



**TER4RAIL**  
Transversal Exploratory  
Research Activities for Railway



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This project has received funding from the Shift2Rail Joint Undertaking under the European Union's Horizon 2020 research and innovation programme under grant agreement no. 826055 (TER4RAIL)

## Transversal Exploratory Research Activities for Railway

### Ter4Rail

S2R-OC-IPX-02-2018

## D 5.1 Project Management and Quality Assurance Plan

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Actual submission date: 26.02.2019

Leader of this Deliverable: Armando Carrillo, EURNEX

Reviewed:

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3	25/02/2019	Review Daria Kuzmina (UITP)
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Project funded from the European Union's Horizon 2020 research and innovation programme		
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<b>PU</b>	Public	X
<b>CO</b>	Confidential, restricted under conditions set out in Model Grant Agreement	
<b>CI</b>	Classified, information as referred to in Commission Decision 2001/844/EC	

Start date of project: 01/12/2018

Duration: 24 months



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## **EXECUTIVE SUMMARY**

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This Project Management and Quality Assurance Plan has been prepared to guarantee the quality assurance process for the project. The document is structured into the following points:

Description of the project management and organisational structure of the project. General information about meetings, organisation, risk management and conflict resolution are also given.

Description of the document management; the documents to be produced by beneficiaries are listed, as well as the templates to be used for each type of document.

Description of the deliverable review procedure which will guarantee a proper quality process before deliverables are submitted to the Shift2Rail Joint Undertaking.

Description of necessary steps to be made internally before disseminating results of the projects to ensure a coordinated approach.

Description of the Workflow collaboration tool, focusing on access rights and the document identification. This tool will be used for the storing, uploading and downloading of documents and follow-up of the progress of work, including status of deliverables and milestones.

Description of how the implementation of this Project Management and Quality Assurance Plan will be monitored especially with regards to deliverables.



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## 1.1

### **INTRODUCTION**

The Project Management and Quality Assurance Plan guarantees the processes applied throughout the project lifecycle by describing all procedures to assure delivery with the expected quality. The scope of this Plan is to provide guidelines on the day-to-day project management and on the practical aspects of the project development, including reports, editing procedures, criteria for work results performance measurements. Procedures for document handling are also included. This comprises rules for document identification, typographical standards, classification and status of documents, etc. It is relevant to mention that this document has a dynamic nature and therefore, it will be, if necessary, updated during the project lifespan.

### **1.1 LIST OF ACRONYMS**

CA: Consortium Agreement

EC: European Commission

ERRAC: European Rail Research Advisory Council

GA: Grant Agreement

IPR: Intellectual Property Rights

PMO: Project Management Office

S2R JU: Shift2Rail Joint Undertaking

SC: Steering Committee

WP: Work Package

WPL: Work Package Leader



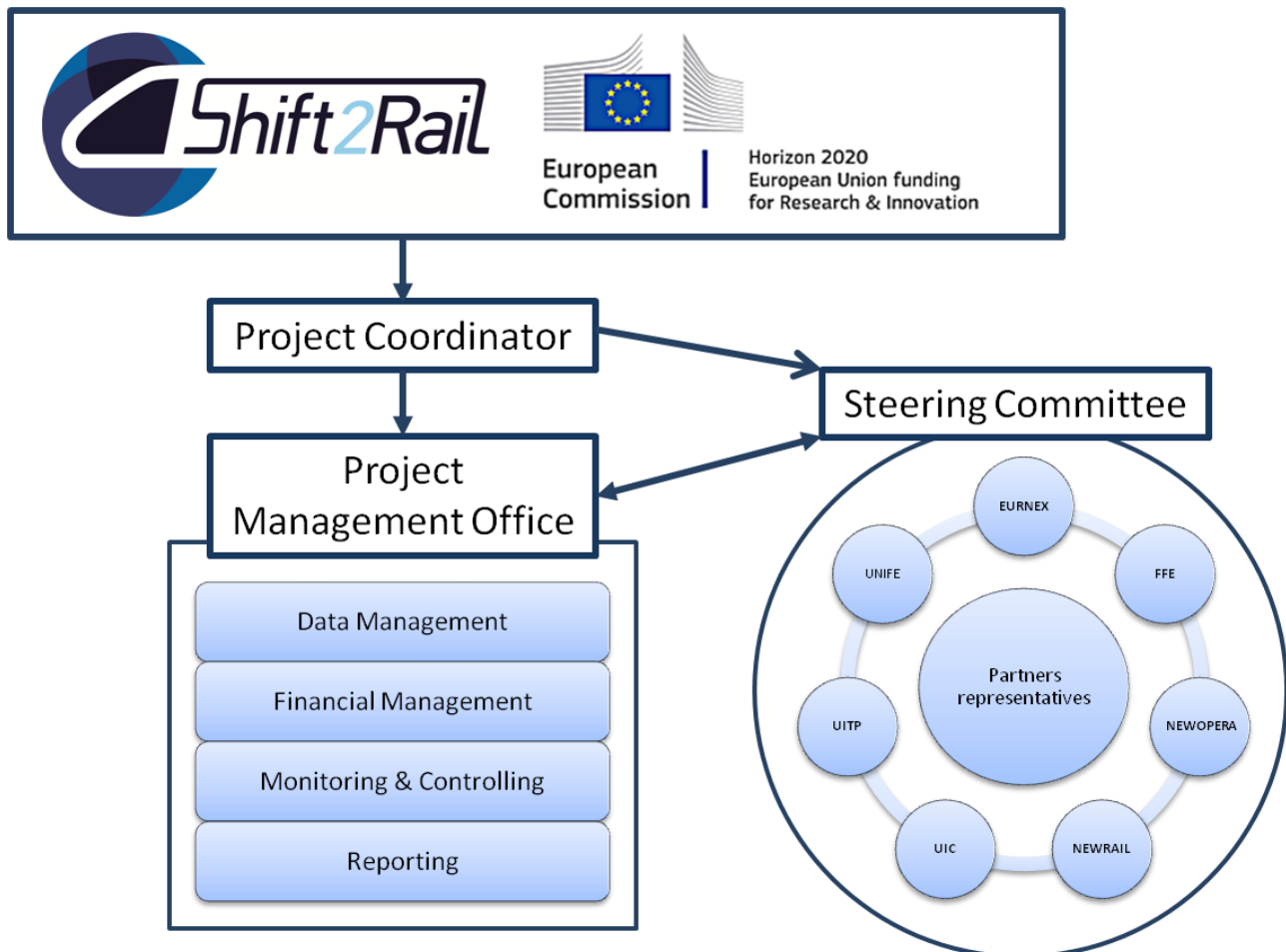
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## 2. PROJ

## ECT MANAGEMENT

### 2.1 ORGANIZATIONAL STRUCTURE



**Figure 1: Ter4Rail Organisational Structure**

#### 2.1.1 Steering Committee

The Steering Committee (SC), as the decision-making body of the Consortium, oversees the overall project work programme.

##### Objectives:

- Ensure compliance of the Project implementation with the Description of Action
- Facilitate co-ordination with other projects where relevant and with ERRAC;
- Ensure handling of ethical issues;
- Ensure management of the Consortium Agreement and the Grant Agreement.



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### Activities:

- Discussion and approval of the Work Plan Description (including potential amendments);
- Approval of the Consortium's budget and allocation of grants to activities and partners;
- Follow-up of the incurred expenditure in accordance with the budget;
- Support of the Project Coordinator in preparing meetings with the S2R JU;
- Approval of the accession of a new partner or withdrawal of an existing partner;
- Review, approve and follow-up of exploitation, IPR issues, dissemination and communication policies.
- Review of the project risks identified in the section 2.2.4

### Members:

EURNEX chairs Ter4Rail's Steering Committee, whose members include a duly authorised person from each Ter4Rail Consortium partner. These members are entitled to jointly carry out most of the obligations related to the S2R JU contract and to oversee the overall project implementation. Any expert or qualified person may be invited to attend meetings in an advisory capacity.

The SC also has the authority to identify knowledge that is subject to protection, restricted use or wide dissemination.

Any decision required or permitted to be taken by the SC shall be taken in accordance with the following (Consortium Agreement, Articles 6.3.3.1, 6.3.3.2, 6.3.3.3, 6.3.3.4):

- (a) The SC shall not deliberate and decide validly unless no less than two-thirds (2/3) of its Members are present or represented (quorum).
- (b) If the quorum is not reached, the chairperson of SC shall convene another ordinary meeting within 15 calendar days. If in this meeting the quorum again is not reached, 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.
- (c) Each Member of the SC present or represented in the meeting shall have one vote.
- (d) Decisions in the SC shall be taken by a majority of no less than two-thirds (2/3) of the votes cast.

The SC will try to reach agreement in a consensual manner.

## 2.1.2 **Coordinator**

The Coordinator oversees the overall progress of the project and follows the execution of individual WPs in terms of their programmatic contents and according to common quality guidelines.

The Coordinator is responsible for the management of the interfaces between the WPs. The WP leaders report to the Coordinator. In addition, the Coordinator is the official interface to the S2R JU and external stakeholders.

### Objectives:

- Ensure smooth execution of work plan;
- Troubleshooting and resolution;
- Management of interfaces and integration;



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#### Activities:

- Define the implementation of the project;
- Propose Project Baseline (schedule, effort and budget allocation, milestones and deliverables);
- Prepare the programme of activities, and propose changes to the project or WP if necessary (in consultation with WPs Leaders);
- Solve cross-WP issues;
- Escalate to SC on key issues.

Information flows both vertically and horizontally within the project structure. The vertical flow of information to/from the project coordinator comprises mainly administrative issues such as:

- Periodic progress reporting;
- Meetings of the PMO;

The flow of horizontal, technical information related to innovation management is generally more informal amongst the WP Leaders and consultative bodies and is initiated on an as-needed basis and during regularly scheduled SC meetings.

The coordinator will facilitate mitigation and elimination of technical issues across work packages tasks and deliverables.

### 2.1.3 WP Management

Each WP is managed by its own WP Leader, bringing together all the partners active in that WP to ensure the coordination of the individual activities inside the WP itself.

#### Objectives:

- Achievement of WP's objectives;
- Contribution to periodic reporting;
- Assessment of expenditures.

#### Activities:

- To ensure the scientific monitoring and co-ordination of the WP and their implementation;
- To monitor the progress of tasks within WPs based on planned deliverables and milestones;
- To coordinate the activities of Tasks and their interaction;
- To manage partners of the WP to perform their tasks in the duly and timely manner;
- To ensure that agreed protocols and procedures are respected;
- To assist the partners seeking guidance;
- The WPL takes decision in consultation with WP partners as major responsible for WP Deliverables;
- The WPL reports to the Coordinator the progress and eventual deviations of the WP activities.





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Each WP is

managed by its own WPL, bringing together all the partners active in that WP to ensure the coordination of the individual activities inside the WP itself.

#### 2.1.4 Task Management

Each WP is divided into different Tasks and each Task has its own Task Leader, bringing together all the partners active in that Task to ensure the coordination of the individual activities inside the Task itself.

Objectives:

- Achievement of task's objective. Task Members shall contribute to achieve the goals identified at Task and WP level.
- Contribution to periodic reporting;
- Troubleshooting and resolution of technical problems at task level;

Activities:

- To ensure the scientific monitoring and co-ordination of the Task and its implementation;
- To implement the work guidelines per the WP Leader instructions;
- To take decisions, always with approval of WP Leader;

#### 2.1.5 Project Management Office (PMO)

The PMO is composed of the Coordinator's staff (EURNEX) to support the administrative coordination activities.

The responsibilities of the PMO are to:

- Manage the communication of the consortium internally in the project and to the S2R JU through regular contacts with the program manager and formal reporting to the S2R JU;
- Coordinate the various phases of development of the project in cooperation with the SC and WP leaders;
- Manage the project budget and payments from the S2R JU, including all financial and administrative coordination activities according to the provisions of the GA.  
In particular, financial coordination activities will include:
  - Budgeting;
  - Financial reporting (internal and to the S2R JU) ;
  - Distribution of project's funding (handled by the Coordinator only).
- Manage administrative coordination:
  - Implementation of contractual obligations towards the S2R JU and the EC in accordance with GA;
  - Possible amendments to GA after S2R JU approval and to CA;
  - Handling of the formalities in case of accession/withdrawal of partners to the contract;
- Coordinate the Project's dissemination activities in collaboration with WP4 ('Dissemination and Exploitation') leader;
- Ensure the quality management during the Project's life time;
  - Check that the project procedures are respected;
  - Ensure that the deliverables fulfil the defined quality requirements;



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○ M

aintain version control through the Workflow Tool.

- Ensure the day-to-day running of the project. The PMO team will provide support to the WP with generic project tasks such as project planning, financial control, process administration (risks and documentation management), quality control, communications manager, and administrative support;
- Check work progress vs. budget.

## **2.2 WORKING PROCEDURES**

The project management is based on the general procedures described in the following paragraphs.

### **2.2.1 Meetings**

The project's main meetings and reports will be as follows:

#### Steering Committee meetings

Ordinary meetings will take place at least once every six months, but this might be adapted to the needs of the project. Extraordinary meetings can be held at any time upon written request of Members.

#### Work Package meetings

WP meetings take place on a regular basis, but based on the specific needs of a given WP. The Project Coordinator can participate in WP meetings, as appropriate.

#### S2R JU Review meetings

If requested by the S2R Program Manager, there will be 2 review meetings with the S2R JU/EC (after M12 and at the end of the project in M24). The purpose will be to review technical and scientific progress of the project and approval of deliverables and Periodic Reports.

The 2<sup>nd</sup> (final) review meeting will be held by the completion of the project and the purpose will be the review of the overall technical and scientific outcome of the project, the financial review and the discussion of the future industrial and exploitation perspective of the project.

### **2.2.2 Preparation of meetings**

#### **Good practice**

When appropriate, small meetings will be preferred to large ones. For efficiency reasons, it is advised to primarily invite people who are directly concerned with the subject of the meeting.

Preparation of meetings: the objectives, agenda and required preparation/contribution from the attendees should be defined at least one week before the meeting. If specific documents or reports are to be discussed in the meeting, the draft material should be made available in advance to ensure that the participants have time to read and comment it.



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## Meeting

dates should be chosen well in advance to ensure all participants concerned can attend. If possible, meetings with different purposes should be combined to save both travel time and money. Detailed description of travel information should be provided.

Conference calls and web meetings should be preferred for organising meetings to review the progress of WP or tasks activities.

## **Responsibility**

Each meeting should have a facilitator designated in advance. At the stage of the preparation, the facilitator oversees:

- Coordinating administrative arrangements and preparation of an agenda in collaboration with the meeting participants;
- Reporting status of meeting preparation and follow-up to the meeting participants;
- Distribution of relevant papers.

Each participant should contribute to the meeting preparation by providing:

- Working documents: normally the main subjects discussed during a meeting will be documented by discussion papers/presentations. Papers and presentations should be distributed in advance to permit the participants to prepare for the meeting;
- Contributions to the agenda;
- Timely registration; Preparation of presentations.

### 2.2.3 **Internal communication**

All partners will be regularly informed about the project status, planning and any other issue relevant for the partners to obtain maximum transparency and awareness. All the documents shall be transmitted and published via the Workflow Tool. In addition, direct transmission of information to the partners will be used where appropriate.

An official contact list of persons responsible or participating in the relevant domains of the project is available on the Workflow Tool and will periodically be updated.

Internal reporting will include management (progress, conflict handling, etc.) and other reports produced by the WP Leaders. The WP/Task Leaders will produce the minutes of their own WP/Task meetings, and will contribute to periodic reports, as appropriate. All the quality procedures to be implemented during the project life cycle will be formalised in the Quality Plan issued in month 3 of the project.

Every official meeting of the project should be traceable on the Workflow Tool in the Meetings section (Minutes of meetings and Agendas), allowing the members to be informed about meetings and allowing them to claim those travel costs when applicable.

As good practice for any internal communication, the acronym to be used when referring to the project is '*Ter4Rail*'. When communicating by email, the use of keywords in the subject field would



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help to

identify the topic, therefore the suggested syntax is the following: *'Ter4Rail: WP (Optional)' – XXX*.

## Teleconferencing

- To maintain cost-effective management, teleconferencing will be used for short meetings. It is particularly useful to
  - collaboratively share documents (distributed prior to the teleconference);
  - discuss a specific technical or management issue;
  - take decisions on issues requiring urgent action.

The following principles should be respected for a successful teleconference meeting:

- The meeting should be limited to a small number of participants;
- The date, time, expected duration, agenda and name of participants should be communicated in advance (typically at least 1 week before);
- All required documents must be distributed before the meeting (typically a couple of days before);
- The participants must make sure that they will not be disturbed during the teleconference and that they join the meeting on time;
- Participants should start a spoken contribution by telling their name, as the other participants may not recognize the speaker's voice;
- Teleconferences should be limited to 2 hours maximum without a break to ensure the participants concentration;
- They should be moderated by an experienced person to avoid that one participant dominates the conversation and to ensure that all items are covered in the given time;
- Minutes summarizing the decisions and actions should be prepared after the teleconference and uploaded to the Workflow Tool.

### 2.2.4 Risk management

Risk management, quality assurance and financial and contractual management are considered the key tools to guarantee the success of the project. Regular internal project reporting and a transparent communication plan will ensure that eventual problems or delays in project progress will be detected early and that corrective actions can be taken if necessary. Special attention will be paid to keeping the partners informed of the project status, planning and other important issues.

The management structure as outlined in section 2.1 ensures that risks are reported promptly to the Coordinator via the WP leaders. A risk table associated to each WP has been established and will be progressively maintained throughout the project lifecycle. A condensed version of the risk table has been added below. The full version of the table will be accessible in the Workflow Tool. The risk table is a complementary document.

Risk owners (WPL shown in the table below) are responsible for the risk assessment and, if necessary, for the implementation of mitigation measures. In addition, risk owners will promptly inform the Coordinator. If needed, the Project Coordinator will escalate issues to the SC.



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Risk number	Description of risk	Risk owner	Proposed risk-mitigation measures
1.1	Lack of cooperation and/or participation from rail stakeholders	WPL 1	In order to mitigate this risk, TER4RAIL project foresees the active participation of the most relevant rail associations (UIC, UNIFE, EURNEX, UITP), to ensure that the interest, experience, and vision of their members is appropriately represented. TER4RAIL plans to also actively seek liaison with ERRAC members and activities, so that cooperation and participation is assured.
1.2	Poor identification and participation of non-rail stakeholders	WPL 1	In order to mitigate this risk, TER4RAIL project will involve all the relevant rail stakeholders and associations (ERRAC, UIC, UNIFE, EURNEX, UITP), so that their experience with non-rail sectors and stakeholders can be integrated and considered as a basis for WP1. TER4RAIL project will start from the already existing relations with other transport modes and will explore relations that rail stakeholders share with other sectors.
2.1	Inability to recruit informed rail experts	WPL 2	The consortium is intimately associated with the rail research community through WP leader UNEW and also to ECTRI by UNEW and to EURNEX by the co-ordinator.
3.1	Lack of available data	WPL 3	If we lack real-life data, we could refer to the existing literature on railways where we should find more ancient data that can be actualised on the basis of the impact of various parameters according to university studies on the relative importance of different economical parameters.
3.2	Delays and low quality of the former backbone activities (mainly 3.1)	WPL 3	The quality assurance plan will be applied to all the deliverables as well as the critical paths' monitoring: if dependencies (milestones) are not reached, the activities will be re-planned accordingly. Additionally, case studies will not be required to reflect the whole vision in Europe but specific relevant cases only. The cases will be selected according to the data available.
3.3	Insufficient data acquisition	WPL 3	Interim assessment of achieved results with sufficient time to improve them; extension of task 3.1 if necessary.
4.1	Poor attendance in the TER4RAIL meetings	WPL 4	UNIFE, UITP, and UIC are a part of ERRAC. They have the capability to reach rail stakeholders and are collaborators in many projects with other modes of transports and sectors.  NEWRAIL, EURNEX, NEWOPERA, and FFE can reach the scientific community; NEWOPERA is a part of ALICE and is therefore in a position to liaise with stakeholders in



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			logistics.
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### 2.2.5 Issue management

Issue Management is closely tied to Risk Management and is essential to identify and record issues and their potential impacts. WPLs will record issues if they arise in the WPs so that actions may be assigned to resolve issues. The Coordinator manages the Risk Register on a quarterly basis and continually monitors the resolution of issues and actions.

### 2.2.6 Monitoring processes and self-assessment

Special attention will be dedicated to self-assessment at project level and to evaluation activities. This will be done through a continuous assessment and evaluation process. It will be the responsibility of the Project Coordinator to assess the fulfilment of the project objectives, as well as to propose to the SC the appropriate corrective actions.

## 2.3 DELIVERABLES

The following table is taken from the Grant Agreement section 1.3.2. WT2 list of deliverables of Annex 1.

Deliverable Number <sup>1</sup>	Deliverable Title	WP number	Lead beneficiary	Type	Dissemination level <sup>16</sup>	Due Date (in months)
D1.1	A comprehensive map of rail innovative research and key rail stakeholders	WP1	7 - FFE	Report	Public	6
D1.2	Overview of the rail missions 2050	WP1	5 - UITP	Report	Public	12
D1.3	Rail Innovative Research Observatory	WP1	2 - UNIFE	Report	Public	24
D2.1	Delphi Study and paper	WP2	4 - UNEW	Report	Public	24
D2.2	Report on the progression of the rail sector roadmaps	WP2	4 - UNEW	Report	Public	24
D3.1	Data and studies handbook	WP3	6 - NEW OPERA	Report	Public	14
D3.2	Case studies report	WP3	5 - UITP	Report	Public	21
D3.3	Railways as beneficial for EU society report	WP3	6 - NEW OPERA	Report	Public	24
D4.1	Plan for the dissemination,	WP4	3 - UIC	Report	Public	3



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	exploitation, and knowledge transfer of the project's results					
D4.2	Data Management Plan	WP4	3 - UIC	Report	Public	4
D4.3	Knowledge transfer and exploratory research strategy	WP4	3 - UIC	Report	Public	24
D5.1	Project Management and Quality Assurance Plan	WP5	1 - EURNEX e. V.	Report	Public	3

## 2.4 MILESTONES

The following table is taken from the Grant Agreement, Annex 1, section 1.3.4. WT4 List of milestones.

Milestone number	Milestone title	WP number	Lead beneficiary	Due Date (in months)	Means of verification
MS1	A comprehensive map of rail innovative research and key rail stakeholders - Update	WP1	7 - FFE	3	This milestone presents a draft of D.1.1 with substantial input.
MS2	A report on the features of the following scenarios: Overview of the rail missions 2050 – Update 1	WP1	5 - UITP	6	This milestone presents a draft of the D1.2. with substantial input.
MS3	A report on the features of the following scenarios: Overview of the rail missions 2050 – Update 2	WP1	5 - UITP	9	This milestone presents a second draft of the D1.2. with substantial input.
MS4	Rail Innovative Research Observatory- Update 1	WP1	2 - UNIFE	12	This milestone presents a draft of the D1.3.
MS5	Rail Innovative Research Observatory- Update 2	WP1	2 - UNIFE	15	This milestone presents a second draft of the D1.3.
MS6	Rail Innovative Research Observatory- Update 3	WP1	2 - UNIFE	18	This milestone presents a third draft of the D1.3.
MS7	Rail Innovative Research Observatory- Update 4	WP1	2 - UNIFE	21	This milestone presents a fourth draft of the D1.3
MS8	Delphi Study– Update 1	WP2	4 - UNEW	4	This milestone presents a draft of the Deliverable 2.1
MS9	Delphi Study – Update 2 – First webinar	WP2	4 - UNEW	7	This milestone presents a second draft of the Deliverable 2.1 with the input of the first webinar



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					and Task 2.2
MS10	Review of the state of progress of roadmaps	WP2	1 - EURNEX e. V.	10	This milestone delivers input on roadmaps for the Task 2.1 and Task 2.3
MS11	Delphi Study – Update 3-Second webinar	WP2	4 - UNEW	13	This milestone presents a third draft of the Deliverable 2.1 with the input of the second webinar and Task 2.2.
MS12	Delphi Study – Update 4-Third webinar	WP2	4 - UNEW	18	This milestone presents a fourth draft of the Deliverable 2.1 with the input of the third webinar and Task 2.2.
MS13	Delphi Study – Update 5-Fourth webinar	WP2	4 - UNEW	21	This milestone presents a fifth draft of the Deliverable 2.1 with the input of the fourth webinar and Task 2.2.
MS14	Data and studies handbook - Update	WP3	6 - NEW OPERA	6	This milestone presents a draft of the D3.1
MS15	Data and studies handbook- Update 2	WP3	6 - NEW OPERA	10	This milestone presents a second draft of the D3.1
MS16	Rail as benefit for EU society – Update 1 (NEWOPERA). Case studies report – Update 1 (UITP)	WP3	5 - UITP	14	This milestone presents a first draft for the D3.3 (NEWOPERA) and a first draft for the D3.2 (UITP)
MS17	Rail as benefit for EU society – Update 2 (NEWOPERA). Case studies report – Update 2 (UITP)	WP3	5 - UITP	18	This milestone presents a second draft for the D3.3 (NEWOPERA) and a second draft for the D3.2 (UITP)
MS18	Rail as benefit for EU society – Update 3	WP3	6 - NEW OPERA	21	This milestone presents a third draft for the D3.3
MS19	Final TER4RAIL event with presentation of the TER4RAIL knowledge transfer and exploratory research strategy	WP4	3 - UIC	24	Final TER4RAIL event with presentation of the TER4RAIL knowledge transfer and exploratory research strategy

### 3. DOCUMENT MANAGEMENT

#### 3.1 DOCUMENTS TO BE PRODUCED IN THE SCOPE OF THE PROJECT

The official language of the project documents is English. To improve the readability of documents, it is advised to use simple and clear English terms. Short sentences are preferred over long ones.





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### 3.1.1 P Periodic Reports

The project duration, as stated in the Grant Agreement (GA), is 24 months. The project is divided into two reporting periods of the following duration:

- P1: from month 1 to month 12;
- P2: from month 13 to month 24.

As defined in Article 20 of the GA, the Coordinator must submit a periodic report at the end of each reporting period (within 60 days after the end of each respective report). This is a contractual obligation.

The periodic report includes the following:

- (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 Annex 1.
  - iii. a summary for publication by the JU
  - 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 JU and the Horizon 2020 key performance indicators and JU and the Horizon 2020 monitoring requirements;
- (b) a 'periodic financial report' containing:
  - i. an 'individual financial statement' from each beneficiary [*and from each linked third party*], for the reporting period concerned.
  - ii. an explanation of the use of resources and the information on subcontracting and in-kind contributions provided by third parties from each beneficiary [*and from each linked third party*], for the reporting period concerned;
  - iii. 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.

The Periodic Report should be prepared by the Coordinator, based on the contributions received by WP Leaders.

The Coordinator must submit a final report to the S2R JU within 60 days after the end of the last reporting period. The report should comprise:

- a 'final technical report' with a summary for publication;
- a 'final summary financial statement';

Once completed, the (periodic or final) report must be submitted by the Coordinator with all its parts as a single package ("single submission").



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### 3.1.2 **D** **Deliverables**

All deliverables are listed in the Annex 1 of the GA and in the section 2.3 of this document. For each deliverable the following information is identified:

- the title of the deliverable and the associated WP
- the lead beneficiary and the delivery date;
- the type of the deliverable: Report (Document, report),
- the dissemination level: Public (PU), Confidential (CO), Classified (CI).

Deliverables refer to the results/information to be provided within a WP. The WP Leaders will have the responsibility to ensure that all deliverables are produced as planned. To facilitate the timely submission of high-quality deliverables, WP leaders are required to prepare in advance a specific timetable for the report development. The timetable should be included into the WP project plan.

The Coordinator can use deliverables as a basis for evaluating the status of a WP and its level of success (achievement of expected results). The deliverable current status should be reported to the Coordinator.

### 3.1.3 **Technical contributions (technical inputs)**

Technical contributions are documents representing the inputs of beneficiaries to the deliverable itself.

### 3.1.4 **Agenda of meetings**

An agenda for meetings at any level shall be sent per E-Mail and uploaded on the Workflow Tool one week before the meeting. Notice of the meeting (including date, time and venue) should be conveyed at least 4 weeks in advance of the meeting and published in the Workflow Tool.

### 3.1.5 **Minutes of meetings**

After each meeting, minutes should be prepared and circulated between participants for approval, not later than 2 weeks after the meeting; after the official approval, the minutes shall be made available on the Workflow Tool.

The person in charge of the preparation of the agenda is also responsible for the preparation and upload of the minutes of the meeting. As soon as the final version of the minutes of meeting is ready, the actions should be included in the "Actions" section on the Workflow Tool.

### 3.1.6 **Presentations**

Each presentation for any meeting shall be prepared using the project template. After the meeting, final version of the presentation shall be uploaded on the Workflow Tool.

### 3.1.7 **Computer file formats**

To ensure document compatibility, the following file formats should be used:

- WORD version Microsoft Office 2007 or higher (excluding the OOXML-format) for documents;



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- EX  
CEL version Microsoft Office 2007 or higher (excluding the OOXML-format) for spreadsheets;
- PowerPoint version Microsoft Office 2007 or higher (excluding the OOXML-format) for overhead slides;
- PDF for consolidated releases of project documents;
- ZIP for compressed documents;
- JPEG for pictures;
- AVI for videos.

## **3.2 TEMPLATES**

In order to ensure the homogeneity of all documents produced in the scope of the project, and the compliance of such documents to the guidelines given by the S2R JU (where applicable), the following templates have been prepared:

- Deliverable
- Agenda of Meetings
- Minutes of Meetings
- General presentation

The document templates are distributed to all beneficiaries along with this Quality Plan; they will be made available on the Workflow Tool. The use of official document templates, as appropriate, is mandatory for any document to be produced.

### **3.2.1 Drawing documents using templates**

This section will provide general indicators for the correct usage of the document templates.

#### *Headers and Footers*

All word document templates contain a predefined header and footer.

The header contains the official project logo (including the short name of the project), the indication of the contract number, the European flag and the Shift2Rail logo; the author is requested not to modify the header included in the template.

In case the document contains different sections, the author should ensure that the same header and footer is included in each of them.

### **Deliverables**

#### *Deliverable cover page*

Each official deliverable should include the official cover page requested by the S2R JU (included in the template). The author is requested to complete the cover page with the following information:

- **Deliverable reference number** and title: reference number and name should be separated by a “-” character (same as Annex 1);



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- **Due**  
**date of deliverable:** the indication “Month xx” should be interpreted as the last day of the mentioned month, where Month 1 is December 2018 (same as Annex 1);
- **Actual submission date:** date when the last revision was issued;
- **Responsible / Author:** name and company of the lead beneficiary of the deliverable (same as Annex 1);
- **Dissemination level** (same as Annex 1).
- **Status**
- **Reviewed** (Y/N): to be specified if the deliverable has already been reviewed

### *Document history table*

The deliverable template contains a history table:

For each new revision of the document that is issued, the table should contain the revision number, the date of issue and the description of the major changes with reference to the previous version. The description for the first document revision will contain the indication “First issue”, as included in the template.

The final version of the approved deliverable should contain the indication “Final version”.

### *Report contributors*

The table should be filled in with the names and the organisation of contributors. In addition, some key words describing the contribution should be added.

### *Table of Contents, List of Figures and List of Tables*

The template for deliverables contains a table of contents, showing all the sections and sub-sections included in the document, up to the third level, a list of figures and a list of tables. All tables/lists should be updated after the completion of the document. In case the document does not include any figure or tables, the list of figures and the list of tables should be removed.

### *Executive Summary*

The purpose of this section is to provide a synthesis of the main contents of the deliverable, giving a brief explanation for each of the main topics included in the document. It is important to give a detailed overview of the content of the deliverable as this will be read carefully by the S2R JU reviewers.

## **Agenda and Minutes of Meeting Templates**

The agenda and minutes of meeting templates first page should be filled in with the following information.

### **Meetings**

- Meeting type



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- Date
- Venue of the meeting
- Organizer
- Registered participants
- Purpose of the meeting
- Meeting agenda
- Downloadable documents
- Site access

## **Minutes**

- Meeting type
- Date
- Venue of the meeting
- Organizer
- Registered participants
- Purpose of the meeting
- Meeting agenda

In addition, the minutes contain the following information:

**Summary:** Following the structure of the meeting agenda, the summary sums up the results of the discussion in a concise way.

**Action List:** The action list summarises the actions which were decided upon in the meeting.

Partners are encouraged to use the Workflow Tool for handling the Actions in addition to include them in the Minutes of meetings.

## **Presentations**

The first slide of each presentation should be completed with the following information:

- Title of the presentation;
- Name (name of the author and name of the company or organisation to which the author belongs to);
- Occasion: Meeting type (i.e. WP meeting, SC meeting....);
- Date and Location of the meeting.

The following slide should contain a table of contents, briefly illustrating the main topics which will be considered during the presentation.

The template for presentation including Ter4Rail logo shall be used.



## 4. DELIV

### ERABLE REVIEW

During the project development, special attention will be placed on deliverables. According to Annex 1, deliverables are scheduled along the project and have to be submitted to the S2R JU at the end of each reporting period.

A successful submission of deliverables implies that, on the planned date of delivery, the document has been internally reviewed and uploaded onto the Workflow Tool. This internal review must be initiated 3 weeks before the final submission. As such, partners will upload a draft version 3 weeks onto the Workflow Tool before the planned date of delivery, ensuring a quality assurance on the format, the content and the time of submission. The deliverable should be uploaded onto the Workflow Tool with status "under review".

In order to achieve that objective, an automatic system of reminders for a timely submission for deliverables has been implemented in the Workflow Tool.

	Deliverable	Responsible	Reviewer 1	Reviewer 2	Submission	Draft Submitted
D1.1	A comprehensive map of rail innovative research and key rail stakeholders	FFE	UNEW	EURNEX	M6 (31.05.19)	M3
D1.2	Overview of the rail missions 2050	UITP	UNIFE	NEW-OPERA	M12 (30.11.19)	M6, M9
D1.3	Rail Innovative Research Observatory	UNIFE	UNEW	EURNEX	M24 (30.11.20)	M12, M15, M18, M21
D2.1	Delphi Study and paper	UNEW	UIC	FFE	M24 (30.11.20)	M4, M7, M13, M18, M21
D2.2	Report on the progression of the rail sector roadmaps	UNEW	UITP	UNIFE	M24 (30.11.20)	M7, M13, M18, M21
D3.1	Data and studies handbook	NEW OPERA	FFE	UNEW	M14 (31.01.20)	M6, M10
D3.2	Case studies report	UITP	UIC	UNIFE	M21 (31.08.20)	M14, M18
D3.3	Railways as beneficial for EU society report	NEW OPERA	UNIFE	FFE	M24 (30.11.20)	M14, M18, M21
D4.1	Plan for the dissemination, exploitation, and knowledge transfer of the project's results	UIC	EURNEX	FFE	M3 (30.02.19)	
D4.2	Data Management Plan	UIC	NEW-OPERA	UITP	M4 (31.03.19)	
D4.3	Knowledge transfer and exploratory research strategy	UIC	NEW-OPERA	EURNEX	M24 (30.11.20)	
D5.1	Project Management and Quality Assurance Plan	EURNEX	UNIFE	UITP	M3 (28.02.19)	



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The project coordinator, EURNEX, does the final quality check before official submission.

## **5. EXTERNAL PUBLICATION APPROVAL PROCESS**

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The dissemination of intermediate and final results of the project will be done continuously by flyers, brochures, posters, articles and presentations on different national and international conferences.

The publications approval of the activities of WP4 will be the following:

1. The Coordinator circulates the draft abstract of the publication to project partners;
2. Project partners send feedback to the Coordinator;
3. If there are no comments within 15 days from the date of circulation, the author is authorised to draft and finalise the publication.

The publication approval of individual initiatives by partners will be the following:

1. The document (flyer, brochure, poster, article, etc.) is approved within the WP;
2. The document is sent to the Coordinator;
3. The Coordinator circulates the document to partners
4. Partners send feedback to the Coordinator if there are no comments within 15 days before the publication deadline, the document can be published.

## **6. WORKFLOW TOOL**

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A Workflow Tool platform was created to support the work of the consortium members, it is a folder in a private Dropbox space. For access to the workflow, users are provided with a link attached to an email account. Beneficiaries who do not have access to the website can ask the Coordinator to get the link.

Beneficiaries are strongly encouraged to use the tool to share project information. The main functionalities that should be used by project participants are the following:

- upload and download documents (deliverables, minutes of meetings, agendas, presentations, Technical Annex, contact list, etc.)
- create and check meetings, find documents related to meetings and confirm attendance to meetings;
- add actions and check their current status.

An extended version of the risk table shown in the section 2.2.4 can be found in the Workflow Tool.

## **7. INTELLECTUAL PROPERTY RIGHTS (IPR)**

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In the context of TER4RAIL, foreground IPR is defined as any inventions (whether patentable or not) and applications thereof, patents, registered designs, copyright material including computer software, and technical knowhow and other information. Background IPR is defined as "pre-existing know-how" and only cover the "access rights" to it.



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#### Neither

foreground IPR that could emanate from the project, nor background IPR that could be needed for the project implementation such as previously collected data have been identified so far. In case of further identification of IPR issues related to foreground or background, handling procedures will be internally discussed.

To this end, the Exploitation Leader will manage all the IPR issues and, if needed, the Exploitation Leader will escalate issues to SC. No partner will exploit or disseminate any additional result (not included in the GA) emanating from the project unless there is an agreement amongst all partners for this information to be disseminated

If background IPR are needed during the project, access rights will be granted to project partners in need-to-know basis during project implementation, which will further elaborate on topics of ownerships, access rights, communication of knowledge, and confidentiality among others.