



ORIENT- NM

Organisation of the European Research Community on Nuclear Materials

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Work Package 3 – EJP structure and functioning: legal issues, resource needs and implementation

Deliverable D3.5:

EJP implementation and quality plan, draft

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List of abbreviations

AWP	Annual Work Plan
CEP	Co-funded European Partnership
Coor	Coordinator
CSA	Coordination and Support Action
DMP	Data Management Plan
EJP	European Joint Programme
EvaCo	Evaluation Committee
ExB	Executive Board
FAIR	Findable, Accessible, Interoperable, and Reusable
GA	General Assembly
GDPR	General Data Protection Regulation
IAEA	International Atomic Energy Agency
IG	Innovation Group
MSO	Management Support Office
OECD-NEA	Organisation for Economic Co-operation and Development – Nuclear Energy Agency
QA	Quality Assurance
RL	Research Line
RLL	Research Line Leader
SAB	Scientific Advisory Board
SRA	Strategic Research Agenda
TL	Task Leader
WP	Work-package
WPL	Work-package Leader

Summary

This deliverable describes a proposal for setting up an implementation and quality plan for a future Co-funded European Partnership CEP on Nuclear Material within the preparatory Coordination and Support Action (CSA) ORIENT NM. It is the result of the work in task 3.4 'Implementation, quality assurance and data management plan' which formulates - in interaction with the other tasks in WP 3 'EJP structure and functioning: legal issues, resource needs and implementation' - an implementation plan for the planned CEP including Quality Assurance QA and a Data Management.

Introduction

The work package 3 of the ORIENT-NM project deals with organising the EJP (CEP in Horizon Europe) in all of its legal and implementation aspects. Organising includes not only setting the organisation itself (governance and structure), but also the general legal issues, implementation, resourcing, quality management, education and training, data and knowledge management.

Deliverable D3.5 is the result of the work in task 3.4 'Implementation, quality assurance and data management plan' which formulates (in interaction with the other tasks in WP 3) an implementation plan for the EJP/CEP including QA in reporting (approval and publication workflow) and a data management plan.

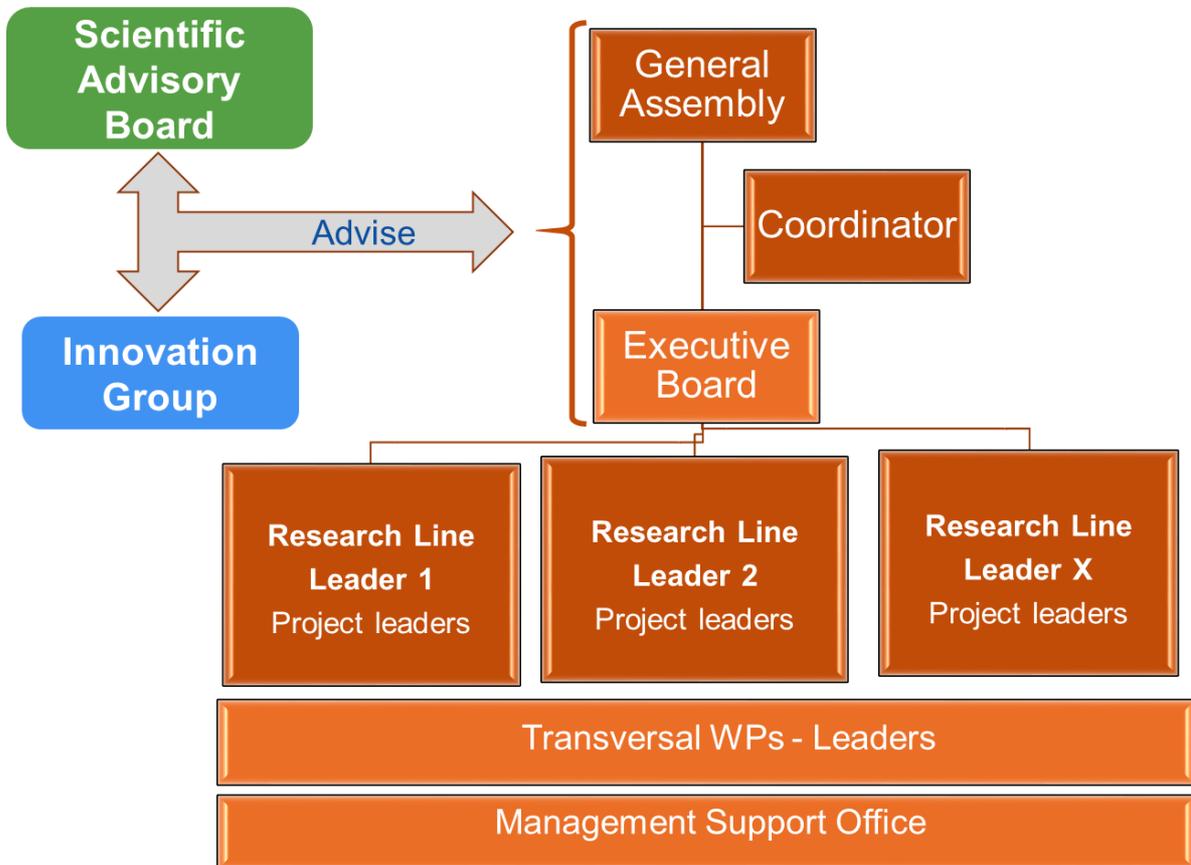
The implementation plan reflects the practical functioning rules of the EJP/CEP (defined in Task 3.1 'Structure and Governance' and described in the belonging deliverables D3.1, D3.3 and D3.8, and in Task 3.2 'Legal issues', reported in the respective deliverables D3.2 and D3.7)), considering the resources and the budget needed (see Task 3.3 'Analysis of resource needs depending on ambition, scope and functioning scenarios' and the resulting D3.4 and D3.9), and how the success shall be monitored and reviewed.

The 'data management' and 'data and knowledge storage policy and plan' will be formulated (specifying by whom, how, where, and for how long). This includes definition of tools, templates etc. Most of these, however, will be only sketched here, as their development will occur gradually, during the preparation of the partnership and also when the partnership is up and running.

The strategy for QA of EJP/CEP deliverables and any other aspect related to implementation, including schemes for self-assessment, for example through a future possible EJP/CEP stake-holder group, as well as the organisation of EJP/CEP research projects, will also be formulated. For the implementation of the EJP/CEP transparency and monitoring by a report and action plan (once a year or every half a year) and QA (e.g. for deliverables) are important points. Risk assessment and the way the EJP research projects and their scientific and technical results can be reviewed are also part of this task.

Implementation

The following structure is foreseen:



The different CEP bodies (General Assembly GA, Executive Board ExB, Coordinator Coor, Research Line Leader RLL, Work-package Leader WPL, Task Leader TL) their function, roles and responsibilities are described in the deliverables D3.1/D3.3/D3.8 ‘Structure and governance’.

The GA, composed by the beneficiaries, will elect a chairperson and set up its decision procedure – who takes the decisions; how they are taken; what the decisions are – for a clear and transparent decision mechanism.

Further bodies of the CEP, namely the Scientific Advisory Board SAB and the Innovation Group IG, are described in D3.1/D3.3/D3.8 ‘Structure and governance’. The members in these two bodies, after being appointed by the GA, will also elect a chairperson and autonomously set up a decision procedure.

The ExB, composed by the RLL and WPL, will also elect a chairperson and set up its decision procedure – who takes the decisions; how are they taken; what are the decisions – for a clear and transparent decision mechanism. The ExB will be responsible for the preparation of the content of the project calls including evaluation criteria and discussion with the SAB, IG and GA. The final approval will be given by the GA.

An Evaluation Committee (EvaCo, see D3.8) will be constituted by the ExB, SAB and IG to evaluate and rank proposals following calls for projects to be executed in the frame of the CEP. The result of the work of the EvaCo will be represented to the GA for decision.

The transversal activities that are important for all RL will be assigned to transversal WPs 'Dissemination, communication, publications, result exploitation' and 'Education, training, mobility, access to research infrastructures' The transversal WP 'Knowledge and Data Management' is on one hand transversal to the RLs but also will have own research activities. The Research Line Leader will manage the activities in each RL. They will be responsible to identify, after discussion with the SAB and IG, the objectives and belonging deliverables of the RL. Another task is the monitoring of the progress in the different projects performed within the RL. For this a project monitoring procedure (including deliverable approval workflow) should be established following QA criteria. Beside the organisation of project meetings in the RL, the RLL have regular interaction with the project coordinators and foster the communication between projects.

For the daily management of the CEP, from legal and financial coordination to interaction with the GA, the SAB and the IG and the organisation of events, the coordinator and the ExB (RLL and the transversal WPs leader) can count on the support of the Management Support Office (MSO), described in D3.8. This office is composed of employees of beneficiaries or affiliated entities that are de facto assigned to work full time or nearly full time for the partnership management. In principle the MSO will comprise at least one officer per WP (RL and transversal WP) and one or two for the coordination activities (legal, financial, daily management, ...). One important function included in the MSO will concern the management and use of the partnership's website. Other important tasks will be to support the call preparation, the update of the Annual Work Plan (AWP), the Quality Assurance (QA) and the Data Management.

The communication, dissemination and exploitation strategy plan will be developed similarly to what was done for the ORIENT-NM project (see D5.4. 'Dissemination and Communication'). The scheme for education, training and mobility in the future CEP is formulated in D3.6. 'Education and training, mobility and dissemination plan'. The evaluation and ranking of calls for grants in connection with education, training and mobility and the presentation of the results for the decision by the GA will be another task of the EvaCo.

Project Call Procedure

The procedure has to be comprehensive and transparent, carried out within a transversal WP 'Project call preparation' under the supervision of the ExB with the support of the EvaCo and endorsement of the GA. Administrative support will be given by the MSO. It includes:

- defining the content of the call according to the common SRA and depending on the research line (criteria to be fulfilled, objectives to be addressed, milestones to be reached, ...), as well as, importantly, the subdivision of the budget per RL – this will be performed under the supervision of the ExB and, specifically, of the RLLs;
- searching for complementarity and consistency with research carried out in the MS and/or within international organisations (e.g. IAEA, OECD-NEA), as well as within the relevant platforms –it will likely involve also the coordinator with the help of the GA chair (for the consultation of MS) and the support of the MSO, to ensure these links;
- indicating priorities by the ExB, especially the RLL, if these have been recommended by the GA; e.g., some materials classes might be prioritised with respect to others
- establishing the guidelines and the rules of the calls (participant eligibility criteria, timeframe, templates, advertisement of the call following EU standards, management of conflicts of interest, ...)
- involving the Evaluation Committee (EvaCo=selected members of ExB, SAB, IG) for all that concerns internal and external reviewing procedure and ranking criteria (own rules of procedure)

All these steps will have to receive the timely endorsement of the GA. After the first call, the details of the procedure will be reviewed by EvaCO and possibly revised, under the supervision of the ExB, submitting the revision to the approval of the GA.

Project Follow Up Procedure

Each project will belong to a specific RL, depending on the main goal it pursues or contributes to¹. The RLLs will be in charge to follow up the projects belonging to their respective RL and produce a consolidated RL report, based on a project monitoring procedure (including deliverable approval workflow, to be established following QA criteria). Within the dedicated WP, the timeframe and modalities for project reporting (common for all projects in the CEP) will be established under the supervision of the ExB according to existing H2020 reporting rules. These rules will be implemented by the RLLs in their respective RLs. RLLs will also be in charge to make sure project meetings are timely held, fostering inter-project communication whenever relevant. They will do so by interacting with the project coordinators, who in turn will interact with the project task leaders. The MSO will support project reporting and RLLs by providing tools, checklist and templates to follow up tasks, deliverables, milestones and budget use and by checking that editorial criteria (previously established within the relevant WP under the supervision of the ExB) are respected as part of the approval workflow, before the deliverables are formally published. The MSO will also assist the RLLs for event organisation and with the follow up of scientific publications and scientific output in general, including scientific data. The RLLs will have to ensure that the relevant rules (e.g. for publication approval and open access publication), as established by the ExB and approved by the GA, are enforced.

Annual Work Plan

The AWP for 1st year should be defined in the proposal or as a first deliverable

- Objectives for the starting month (1+2): overall goals
- Expected impacts from the different RL and WP
- Annual activities in a workflow
- Timing in a Gantt chart
- Detailed work description per WP

A new AWP will have to be issued at the beginning (e.g. within the first 3 month) of each partnership year. This work plan will need to take into account the results of the previous work. It will be elaborated by the ExB after hearing the opinion of the SAB and the IG (when active) and based on the reports produced within WPs and RL projects. In order to guarantee that an annual work plan can be timely produced and approved following all criteria and procedures, the reports from WPs and RL projects will need to be always produced in six month periods (including the work performed in the last 12 months, except in the case of the 1st year, when it will cover only 6 months). In this way reports will only be produced once a year, to limit the reporting burden and there will be time for their evaluation, but the annual work plan will be out of phase by 6 months with respect to the reports (this of course will have to be taken into account, by including an outlook in the half-year reports). The MSO will help in this endeavour by providing templates and dealing with the editorial look of the AWP.

¹ The project proposers will have to decide to which goal they want to contribute mainly, thereby deciding to which RL the project belongs

Quality Assurance QA

QA criteria will be applied throughout the CEP, for the work performed in the RLs and WPs, the operational and financial management, the process of the project call and the monitoring of the research projects as well as education and training initiatives. To choose the right criteria and measuring factors a list of the specific needs and expected results (objectives, goals) from the CEP have to be defined. Also responsibilities and timeframes have to be specified. It will be necessary to check regularly how planned actions (as described in the AWP) are implemented. Potential problems have to be detected and if necessary corrective actions performed. For this management information have to be collected and analysed in a structured and agreed way. The bodies of the CEP being in charge (ExB and GA) with the help of defined key indicator will show the impact/benefit and the increase of it during the CEP and the research projects within the CEP. They have to examine regularly the reached key indicators in a way which is agreed on in the beginning of the project.

For the QA existing tools for Horizon Europe projects with simple workflows (e.g. tools and templates for reporting) and simple approval structures (via automatic workflow) should be used.

Data Management

Following the FAIR principle - Findable, Accessible, Interoperable, and Reusable – an effective management of data has to be established. As there are different types of data expected - e.g. from research projects experimental and modelling data, from E&T, from administration and organisation of the project – and respective varying amounts, a data management plan should be elaborated and agreed on by the project partners. It is also important to distinguish between private and public data and decide on a standard for the collection and storage. As GDPR is an important fact for the EC it has to be defined who and when to take care of it. To store all the data produced and collected it has to be looked for an existing storage platform (data sharing point) or a new one installed.

A common data management strategy will be defined following the Horizon 2020 FAIR Data Management Plan (DMP) Template. This common strategy should include information on the handling of research data during & after the end of the project; what data will be collected, processed and/or generated; which methodology & standards will be applied; whether data will be shared/made open access and how data will be curated & preserved (including after the end of the project). A specific data management plan adapted to projects needs would be also defined if needed.



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