



Quality Assurance and Risk Management Plan

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1. Executive Summary

The deliverable D9.1 “Quality Assurance and Risk Management” includes guidelines and processes for the HEIDI project to ensure the quality of the project and to minimise risks. It also serves as a project handbook for the entire HEIDI consortium. It also explains the project management structure and various templates.

All this together should ensure that the HEIDI project can be managed and executed with the best quality and that risks can be identified in time and hence minimized.

Keywords: Quality Assurance, Risk Management, Handbook, Guidelines

2. Objectives

Quality Assurance and Risk Management within the HEIDI project is done by the coordinator team (VIF), with the help of the Strategic and Technical Steering Board (STSB) and the task leaders.

Within the task of Quality Assurance & Risk Management (T9.1) it is ensured that the project is managed and executed with good quality and lowest possible risk. To make this possible, processes and guidelines are established.

The deliverable D9.1 therefore explains various aspects such as the Project Management Structure, Communication & Document Management, Deliverable Review and Submission Process and the Reporting Process.

D9.1 therefore contributes to all HEIDI objectives. The aim is for the coordinator and the WP leaders to be able to monitor the quality and risks within the project and the project work and, if necessary, to react to problems at an early stage.

2.1 Quality Assurance

In order to guarantee quality in an international project with partners from different countries, it is necessary to establish guidelines and thus ensure quality assurance.

In the HEIDI project, guidelines where documents, help and instructions can be found have been created. This serves as a help for all partners, but especially as a support when new people join the project. Furthermore, various templates have been created to ensure consistent quality in all activities and especially deliverables.

2.2 Risk Management

In addition to the quality of a project, it must also be ensured that risks are monitored and therefore minimised. Risks were already identified in the proposal phase, and these must be prevented through good risk management.

Within the project, this role is taken over by the coordinator, together with the STSB. The deliverable process and the reporting process are described in this deliverable. At WP level, a status of the WPs is collected every month during the STSB meeting and thus also the risk status. In this way, any risks can be reacted to as quickly as possible.

3. Project Management Structure

The following chapter gives a brief introduction of the project management structure (PMS) and the tasks of the individual bodies. The entire PMS with its tasks and rights can be found in section 6 of the Consortium Agreement (CA).

The HEIDI project management structure consists of the following bodies that will be explained in more detail in this chapter:

- Project Coordinator (PC)
- Strategic and Technical Steering Board (STSB)
- Advisory Board (AB)
- General Assembly (GA)
- Work Package Leaders & Co Leaders
- Task Leaders & Co Leaders

3.1 Project Coordinator (PC)

The project coordinator in the HEIDI project is VIF. The coordination team consists of a technical coordinator and an administrative coordinator. As stated in the CA, the PC is the legal entity acting as the intermediary between the Parties and the Granting Authority. The coordinator shall, in addition to its responsibilities as a Party, perform the tasks assigned to it as described in the Grant Agreement and the corresponding CA. The PC has to report major issues to the STSB and the GA. The coordinator also acts as the central contact point for CINEA and the European Commission.

3.2 Strategic and Technical Steering Board (STSB)

The STSB is the supervisory body for the implementation and execution of the HEIDI project and is responsible for the scientific and technical coordination. The STSB also has accountability for the technical project results. It is expected to report and be accountable to the GA. The STSB consists of the PC and all Work Package (WP) Leaders. The minutes of the STSB meetings should be sent to the GA members for information after acceptance.

The **Chairperson** of the STSB is the Project Coordinator.

Periodic Meetings of the STSB have been established and will take place once a month.

3.3 Advisory Board (AB)

An Advisory Board will be appointed and steered by the GA. The AB shall assist and facilitate the decisions made by the GA. The AB will monitor the project and provide input with respect to stakeholder requirements. The AB members are allowed to participate in GA meetings upon invitation but have not any voting rights. Details about the AB can be found in section 6 of the CA.

3.4 General Assembly (GA)

The General Assembly is the ultimate decision-making body of the consortium. It consists of at least one representative of each Party (Member). Each member is authorised to deliberate, negotiate and decide on all matters stated in section 6.3.7 of the CA.

The **Chairperson** is the Project Coordinator.

Periodic Meetings will take place and will be held at least every six months.

The **meetings** of the GA shall take place face to face (F2F) if possible but may also be held by tele- or videoconference or any other telecommunication means.

In order to reach the **quorum** of the meeting, 2/3 of the GA members must be present or represented. If the quorum is not reached, the chairperson will convene another ordinary meeting within 15 calendar days. If in this meeting again the quorum is not reached, the chairperson will convene an extraordinary meeting which shall be entitled to decide even if less than the quorum of member is present.

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

3.5 Work Package Leaders & Co-Leaders

The WP Leaders and their Co-Lead are responsible for the implementation and completion of the WP deliverables and activities with the highest possible quality, within the budget and on time. They are responsible for the coordination and communication within the WP, which includes reporting, risk management and regular alignment meetings. The WP leaders are in charge of technical decisions within their WP. The frequency of WP meetings is decided by the WP leaders but are expected to take place regularly (at least once a month).

3.6 Task Leaders & Co-Leaders

The Task Leaders and Co-Leaders are responsible for the implementation and the delivery of high-quality results within the task. They are accountable for technical and non-technical decision on task-level but in close alignment with the WP leader.

4. Document Management

All documents are saved on the HEIDI SharePoint. This ensures that all partners have access to documents and are able to download/upload and edit them, simultaneously with multiple people.

4.1 Overall Guidelines

For all documents and presentations, the following points shall be respected:

- Language: UK English
- Spell Check
- Consistency Check
- Reference Check (Updated tables, figures, cross references, etc.)
- No comments left in document
- Always include Funding Acknowledgement and Disclaimer
- Use HEIDI templates (if available)
- Stick to the project identity guidelines (Logo, Colours, etc.)
- Do not share confidential information with parties outside the HEIDI project.

4.2 SharePoint Structure

All partners have access to the project SharePoint and can work simultaneously on all documents stored there. Figure 4–1 shows the current folder structure of our SharePoint.









	Name ▼
	01_Proposal
	02_Contracts
	03_Meetings
	04_Project Work
	05_Administration
	06_Project Results
	07_Reporting

Figure 4–1: Folder Structure

4.3 HEIDI Templates

To ensure the quality of the HEIDI project, templates for deliverables, review of deliverables and PowerPoint presentations have been created. They are stored on SharePoint and can be found under [05_Administration ->02_Templates](#).

4.4 Naming Conventions

4.4.1 General Documents

For general Documents, the following naming conventions should be respected:

HEIDI_Title_vX.X.doc/pdf/xls...

The document name should always include the project acronym, the title/short description of the document, the version, and the file extension.

4.4.2 Deliverables

The naming of deliverables should be as follows:

HEIDI_DX.X_Title_vX.X.doc/pdf...

Once the deliverable is final and submitted, the vX.X term is replaced with *final*.

5. Communication

The following chapter provides an overview of all internal and external communication guidelines and processes.

5.1 Internal Communication

5.1.1 Guidelines

When sending emails to the consortium or the PC, the following points shall be respected:

- Always include **HEIDI** in the subject line of your mail. This way, email tracking is possible, and the project partners know immediately which project the mail concerns.
- Please use the contact list provided on SharePoint: [05_Administration -> 01_Contact List](#). This list is always kept up to date by the coordinator.

Communication with the **Project Officer (PO)** is only done through the coordinator. Partners should not send any emails to the granting authority related to HEIDI.

5.1.2 Meeting Plans

The following table shows the planned meetings for HEIDI. The Kick-Off meeting as well as GA meetings and review meetings are planned hybrid (F2F and online), but F2F participation is appreciated. Joining online should, nevertheless, always be an option, as it ensures that all partners can join, keeping also the cost and environmental aspects in mind.

Table 5-1: Meeting Plan

Meeting	Mode	Date/Frequency	Involved Partners
Kick-Off Meeting	Hybrid	04. & 05. October 2022	All
General Assembly	Hybrid	2 per year/ every 6 months	All
Review Meetings	Hybrid	2 during project run-time	Selected partners
STSB Meetings	Online	Once a month	All WP- & Co Leaders
WP Meetings	Online	Once a month	WP partners

5.1.3 Minutes of Meeting (MoM)

Minutes of Meeting (MoM) are written for all meetings. The responsible notetaker is assigned before each meeting. After the meeting, the MoM are sent to the consortium or WP partners and uploaded to SharePoint. Each minute must include the persons who participated. For meetings in presence, a list to sign for each day is provided by the organiser of the meeting. MoM and a list of participants are also required for online-only meetings.

5.2 External Communication

5.2.1 Dissemination & Communication Activities

All partners are expected to participate in dissemination and communication activities during the project lifetime. The partners have to inform the coordinator about any activities and should also enter the planned activities on the specially created SharePoint list "*Dissemination Activities*". All activities should be in line with the Dissemination & Communication plan and follow the project identity rules. The activities are published on the project website and are part of the periodic reports.

5.2.2 Approval Process for Publications

Before submitting any publication, the coordinator and the consortium has to be informed. Details on the release and approval process for publications are stated in section 8 of the CA.

Notice of any planned publication shall be given to the consortium 30 calendar days before the publication. Any objection to the planned publication has to be made within 20 calendar days after receipt of the notice. If no objection is made within this time frame, the publication is permitted.

5.2.3 Horizon Europe Rules for Communication, Dissemination and Visibility

As stated in the Grant Agreement, specific rules for communication, dissemination and visibility have to be considered.

The Funding Acknowledgment always must be included:

- **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. 101069538.”*
- **For promotion material:** *“This project has received funding from the European Union’s Horizon Europe research and innovation programme under grant agreement No. 101069538.”*
- **For patents:** *“The work leading to this invention has received funding from the European Union’s Horizon Europe research and innovation programme under grant agreement No. 101069538.”*

Further, any communication and dissemination activity has to include a disclaimer:

“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, the EU emblem should be included (whenever possible). The emblem should not be modified in any way. Please use one of the following logos:



Figure 5–1: EU Dissemination Logos

6. Deliverable Review and Submission Process

Two general guidelines must be followed by all HEIDI partners:

- Always use the provided deliverable template (do not create new ones)
- Upload of deliverables to the EU portal is only done by the PC (VIF).

6.1 Assignment of Deliverable Responsible

The WP & Co Leaders are responsible for appointing the deliverable leaders. In most cases, the task leader of the respective task takes responsibility for the deliverable. However, it is up to the WP partners to appoint a responsible person. The person in charge of the deliverable must be communicated to the coordinator.

6.2 Assignment of Reviewers

Each deliverable should be reviewed by at least two reviewers who have not worked on the deliverable itself. The person responsible for the deliverable may choose the reviewers. Once the reviewers are appointed, they must be named to the coordinator.

6.3 Review and Submission Process

In order to ensure that the quality of deliverables is the same, a deliverable review and submission process has been set up:

- Two Months before the Deliverable is due, a reminder will be sent to the deliverable responsible by the coordinator.
- Once a review version is available, the deliverable responsible will send it directly to the reviewers. A deliverable review template is available on the HEIDI SharePoint.
- After the review is completed, the deliverable responsible will incorporate the feedback and send the updated and final version to the coordinator for the formal check.
- Once the coordinator as finished the formal check, he uploads the final version to the EU portal.
- The final version is also uploaded to SharePoint in the deliverable folder of the respective WP and additionally it will be attached as pdf to the respective deliverable in the SharePoint "*Deliverables Overview*" list.

6.4 Delay in Submission of Deliverables

If, for whatever reason, the deliverable is not ready in time and can therefore not be submitted on time, the coordinator must be informed as soon as possible. The PC should then inform the PO and ask for a postponement of the deadline.

For deliverables that are submitted late, the deliverable responsible must provide an explanation of why it is being submitted late and what effect this will have on further activities.

7. HEIDI Reporting Process

The following chapter provides an overview of all internal and external reporting guidelines and processes.

7.1 External Reporting

The external reports will be submitted to the European Commission by the coordinator after the end of each period defined in the Grant Agreement:

- 1st Reporting Period: M1-M18
- 2nd Reporting Period: M19-M36

7.1.1 Duties of the Coordinator

The PC will produce a progress report based on the information from each partner, Task & WP leader. After the final check, the coordinator will submit the report to the funding authorities.

7.1.2 Duties of the Work Package Leaders

The WP Leaders collect all WP-relevant information and compile them together into a WP report.

7.1.3 Duties of the Task Leaders

The Task Leaders provide a summary of the respective task, based on the information of all partners involved.

7.1.4 Duties of the Partners

Each partner must submit its contributions and efforts as well as a cost statement. The financial reports are entered directly into the EU portal by the partners themselves. If the partners do not fill in the financial statements, the costs for this period will be considered as "zero".

7.2 Internal Reporting

Internal reporting documents do not need to be submitted to the funding authorities. However, they are the basis for continuous reporting and help to identify deviations early on, even during the reporting period, and thus to react as quickly as possible.

7.2.1 STSB Meetings

As already described in chapter 3 of this deliverable, the members of the STSB are responsible for the technical and scientific coordination. Within the framework of the STSB meetings, the WP statuses are regularly queried. This gives the coordinator a monthly overview of any risks at WP level.

7.2.2 9-Month Progress Report

In addition to the regular STSB meetings, the consortium has decided to do an internal reporting of all partners every 9 months. In this reporting, the partners have to report their efforts and any deviations. Templates for this reporting will be provided to the consortium by the coordinator.

8. Conclusion

This deliverable D9.1 acts as a project manual for the entire HEIDI Consortium. It describes all guidelines and processes that should be followed by each partner. The basis for this deliverable is the CA signed by all partners.

The aim of this deliverable is to ensure the high quality of the HEIDI project and to minimise risks.

The deliverable is a basis for all processes and will be updated regularly throughout the project duration, when needed.

9. Abbreviations

Term	Definition
AB	Advisory Board
CA	Consortium Agreement
EU	European Union
F2F	Face to face
GA	General Assembly
HEIDI	Holistic and adaptive Interface Design for human-technology Interactions
MoM	Minutes of Meeting
PC	Project Coordinator
PO	Project Officer
PU	Public
R	Document, Report
STSB	Strategic and Technical Steering Board
WP	Work Package