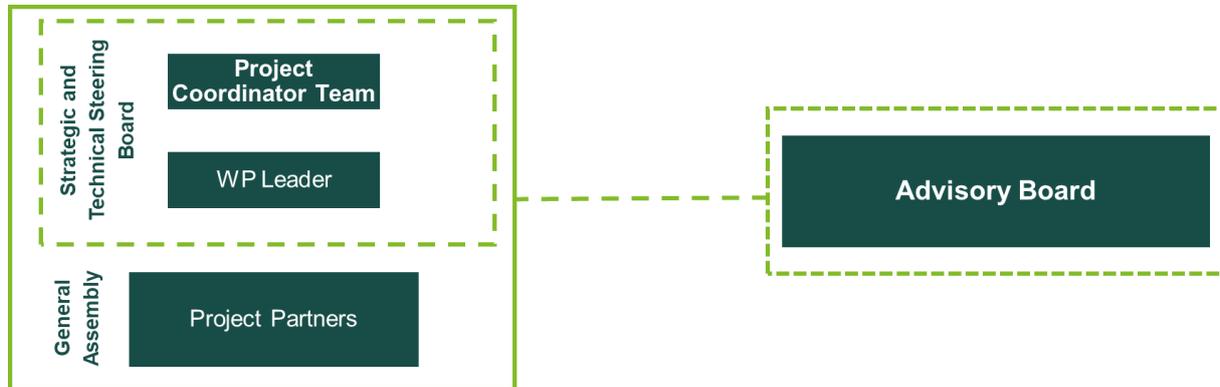

Figure 4-1: greenSPEED Management Structure

4.1 The Project Coordinator (PC)

The Project Coordinator (PC) is the legal entity acting as the intermediary between the parties and the Granting Authority. The Project Coordinator Team of greenSPEED consists of the Technical Project Coordinator and the Administrative Project Coordinator. The coordinator shall, in addition to its responsibilities as a party, perform the tasks assigned to as described in the Grant Agreement and the Consortium Agreement. The PC will report any major issues that could jeopardize the successful implementation of greenSPEED to the Strategic and Technical Steering Board (STSB) and the General Assembly (GA). The Project Coordinator is the central contact point for the European Commission and CINEA.

4.2 The Strategic and Technical Steering Board (STSB)

The Strategic and Technical Steering Board (STSB) acts as the supervisory body for the execution of the project and is responsible for the technical and scientific coordination. It shall report to and be accountable to the General Assembly. It shall consist of the Coordinator and all Work Package Leaders. The minutes of the STSB meetings, once accepted, shall be sent to the General Assembly members for information.

The Strategic and Technical Steering Board shall be responsible for the proper execution and implementation of the decisions of the General Assembly and shall monitor the effective and efficient implementation of the project. The STSB is responsible for the technical and scientific coordination and has the ultimate accountability for the technical project results. The tasks of the STSB are detailed in the CA (Section 6.5.3).

Chairperson: Project Coordinator (unless decided otherwise by the STSB)

Periodic Meeting: At least once every two months.

Decisions: Any decision shall require the unanimous decision of all members.

4.3 The General Assembly (GA)

The General Assembly (GA) is the ultimate decision-making body of the consortium. It shall consist of one representative of each party. Each member shall be deemed to be duly authorised to deliberate, negotiate, and decide on all matters listed in Section 6 of the Consortium Agreement. The Parties agree to abide by all decisions of the General Assembly.

Chairperson: Project Coordinator (unless decided otherwise by the General Assembly)

Periodic Meeting: At least once every six months.

Mode of Meeting: Meetings of the GA may also be held by tele- or videoconference or other telecommunication means.

Quorum of the Meeting: 2/3 of the GA members must be present or represented (quorum). If the quorum is not reached, the chairperson of the GA shall convene another ordinary meeting within 15 calendar days. If in this meeting the quorum is not reached once more, the chairperson shall convene an extraordinary meeting which shall be entitled to decide even if less than the quorum of members is present or represented.

Decisions: They shall be taken by a majority of 2/3 of the present members.

4.4 The Advisory Board (AB)

An Advisory Board will be appointed and steered by the General Assembly. The AB shall assist and facilitate the decisions made by the General Assembly. The AB members shall be allowed to participate in General Assembly meetings upon invitation. However, they do not have any voting rights. Additional information on the AB is included in the CA (Section 6.6).

4.5 The Work Package Leaders & Co-Leaders

The Work Package Leaders and their Co-Lead will be responsible for the completion of the WP activities and deliverables on time, within the provided budget and with the highest possible quality. Further, they oversee the active coordination of the work and communication within their Work Packages, including regular alignment meetings, risk management and reporting. The WP Lead is also in charge of the technical decisions on WP level, the coordination of the deliverables and the data management within the WP. The frequency, duration and mode of the WP meetings are at the decision of the WP Leaders. However, it is expected that there will be a regular status meeting (at least every four weeks) for the duration of the respective WP. It is also important that minutes of the meeting are kept and are made available to all WP partners on the SharePoint.

4.6 The Task Leaders & Co-Leaders

The Task Leaders and their Co-Lead will be responsible to ensure the delivery of high-quality results for the task and will be responsible for the technical and non-technical decisions on task-level in close alignment with the WP Leader. Further, they will oversee the data management within their task.

5. Communication

5.1 Internal Communication

5.1.1 Overall Guidelines

Whenever sending emails to the consortium, please keep the following points in mind:

- Always include **[greenSPEED]** in the subject line of your emails to allow email tracking.
- Use the contact list provided by the coordinator (05_Administration > 01_Contact List) to address all relevant contacts.

Communication with the Project Officer (PO): Since the Project Coordinator (PC) is acting as the intermediary between the parties and the Granting Authority, only the coordinator shall contact the Project Officer.

> **Please do not write any emails to the granting authorities related to greenSPEED.**

5.1.2 Meeting Plan

Table 5-1 shows the proposed meeting plan for greenSPEED. Meetings such as the Kick-Off Meeting, General Assembly or Review Meeting are planned in a hybrid way (F2F and online participation) as this ensures that all partners can join. Further, the cost aspect and the environmental aspect must be kept in mind.

Table 5-1: greenSPEED Meeting Plan

Meeting	Date/Frequency	Involved Partners	Mode
Kick-Off Meeting	05. & 06. July 2022	All partners	Hybrid
Strategic and Technical Steering Board	Every 4 weeks	All WP Leaders & Co-Leaders	Online
General Assembly	2 per year	All partners	F2F/Hybrid
Advisory Board	On request	AB members	F2F/Hybrid
Review Meeting	1 per year	Selected partners	F2F/Hybrid
WP Meeting	Every 4 weeks	WP partners	Online
Task-specific workshops	On request	Selected partners	F2F/Hybrid/Online

5.1.3 Minutes of Meeting (MoM)

The notetaker will be assigned before the meeting. The organiser of the meeting must provide the MoM after every meeting. A template has been provided and it covers the following points: Subject, Date and Time, Meeting Organiser, Type of Meeting, Note Taker; Participants, Agenda, Action Points and Notes.

All MoM must include a list of participants. For physical meetings, a list for every day with the signatures must be provided. A copy of the list should be sent to the coordinator after the meeting and the List of Participants must be uploaded to the meetings folder in SharePoint. For online meetings, a screenshot of the participant list or a summary of the participants can be provided. The MoM are also required for online meetings and must be uploaded to the meetings folder.

5.2 External Communication

5.2.1 Dissemination and Communication Activities

Partners who wish to contribute to the greenSPEED dissemination and communication activities should inform the project coordinator and dissemination manager (VIF). The activities should be aligned with the overall Dissemination and Communication plan of greenSPEED and must follow the greenSPEED Project Identity Guidelines. All performed activities must be included in the periodic reports and, if possible, should be mentioned on the project website.

5.2.2 Release and Approval Process for Publications

Before any publication or dissemination activity, the consortium must be informed. The detailed release and approval process for publications is defined in the greenSPEED CA (Art. 8.4).

The consortium shall be informed at least 45 calendar days before the publication. Any objection to the planned publication shall be made in accordance with the GA by written notice to the coordinator and to Parties proposing the dissemination within 30 calendar days after receipt of the notice. If no objection is made within the time limit, the publication is permitted.

5.2.3 Horizon Europe Rules for Communication, Dissemination and Visibility

Article 17 of the GA includes specific rules for the communication, dissemination and visibility. Please include the funding acknowledgement (translated into the local languages, if possible):

- **For promotion material:** *"This project has received funding from the European Union's Horizon Europe research and innovation programme under grant agreement No. 101069528."*

- **For publications:** *"The research leading to these results/this publication has received funding from the European Union's Horizon Europe research and innovation programme under grant agreement No. 101069528."*

- **For patents:** *"The work leading to this invention has received funding received funding from the European Union's Horizon Europe research and innovation programme under grant agreement No. 101069528."*

In accordance with Article 17.3 of the Grant Agreement, any communication or dissemination activity must include a disclaimer (translated into the local languages, where appropriate):

"Funded by the European Union. Views and opinions expressed are however those of the author(s) only and do not necessarily reflect those of the European Union or CINEA. Neither the European Union nor the granting authority can be held responsible for them."

Additionally, whenever possible the EU emblem should be included:

Figure 5-1: EU Emblem for Dissemination

Please do not modify the emblem in any way. In case several logos are used (e.g., beneficiaries), the emblem must be displayed at least as clearly and visibly as the other logos.

6. Document Management

Documents are stored on the greenSPEED SharePoint. All partners can access folders, download/upload documents and edit them (simultaneously with other people).

6.1 General Guidelines

For all documents and presentations, the following points must be considered:

- Spell check (UK English)
- Consistency check (wording, acronyms etc.)
- Update all references (tables, cross references etc.)
- Track changes turned off & no comments etc. left in the document (all points resolved)
- Do not use too many animations
- Check if the document/presentation is public or confidential
- Include the Funding Acknowledgement and the Disclaimer
- Ensure that texts and figures are legible
- Do not use acronyms without explaining them
- If available, please use the greenSPEED templates
- Stick to the project identity guidelines (colours, fonts, logos etc.)

Please do not share any confidential information with external parties. In case you are unsure, you can always contact the project coordinator. For dissemination and communication activities and publications, more information is provided in Section 0 of this deliverable.

6.2 Folder Structure

Figure 6-1 depicts the overview of the document repository. Partners can access all folders and are able to work with the respective documents:
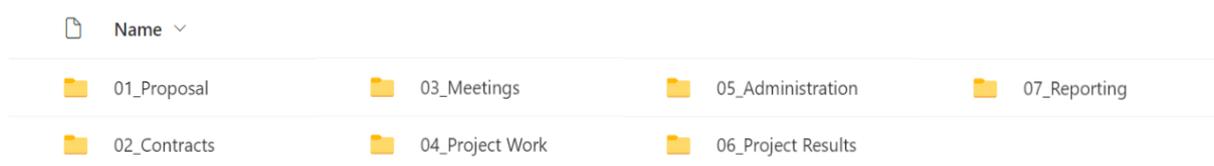

Figure 6-1: SharePoint Folder Structure

6.3 greenSPEED Templates

In addition, templates following the greenSPEED Project Identity (logo, colour, fonts) have been provided to the consortium: 05 Administration > Templates

6.4 Naming Conventions

6.4.1 General Documents

For the naming and versioning of greenSPEED general documents the following guidelines apply, if not otherwise specified:

greenSPEED_Title_yyyymmdd_vX.X.doc/pdf/xls (...)

It is suggested to choose a clear and descriptive document name. In detail:

- **Project Name:** Please always indicate the project acronym
- **Title:** Short description of the document (do not use special characters, e.g. ":")
- **Date:** Date of creation (format: yyyymmdd)
- **Version:** vX.Y (X = a major release; Y = a minor release; e.g. v0.1, v0.2, v1.0, v2.0 …)
- **File Extension:** According to the type of the file (docx, pdf, …)

Example:

Project Description (v2.0), January 20, 2023

File Name: *greenSPEED_Project_Description_20230120_v2.0.pdf*

6.4.2 Deliverables

For the naming and versioning of greenSPEED Deliverables the following guidelines apply:

greenSPEED_DX.X_Title_vX.X.doc/pdf/xls (...)

Example:

D7.2 Project Website, v1.5

File Name: *greenSPEED_D7.2_Project_Website_v1.5.pdf*

7. Deliverable Review and Submission Process

Two basic rules that need to be followed by all beneficiaries:

1. Please stick to the defined process and <u>do not create your own template variations</u> etc.
2. Please <u>do not directly upload a deliverable</u> to the EU portal. This is only done by the project coordinator (VIF) after the formal check!

7.1 Assignment of Reviewers

Every deliverable shall be reviewed by at least two reviewers who did not contribute to the deliverable. The deliverable responsible is free to assign the reviewers according to the needs. Once assigned, the reviewers must be communicated to the coordinator.

Some possible criteria for the assignment of reviewers:

- A project partner who needs the content, e.g., for the reuse in other tasks/work packages.
- A project partner who has a strategic interest, e.g., for Data Management, Exploitation.
- An internal expert who could contribute valuable expertise.

7.2 Assignment of Deliverable Responsible

The WP Lead and Co-Lead are responsible for appointing the deliverable responsible. Usually, the task lead is defined as the deliverable responsible if the deliverable is part of the task. However, the WP partners can agree among themselves who will oversee the deliverable. The deliverable responsible must be communicated to the coordinator.

7.3 The greenSPEED Review and Submission Process

To ensure high-quality deliverables for greenSPEED, a deliverable review and submission process, depicted in Figure 7-1, has been established.
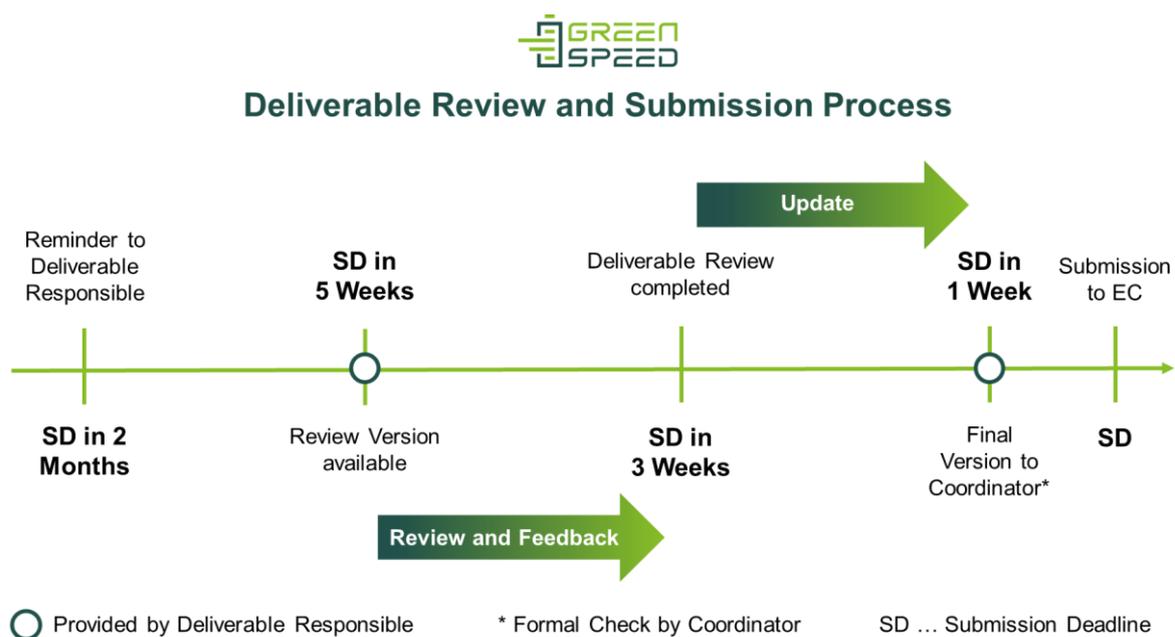

Figure 7-1: greenSPEED Deliverable Review and Submission Process

- **Two months before the submission**, the coordinator sends a reminder to the deliverable responsible. The deliverable responsible will be asked to appoint two reviewers for the review and (if not done yet) start the preparations for the deliverable.

- **Five weeks before the submission**, the deliverable should be ready for the review. The coordinator will upload the review version in SharePoint and inform the reviewers and the coordinator. The reviewers are asked to complete their review within two weeks using the deliverable review template that is stored on the SharePoint. Figure 7-2 shows a part of the checklist. For each criterion they must assign a score going from *(1) Unacceptable* up to *(5) Fully Accepted*. Every rating below 5 must include an explanation and what improvements are needed.

- **Two weeks before the submission**, the review should be completed. The deliverable responsible and the coordinator should be informed by the reviewers by providing the SharePoint link to the finalised deliverable review checklist and the commented deliverable file. After that, the deliverable responsible has two weeks to implement the feedback and update the deliverable.

- **One week before the submission**, the final version should be uploaded to SharePoint. The deliverable responsible will inform the coordinator via email. The coordinator will carry out a formal check.

- At the **submission deadline**, the deliverable is uploaded by the coordinator. After the successful submission, the consortium will be informed.

Criteria	Score	Comments
Does it meet the objectives of the task, work package and deliverable as described within the Technical Annex (Part B)?		
Are any changes or deviations clearly highlighted and justified?		
Is the deliverable length appropriate (quality over quantity)?		

Figure 7-2: Part of the Deliverable Review Checklist

7.4 Delay in Submission of Deliverables

The deliverables shall be submitted as defined in Annex I of the Grant Agreement. In case any delays occur, the coordinator shall be informed immediately. The coordinator shall then inform the Project Officer and ask for a postponement of the deadline.

Within the delayed deliverable, the deliverable responsible must include a justification of the delay including the possible effect on follow-up activities and respective mitigation measures.

8. Reporting Process

8.1 Internal Reporting

The internal reporting documents are not submitted to the funding authority but are the baseline for the continuous reporting of greenSPEED. In the following, a short description of the instruments is provided.

8.1.1 Strategic and Technical Steering Board Meeting

The Strategic and Technical Steering Board (STSB) is responsible for the technical and scientific coordination. It is therefor the role of the STSB to regularly report the WP status. The project coordinator monitors the project progress during the STSB meetings which are held once a month. All members of the STSB prepare a presentation for their WP and provide a brief overview. A template for the status update as depicted in Figure 8-1 has been provided.
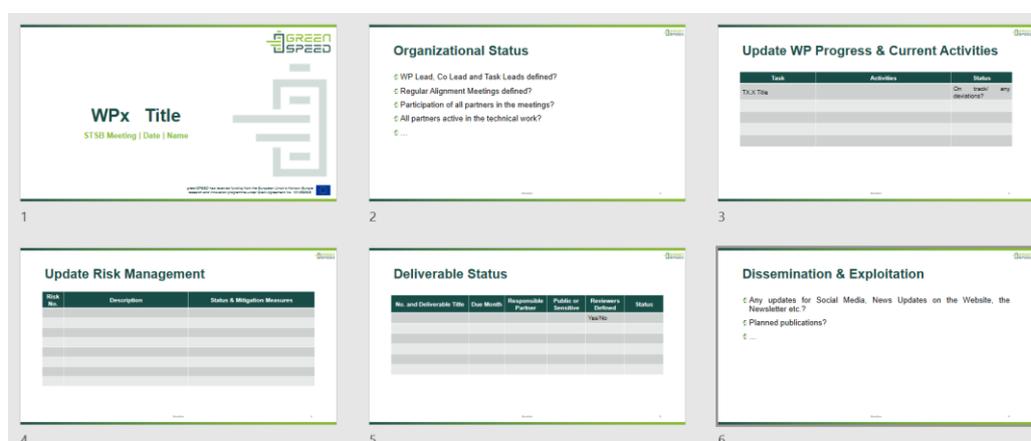

Figure 8-1: STSB Meeting Template

8.1.2 9-Month Progress Report

In addition, all partners must provide their 9-month progress report to the coordinator. They must report the progress report per partner, efforts, any deviations, and the progress report per Work Package. The templates will be prepared and provided with further instructions on how to fill in the requested data and the deadlines/timeline.

8.2 External Reporting

The external reports will be submitted by the coordinator to the funding authorities 60 days after the end of each period as defined in the Grant Agreement:

- 1st Reporting Period (RP1): M1 to M18
- 2nd Reporting Period (RP2): M19 to M36
- 3rd Reporting Period (RP3): M37 to M42

The templates for the external reporting will be provided with further instructions on how to fill in the requested data and the deadlines/timeline.

8.2.1 Steps to be Taken by the Partners

Each partner must provide (1) its individual contribution and efforts per work package, and (2) its cost statement on project level.

Partners must prepare and submit their financial reports directly in the EU portal. If they do not do so, the costs for that reporting period will be considered as "zero", although it is possible to report them in the next reporting period.

8.2.2 Steps to be Taken by the Task Leaders

The task leaders prepare a summary of their tasks based on the information received from all project partners.

8.2.3 Steps to be Taken by the Work Package Leaders

The WP leaders prepare the WP reports based on the data that have been provided by all project partners and the task leaders.

8.2.4 Steps to be Taken by the Coordinator

The coordinator prepares the progress report according to the requirements based on the information that has been provided by the partners, Task and WP Leaders. A final check will be done by the coordinator and the partners will be asked for a final check before the coordinator submits the reports to the funding authorities.

9. Conclusion

D7.1 Quality Assurance and Risk Management Plan should be used by all partners during the project lifetime. When reading the deliverable, the structure, and processes of greenSPEED should be clear and partners should be able to start working right away. This deliverable should serve as a guide as to how to prepare and review deliverables, how to monitor the work progress, ensure quality and monitor risks. By doing so, an efficient project execution can be ensured.

This document serves as a basis and will be updated throughout the project duration, when needed.

10. Abbreviations

Term	Definition
AB	Advisory Board
CA	Consortium Agreement
DEC	Websites, Patent Filings, Videos etc.
DEM	Demonstrator, Pilot, Prototype
EU	European Union
GA	General Assembly
greenSPEED	Green and Sustainable Processes for Electrode Production
PU	Public
R	Document, Report
SD	Submission Deadline
SEN	Sensitive
WP	Work Package