



Project no. TIP5-CT-2006-031415

INNOTRACK

Integrated Project (IP)

Thematic Priority 6: Sustainable Development, Global Change and Ecosystems

D7.3.2 Technical review platform

Due date of deliverable: 2008/02/29

Actual submission date: 2008/04/17

Start date of project: 1 September 2006

Duration: 36 months

Organisation name of lead contractor for this deliverable:

UIC

Revision 2

Project co-funded by the European Commission within the Sixth Framework Programme (2002-2006)		
Dissemination Level		
PU	Public	X
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)	

Table of Contents

Table of figures	2
Glossary	3
1. Executive Summary	4
2. Introduction	5
3. Preparation of deliverables	6
4. Review, preparation and acceptance of deliverables	7
4.1 Review of deliverables	7
4.2 Approval and final preparation and submission of deliverables	8
4.3 Storage of submitted deliverables	9
4.4 Revision of deliverable reports	9
4.5 Tracking of the current status of deliverables	9
5. Industrial and railway reviewing	10
5.1 Reviewing and information exchange in cooperation with infrastructure managers	10
5.2 Reviewing and information exchange in cooperation with the industry	10

Table of figures

Figure 1 The review process	8
Figure 2 Information flow in industrial reviewing	11

Glossary

Abbreviation/acronym	Description
CG	Coordination Group
EC	European Commission
KMS	Knowledge Management System
MGT	INNOTRACK Mirror Group within the TEG
S&T	Scientific and Technical
TEG	Track Expert Group – a UIC expert group consisting of experts from 25-30 countries

1. Executive Summary

The deliverable process is divided into three main parts:

- The preparation of the first version: under the responsibility of the SP leaders
- The peer review: under the responsibility of the S&T coordinator
- Approval and delivery to EC: under the responsibility of the Project Manager

The aim of the peer review is to

- Ensure a firm scientific basis
- Ensure high quality of content and presentation
- Ensure “implementability”
- Pave the way for dissemination
- Ensure traceability of corrections and validations
- Be a streamlined process with limited additional efforts

To this end INNOTRACK uses

- Internal and external reviewers
- Reviewers from academia, railway infrastructure managers and railway industry
- Written external review reports and responses

This report outlines the entire process of deliverable preparation and submission. In particular the information flow and the use of the INNOTRACK knowledge management system (KMS) is described in detail.

A crucial area in the quality assurance of deliverables is internal and external reviewing. Depending on the scope of the report an external review can focus on the scientific content, on the industrial relevance and/or on the relevance of the results to the railway sector. In the latter two cases the INNOTRACK consortium is cooperating with UNIFE and by the Track Expert Group of the UIC to get relevant and high-quality reviewing. The detailed description of how the reviewing is handled, how review comments are accounted for etc is described in detail in the report.

To provide a practical aid for lead participants responsible for the preparation of deliverables, the report contains check-lists both regarding the preparation of the deliverable and regarding document handling.

2. Introduction

Parts of the text in this report is taken from the first revision of D0.1 "*Project management plans and quality assurance*". In D0.1 it has been replaced with a reference to this report (D7.3.2).

In the Description of Work (section 8.5), the consortium has defined the deliverables to be produced in the on-going 18-months period. It is recommended that all types of deliverables, whether they are reports, prototypes, events, or other are submitted to the EC in the form of a report. These deliverables are a contractual obligation and will be validated by the EC in order to release the payment.

The deliverables can also be seen as a description of results obtained in INNOTRACK presented in a way that facilitates sector implementation and makes peer review possible.

The deliverable process is divided into three main parts:

- The preparation of the first version: under the responsibility of the SP leaders
- The peer review: under the responsibility of the S&T coordinator
- Approval and delivery to EC: under the responsibility of the Project Manager

3. Preparation of deliverables

Every work package in INNOTRACK should have a plan that

1. Relates the task descriptions in the Description of Work to actual work tasks to be carried out by **designated partners**
2. Relates the outcome of these work tasks to the respective deliverables in which they will be reported to the commission.

For every deliverable, a Lead Participant and a responsible person at the Lead Participant is identified.

It is the role of the Lead Participant to **co-ordinate** the preparation of the deliverable and to submit it **on time**. Comments from internal and external reviews will also be communicated through the Lead Participant as described below.

Check list for Lead Participant

Planning

- The content should follow what is promised in the Detailed Implementation Plan (DIP) stored on the KMS under **INNOTRACK > Official Documents**.
- From the work-package plan (discussed above), extract a list of which partners that will contribute what to the deliverable.
- Assign deadlines for the contributions.

Writing

- Co-ordinate the preparation of the deliverable with the Sub-Project (SP) leader
- Use the templates provided on the KMS (under **INNOTRACK > Official Documents > Templates**) and add annexes when suitable
- Use the dissemination level outlined in the Detailed Implementation Plan. Any change of dissemination level **must** be brought up with the Steering Committee and communicated with the EC.
- Describe all used abbreviations
- Write a descriptive Executive summary (to be used as overview information in the deliverable)
- Include a list of references (bibliography), if you refer to external sources
- Add additional/supportive material in appendices (if needed)
- Upload the deliverable report (and any appendices) in Word-format to the KMS under **INNOTRACK > [SP-X] > Deliverables** and name it *dnnn-f1-name_of_deliverable.doc* with *nnn* replaced by the deliverable number
- Send a notification that the report is uploaded to the S&T coordinator (anders.ekberg@chalmers.se) with copies to the Project Office (innotrack@arttic.fr) and the Project Manager (paulsson@uic.asso.fr).

4. Review, preparation and acceptance of deliverables

4.1 Review of deliverables

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

- Ensure a firm scientific basis
- Ensure high quality of content and presentation
- Ensure “implementability”
- Pave the way for dissemination
- Ensure traceability of corrections and validations
- Be a streamlined process with limited additional efforts

To this end INNOTRACK uses

- Internal and external reviewers
- Reviewers from academia, railway infrastructure managers and railway industry
- Written external review reports and responses

External peer reviewing is only carried out for important deliverables. Which these are is decided by the INNOTRACK Coordination Group. Information regarding this (and current status of the deliverables) is available in a spreadsheet stored on the KMS under **INNOTRACK > Official Documents > Deliverables**.

Internal and external reviewing

The review process is outlined in Figure 1. In the following it is described in detail.

- ❑ The Lead Participant places the deliverable report **in Word-format** (and any appendices) on the KMS in the folder **INNOTRACK > [SP-X] > Deliverables** and names it `dnnn-f1-name_of_deliverable.doc` with *dnnn* replaced by the deliverable number. The Lead Participant then notifies the S&T coordinator (anders.ekberg@chalmers.se) with copies to the Project Office (innotrack@arttic.fr) and the Project Manager (paulsson@uic.asso.fr). This is the last item on the preparation check list.
[Arrow 1 in Figure 1](#)
- ❑ The S&T coordinator assesses overall content of the deliverable. If the S&T coordinator decides about an internal reviewing an internal reviewer is appointed and his/her opinion is collected. .
[Arrow 2 in Figure 1](#)
- ❑ If an external peer-review is carried out (as decided by the CG) the S&T coordinator gets a review report from the external reviewer(s). Reviewers are assigned by the S&T coordinator in consultation with the CG.
[Arrow 3 in Figure 1](#)
- ❑ The review reports are sent by the S&T coordinator to the Lead Participant.
 - **Internal review** comments should be seen as **informal** feedback. Written response to internal review comments is not needed.
 - External review reports should be responded **in writing**. The Lead Participant adds the response to the review report.
- ❑ The responded review report and the updated version of the deliverable report is uploaded **in .doc-format** to the KMS and placed in folder **INNOTRACK > [SP-X] > Deliverables**
 - If only an internal review has been carried out the report is named `dnnn-f2-...`
 - If an external review has been carried out the report is named `dnnn-f3-...`

- The external review report with responded comments is placed in the same folder as the updated deliverable report.

Arrow 4 in Figure 1

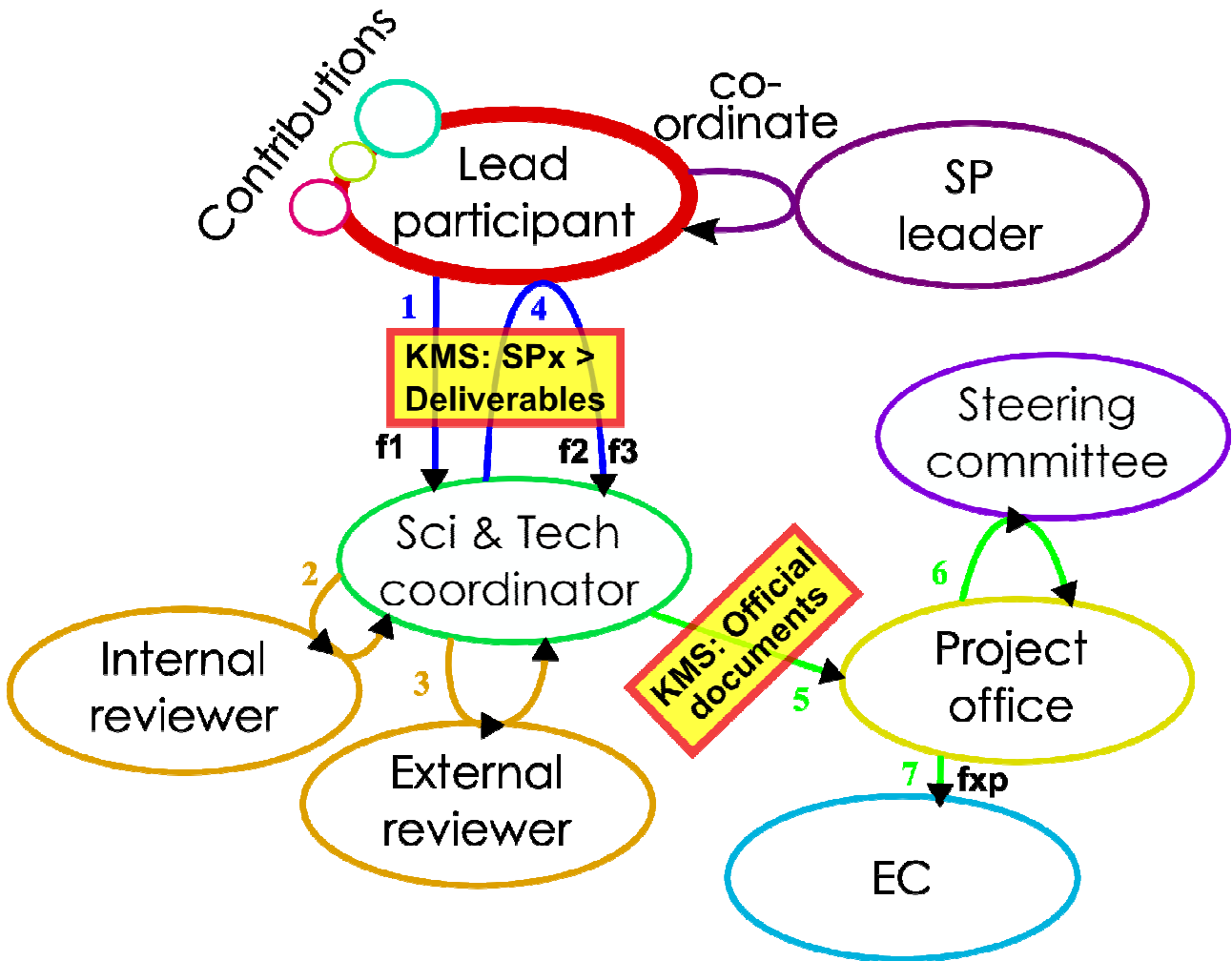


Figure 1 The review process

This concludes the Lead Participant's part of the deliverable preparation process. Now the deliverable is prepared for shipment to the EC. This is described in section 4.2.

4.2 Approval and final preparation and submission of deliverables

- ❑ Once the review process is finished, the S&T-coordinator notifies the Project Manager / Project Office that the deliverable is ready for distribution and places **a copy** of the .doc-file in the folder **INNTRACK > Official Documents > Deliverables to the EC after xx months > Draft deliverables**

Arrow 5 in Figure 1
- ❑ The deliverable report is sent to the Steering Committee by the Project Manager. The Steering Committee assess whether the content of the deliverable report is in line with the decided scope and targets of INNTRACK. The report is accepted or rejected by Steering Committee. The approval by the Steering Committee implies that the decision on submission to the EC is delegated to the Project Manager.
- ❑ The Project Office makes a final revision of the deliverable report with respect to language, format, confidentiality level *etc.* The prepared report is then uploaded to the KMS:

- A PDF-version of the revised version is uploaded by the Project Office to **INNOTRACK > Official Documents > Deliverables to the EC after xx months > Final deliverables** and named
 dnnn-fxp-name_of_deliverable.pdf
 where *x* is 1, 2 and 3 depending on the level of reviewing (see above).
- The editable version (.doc-fil) is placed for backup by the Project Office under **INNOTRACK > Coordination & Management > Administrative groups > Coordination group > Editable versions of submitted deliverables**, where it is accessible only for the coordination group.

Arrow 6 in Figure 1

- Deliverables will be sent to the EC every 6 months. To keep track on the deliverable reports to be sent, these are (as mentioned above) stored on the KMS in the folder **INNOTRACK > Official Documents > Deliverables to the EC after xx months**. This folder contains a folder with Draft deliverables (i.e. deliverable reports that are not yet fully reviewed) and another folder with Final deliverables. Upon deadline for deliverable report submission, the Project Manager
 - notifies the EC that deliverables are available at **INNOTRACK > Official Documents > Deliverables to the EC after xx months**
 - creates a CD with the deliverable reports and sends to the EC
 - prints paper copies of the deliverable reports and sends to the EC

Arrow 7 in Figure 1

4.3 Storage of submitted deliverables

- The deliverables are assessed by the EC reviewers during annual (and final) project reviews. After EC assessment the Project Office moves the PDF-file of the deliverable report to **INNOTRACK > Official Documents > Final Deliverables > SPx**

4.4 Revision of deliverable reports

In the exceptional case that the deliverable report is revised, the name of the revised report is changed to *dnnn-fx-name_of_deliverable_revy.doc* where *nnn* is the deliverable number and *x* the grade of review (1: not reviewed, 2: internally reviewed, and 3: externally reviewed; as discussed above), and *y* the number of the revision.

Example: If deliverable D4.1.2 “Interim rail degradation algorithms” is reviewed for the first time, the file would be named *d412-f3-interim_rail_degradation_algorithms_rev1.doc* (the deliverable has been externally reviewed).

The revised deliverable report is then resent to the EC at the next occasion.

In general revisions of finalised deliverables should be avoided. The exceptions are deliverables in SP0, which are of a continuously evolving type. (For that reason these are also named with version numbers instead of revision indicators.)

4.5 Tracking of the current status of deliverables

The Project Office keeps a spreadsheet for planning and follow-up of deliverables, including deadlines, name of responsible persons, reviewer information, etc. The spreadsheet is updated after each CG meeting posted on the INNOTRACK KMS in the folder **INNOTRACK > Official Documents > Final Deliverables**.

5. Industrial and railway reviewing

5.1 Reviewing and information exchange in cooperation with infrastructure managers

Within the UIC-TEG, an “INNOTRACK Mirror Group” (MGT) is formed. The group contains of a number of track experts representing a wide knowledge in the field. The group’s main purposes are to aid in reviewing relevant deliverables, to disseminate INNOTRACK in the UIC-TEG, and to “inherit” the gained knowledge at the end of the INNOTRACK project.

Railway related reviewing is carried out with the aid of the MGT in the following manner:

- At the latest some months before the planned review, the S&T coordinator sends the mirror group brief information about the content of the deliverable.
- The mirror group selects suitable reviewer(s) for the deliverable report.
- When the deliverable report is ready for review the S&T coordinator sends the report to the MGT for forwarding to the reviewer(s).
- The completed review report is sent to the S&T coordinator by the MGT

Note that the MGT will handle confidential material. The members therefore need to sign an agreement on confidentiality.

Note also that review reports handled through the MGT represent the opinion of the reviewer(s). They do not generally represent the opinion of the UIC-TEG or the MGT unless explicitly stated.

The MGT mainly handles reviews in SPs 1 to 4. For SP5 and SP6 review will normally be carried out using external expertise.

In addition to the reviewing there is a continuous dialogue and information exchange between INNOTRACK and the UIC-TEG, and also between INNOTRACK and projects such as LICB and Asset Management.

5.2 Reviewing and information exchange in cooperation with the industry

The Industry review is carried out by UNIFE in conjunction with its infrastructure committee UNIRAILINFRA – representing the major railway industry suppliers in Europe – and the National Associations, which represent virtually the entire rail industry in their respective states. From these two entities, selected experts are drawn according to fields of expertise. The purpose of the Industry review is to independently and critically review deliverables for technical soundness and implementability of results / innovations.

The Industry review process is carried out through UNIFE in the following manner:

- Prior to (ideally some months before) the planned review, the S&T coordinator sends UNIFE brief information about the content of the Deliverable; this is passed onto UNIRAILINFRA & the National Associations for consideration and seeking suitable experts.
- UNIRAILINFRA and/or the National Associations propose suitable expert reviewers.
- Based on the responses, UNIFE selects a suitable reviewer for the Deliverable report.
- When the Deliverable report is ready for review, the S&T coordinator sends the report to UNIFE for forwarding to the reviewer (along with review evaluation sheet); review takes place.
- The completed review report is received from UNIFE and sent to the S&T coordinator.

If more than one deliverable is due in the same period, the deliverables may be batched for review.

The process is illustrated in the flow diagram below:

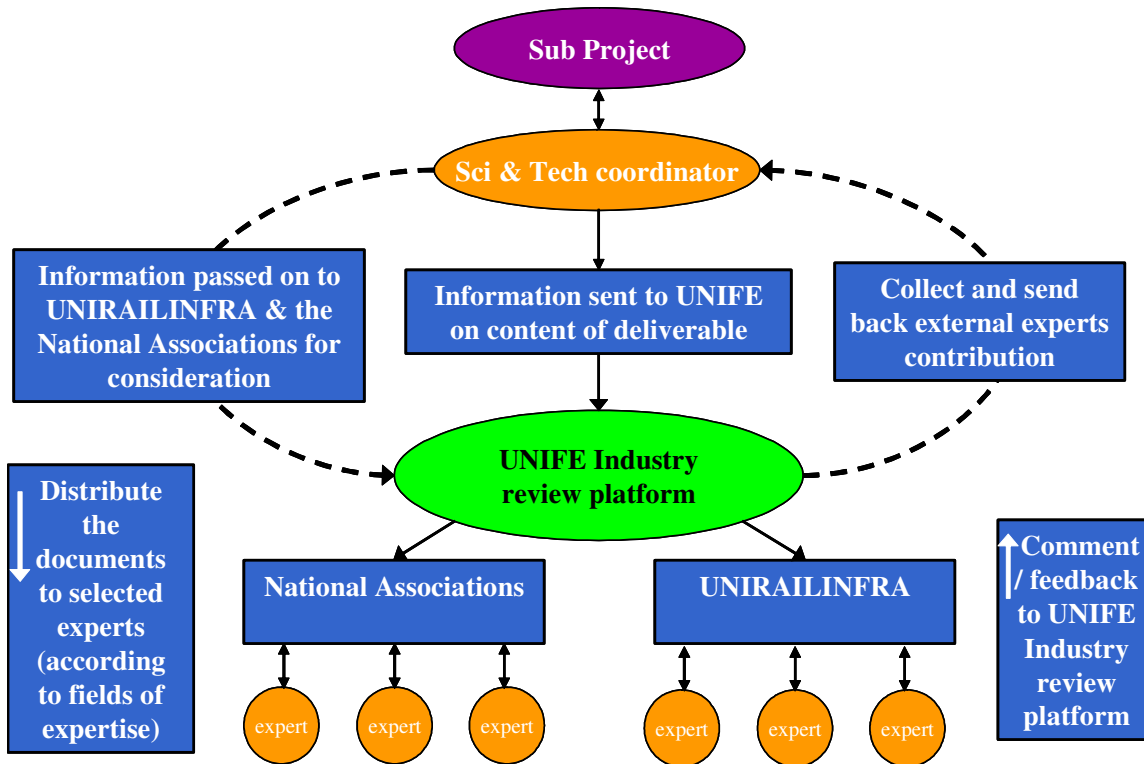


Figure 2 Information flow in industrial reviewing

Note that the Industry review platform will handle confidential material. The members therefore need to sign an agreement on confidentiality.

Note also that review reports handled through the Industry review platform represent the opinion of the reviewer and do not generally represent the opinion of UNIRAILINFRA or the National Associations unless explicitly stated. The Industry review platform will oversee the review of deliverables by external experts in SPs 2 to 4 & 6. SP5 is industry led and so doesn't require additional review by industry.

In addition to the reviewing, there is a continuous dialogue and information exchange between INNTRACK and the infrastructure project for urban rail "Urban Track", particularly in the area of LCC reduction. An initial meeting has already taken place, with further meetings planned twice per year until project completion. This exchange maintains a general link between the projects on innovative technologies under development and pursues common approaches and comparability of LCC results; the overall aim is a "cross standardisation" in LCC. INNTRACK is also pursuing links with the InteGrail project.