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## D-RAIL

Collaborative Project (CP)

DR.D9.1

Project management plan and quality assurance

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Final

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### Dissemination Level

**PU** Public

**PP** Restricted to other programme participants (including the Commission Services)

**RE** Restricted to a group specified by the consortium (including the Commission Services)

**CO** Confidential, only for members of the consortium (including the Commission Services)

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## Glossary

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<b>Abbreviation / acronym</b>	<b>Description</b>
CA	Consortium Agreement
CFS	Certificate on Financial Statements
Cordis	Community Research and Development Information Service
DDP	Deliverable Development and validation Plan
DoW	Description of Work
EC	European Commission
FS	Financial Statement
GA	General Assembly
GPF	Grant Preparation Forms
SC	Steering Committee
IPR	Intellectual Property Right
S&T	Scientific and Technical
WG	Working Group
WP	Work Package

# 1. Executive Summary

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This document describes the project management and collaboration plans within the D-RAIL project and provides information on the tools to be used. It has been created as a support to the consortium with the main goal to facilitate the collaboration between partners and ensure that EC requirements are respected. In this sense, this document complements all other important documents like the EC Grant Agreement and its annexes, the Consortium Agreement and the various EC guidelines, which, in case of conflict or uncertainty, supersede this document.

After a short presentation of the project management structure, this document presents the different guidelines and procedures in seven separate sections: internal communication, external communication and publications, reporting and reviewing, production of deliverables, document management, meetings and financial management and accounting. These sections have also been posted separately on the D-RAIL collaborative platform (internal website), in order to facilitate the access and reading of each section. The structure and functionalities of the internal website itself, the major collaboration and coordination tool, is described in more detail in the deliverable D8.1.

The highest decision-making body in D-RAIL is the Steering Committee (SC). It is composed of two Infrastructure Managers, two Freight Operators, three industries and UIC. In addition, the coordinator, project manager and representative(s) from the project office will be present at the SC. The SC supervises the execution of the project. The General Assembly (GA) is a consultative body. The Chairperson of the SC is agreed by the members of the SC. Unless decided otherwise, all meetings of the GA is chaired by the Coordinator.

For internal communication, the D-RAIL partners will extensively use electronic means, such as e-mail and the internal website (UIC Extranet) as well as telephone and video conferencing.

For the external communications, the D-RAIL partners shall notify the other concerned partners before disseminating / publishing any information outside the consortium. Recognition that the project is being partially funded by the EC should be acknowledged in a standard way in all publications. A special folder on the website is dedicated for this purpose.

Progress monitoring will be done through various means. The consortium should submit a periodic activity report and Financial Statements at the end of each reporting period (M18 and M36) to the EC. At the end of the project, an additional final report should be submitted, including a publishable summary on activities, a plan for disseminating and using knowledge and a report, covering the wider implications of the project for infrastructure managers and possible clients. A questionnaire designed to seek the input of interested parties and to spread awareness will be included.

Beside EC reporting, partners will provide internal reporting (one to two pages) on a nine-monthly basis at mid-term of each contractual reporting period (M9 and M27). Internal reporting will be presented in both the following:

1. A Progress report per WP and associated deliverables presented during physical SC-meetings.
2. A Financial view of expenditures per partner in form of a written report including estimated budget and efforts consumption.

Project deliverables, representing the results of the project, together with EC reporting provide the basis for the release of payments. The Project Office has defined a specific deliverable production process to assist all partners with this process and to facilitate prompt payments. The S&T Coordinator will supervise the process to ensure the scientific and technical quality of the deliverables. The list of deliverables can be found in the DoW and on the D-RAIL internal website within the [Deliverables](#) Section.

Documents in the project should follow the same formatting and naming rules. . Templates created by the Project Office, are available on the project internal website and it is recommended that all partners make use of these templates to ensure consistency.

Project and WP meetings should have an agenda followed by minutes, which should be sent to participants for comments and validation within 15 calendar days of the meeting. Approval of minutes is completed at the next scheduled meeting.

Finally, as mentioned above each partner should provide Financial Statements at the end of each reporting period. If the requested cumulated funding exceeds 375 000€, a Certificate of Financial Statements should be provided. The Project Office will organise the collection of Financial Statements and Certificates and provide templates for completion.

Payments will be made by the Coordinator to the partners on receipt of EC payments and following the decision of the EB in relation to completion of work and/or timely submission of project deliverables.

Project accounting may be based on each partners' own accounting system, but a distinction between direct and indirect costs should be evident. Each partner is responsible for ensuring that all costs being claimed are eligible and comply with the EC Grant Agreement and "Guide to Financial issues relating to FP7 indirect actions" available on the [D-RAIL internal website](#) and the [Cordis website](#).

## 2. Introduction

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The Project Management will respect requirements that are inherent to inter-organisational collaboration, including the following:

D-RAIL partners are collaborating to achieve a common objective, to share experience and know-how and to develop results using complementary skills.

Work will be organised and planned in a result-driven way. A common structure – kept up-to-date – will be established to ensure that interactions between partners working at a distance are efficiently planned for and followed up according to the flow of results. The internal organisation of each partner is a matter for each partner to decide (providing commitments are met).

Collaboration between participants is largely based on consensus within the various decision-making bodies. Therefore, organisational structure and rules for making decisions need to be clearly defined. Similarly, these practices will be applied to publication policies.

The success/effectiveness of meetings between Partners is critical to the progress of work. An inconclusive meeting can cause serious delays, risks and costs.

This document presents a range of guidelines and procedures which aim to optimise the various management tasks and collaboration between partners in the D-RAIL project.

A brief outline of the organisational structure is followed by a set of guidelines and procedures that D-RAIL management and partners will apply in their collaboration.

Please note that the content of this document should be considered as a complement to other official documents that define management responsibilities: the EC Grant Agreement and its annexes, the Consortium Agreement and the various EC guidelines, available at the Cordis website and at *the D-RAIL internal website*.

*The terms and provisions of the EC Grant Agreement (and its annexes) and the D-RAIL Consortium Agreement will prevail in the event of any inconsistency with recommendations and guidelines defined in this document.*

### 3. Organisation and decision-making bodies

D-RAIL has set up a management structure that distinguishes between decision making, operational management, and advice.

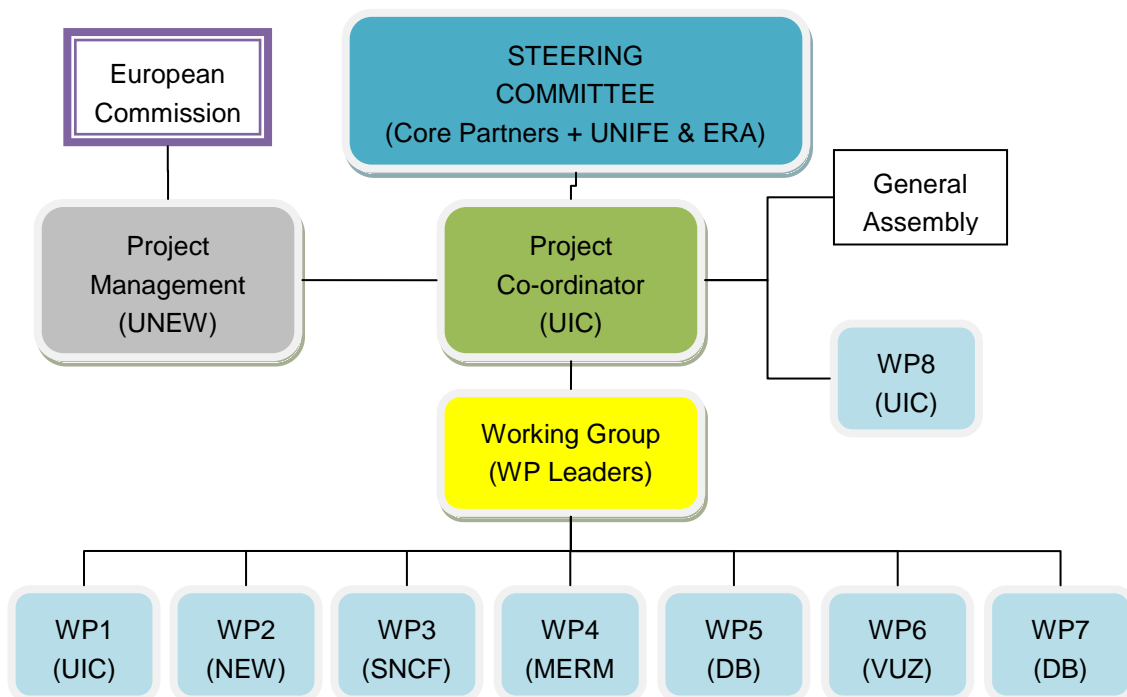


Figure 1 shows the governance structure

All partners are represented in the General Assembly (GA), which is a consultative body in D-RAIL. The Steering Committee (SC) has a strategic role that will include deciding on allocation of project budget and major changes in WPs. It is composed of representatives of the core partners, namely: UIC, two IMs, two freight operators and three industrial partners. See more in DoW Annex 1 part B.

The D-RAIL project is jointly coordinated by Newcastle University and Union Internationale des Chemins de Fer (UIC).

The WP-leaders coordinate the work of a scientific/technical area, maintaining good communications within the WP and with the Project Coordinator. Each WP has an assigned WP-leader and one (or several) assigned person(s) responsible for the operational work.

Each WP is composed of a set of Tasks. The Task level coordination is ensured by the Task-leaders, appointed in the project proposal, details of which are contained in the DoW. The Task-leaders: ensure the task internal S/T coordination; are responsible for the preparation of deliverables; are responsible for the information flow within the task and to the WP-leader, to whom the Task-leader reports.

The roles of the operational bodies and advisory groups were presented at the D-RAIL kick-off meeting and are described in the Description of Work.

## 4. Internal communication

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D-RAIL will primarily employ electronic methods as a means to facilitate communication and exchange of information between the D-RAIL project partners.

### 4.1 Internal website

A password-protected internal website dedicated to the project has been set up at the following address: <http://D-RAIL-project.eu/>

The website will be used as a:

Virtual work space supporting information exchange and collaborative work on documents, such as project reports and deliverables

Project archive for all information relevant to the project and documents produced by the project

On-line coordination, planning and project monitoring tool.

The website maintenance and administration will be provided by UIC and the Project Office.

**Work Package Leaders** are responsible for up-dating and maintaining the content of specific Work Package Web Folders.

The interface, structure and functioning of the website is described in Deliverable D8.1.

### 4.2 E-mail / mailing lists

To ensure best practice in the use of e-mail communications, and to avoid any unnecessary proliferation of e-mails, all partners are encouraged to:

Keep partners well informed about matters that are relevant for them, using the dedicated directories available on the internal website.

Avoid unnecessary "broadcasting," – for example only send messages to the D-RAIL Partners directory for important information of relevance to all partners. Avoid sending unnecessary copies to partners/persons not involved.

If reception of the e-mail needs to be acknowledged, this must be specifically requested in the e-mail.

The "Subject" of each e-mail should follow the convention: "DR-AAA-Subject", as explained below:

Start the subject of all e-mails using the abbreviation "DR" for D-RAIL

AAA can represent one of the following:

Work Package – eg WP1, WP2, WP1.1 or may represent one of the

D-RAIL body eg SC for Steering Committee, EC for European Commission, GA for General Assembly.

ADM for purely administrative information and OT for other

Subject: a short description of the subject of the e-mail

To facilitate communication between the D-RAIL partners, the following directories have been created on the D-RAIL website:

- The Project Office (UNEW)



- D-RAIL - All partners
- the Steering Committee members
- WP 1
- WP 2
- WP 3
- WP 4
- WP 5
- WP 6
- WP 7
- WP 8 and WP 9

Further lists can be created upon request.

These distribution lists should be used by all instead of self-managed lists in the users' email application to ensure all concerned partners receive the emails.

These lists are regularly updated by the Project Office. The Project Office will also maintain an up-to-date overview of the Directory (i.e. the list of members) at the D-RAIL internal website.

All partners have the responsibility to inform the Project Office of any changes to email addresses and to ensure that requests for individuals to be added or removed, etc are made promptly. The importance of maintaining up-to-date mailing lists and directories is reflected in the fact that it will be a standing item on the SC agenda.

## 4.3 Teleconferencing and Videoconferencing

Teleconferencing is a powerful tool for organising short meetings and is encouraged.

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

the meeting should be limited to a small number of participants;

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 (at least the time required for reading those documents + a couple of days);

teleconferences should be limited in time to ensure the participants full attention;

as with face-to-face meeting, minutes summarising the decisions and actions should be prepared after the teleconference.

**Note: Telephone conferences** with up to 3 partners are possible from many telephones without the need for specialist equipment. For larger telephone conferences (ie with greater than 3 participants) it is suggested that a "teleconference" is booked – for example with a national telephone company who will provide a number which may be distributed to participants. Where required the Project Office, WP and Task Leaders will organise telephone conference meetings in relation to D-RAIL matters (eg find a suitable date, book a teleconference number etc). This will include the setting up of other associated tools such as WebEx - an online facility for sharing Power Point presentations.

Videoconferencing: is being more widely used to complement teleconferencing resulting in an increase in the efficiency of remote collaboration. D-RAIL partners are strongly encouraged to use videoconferencing as appropriate. The Project Office can provide WebEx sessions and support upon request.

**Consortium details on the D-RAIL internal website**

The [D-RAIL Directories](#) on the D-RAIL internal website contain the contact details of all persons involved in the project. The members of the various management bodies (GA, SC etc.) are also listed. At each Steering Committee meeting the list will be reviewed for accuracy. Work-Package leaders are responsible for informing of any changes needed as and when those changes occur by informing the Project Office.

## 5. External communication and publications

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### 5.1 Dissemination of foreground (publication)

For the purpose of this document and in relation to the D-RAIL project the term “Foreground” refers new knowledge/results generated in the project. Before disseminating of “Foreground” material related to the D-RAIL project outside the consortium, e.g. through a publication or a conference talk, partners must seek the consent of the involved partners in relation to the publication of this “Foreground.”

Before disseminating Foreground partners are requested to comply by with following rules:

- At least 20 days prior notice of any dissemination activity (including publications) shall be given to other involved partners concerned, including information concerning the planned dissemination activity and data.
- Following notification, any of those partners may object within 10 days, if it considers that its legitimate interests in relation to its foreground or background could suffer disproportionately or that harm may be caused. In such cases, the dissemination activity may not take place unless appropriate steps are taken to safeguard these legitimate interests.

The following Notification Procedure should be followed:

- 1) The partner wishing to disseminate Foreground should first inform the Coordinator and the Project Office about the planned dissemination.
- 2) The Project Office (WP9) will assist the partner to prepare and send an e-mail D-RAIL partners, which will include a summary of the intended dissemination.
- 3) If a partner has an objection to the dissemination, he/she should send an e-mail to the disseminating partner and “cc” the Coordinators and the Project Office. The e-mail should contain a justification for the objection and should clearly reflect details of how the objecting partner’s legitimate interest is harmed. The objection can include:
  - a request to cancel the dissemination
  - suggested modifications of the dissemination
- 4) If no objections/ modifications are requested by other partners within the 30 day deadline (per the usual Consortium Agreement clauses), the dissemination is considered validated and the dissemination may be made.

**In all external communications, the following statement acknowledging EC funding should be used:**

***“The research leading to these results has received funding from the European Community’s Seventh Framework Programme [FP7/2007-2013] under Grant Agreement n°285121.”***

Additionally, the contribution made by each of the partners must be indicated.

Articles/Papers published about and presentations made on D-RAIL should be forwarded to the Project Office who will make them available for information via a dedicated folder on the internal website.

## 5.2 Communication with the EC

The Project Coordinator is the **ONLY** official interface to the EC. All formal exchanges of information relative to D-RAIL with the EC should therefore be handled through the Project Coordinator or when officially delegated, through the Project Office.

## 5.3 Confidentiality

Confidentiality of all information identified as “confidential” (either orally or in writing) must be assured in all external communications, as outlined in article II.9 of the Grant Agreement.

## 6. Reporting and reviews

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The European Commission performs control of project progress essentially through three means:

Periodic reporting

Deliverables that are major project results

Project Reviews

The Management and Quality Control Procedures in relation to the production of deliverables and EC project reviews are described in the sections below.

Additional internal reporting is necessary to monitor project progress and identify potential problems and risks at an early stage. Internal reporting formats closely resemble the EC reporting formats in order to facilitate reuse of existing information and to not overburden partners with additional administrative work.

### 6.1 EC periodic reporting

The D-RAIL project is divided into two main reporting periods (including financial and technical) of the following duration:

Period 1: from M1 to M18

Period 2: from M19 to M36

EC periodic reporting will be prepared by the project partners and the WP leaders. The Project Office will assist with the consolidation of and the quality assurance of reports. Reports will include the following documents:

- deliverables identified in the Description of Work
- an overview, including a publishable summary, of the progress of work towards the project objectives, including achievement and attainment of any deliverables and milestones identified in the Description of Work
- an explanation of the use of resources
- a Financial Statement (Form C) from each partner (see also section 10.1)
- a Certificate of Financial Statement (CFS) provided by an external auditor or qualified public officer for cumulated requested funding over 375 000 Euros (see section 10.2).

Reports are due 60 days after the end of each reporting period. Thus, in D-RAIL, the reports are due no later than:

30 May 2013 (due date of 1 April 2013 plus 60 day period)

29 November 2014 (due date of 1 October 2014 plus 60 day period)

### 6.2 EC final reporting

At the end of the project, the consortium will provide a final report comprising the following:

- A final publishable summary report covering results, conclusions and socio-economic impact of the project.
- A plan for use and dissemination of foreground material.
- A report covering the wider implications of the project for infrastructure managers and possible clients, in the form of a questionnaire, including efforts to involve other key stakeholders with the overall intent to spread awareness.

The reports should be provided within 60 days following the end of the project, i.e. 29 November 2014.

## 6.3 Project internal reporting

As the EC contractual reporting covers relatively long periods (18 months each), additional internal reporting is required to monitor project progress.

An internal reporting system will be established with the aim to:

- facilitate the follow up of project progress by the D-RAIL Coordinator and the SC,
- identify and solve problems proactively and ensure that the common goal of the project is being reached,
- make the EC periodic reporting run more smoothly.
- 

Internal Reporting will be carried out mid-term of each reporting period (for example M9 and M27) and will include the activities of the last nine-month-period. The report shall be kept to a maximum of two pages and focus on key aspects related to the progress of the project.

It will contain two parts:

- Progress of work for each partner per work package , including:
  - objectives of the period
  - activities carried out
  - status of deliverables
  - dissemination activities, including scientific publications
 These figures will be presented during physical SC-meetings.
- Estimated budget and efforts consumption per partner in the form of written reports.

All report templates will be sent out by the Project Office and will be available on the D-RAIL internal website in the section "[Common documents – 04-Templates](#)".

## 6.4 Project reviews

As described in the DoW, two official Commission-initiated external project reviews are planned at the end of M18 and M36.

Event	Date	Venue and hosted by
Project review 1	M18 (April 2013)	To be decided
Project review 2	M36 (October 2014)	To be decided

The objectives of the project reviews are:

- to demonstrate project progress against milestones and deliverables foreseen by the EC Project Officer and the Project Reviewer(s);
- to demonstrate achievements through presentations, demonstrations, etc.;
- to present plans for the next period;
- to rationalize possible modifications to initial D-RAIL objectives/planning to the Project Officer and the Project Reviewer(s).

These reviews are the **most important events** in the continuous evaluation process made by the EC for the following reasons:

- it is the main opportunity for evaluating the project;
- it is the only occasion to present to the EC detailed project results and to discuss project progress;
- it is a real opportunity to demonstrate the cohesion of the consortium and the commitment of the partners to achieve the project objectives.

Following each review, the reviewer(s) will provide an evaluation of the project in a review report which may include recommendations for the future of the project. The review can lead to:

- a continuation of the project with minor changes;
- a continuation of the project with significant changes requiring a complete revision of the DoW and organisation of the project,(most often delaying payments from the EC);
- an immediate termination of the Grant Agreement in the case of severe breach of contract (e.g. scientific fraud) and misuse of resources.

As a consequence, these official reviews are of significant importance, necessitating careful preparation, given the potential impact on contractual relations and arrangements with the EC.

## 7. Production of deliverables

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### 7.1 What is a deliverable?

A deliverable is the significant result of the project which most often is presented in the form of a report. Deliverables are the evidence of work and therefore linked to the release of the payment. If the deliverable is not in the form of a written report, the consortium must provide written proof/evidence to the EC that the 'deliverable' has been delivered. The D-RAIL consortium is contractually bound to submit to the EC the deliverables listed in section A WT2 "List of Deliverables" of the DoW within the specific time frame. This list is available on the D-RAIL internal website in the section [Deliverables](#). Each deliverable has a reference number, title and leader as indicated in the DoW.

A template for deliverables is available on the D-RAIL internal website. This template must be used to ensure consistency in format and basic content across the project.

### 7.2 Deliverable structure

A deliverable can be divided up into 6 main parts:

<b>Introductory pages</b>	D-RAIL deliverable standard cover page, glossary, table of contents and list of figures.
<b>Executive summary</b>	This section should be a synopsis, or general overview, summarising the content of the document (in general, 1 to 2 pages).
<b>Full description of the approach and results</b>	This is the main part of the deliverable and should explain clearly how the results were achieved, including diagrams or pictures to illustrate technical/scientific points.
<b>Conclusion</b>	This section should be a summary of the major outputs of the deliverable (in general 1 to 2 pages but depending on the extension of results to be reported on).
<b>Bibliography</b>	A list of documents, publications and other key references relevant to the deliverable.
<b>Annexes with additional information</b>	This part can remain confidential and thus not be delivered. This will allow deliverables to be public without conflicting of confidential material.

### 7.3 Deliverable quality

Both the content and form/style of the deliverable will be reviewed before dissemination. Drafts must be forwarded for review providing time for reviewers to proof read and provide feedback and for sufficient time for updates to be made in order to meet the deliverable deadline.

- **Content:** The lead participant is responsible for the quality of the deliverable. An internal technical validation is performed by the WP Leaders and supervised by the S&T Coordinator. The purpose is to ensure that the technical/scientific content is of a satisfactory professional quality, and that it reflects precisely the work completed and meets expectations. The internal validation process uses criteria relating to the completeness of the description, level of detail, technical correctness, references, etc. An additional external review on selected deliverables will be carried out as and when these are deemed to represent key results from the project. See chapter 8 for more details. The external review process will begin once the deliverable has been submitted to the European Commission.



On occasion the external review may result in a new version of the deliverable being submitted to the Commission.

**Form/style:** An internal quality validation process will be performed by the D-RAIL Project Office to ensure the deliverable development and validation process defined in this document has been properly implemented. Criteria will relate to the document structure and layout, style, spelling and consistency of the language, etc.

## 7.4 Delivery status tool

An excel file will be used to follow the delivery status of the contractual deliverables.

In this excel file, each deliverable will, at any given moment, have a delivery status described by one of the following statements:

Status	Description
Done	Done but deliverable not yet approved
Delivered	Reviewed and approved by S&T Coordinator and sent to the EC
Externally reviewed	Reviewed and approved by S&T Coordinator after being externally reviewed and sent to the EC
Delayed	Initial deadline will not be met
Cancelled	The deliverable has been cancelled
Merged	The deliverable has been merged with another deliverable

## 7.5 Levels of confidentiality and dissemination

Each deliverable has a predefined code (described below and identified in the DoW -see section A WT2 "List of Deliverables") identifying its level of dissemination, ranging from the smallest to the widest audience. The code is recorded on the cover page of each deliverable:

CO = Confidential, only for members of the Consortium (including the EC)

RE = Restricted to a group specified by the Consortium (including the EC)

PP = Restricted to other programme participants (including the EC)

PU = Public (All PU deliverables will only be publicly available after securing publication or IP rights.)

## 7.6 Deliverable development and validation process (DDP)

Before beginning the deliverable, a draft - defining the structure and expected contributions from each of the contributors - will be provided by the Deliverable Leader. The draft will contain a clear indication of:

Table of Contents

The Lead Participant for the deliverable

Contributors per chapter and section

A specific timetable for the deliverable development, setting deadlines for:

- Submission of contributions
- Production of the first draft (version 0.1)
- Internal review (partners' comments)
- Production of further version/s of the draft (versions 0.x)
- Quality check

- Final validation, production of copies and submission to the Commission.

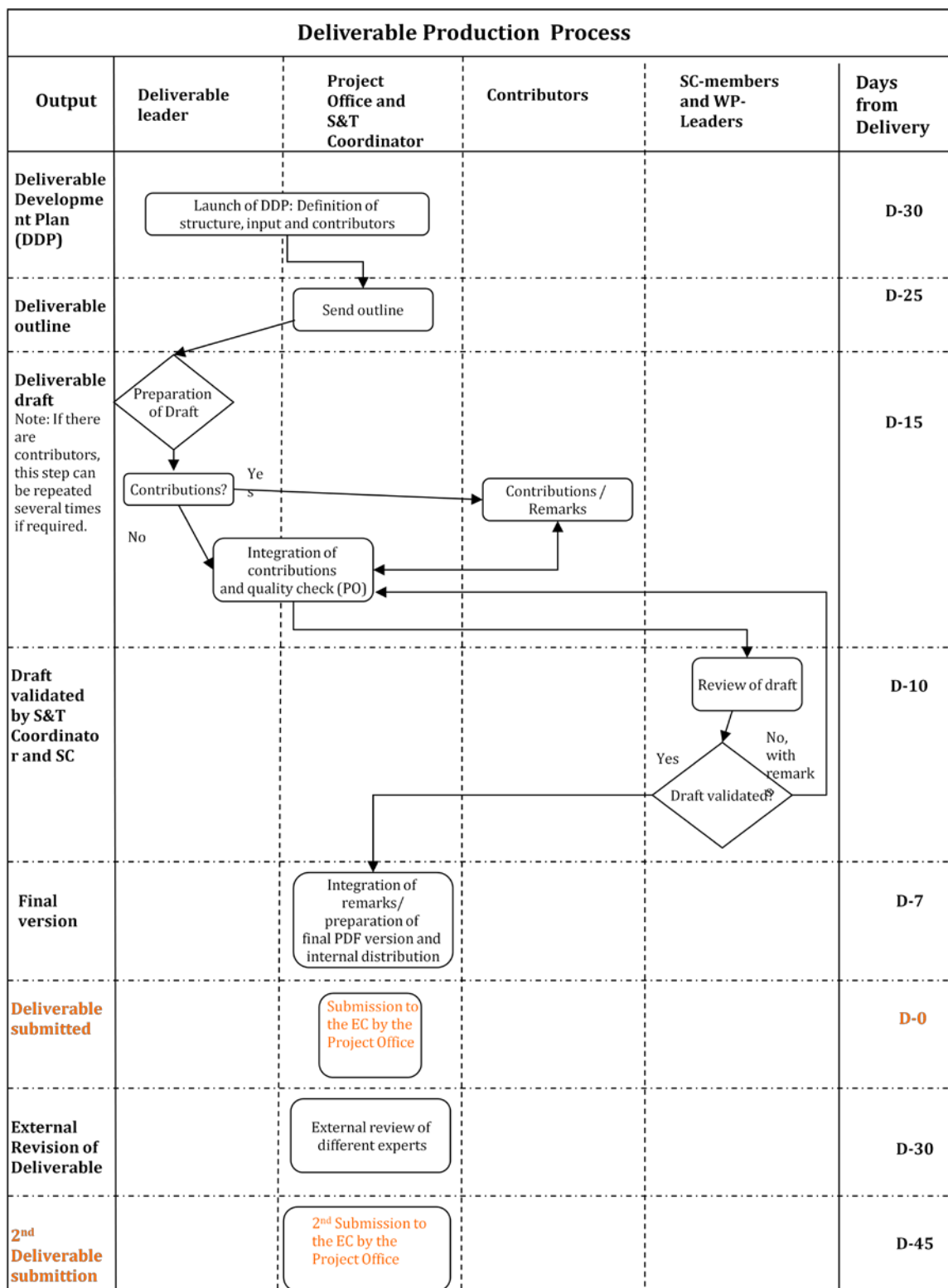
The Deliverable Leader will collate and merge contributions from each of the contributors into a single document. This first draft will then be circulated to and comments sought from each partner involved in order to check its consistency with the plans and to provide any necessary feedback and/or approval. This procedure will be repeated as necessary, until agreement is reached with all partners involved.

The Deliverable Leader will then prepare the final draft and forward it to the Project Office, who in turn will forward the deliverable to the S&T Coordinator and the SC for comments and validation. Comments/recommendations will be taken into consideration as appropriate.

Following content validation by the S&T Coordinator and the SC the Project Office will prepare the final version. This final version is distributed to all partners and finally submitted to the EC.

Lead Participants are encouraged to build in time for the receipt of inputs, reviews/proof readings etc and therefore begin the deliverable development process sufficiently in advance in order to meet the established deadlines for submission to the Commission, as indicated in Annex I (DoW).

Figure 1 represents the deliverable development and validation process, including recommended timings for the development of a deliverable (in calendar days). These may vary depending on the complexity of the deliverable and the number of people involved in the development process.



**Figure 1 D-RAIL deliverable production process**

Formal acceptance of a deliverable by the EC corresponds to the terms of the Grant Agreement (see Annex 2 II.4 to EC Grant Agreement) is within 60 days after submission pending a final approval at project review or audit. It is also added the external reviewing. The external reviewing process is not included in this acceptance.

**If the deliverable is not accepted, the consortium might be asked to perform additional work and the payment of Financial Statements could be delayed. It is therefore in the interest of all that deliverables are of a high quality and in the required format.**

**Please note that as described before, there could be an additional external review for key deliverables following submission to the European Commission.**

## 7.7 Review of deliverables

The WP-leaders are responsible for the quality of the deliverables. To aid the WP-leaders D-RAIL has a review system that aims to

- Ensure that the content is in accordance to the DoW
- Ensure a firm scientific basis
- Ensure high quality of content and presentation
- Ensure implementation.
- Pave the way for dissemination
- Ensure traceability of corrections and validations
- Provide a streamlined process with limited additional effort

To achieve this, D-RAIL makes use of:

- Internal reviewing procedures
- External reviewers from railway infrastructure managers, railway operators and railway industry
- Written external review reports and responses

External peer reviewing is only carried out for important deliverables identified by the Steering Committee. Further details and the current status of the deliverables is available in a spread-sheet stored on the UIC Extranet under **D-RAIL documents> Common Documents > Deliverables**.

## 8. Document management

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During the lifetime of the D-RAIL project, many documents will be produced. The following guidelines will ease the ability to manage documents efficiently and ensure consistent presentation and management.

With English being the official language for D-RAIL, all documents must be written in English. As not all partners are English native speakers, using simple and clear English terms with short sentences is preferred. When many contributors from a variety of European countries contribute to the same document, the style and vocabulary of the final document might be very diverse and final revision will be made - particularly for deliverables and reports to be submitted to the EC and for documents with a wide dissemination.

By default, each document created within D-RAIL is considered confidential. To provide copyright protection the document should include © followed by the year ie. © 2012.

### 8.1 Document templates

D-RAIL partners will use standard document formats (styles, pages layout, basic content structure definition, etc.) and filing codes for all documents produced in the project.

Templates for paper documents will be prepared by the Project Office and made available on the D-RAIL internal website in folder [Common Documents – 04-Templates](#): Word templates for deliverables, minutes, agenda and a Power Point template for presentations.

The document templates will include the project logo on the cover page and compulsory sections to be completed, thereby ensuring compliance with the D-RAIL guidelines and “representation” – ie the look and feel. The template defines the lay-out of the cover page and the internal pages, including required basic information fields and styles to be used.

**It is mandatory to use these templates for all D-RAIL documents.** Up-to-date templates will be available for downloading on the internal website.

### 8.2 Word tracking system

In order to facilitate the review of D-RAIL documents, partners should use the tracking system in Word.

To facilitate review, Microsoft Word allows you to easily make and view **tracked changes** (tracked change: a mark that shows where a deletion, insertion, or other editing change has been made in a document) and **comments** (comment: a note or annotation that an author or reviewer adds to a document). Word displays the comment in a balloon in the margin of the document. In order to preserve the layout of your document, Word shows some mark-up elements in the text of the document, while others are displayed in the margin.

### 8.3 Deliverables coding

Please note the identifying difference between those deliverables which are contractually binding within the Description of Work (Annex I to the GA) and all other working documents in the project. This sub-chapter explains the coding of deliverables.

Each deliverable will be coded and identifiable in the following way:

### DR-DN-S-short title

where:

- DR is in reference to D-RAIL, the project acronym
- DN is the deliverable number as in DoW, section A, WT2, “list of deliverables”
- S is the status
  - D = Draft; Vx = Version of working document (eg V2); F = Final
- Short title: is an explanatory title representing the content of the deliverable. The title used in the DoW table should be used. If a change is necessary the Steering Committee must be informed and a formal decision taken on this change.

Example of naming a Deliverable:

DR-D3.1-d2-Derailment causes, impact and prevention assessment

This naming format easily identifies this document as being the second draft (d2) of Deliverable D3.1, with a title as per the WT2 table in the DoW.

## 8.4 Document coding

Please note that, as mentioned in the previous sub-section, documents refer to all other working documents in the project, excluding Deliverables. For deliverable coding see 8.3.. The naming is according to DoW Part A page 2-4.

Each document will be identified with a unique filing code, regardless of the document title, file name and referencing conventions that each partner might use in local archives.

The code is defined as follows:

### DR-AAA-BB-YYMMDD-S-Subject

where:

- DR is in reference to D-RAIL the project acronym
- AAA is the origin and may refer to:
  - A work-package: example WP1, WP2, WP1.1, etc.
  - A relevant body denomination such as SC for Scientific Committee, EC for European Commission, GA for General Assembly,
  - ADM for a purely administrative document
  - OT for all other documents
- BB is the participant number (see list below)
- YYMMDD is the date according to ISO
- S is the status:
  - D=Draft version
  - Vx=version as working document (example V1)
  - F=Final
- Subject is a short description of the subject.

BB: Participant numbers are shown here below:

	<b>Beneficiary name</b>	<b>Beneficiary short name</b>
<b>01</b>	University of Newcastle upon Tyne	UNEW
<b>02</b>	Union Internationale des Chemins de Fer	UIC
<b>03</b>	Rail Safety and Standards Board Limited	RSSB
<b>04</b>	Technische Universität Wien	VUT
<b>05</b>	PANTEIA BV	PANTEIA
<b>06</b>	Chalmers Tekniska Högskola	CHALM
<b>07</b>	Politecnico di Milano	POLIM
<b>08</b>	Manchester Metropolitan University	MMU
<b>09</b>	Luccini RS SPA	LUCC
<b>10</b>	Mer Mec SPA	MERM
<b>11</b>	Faiverley Transport Italia SPA	FAIV
<b>12</b>	Telsys GmbH	TELS
<b>13</b>	Oltis Group AS	OLT
<b>14</b>	Vyzkumny Ustav Zeleznicni AS	VUZ
<b>15</b>	Deutsche Bahn AG	DB
<b>16</b>	Harsco Rail Limited	HARS
<b>17</b>	Schweizerische Bundesbahnen SBB AG	SBB
<b>18</b>	ÖBB-Infrastruktur AG	ÖBB
<b>19</b>	Societe Nationale des Chemins de fer Francais	SNCF
<b>20</b>	Trafikverket	TRV

Example of naming a document which contain the final minutes written by UNEW from the Steering Committee on 12<sup>th</sup> of October 2012 final

- DR-SC-01-121021-F-minutes

## 8.5 Document archive

The project archive stores copies of the following final documents:

Deliverables

Periodic reports (internal and contractual)

Agenda and minutes of meetings (including reviews)

Presentations given at meetings (including reviews and public events)

Journals and papers from D-RAIL

The Project Office administers the project archive and keeps track of all official releases of the documents produced by the D-RAIL partners. The partners have the responsibility to send electronic copies (or paper copies in case no other version exists) of the documents to the WP-leaders to be put on the website and should cc the Project Office.

## 9. Meetings

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There are primarily two types of D-RAIL meetings:

- Regular meetings of the two decision-making bodies: the Steering Committee (which meets up to 3 times a year) and the General Assembly (which meets at least once during each reporting period). The timings of these meetings and their associated documents are available on the internal website in the Steering Committee or General Assembly sections.
- Meetings at individual or combined Work Package level relating to scientific and non-scientific topics.

Partners are strongly recommended to use the following guidelines relating to meeting preparation, management, administration and organisation.

### 9.1 Organisation of meetings

- Participants: Only those participants with something to contribute to the meeting should usually attend.
- Planning and logistics: Provide participants with sufficient information and details (date, venue, time, duration of meeting) about the meetings as far in advance as possible and where possible combine meetings particularly if the same participants are to attend (to save both time and money.) Providing detailed information on local transport and accommodation will help those travelling to the meeting.
- Preparation: The objectives and agenda of the meeting should be distributed in advance so that possible comments can be made within a given timeline (see CA). The objectives of the meeting and agenda should include details of specific contributions required from participants. Supporting material should be distributed in advance and with sufficient time to enable participants to read and comment on it.
- Running of the meeting: At each meeting it must be established who is the chair, who is taking the minutes and who will be preparing the action list. [The coordinator chairs all GA meetings. The chairperson of the SC-meetings is appointed by the SC members prior to the meetings.]
- Meeting follow-up: Minutes should be sent out 15 calendar days after the meeting. An action list identifying those responsible for each action and deadlines for completion of each point should accompany the minutes of the meeting. All meeting documents should be posted on the D-RAIL internal website.

### 9.2 Agenda

An agenda should be prepared and distributed in advance of all meetings. For SC meetings the agenda should be distributed 15 days before the meeting date and for GA meetings it should be distributed 30 days before the meeting date. Sending agendas in advance provide participants with the opportunity to prepare for the meeting or recommend changes to the agenda which must then be re-circulated.

The agenda itemises subjects/topics for discussion which will aide with chairing the meeting.

An Agenda template is available on the internal website in the section [Common Documents – 04-Templates](#).



**The Agenda template is designed to include the following:**

type / title of meeting  
venue / location of the meeting  
date of the meeting  
contact point  
Opening and welcome  
Objectives of the meeting and agreement about the agenda  
Remarks on previous minutes (only if appropriate)  
Follow up of previous Action points (if appropriate)  
Items for discussion  
Summary of Actions  
Date and place of next meeting(s) (only if appropriate)  
Close

Note: If breaks, lunch and dinner are planned, these events should be included in the agenda.

## 9.3 Minutes

The person convening the meeting shall ensure that meeting minutes are taken. Draft minutes should be made available within 15 calendar days after a meeting, and will be subject to approval by all partners concerned. In the absence of comments within the defined deadline the minutes are deemed to be approved.

The minutes will reflect major issues that have been discussed, conclusions (decisions) and actions agreed. All minutes of periodic meetings will have the same structure.

**Minutes should contain the following information:**

Meeting date  
Location  
Author  
Participants (indicating apologies/absentees)  
Objective(s) of the meeting (brief)  
Actual agenda  
List of documents distributed during the meeting with reference to the author  
And for each item discussed, if relevant:  
Summary of discussion  
Decision  
Open issues  
Action  
Supporting information  
Summary of the actions (action list)  
Place and date of the next meeting (if appropriate)

## 10. Financial management and accounting

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The financial rules for the participation in D-RAIL are described in Annex 2 (Part B) of the EC Grant Agreement (in the folder [Contractual documents](#)) and are further detailed in the EC document “Guide to Financial Issues relating to FP7 Indirect Actions”, which is available on the [internal website](#) and on the [Cordis website](#).

Financial Statements (Form C) from each contractor are submitted by the Coordinator to the Commission at the end of each reporting period and in accordance with usual accounting rules of the contractors (instead of EC imposed rules).

Each partner should ensure that:

project expenses are properly recorded

invoices are kept and time sheets are held in support of budget and efforts spent

eligible costs can be distinguished from non-eligible costs

A Certificate of Financial Statements (CFS) is required for accumulated requested EC contributions of at least 375 000€. This must be provided by an external auditor or a competent public officer for public bodies. The terms of reference for the certificate on the financial statements as well as the terms of reference for the certificate on the methodology are stipulated in Annex VII of the Grant Agreement specify (Forms D and E), available on the internal website.

All eligible costs must be:

actual (not estimates), economic and necessary for the project;

determined in accordance with the usual accounting principles of the contractor;

incurred within the life time of the project (exception: costs incurred in drawing up the final reports, up to 60 days after the end of the project);

recorded in the accounts of the contractor which must exclude indirect taxes, duties, interests, costs reimbursed in respect of another community projects;

without any profit for the partner or its host institution.

Any costs not meeting the principles of eligibility will be disallowed and the corresponding Commission contribution will be recovered. It is strongly recommended that all partners establish their own financial monitoring processes in advance to ensure that Financial Statements being reported meet published EC requirements.

An example of Form C together with a description of the content required is available on the D-RAIL internal website and the [Cordis website](#) under EC document “[Guidance Notes on Project Reporting](#)”, Chapter 3.7. The overall budget breakdown for the project, by individual partner is detailed in Form A of the Grant Preparation Form (GPF) and in Section A3 of the DoW. Any receipts received for project-related activities must be reported in the Form C. Please be aware that these will be offset against the EC contribution.

The Project Office will be responsible for collecting, formally checking and compiling the project's Financial Statements. The Project Office will inform the Project Coordinator of any difficulty encountered (delay in receiving information from a partner, major discrepancies between consumption reported in Financial Statements and progress reports, etc.) and where appropriate will propose contingency measures.

## 10.1 Certificate on Financial Statements

A Certificate on Financial Statements (CFS) is mandatory for every claim (interim or final) in the form of reimbursement of costs whenever the amount of the EC contribution is equal to or greater than 375 000€ (and when cumulated with all previous payments for which a CFS has not been submitted.)

Once a CFS is submitted, the threshold of 375 000€ applies again for subsequent EC contributions but the count starts from 0.

At project start, all D-RAIL partners are below the 375 000€ threshold and if budgets remain unchanged, there will be no requirement for any of the partners to submit a CFS. If, however a budget reallocation occurs during the project and a project partner reaches this funding limit, the following procedure will apply:

The CFS should be provided in English by the contractor's own independent, qualified external auditor; for public bodies it may be provided by a competent public officer.

The requirements of the CFS are described in the annex VII of the Grant Agreement (Form D). Annex VII and is composed of three separate documents:

- A list of the minimum terms required by the Commission to be included in the engagement letter between the partner and the Auditor. The engagement letter must be dated and signed by both parties.
- The model Auditor's Report of Factual Findings to be issued on the Auditor's letterhead, dated, stamped and signed by the Auditor (or competent public officer).
- A detailed description of the procedures performed by the Auditor and the expected findings/results.

The partner's Financial Statements (Form C) signed by the partner should be attached to the Report of Factual Findings.

Note that the submission of a CFS does not waive the right of the Commission to carry out its own audits, which may occur at any time and up to 5 five years after the end of the project.

## 10.2 Payment handling

### EC payments

The maximum total EC financial contribution for the D.RAIL project is fixed at 2,998,465€.

At the beginning of the project, the EC made one single pre-financing payment corresponding to 60% of the total funding of which the EC retain 5% in a Guarantee Fund – see details below:

Total funding	2,998,465.00€
EC pre-financing (80% of total funding)	1,649,155.75€
Guarantee fund (5% of maximum funding retained until end of project)	82,457.79€

In subsequent periods, the EC will make interim payments corresponding to the amount accepted for each reporting period (based on Financial Statements).

In the final period, the EC will make one payment corresponding to the amount accepted for the last reporting period plus any adjustments needed where:

- the amount of the corresponding EC contribution is less than any amount already paid to the consortium, the EC will recover the difference
- the amount of the corresponding EC contribution is more than any amount already paid to the consortium, the EC will pay the difference as the final payment within the limit of the maximum funding of the project.

### 10.3 Project Accounting

All payments of the EC financial contribution are made to the Coordinator. It is the Coordinator's responsibility to transfer funds to each of the partners.

The Project Office will monitor the payment process and take responsibility for project accounting. In particular, the Project Office will monitor total expense per contractor and activity per period compared to planned budget and based on the 9-monthly internal reporting. The aim is to keep the record of the payments and the expenses accurate and draw attention to any discrepancies. This monitoring procedure is at project level, but each partner is solely responsible for their own internal expense/finance expenditure and monitoring within their budget and must ensure adequate procedures are in place to comply with EC rules and internal project agreements.

## 11. Conclusion

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Use of procedures and guidelines outlined in this document will benefit the collaboration process between D-RAIL partners and ensure a high quality of project deliverables and reporting both internally and to the EC.

It is also important that all partners have a thorough knowledge of the EC contract and its annexes; the various EC guidelines and Consortium Agreement which, in case of uncertainty or conflict, supersede the procedures outlined in this document.

Persons with management responsibilities in the project should be especially aware of the key documents regarding D-RAIL project management listed below.

The following documents are available on the D-RAIL internal website:

- [D-RAIL Core Grant Agreement and its annexes](#)
- [Guide to Financial issues relating to FP7 indirect actions](#)
- [Guidance notes for project reporting](#)
- [D-RAIL Consortium Agreement](#)

## 12. Annex 1 – Members of SC and GA

Organisation	SC member	WP
UNEW	Stephen Ingelton	Coordinator; WP1
UIC	Björn Paulsson	Coordinator, WP1... WP9
Train Italia	?	
DB Schenker	Mr Kandt	External
ÖBB	Rudolph Schilder	External
TRV	Helena Wesström	In WP4, WP5 and WP7
ERA	Emmanuel Ruffin	External
UNIFE	Nicolas Furio	External
OLTIS		
Faiverley		
MERMEC		

**Table 1 Members of the Steering Committee**

Organisation	Member
UNEW	S Ingleton
UIC	B Paulsson
RSSB	J Moore
VUT	A Schoebel
PANTEIA	A Burgess
CHALM	A Ekberg
POLIM	F Braghim
MMU	P Allen
LUCC	S Cervello
MERM	A Semerano
FAIV	S Net
TELS	S Scholtz
OLT	M Haltuf
VUZ	L Hejzlarl
DB	M Krueger and B Ripke
HARS	Allan Zarembski
SBB	U Nietlispach
ÖBB	W Zottl
SNCF	M Pineau
TRV	Helena Wesström

**Table 2 Members of the General Assembly**