

Appendix X – Overview of revisions

Version 5 → 6 (Revision date 1 May 2021)

Document	Reason for revision version 5 to 6	Revision responsible
Main document: Quality management system for public sector consultancy at Technical Sciences, Aarhus University	1.6.: Clarification that reports published by Tech must be quality assured in accordance with Procedure 7.	SUB, TPL, USB
Procedure 1: Preparation of bids and conclusion of contracts	Linguistic clarifications in several places. Addition of concrete examples of tasks covered. 2.2.: Linguistic clarification about the strongest possible team. 2.2.1.: More flexibility in the deadline for responding to the centre unit on contributions to task solution.	SUB, TPL, USB
Procedure 2: Receipt of task orders and alignment of expectations under the framework agreement	2.1.: Clarification that telephone consultancy exceptionally can be exempted from ordering via the research bank. 2.2.: Linguistic clarification about the strongest possible team. More flexibility in the deadline for responding to the centre unit on contributions to task solution.	SUB, TPL, USB
Procedure 3: Organisation of consultancy	2.1.: Addition about awareness of impartiality issues and conflicts of interest.	SUB, TPL, USB
Procedure 5: Subcontractors and collaboration partners	2.3.: Simplified procedure for the evaluation of subcontractors and collaboration partners.	SUB, TPL, USB
Procedure 6: Performance of tasks	2.3.4.: Addition on data and assessments from contributors with limited contributions. Clarification about GDPR. 2.3.5.: Extended, clarified and exemplified description of general issues about the use of models. Addition about archiving of model code, model data and model version. Addition about the documentation of model validation. 2.3.8.: Clarification about task completion. Addition to make ministries aware of relevant, non-ministerial tasks. App. 4.: Clarification about validation levels. Clarification and division between validation of existing and new models.	SUB, TPL, USB
Procedure 7: Quality assurance of products	2.1.1.: Simplified description of the peer review process.	SUB, TPL, USB

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	<p>2.2.: The center unit's quality assurance is aligned with the peer assessor's quality assurance, so that the processes are parallel.</p> <p>2.3.: Additions to the table with elements in the quality assurance og products: GDPR, impartiality, model validation, model validator, model archiving.</p>	
Procedure 8: Dialogue with requisitioners about draft deliverables	2.: Clarification that products for commenting are delivered as a pdf, and that the requester is not allowed to comment directly in the product.	SUB, TPL, USB
Procedure 9: Publication of results and products	<p>2.: Clarification about non-publication of confidential products.</p> <p>Sections on advisory group/steering committee and on collaborative tasks deleted (appears in Procedure 7).</p> <p>Simplified description on the publication process.</p> <p>2.1.: The word "deliverable" replaced by "product".</p> <p>Simplified description of the structure of confidential products.</p> <p>2.4.: Clarification about registration in Pure.</p> <p>2.5.: Clarifications about responsibilities.</p>	SUB, TPL, USB
Appendix B: Stakeholders	<p>Additions of internal stakeholders (41-45): Det Kongelige Bibliotek, AU HR-IT, AU and Tech HR, AU-IT, Finance function.</p> <p>The stakeholder Orbicon (29) has been deleted and now belongs to Consultancy firms (33).</p>	SUB, TPL, USB
Appendix D: Template for project plan	Additions on conflicts of interest, GDPR and subcontractors	SUB, TPL, USB
Appendix I: Template: Comments from internal peer	Clarification in the title of the form that it is for academic quality assurance of the product	SUB, TPL, USB

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Document	Reason for revision version 5 to 6	Revision responsible
Main document: Quality management system for public sector consultancy at Technical Sciences, Aarhus University	<p>Academic delimitation of the scope</p> <p>Formulation on "Risks and opportunities" for organisational initiatives</p> <p>Delegation summary (powers of managers) added</p> <p>Legal clarification on insurance documents and access to documents</p> <p>Consistency corrections following the division of the Ministry of the Environment and Food (MFVM) into</p>	SUB, TPL, USB

Document	Reason for revision version 5 to 6	Revision responsible
	the Ministry of Environment (MIM) and the Ministry of Food, Agriculture and Fisheries (FVM) Consistency corrections after the formation of four new engineering departments	
Procedure 1: Preparation of bids and conclusion of contracts	Readability improved (hopefully) Involvement of the centre unit specified The DCA centre manager signs most offers and contracts Responsibilities clarified Consistency corrections following the division of the MFVM into MIM and FVM	SUB, TPL, USB
Procedure 2: Receipt of task orders and alignment of expectations under the framework agreement	Addition of telephone consultancy may be excepted from ordering Clarification of the head of department's responsibility for reading through draft work programs Consistency corrections following the division of the MFVM into MIM and FVM	SUB, TPL, USB
Procedure 3: Organisation of consultancy	Addition of advisory group or a steering committee Legal clarification about conflicts and disputes Consistency corrections following the division of the MFVM into MIM and FVM	SUB, TPL, USB
Procedure 5: Subcontractors and collaboration partners	Legal clarification on insurance documents Addition of delegation of the head of department's signature responsibility	SUB, TPL, USB
Procedure 6: Performance of tasks	Addition on how telephone consultancy is handled Addition on staff's own responsibility for being updated on relevant legislation New description of validation of models Clarification about time for publication DCA cover letter deleted in relation to changes in agreements Legal clarification about GDPR Consistency corrections following the division of the MFVM into MIM and FVM	SUB, TPL, USB
Procedure 7: Quality assurance of products	Addition of the peer assessor's option to not see the handling of the peer assessor's comments Clarification about external peer assessment Additions to the checklist about advisory group/ steering committee, meetings with externals, comments etc.	SUB, TPL, USB
Procedure 8: Dialogue with requisitioners about draft deliverables	Clarification of the procedure for draft commentary from requisitioner	SUB, TPL, USB

Document	Reason for revision version 5 to 6	Revision responsible
Procedure 9: Publication of results and products	Clarification of the requisitioner’s comments in relation to the “seven working day rule” Addition of advisory group or a steering committee Clarification about indication of confidentiality Consistency corrections following the division of the MFVM into MIM and FVM	SUB, TPL, USB
Procedure 10: Document management	The term “error” has been replaced by the term “deviation” Consistency corrections following the division of the MFVM into MIM and FVM	SUB, TPL, USB
Procedure 12: Remedial, corrective and preventive actions	The term “error” has been replaced by the term “deviation”	SUB, TPL, USB
Procedure 13: Registrations	The term “error” has been replaced by the term “deviation”	SUB, TPL, USB
Procedure 14: Internal auditing	Clarification of requirements for internal auditors	SUB, TPL, USB
Appendix A: Roles and responsibilities	Delegation summary (powers of managers) added	SUB, TPL, USB
Appendix B: Stakeholders	Changed “Not important stakeholder” to “Less relevant stakeholder” in the stakeholder matrix	SUB, TPL, USB
Appendix H: Template comments document	Changed from being a general comments document to being for requisitioner’s comments only	SUB, TPL, USB
Appendix I: Template: Comments from internal peer	New document: Peer assessor document for internal and external peer assessment, indicating whether the handling of comments is to be returned	SUB, TPL, USB
Appendix X: Overview of revisions	The former Appendix I	SUB, TPL, USB

Version 4 → 5 (Revision date 18 December 2020)

Document	Reason for revision version 4 to 5	Revision responsible
Procedure 5: Subcontractors and collaboration partners	Addition about External services free of charge, that e.g. volunteers, external coauthors and external peer assessors, who do not receive a fee, are also managed as subcontractors, including being evaluated	SUB, TPL, USB

Version 3 → 4 (Revision date 1 October 2020)

Document	Reason for revision version 3 to 4	Revision responsible
Quality management system (Main document)	<p>Preface: Deleted that there is an exception of section 7.1.5.2 of the standard ISO 9001:2015 (7.1.5.2 Measurement traceability) in the quality management system.</p> <p>Chapter 1.4: Corrected Appendix B to Appendix C. Deleted <i>“Discontinued procedures are marked with “Discontinued on (date)” under “current version”.</i></p>	SUB, TPL, USB
Procedure 16: Management evaluation	Chapter 2, listing of input: Added passage about trend to the bullet on customer satisfaction and to the bullet registration of complaints. Added bullet about consultancy capacity and the quality of research of the institutes and a bullet about actions to address risks and opportunities. Listing of output: Added bullet about summary of the consultancy capacity and the quality of research of the institutes	SUB, TPL, USB

Version 2 → 3 (Revision date 14 August 2020)

Document	Reason for revision version 2 to 3	Revision responsible
Procedure 7: Quality assurance of products	Possibility to use track changes in Word document instead of comments document in internal peer assessment	SUB, TPL, USB

Version 1 → 2 (Revision date 1 May 2020)

Document	Reason for revision version 1 to 2	Revision responsible
Quality management system (Main document)	<p>Consistency corrections Science & Technology → Technical Sciences</p> <p>Consistency corrections ST → Tech</p>	SUB, TPL

Document	Reason for revision version 1 to 2	Revision responsible
	Consistency correction MBG → QGG Consistency corrections Science & Technology → Nat-Tech Consistency corrections websites Deleted the sentence ” , as soon as the material has been exchanges with persons outside AU” on GDPR	
Quality assurance policy and organisation of quality assurance work	Consistency corrections Science & Technology → Technical Sciences Consistency corrections ST → Tech	SUB, TPL
Procedure 1: Preparation of bids and conclusion of contracts	Clarification of difference between types of bids Clarification of the procedure for composing the academic team Consistency corrections ST → Tech	SUB, TPL
Procedure 2: Receipt of task orders and alignment of expectations under the framework agreement	Clarification of the procedure for composing the academic team, including stricter responsibilities Clarification of how the alignment of expectations is to be performed Consistency corrections ST → Tech	SUB, TPL
Procedure 3: Organisation of consultancy	Consistency corrections ST → Tech	SUB, TPL
Procedure 4: Project management	Consistency corrections ST → Tech	SUB, TPL
Procedure 5: Subcontractors and collaboration partners	Clarification of types of subcontractors Adding of evaluation of subcontractors and collaboration partners Consistency corrections ST → Tech	SUB, TPL
Procedure 6: Performance of tasks	Clarification of quality assurance of tasks involving the processing of data, modelling and calculation Adding of delays caused by externals Adding of description of uncertainties and robustness Consistency corrections ST → Tech	SUB, TPL
Procedure 7: Quality assurance of products	Clarification of peer assessment Consistency corrections ST → Tech	SUB, TPL
Procedure 8: Dialogue with requisitioners about draft deliverables	Adding transparency in comments via comments document Consistency corrections ST → Tech	SUB, TPL
Procedure 9: Publication of results and products	Deleted section on non-ISBN in draft Clarification of responsibility for publication Consistency corrections ST → Tech	SUB, TPL
Procedure 10: Document management	Consistency corrections ST → Tech	SUB, TPL

Document	Reason for revision version 1 to 2	Revision responsible
Procedure 11: Data storage	Consistency corrections ST → Tech	SUB, TPL
Procedure 12: Remedial, corrective and preventive actions	Clarification of the fact that academic errors are also subject to registration Consistency corrections ST → Tech	SUB, TPL
Procedure 13: Registrations	Clarification of the fact that academic errors are also subject to registration Consistency corrections ST → Tech	SUB, TPL
Procedure 14: Internal auditing	Consistency corrections ST → Tech	SUB, TPL
Procedure 15: Setting up annual quality targets	Consistency corrections ST → Tech	SUB, TPL
Procedure 16: Management evaluation	Consistency corrections ST → Tech	SUB, TPL
Appendix A: Roles and responsibilities	Consistency corrections ST → Tech	SUB, TPL
Appendix B: Stakeholders	Consistency corrections ST → Tech	SUB, TPL
Appendix C: List of procedures	Consistency corrections ST → Tech	SUB, TPL
Appendix D: Template for project plan	Consistency corrections ST → Tech	SUB, TPL
Appendix E: Definitions	Consistency corrections ST → Tech	SUB, TPL
Appendix F: Template for internal audit plan	Consistency corrections ST → Tech	SUB, TPL
Appendix G: Template for internal audit report	Consistency corrections ST → Tech	SUB, TPL
Appendix H: Template comments document	Check box whether it is a comment or a peer assessment	SUB, TPL

* <https://tech.au.dk/en/consultancy/about-public-sector-consultancy/quality-assurance/quality-management-system/>

** <https://tech.au.dk/en/consultancy/about-public-sector-consultancy/quality-assurance/quality-assurance-policy/>