

Quality Assurance & Risk Management Plan

# openMIN7ED

Open Mining Infrastructure for Text & Data

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OpenMinTed

Open Mining INfrastructure for TExt and Data

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This document comprises the Quality plan for the OpenMinTed project. It documents the general quality policies, procedures and practices to be followed by partners throughout the duration of the project.



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# Acronyms

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PMB	Project Management Board
QARMTF	Quality Assurance and Risk Management Task Force
TM	Technical Manager
SC	Scientific Coordinator

# Publishable Summary

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This document comprises the Quality and Risk Management plan for the OpenMinTeD project. It documents the general quality policies, procedures and practices to be followed by partners throughout the duration of the project.

## 1| INTRODUCTION

### 1.1 Purpose

The quality plan sets out the quality practices for the project, the risk management plan and its purpose is to assure that the quality requirements are planned appropriately and adhered to throughout the duration of the project and proper actions are taken in case of risks.

### 1.2 Scope of Approval

The quality plan is to be used by:

- consortium partners
- internal quality experts of consortium partners
- persons in the project responsible for approving completed project work.

### 1.3 Procedure Description

One of the key aspects of management planning is quality planning. In preparing the quality plan all the requirements have been reviewed in order to determine the necessary activities that need to be planned.

The goal of the quality plan is to ensure that:

- contract requirements and conditions have been reviewed
- effective quality planning is in place
- quality system is appropriate for the project

### 1.4 Quality within the Project

This quality plan is applicable to all project related activities. Thus compliance with the quality plan is mandatory for all involved in the project.

The consortium quality policy is:

- to implement and maintain a quality system
- to identify for parties involved the responsibilities regarding quality
- to ensure that all deliverables comply with the contract
- to assure that all reporting and monitoring project activities as required by the EU are followed by all partners.



The activities that will be implemented in order to ensure that the project and its deliverables conform to quality requirements are:

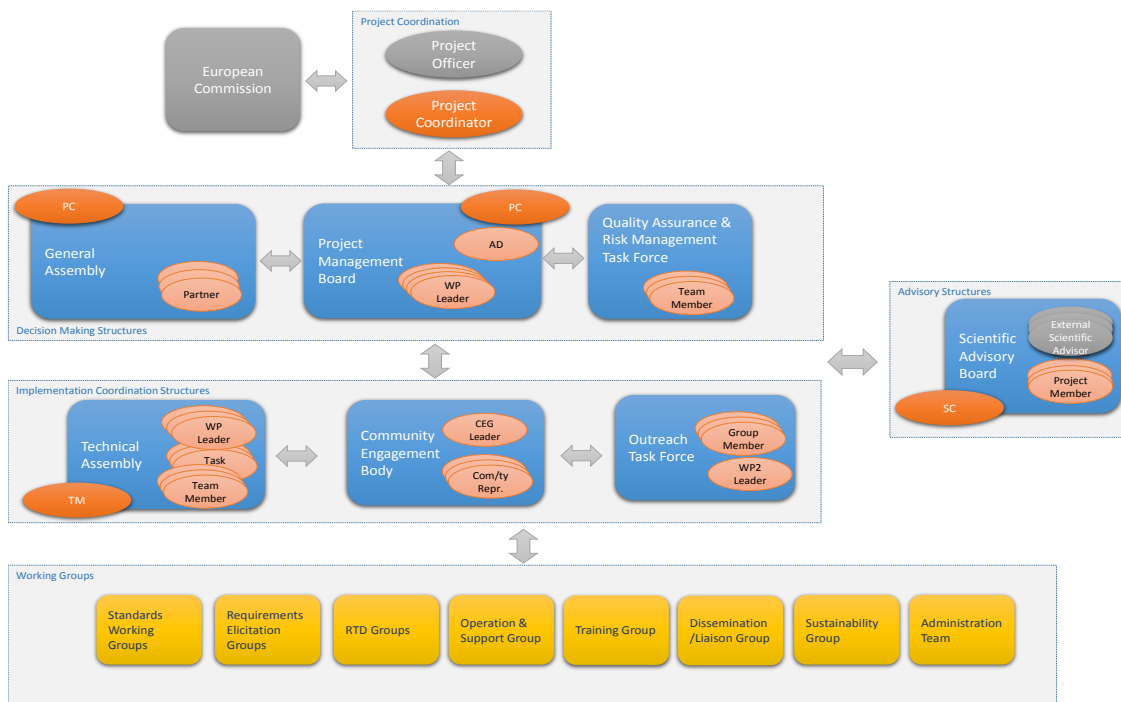
- management responsibilities
- quality system review
- document control
- internal Communication Strategies
- inspection and Testing
- deliverable control
- corrective and preventive actions
- internal quality audits

In subsequent sections we identify those responsible for ensuring successful completion of the required activities.

## 2 MANAGEMENT RESPONSIBILITIES

### 2.1 Overall Management Structure

The following picture shows the overall project management structure:



**FIGURE 1:Project Management Structure**

As the project covers a wide range of topics ranging from community engagement to requirements analysis to implementation and support, the need arises to collaborate and manage at levels that span several work packages. This generates four groups of bodies:

- At the top level, the **project coordination** is exercised by the Project Officer (EC) and the Project Coordinator. The Project Coordinator (PC) is responsible for unbiased and timely management of communication among the Project and the Project Officer (PO) and the Project and EC, under the advice of the PO.
- The *Decision Making Structures*, a set of three boards with an varying degree and authority to take decisions in the context of the project:
  - The **General Assembly** – The ultimate instrument of decision making and conflict resolution within the project.
  - The **Project Management Board** – The day-to-day management and decision making body.
  - The **QA and Risk Management Task Force** – The team that monitors and alerts on project progress and results’ quality.

As it can be seen OpenMinTed has established (very high in the management structure) a Quality Assurance and Risk Management Task Force.

## 2.2 Quality Assurance and Risk Management Task Force

The PMB and the GA are supported by the Quality Assurance and Risk Management Task Force. Members of the Task Force are:

- Natalia Manola (ARC)
- Lucie Guibault (UvA)
- Penny Labropoulou (ARC)
- John McNaught (UMAN)
- Nicolas Marianos
- Martin Kralinger

The QARMTF is responsible for:

- Validates the outcomes of the project (deliverables and milestones) against its plans and methodologies.
- Monitors the risks (requesting inputs by all project's members) and notifies the PMB and GA in case of serious deviation from plans.
- It has the authority to reject a deliverable, internal product or milestone achievement statement if it concludes that the artifact is not meeting the settled quality standards.
- It introduces and manages the list of deliverables' reviewers, which has to be confirmed by the PMB and manages the entire process of deliverables preparation up to the step of submission.

The QARMTF collaborates via email exchanges. In-person meetings are not planned and could be held only in exceptional situations.

## 2.3 Quality Assurance

The whole management structure and set of procedures around it are directed towards assuring the achievement of the high quality requirements settled for the project by its participants. The quality system applied in the OpenMinTed project is to be reviewed taking into account:

- results from project reviews
- formal internal deliverable reviewing procedure that guarantees the quality of the project's results.
- results from internal audits (if any)
- related corrective and preventive actions

- project staff adequacy for the tasks undertaken
- tight yet efficient internal collaboration instruments based both on modern technologies and traditional media.
- level of resource usage per category and adequacy of spent resources for the particular task
- formal interim reporting that monitors quality and progress of work

## 2.4 Risk Management

The objective of the risk management activity is to mitigate any risk that could potentially harm project's products and values. The activity is managed by the QARMTF and is supported by the PMB and all project members upon request or notification of the QARMTF.

The Task Force will define the process and techniques for the evaluation and control of potential risks, focusing on their precautionary diagnosis and handling. In the proposed methodology, the risk management process consists of two activities:

- Risk Analysis involves the identification of a risk, the assessment of its importance and the evaluation of whether the risk level is higher than the risk that could be accepted for the project. In case a risk exceeds the acceptable levels, a risk analysis activity is instantiated that defines the required actions in order to set the risk within acceptable levels.
- Risk Management involves the planning of the required activities to handle the risk, the re-distribution of resources, the evaluation of the results, as well as ensuring the stability of the new status.

Furthermore the QARMTF will oversee the identification and mitigation of internal risks and inform all related partners and project entities and will coordinate the escalation of issues, if necessary. It has to be noted that the identification of external risks lies primarily in the hands of the Project Management Board and the other working groups and is supported by the Scientific Advisory Board and the Technical Assembly. Potential external risks will be mitigated by following closely on technological and business development in the field as well as on pertinent regulatory issues. Particularly, continuous monitoring will be dedicated to the following risks:

- **Consortium is too large to be easily coordinated** - If this occurs the impact on the project will be significant. However the probability is low due to the experience of the partners and due to the fact that most partners have already cooperated successfully in similar e-Infrastructure projects.
- **Consortium Heterogeneity**—R&I projects consist of partners with different backgrounds, sometimes using different terminology. OpenMinTeD partners have already identified this risk. In order to circumvent this risk, OpenMinTeD has an experienced operations team that has a deep understanding of all issues and are able to resolve differences.

**Underestimation of the required effort** - This risk is handled by the WP leaders monitoring the planned versus actual effort required by each task. Indicators will be included in the periodic reports to the Project coordinator.

## 3 DELIVERABLES

### 3.1 Deliverable Control

To achieve the maximum quality of outgoing material signed on behalf of the project, a thorough procedure of reviewing will be established. Partners responsible for deliverables should agree the content and the contributions requested from other partners with the relevant work package leader. This has to be approved by the technical coordinator and the administrative coordinator to be informed.

Before its delivery to the European Commission, each deliverable after review within the WP, will undergo a Peer Review at the appropriate committee (EO or PSC). The review process should address:

- deliverable content thoroughness
- conformance with project objectives
- relevance
- methodological framework soundness
- quality of achievements
- quality of presentation
- deliverable layout, etc.

The EC deliverables review process is summarised as follow:

- For each deliverable the TM chairperson appoints a moderator (in practice by asking the manager of a Work Package other than the one producing the deliverable to appoint someone from the members of her/his Work Package).
- The moderator finds around two appropriate reviewers (that are not members of the Work Package producing the deliverable) - the moderator decides what "appropriate" means. The moderator himself can also review the document.
- External reviewers can be appointed if necessary and if a Non-Disclosure-Agreement is in place
- Other TM members are informed of the availability of the deliverable on the web and could send their comments to the moderator.
- The moderator is included in all the mail exchanges between the reviewers and document author(s) and arbitrates in case of controversies.
- The moderator tries to make the revision process converge in time for delivery.
- The moderator produces a final recommendation, and possibly presents the document to the PSC.
- After approval, the deliverable is submitted to PMB by putting it on the web. The PMB has five working days to react by mail.
- When the review process has been finished the document goes on the main OpenMinTed web with the word "**Approved**".

- Then the coordinator submits a copy to Brussels (project officer).
- The document can still evolve and the version number should reflect subsequent modifications. Simple modifications don't have to be reviewed. The moderator may decide that, if the document undergoes major modifications, it will have to be reviewed again.

According to the result of the review, the deliverable will be either approved or refused by the PMB or the TM for submission to the EU. The PMB is responsible for the final formal approval for submission to the European Commission.

If it is refused, the deliverable will be modified taking into account the remarks and then a new review is carried out.

## 4 DOCUMENT CONTROL

The Coordinator is responsible for ensuring that the documents are controlled effectively. This refers to:

- The control of document referencing
- The control of overall formal deliverable quality

### 4.1 Document Types

Project documents are as follows:

Document type	Responsibility	Periodicity	Template to be used
Deliverable	As in DoA (Part A)	As in DoA (Part A)	Deliverable template
Meeting Minutes	Technical Coordinator Scientific Coordinator Coordinator	As applicable	Uploaded in the project site
Progress report	WP leaders	Every six months	Technical progress report template
Periodic Activity report	Technical Manager Scientific Coordinator Coordinator	Each Reporting Period	Deliverable template and Commission guidelines
Periodic Management report	Coordinator	Each Reporting Period	As in grant agreement and Commission agreement
Financial statements	All partners	Each Reporting Period	Commission guidelines

### 4.2 Document Templates

In the site of OpenMinTed under documents for WP1 there are the templates for the:

- Deliverables
- Progress Reports

### 4.3 Deliverable Layout

All partners will use standard documentation templates in order to produce standardised documentation. These templates are provided in the Annex of this document.

Each document contains:

- a title page,
- a delivery slip table (for deliverables only),
- a publishable summary,
- a glossary if necessary,
- a list of applicable documents and referenced documents (with version and date for technical documents) if necessary,
- annexes if necessary.

All documents will be written in English and produced using word processing software from the list of tools described section 5.

The following table gives an overview of the main attributes of a document.

Attribute	Description	Title page	Other pages
Logo	OpenMinTed logo	X	X
Project Name	OpenMinTed	X	
Document title		X	X
Document identifier	As described in NEF	X	X
Date	Last update	X	
Partner(s)	e.g.: UniBi, KNUA, etc.	X	
Lead Partner	WP lead partner	X	
Author(s)	Document author(s)	X	
Version	e.g.: 1.0	X	
Work Package producing the document	e.g.: WP1: Project Management	X	
Dissemination	e.g.: PUBLIC	X	
Grant Agreement reference	654021	X	
Page number	p. 22		X



## 5 INTERNAL COMMUNICATIONS STRATEGIES

The main vehicle for information exchange within the project will be working papers, project meetings, workshops, and video conferences. The coordinator has set up an easy to use web based video conferencing facility that will be used for subgroup meetings. E-mail will be the preferred means of communication between the partners of the consortium.

Documents to be circulated between partners are as follows:

Technical progress reports

Activity and Management reports

Project deliverables

Prototypes

Formal cost forms

The main software standards to be used are as follows:

- Word processing: MS Word and/or Latex (Linux).
- Spreadsheet: MS Excel.
- Slides presentation: MS PowerPoint.
- Project Planning: Redmine teamwork.

The following formats will be used for exchanging documents:

- For documents type PPR (Project Progress Report): Word, Excel, PowerPoint
- PDF (need ACROBAT Writer to produce PDF format and ACROBAT Reader for reading)
- HTML

All official documents must be available in PDF format.

The Website has two separate areas:

- INTERNAL: The internal area is open only to the project collaborators.
- PUBLIC: The documents published in the Public area must be approved by the WP Manager responsible for the documents and then by the PTB.

## 6 INSPECTION AND TESTING

Final inspection and testing will be carried out on all items including

- Official project deliverables
- Prototypes and /or subsystems sent from one partner to another

It is the duty of each partner to ensure that the work produced is to a satisfactory standard.

When prototypes are produced, they will be tested for conformance to specification. All records will be held by the respective partner and are to be made available to the Technical Manager. The records are to show whether the prototype has passed or failed in the tests according to defined acceptance criteria. Procedures for non-conforming prototypes are to be implemented.

The record of all inspections and tests, are to be kept by the relevant partner and be available if applicable by the Technical Coordinator.

## 7 COOPERATIVE AND PREVENTIVE ACTIONS

If required, the steering committee may determine areas for corrective action investigation related to the general performance of a partner. This is to be documented by the technical coordinator.

The technical manager is also responsible for implementing and recording changes in procedures, resulting from corrective actions ie:

- Handling of all complaints,
- Reporting of non conformities
- Reporting corrective / preventive actions
- Ensuring that corrective action is taken and is effective
- Initiating preventative actions
- Ensuring that relevant information on actions taken is submitted for review.

The coordinator, scientific manager and the technical manager are responsible for resolving matters of complaint under this procedure, within their own areas of responsibility. All complaints are to be investigated and corrective actions have to be agreed. Complaints and corrective actions are recorded and all involved are informed of the action taken by the coordinator.

## 8 INTERNAL AUDITS

Internal audits may be carried out in special cases, when a problem of paramount importance arises. This will be performed on the corresponding site, where the problem appeared. All personnel listed below will have to be present to corresponding site:

- Coordinator
- Technical Manager
- Scientific Coordinator
- Members of the PMB that are most relevant to the problem under inspection.

All the findings of the internal audit will be documented by the Coordinator who will then issue corrective actions and arrange for follow-up actions. The results of the internal quality audits will be distributed to all partners related to the specific workpackage.

In all other cases, the progress of the project will be monitored through contacts with all the partners involved.

## 9 PROJECT REPORTING AND MONITORING

### 9.1 Partners Contributions

Contributions of partners to work packages, tasks and related deliverables are as provided in the OpenMinTed DoA and respective allocation of effort and responsibility.

### 9.2 Internal Management Reporting

Work package leaders communicate the status of progress in the respective work package to the appropriate chair (Scientific Coordinator, Technical Manager or Coordinator) in simple e-mail format at least every two months.

Work package leaders should submit a Technical Progress report to the SC every six months.

### 9.3 Reporting to the Commission

In addition to the formal project deliverables, the Coordinator (from contributions from all participants) should submit periodic reports and a final report to the Commission.

All reports and deliverables shall be submitted within 45 days following the end of the respective periods.

As it is specified in Annex II (of the Grant Agreement) the consortium should submit the following reports to the Commission for each reporting period:

- Periodic report
- Final report
- Certificate on the financial Statement where applicable.

The consortium should submit the following reports to the commission after the end of the project:

- Final report
- A report covering the wider societal implications of the project
- Financial report on distribution of the community financial contribution.