



SIA

Project Title:	System for vehicle-infrastructure Interaction Assets health status monitoring
Starting date:	01/03/2018
Duration in months:	36
Call (part) identifier:	H2020-GALILEO-GSA-2017-1
Grant agreement no:	776402

Deliverable D1.1

Project Management and Quality Assurance Plan

Due date of deliverable	Month 2
Actual submission date	31-05-2018
Organization name of lead contractor for this deliverable	Ceit
Dissemination level	PU
Revision	Draft

Executive Summary

The present document constitutes the first issue of Deliverable D1.1: Project Management and Quality Assurance Plan, in the framework of the Project titled “System for vehicle-infrastructure Interaction Assets health status monitoring” (Project Acronym: SIA; Grant Agreement No 776402).

This document has been prepared to provide a management plan that will establish the working procedures and collaborative SW tools that ensure the quality and timing of the outcomes of SIA. The document will specifically define the Intellectual Property Rights for the exploitation of the outcomes of SIA and establish the procedures for monitoring and control during the SIA project execution and closing phases. This deliverable also includes templates for IPR and Access Rights Management.

The content of the document can be summarized as follows:

- The definition of the **governance structure of the project**, as well as the composition of the significant bodies of management are detailed are provided in section 1. This section also summarizes the **structure of the project in Work Packages** and summarizes the interaction between them.
- Section 2 details the **communication flow** for the project. This includes Internal communication mechanisms such as distribution lists, internal communication procedures, and document formats, etc. and external communication mechanisms such as the projects website, social media channels and logo.
- **Reporting mechanisms** are defined in section 3 (quarterly reports to GSA and reports linked to payments).
- Section 4 describes in depth the **quality management procedures**, in terms of how to deal with all-related to project meetings, financial management, risks/issues management, deliverables lifecycle and the management of external publications.
- **Financial matters** are detailed in section 5: payments, reporting and how to keep records and track of the progress of the activities.
- Finally, section 6 deals with **the IPR management**, where its related procedures are described.
- Annexes – Various project **templates**

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Abbreviations and acronyms

Abbreviation / Acronyms	Description
AG	Advisory Group
CA	Consortium Agreement
CEIT	Asociación Centro Tecnológico Ceit-IK4
CFS	Certificate of the Financial Statements
DC	Deliverable Contributor
DL	Deliverable Leader
DLR	Deutsches Zentrum für Luft und Raumfahrt e.V.
DoA	Description of Action
EC	European Commission
EGNOS	European Geostationary Navigation Overlay Service
EOA	Exploitation and Ownership Agreement
EU	European Union
FGC	Ferrocarriles de la Generalitat de Catalunya
GA	Grant Agreement
GSA	European Global Navigation Satellite Systems Agency
ING	Ingeniería y Control Electrónico S.A.
IFTTT	If This Then That
IP	Intellectual Property
IPO	Intellectual Property Officer
IPR	intellectual Property Right
NSL	Nottingham Scientific Ltd.
OBB	ÖBB-Infrastruktur AG
PC	Project Coordinator
PM	Person Month
PMO	Project Management Office
PO	Project Officer
RP	Reporting Period
SYGMA	System for Grant Management
SMC	Steering Management Committee
SP	Single Product
TEL	Teléfonos, líneas y centrales S.A.
TMC	Technical Management Committee
TOC	Table Of Contents
UIC	Union Internationale des Chemins de Fer
VIAS	Vías y Construcciones S.A.
WIPO	World Intellectual Property Organization
WP	Work Package
WPL	Work Package Leader

1 PROJECT MANAGEMENT STRUCTURE

1.1 Governance Structure

The innovation requires organization at different stages, coordinating level, operational level and support level; that is why the following governance structure has been defined.

As outlined in section 6 Governance structure of the Consortium Agreement, the internal organisation of the project is structured as shown in Figure 1:

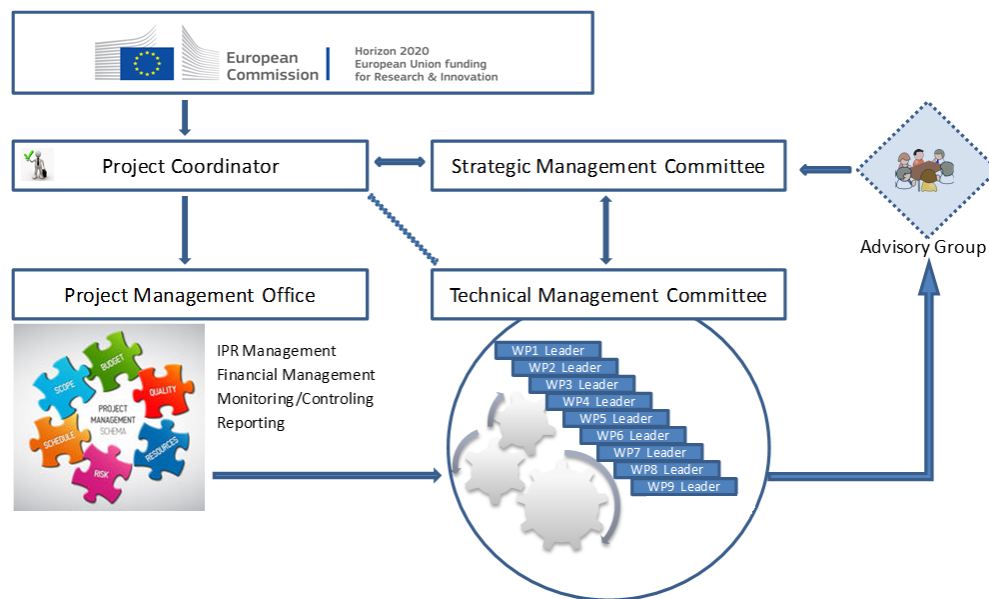


Figure 1. Project Management Structure

- **The Strategic Management Committee (SMC).** The Strategic Management Committee is the ultimate decision-making body of the Consortium. It will be formed by an empowered representative of each of the members of the consortium and chaired by the project manager of the coordinating partner Dr. Unai Alvarado from CEIT. The list of SCM members is the following:
 - **CEIT:** Unai Alvarado
 - **UIC:** Airy Magnien
 - **DLR:** Andreas Lubert
 - **ING:** Marcos Rubio
 - **TEL:** Iván Rivera
 - **VIAS:** Manuel Menéndez
 - **OBB:** Wolfgang Zottl
 - **FGC:** Josep Carles Teres

- **NSL:** Michael Hutchinson
- **The Project Coordinator (PC).** This is the legal entity acting as the intermediary between the Parties and the Funding Authority. Dr. Unai Alvarado from CEIT.
- **The Technical Management Committee (TMC).** The TMC will oversee the implementation of the work programme and be responsible for making all decisions related to the project operational management. The TMC will be constituted by the WP Leaders (one representative per WP) and will be co-chaired by CEIT and DLR.
- **The Project Management Office (PMO).** This body assists the Project Coordinator. It will handle the daily management work, project logistics and overall economic questions, providing all data needed by the SMC.
- **The Advisory Group (AG).** The group will liaise with the SMC and TMC as the inputs of its members will be sought for a large variety of topics. The AG will be formed by a group of first level organizations which have a direct interest in the project and can contribute to its success. This Group will advise the TMC regarding the views of potential end-users, best practices and guidance, future services of EGNOS and Galileo and further questions relevant for the exploitation of the project's results.

1.2 Work packages

In addition to the bodies described in section 1.1, another key role for the success of the project is the Work Package Leader. The **Work Package Leader (WPL)** manages the team assigned to the WP and is responsible for the latter's successful and timely completion. The WPL is responsible for making the day-to-day technical and management decision as well as is responsible of the deliverables and milestones for the WP. The work package (WP) components and relations are shown in the diagram below:

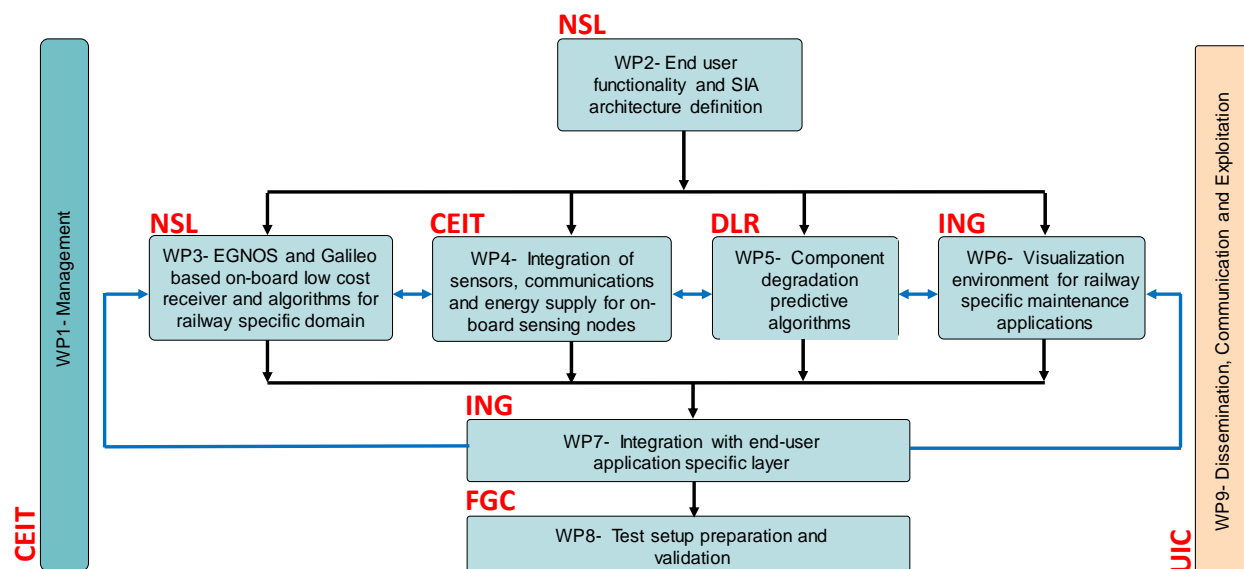


Figure 2. Pert chart and WPLs (red marked)

2 COMMUNICATION FLOW

2.1 Internal

All partners will be regularly informed about the project status, planning and any other issue relevant for the partners in order to obtain maximum transparency and awareness.

2.1.1 Distribution Lists

Most of the day-to-day communication between the partners will be via e-mail.

A complete distribution list has been set up, containing different sub-lists with the relevant participant for:

- The management of each Work Package (9 sub-lists)
- Strategic Management Committee
- Technical Management Committee

This list is managed and updated by the PMO and is available in the SharePoint site (see section 2.1.4) at

<https://tecnun365.sharepoint.com/sites/partners/sia/layouts/15/DocIdRedir.aspx?ID=N4U6HP2C4D7Y-2126529689-77&e=jlplST>

Is the partner's responsibility to ensure that relevant personnel are included in the mailing list and to communicate any changes to the PMO (malonso@ceit.es).

When sending an e-mail, the subject title should always include in the subject title the name of the project, followed by a more specific description of the subject.

To	The receivers related to the issue
Cc	Other relevant receivers, to whom the information is "for your information"
Subject	[Project name] key message of the mail (e.g. [SIA] WP7 Initial work plan)
Message	Key message and list of actions

Table 1. Email Format

It is recommended that each participant creates a dedicated "SIA" folder within his/her email inbox, in order to facilitate ease filing and referencing.

2.1.2 List of Contacts

The Project Management Office (PMO) will update the consortiums contact details list, which outlines, for each consortium member, their contact details, their role in the project and mailing lists that he/she belongs to. The excel file will be kept by the PMO and will be available at the SharePoint site.

The general contact list for the project is available at the SharePoint site (<https://tecnun365.sharepoint.com/sites/partners/sia/Lists/Contacts/Contacts.aspx>).

2.1.3 Communication between the parties and the Commission / GSA

All communication between the consortium and the Commission/GSA must be in electronic form via the Participant Portal electronic exchange system (<https://ec.europa.eu/research/participants/portal/desktop/en/home.html>).

2.1.4 Internal Communication Tool (SHAREPOINT)

To facilitate efficient internal communication amongst the partners, a Microsoft SharePoint site has been set up in the members only section of SIAs project website (<https://tecnun365.sharepoint.com/sites/partners/sia/default.aspx>). This site will be used to manage and coordinate the project.

Access to the site is restricted to the partners of the Consortium and the site can only be accessed by following the link provided in the web page entitled "Private" (a valid user name and password are needed). These are notified to relevant users separately by the PMO.

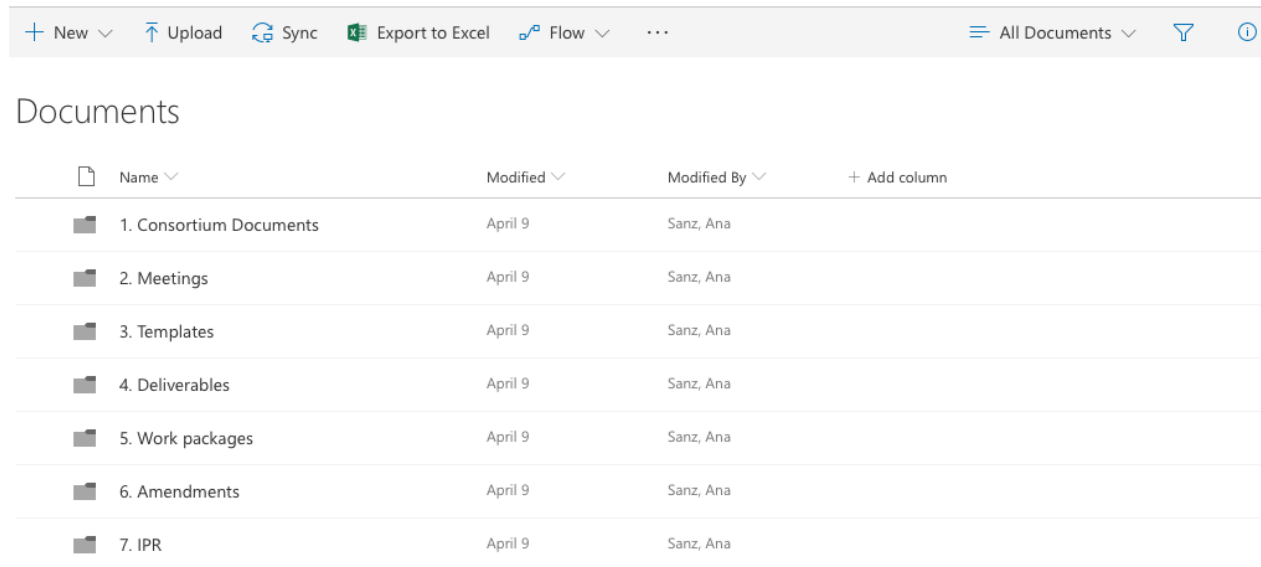
SharePoint (see a SharePoint's handbook in Annex A.1) is a web-based collaboration and document management platform from Microsoft. It will be used to share workspaces and documents. Important project files will be stored and maintained on SharePoint.

A folder-structure for the documents' repository has been already created (see Figure 3). All WPLs must manage the structure and use of their correspondent WP folder as their convenience, even though they will have to use the general folders to upload other relevant information (i.e. meeting minutes, final deliverables, etc.).

The SharePoint site will also assist with the consolidation of documentation to prove the proper implementation of the action in line with Article 18 of the SIA Grant Agreement.

The document repository is accessible in this link:

<https://tecnun365.sharepoint.com/sites/partners/sia/Shared%20Documents/Forms/AllItems.aspx?viewpath=%2Fsites%2Fpartners%2Fsia%2FShared%20Documents%2FForms%2FAllItems.aspx>



The screenshot shows a SharePoint document library interface. At the top, there is a toolbar with icons for 'New', 'Upload', 'Sync', 'Export to Excel', 'Flow', and a menu icon. Below the toolbar, the word 'Documents' is displayed. The main area contains a table with columns: 'Name', 'Modified', 'Modified By', and '+ Add column'. The table lists seven folders, each with a folder icon, a name, a modification date of 'April 9', and a modifier 'Sanz, Ana'.

Name	Modified	Modified By
1. Consortium Documents	April 9	Sanz, Ana
2. Meetings	April 9	Sanz, Ana
3. Templates	April 9	Sanz, Ana
4. Deliverables	April 9	Sanz, Ana
5. Work packages	April 9	Sanz, Ana
6. Amendments	April 9	Sanz, Ana
7. IPR	April 9	Sanz, Ana

Figure 3. Folder structure of documents' repository in SharePoint

A screenshot of the main page of the SharePoint site for the SIA team is shown in Figure 4. The elements on the left menu contain links of main sites (lists and libraries) such as documents, tasks, calendar, issues, contacts, etc.

- **Documents.** A document repository.
- **Tasks.** This page contains a list of tasks (i.e. WP and Tasks as described in the DoA). New tasks and subtasks can be created to track the progress of the different activities. Each Task leader will be responsible of subdividing her correspondent task into subtasks (i.e. smaller activities), setting a deadline and assigning to the relevant person.
- **Calendar.** This is a standard calendar view in which all the events that are relevant to the project (e.g. meetings, conferences, etc.) will be scheduled.
- **Contacts.** This page contains the contact list of the project. There is a complete distribution list in which the individual contacts are associated with their respective WP(s) and task(s), as described in 2.1.1.
- **ISSUES.** This site contains a list of issues (see section 4.6).

The screenshot displays a SharePoint site interface for the project '02-000053 SIA'. The top navigation bar includes 'BROWSE', 'PAGE', 'SHARE', 'FOLLOW', and a search bar. The left sidebar contains navigation links: Home, Documents, Tasks, Calendar, Recent, Contacts, ISSUES, and Site contents. The main content area is divided into three sections: 'ISSUES' with a '+ new item' button and a search bar; 'Documents' with buttons for 'New', 'Upload', 'Sync', 'Share', and 'More', followed by a table of folders; and a 'Newsfeed' section with a 'Start a conversation' button. The folder table lists seven items, all modified on April 9 by 'Sanz, Ana'.

✓	Name	Modified	Modified By
✓	1. Consortium Documents	April 9	Sanz, Ana
✓	2. Meetings	April 9	Sanz, Ana
✓	3. Templates	April 9	Sanz, Ana
✓	4. Deliverables	April 9	Sanz, Ana
✓	5. Work packages	April 9	Sanz, Ana
✓	6. Amendments	April 9	Sanz, Ana
✓	7. IPR	April 9	Sanz, Ana

Figure 4. Elements of the SharePoint site

2.1.5 Document Format and Project Templates

Templates for project deliverables and project presentations has been developed and made available to the consortium in the private site of the project (see Figure 3) following this link: <https://tecnun365.sharepoint.com/f:/r/sites/partners/sia/Shared%20Documents/3.%20Templates?csf=1&e=2eWtJS>.

With regards to format, all documents will be produced in either Microsoft Word, Microsoft Excel, Microsoft Project or Adobe Acrobat, all presentations need to be produced in Microsoft PowerPoint

All partners will use standard documents templates to apply a consistent look for all project documents. One generic document template has been provided for deliverables and presentations and several specific templates for particular documents such as Periodic Reports will be created later.

The generic document template will follow the guidelines provided by the EC and will contain the following:

- Layout of the title page
- Layout of headers and footers
- Styles that are to be used in the documents

This template is shown in Annex A.2 of this document.

Moreover, Presentations for internal or external communication should use the PowerPoint template, this is available in SharePoint. This template is also available in Annex A.3 of this document.

The template for the meetings' minutes is also provided in Annex A.5.

2.1.6 Conflict Resolution

The Consortium Agreement (CA) establishes the legal framework for the Project to provide clear steps for resolution of conflicts.

- **Internal conflict solutions:** In this context, Partners shall endeavor to settle their disputes amicably.
- **External conflict solutions - Mediation:** If disputes directly arising under the Consortium Agreement or its subsequent amendments (other than disputes relating to the infringement and/or validity of IPR which shall be the exclusive jurisdiction of the competent court), cannot be internally settled amicably, the Partners concerned may elect unanimously to seek to resolve them by mediation in accordance with the WIPO Mediation Rules. The place of mediation shall be Brussels unless otherwise agreed upon and the language to be used in the mediation shall be English unless otherwise agreed upon.
- **External conflict solutions – Jurisdiction:** If, however, such disputes cannot be settled amicably, partners shall be subject to the jurisdiction of the competent court in Brussels (Belgium). Nothing in this Consortium Agreement shall limit the Partners' right to seek injunctive relief in any applicable competent court.

2.1.7 Reporting an Issue, a Risk or a Problem

It is vital that potential problems are identified early and dealt with, to minimize the impact as well as to solve it quickly.

A dedicated place has been allowed to report issues, risks and problem in the SharePoint site. The issues, risks and problems will be revisited during the different meetings accordingly to the specific needs. This is the link for Issues' management: <https://tecnun365.sharepoint.com/sites/partners/sia/Lists/ISSUES/AllItems.aspx>.

2.1.8 Project Communication Mechanisms

All partners will inform the Project Coordinator (PC) ualvarado@ceit.es and CC: malonso@ceit.es of changes of their contact details or contact persons, or any changes in any other information needed for executing the project. It is important to emphasize and pay special attention to those changes related for the execution of the project as well as those which require to request an amendment. It is an obligation of all the beneficiaries to inform about any change to the coordinator as soon as they have notice about it.

Each beneficiary must immediately inform the coordinator-which must immediately inform the Commission and the other beneficiaries of any of the following:

- Events which are likely to affect significantly or delay the implementation of the action or the EU's financial interests, in particular:
 - changes in its legal, financial, technical, organisational or ownership situation
- circumstances affecting:
 - the decision to award the grant or
 - compliance with requirements under the Agreement.

2.2 External

Communication to the external audience is primarily managed within WP9 (i.e. dissemination and communication WP). More details concerning external communication can be found in the deliverable D9.1: Dissemination and Communication Plan. This will be a living document that will contain updated information about all activities concerning external communication and dissemination.

2.2.1 Website

A dedicated website will be set up at the beginning of the project. The website will be publicly accessible, with a section where visitors can register their interest. It will be divided into two parts: the public portal and the cooperation tool (member's area), which will act as an exchange platform between the project partners. The website will have the following layout:

- Presentation of the project

- Objectives
- Consortium
- News and events
- Documents and download
- Contact
- Access to the members area

This structure will adapt and be amended to suit the project and partner's requirements as delivery occurs.

2.2.2 Social Media Channels

Twitter, Facebook and LinkedIn public profiles will be created to reach wider audiences. Automation applications such as IFTTT (www.ifttt.com) will be used to repost content from one medium to the others, in order to generate automatic updates in all social media. For more details about this means of communication see deliverable D9.1.

2.2.3 Logo

A project identity will be created at the beginning of the project including the SIA logo, templates for presentations, reports and meeting minutes, as well as a project flyer. The project identity will help dissemination activities and ensure a consistent communication of the project concept, objectives and results.

The logo for the project has been selected among SIA partners by means of an informal poll arranged by Ceit. In this poll, the participants selected their favourite logo among 5 proposals made by UIC. The winner will be utilized through the project for all generated material, and is shown in Figure 5



Figure 5. SIA logo

2.2.4 Brochure

During the first months of the project, a flyer will be created. The main objective of this publication is to provide the wide audience with some preliminary information on the goals of the project, the structure and main planned activities and the members of the SIA consortium.

On the other hand, the brochure anticipates the newsletters and has a more generic content as the activities of the project will still be at an early stage at the time it will be produced. The project brochure will be distributed during public events by partners of the consortium.

Lastly, a final brochure will be published at the end of the project to describe all of the results achieved within SIA regarding the development of iWheelMon, iRailMon, iPantMon and iCatMon.

2.2.5 Dissemination Procedure

The dissemination procedures are detailed in a dedicated section (i.e. dissemination measures) in the deliverable D9.1.

2.2.6 EU Funding Acknowledgement

As mentioned in the previous section (2.2.5), a beneficiary that intends to disseminate its results must include:

- a) display the GSA emblem (logo included in the templates' folder in the SharePoint site)
- b) include the following text:

“This project has received funding from the European Union’s Horizon 2020 research and innovation programme and from the European Global Navigation Satellite Systems Agency under grant agreement No 776402”.

3 REPORTING

The GSA must monitor the activities of the projects to assess and verify:

- That the beneficiaries implement the project as described in Annex 1 of the Grant Agreement (GA) (Description of the action – DoA).
- The eligibility of the costs claimed.

Monitoring project implementation is a continuous task, but there are key contractual tasks related to each reporting period at the time of payments.

The reporting and monitoring of project implementation is structured as follows:

1. **Deliverables identified in Annex I of the Grant Agreement, according to the timetable specified in the Deliverables list.**
2. **Quarterly Status Report**
 - The completion of template (every quarter including middle and end)
 - Validation by reviewer
 - A conference call with PO, coordinator and reviewer
3. **Mid-Term Review**
 - After 1st reporting period
 - Physical meeting involving reviewer and PO
 - Cost statements to be provided for interim payment
4. **Final Review**
 - Close to project end date
 - Physical meeting involving reviewer and PO
 - Final report according to GSA template
 - Cost statements to be provided for final payment

More detailed information about reporting can be found in the document **GSA_Monitoring and Reporting.pptx** (authored by GSA) in the SharePoint site at the following link: <https://tecnun365.sharepoint.com/sites/partners/sia/layouts/15/DocIdRedir.aspx?ID=N4U6HP2C4D7Y-2126529689-76&e=hfdm6>.

3.1 Quarterly Reports

The consortium will submit quarterly reports to update the GSA during the evolution of the project. The template for status and activity reporting (the excel file included in the project's repository in the SharePoint site, TEMPLATES), covers:

- The status of deliverables
- Milestones
- Objectives
- Meetings
- Outcomes

Status reporting is a continuous process. i.e., changes such as changed meeting dates, new deliverables, are reflected asap.

Status and Activity reporting is done on a quarterly basis following the next procedure:

- The Coordinator completes the quarterly report and updates the status within 2 weeks at the end of every quarter.
- A 1-2-hour conference call is planned between the Project Coordinator, Project Officer and Project Reviewer 2-3 weeks after the report has been uploaded
- Conference call can be combined with a review meeting
- The call will focus on: key results, risks, opportunities, deliverables received in the quarter and next steps.
- The Project Reviewer completes his part within 2 weeks of the conference call. The GSA Project Officer completes his part 1 week later.
- At this point the report is frozen for the quarter.

3.2 Reports linked to payments

The coordinator must submit both:

- **Periodic report** after the end of each reporting period, including the last one:
 - First periodic report: M18 (August 2019) Deadline 31st October 2019 (60 days after the end of the period)
 - Second periodic report: M36 (February 2021) Deadline 31st March 2021 (60 days after the end of the period)
- **Final report** at the end of the action:

- Final report: M36 (February 2021) Deadline 31st March 2021 (60 days after the end of the period)

Each report should be a single package, composed of several parts, i.e.:

- a (periodic or final) **technical report** The periodic technical report includes an explanation of work carried out, an overview of progress, a publishable summary and a questionnaire. The final technical report is a publishable summary of the entire action (describing the overview of the results and their exploitation and dissemination, the conclusions on the action and its socio-economic impact).
- a (periodic or final) **financial report** The periodic financial report includes the individual financial statements, an explanation of the use of resources and the periodic summary financial statement). The final financial report basically consists of the final summary financial statement that is automatically created by the system. In some cases (and for some beneficiaries/linked third parties) it must be accompanied by a certificate on the financial statements (one certificate per beneficiary/linked third party). The financial reports also contain the requests for payment (necessary for any payment other than the pre-financing payment).

3.2.1 Periodic Reports

The Project Coordinator, on behalf of the consortium, will submit a periodic report within 60 days following the end of each corresponding reporting period. Additionally, a draft version will have to be submitted 15 days before the review meeting.

The action is divided into the following '**reporting periods**':

- RP1: from month 1 to month 18 (01/03/2018 to 31/08/2019)
- RP2: from month 19 to month 36 (01/09/2019 to 28/02/2021)

The procedure, and related deadlines, that must be followed to produce the reports is summarized below:

- Within 15 days after the end of the period, the PMO (Project Management Office) will send an e-mail to the consortium with detailed instructions on how to perform.
- WP leaders are responsible for producing the technical part of the report, with the contributions of Task Leaders where necessary. The report is organized and compiled by the Project Management Office, following the structure of EC templates; the Project Coordinator shall review, sign and submit the periodic report to the EC.
- The financial section of the report is the sole responsibility of each partner and shall be done via Nef). Additionally, the PMO will check that everything is consistent according to H2020 rules.

The deadlines reported above are purely indicative. At the end of each reporting period the PMO will circulate an e-mail with the real scheduling (with precise dates), that will have to be strictly followed by all the project partners.

The periodic report must include the following

- Technical report (Part A and Part B)
- Financial report

3.2.1.1 Technical Report

- **Part A** – “Information entered in the IT tool through the Continuous Reporting module”
 - Publishable Summary
 - Deliverables, milestones, risks, etc.
 - Answers to the questionnaire (H2020 KPI*). The answers to the ‘**questionnaire**’, covering issues related to the action implementation and the economic and societal impact, notably in the context of the Horizon 2020 key performance indicators and the Horizon 2020 monitoring requirements;



Figure 6. Participant portal screenshot

- **Part B** - narrative part - “Submitted in a PDF through the Periodic Reporting module”
 - Explanation of the work carried out by the beneficiaries
 - Overview of progress towards the objectives of the action, including milestones and deliverables identified in Annex 1.
 - This report must include explanations justifying the differences between work expected to be carried out in accordance with Annex 1 (technical annex) and that actually carried out.
 - Update of the plan for exploitation and dissemination of results.

3.2.1.2 Financial Report

- Individual financial statements (Annex 4 to the GA) from each beneficiary, for the reporting period concerned. The individual financial statement must detail the eligible costs (actual costs, unit costs and flat-rate costs; see Article 6) for each budget category (see Annex 2). If an individual financial statement is not submitted for a reporting period, it may be included in the periodic financial report for the next reporting period (although it is not recommended).

- The individual financial statements of the last reporting period must also detail the receipts of the action.
- Explanations on the use of resources and the information on subcontracting (see article 13) and in-kind contributions provided by third parties (see Articles 11 and 12). Concerning this section, the PMO will send a detailed e-mail to the consortium about how to fill in it in detail.
- A periodic summary financial statement including the request for payment

The steps that must be followed for the financial reporting are summarized here. A complete description of all financial-related issues can be found in the document **GSA_Financial and Contractual Rules.pptx**, authored by GSA, and accessible at the SharePoint site <https://tecnun365.sharepoint.com/sites/partners/sia/layouts/15/DocIdRedir.aspx?ID=N4U6HP2C4D7Y-2126529689-75&e=PXqEGx>.

- All beneficiaries will receive a notification and then they will have to log on the Participant Portal.
- All beneficiaries will complete their own Financial Statement and their contribution to the Technical Part of the Periodic Report. Beneficiaries e-sign (PFSIGN) and submit their Financial Statements to the Coordinator.
- The Coordinator will approve the elements of the Periodic Report & Submits to the EU Services.
- Furthermore, the PMO will send an excel template for financial reporting. This will record actual person month for each task against the planned person month allocation.



Figure 7. Screenshot of the Participant Portal

The whole process is summarized in the figure below.

Beneficiaries (including the coordinator)

- **Financial statement:** insert data → Lock for review → Sign & Submit
- **Technical Report:** insert data → Lock for review

Coordinator

- **Financial statements:** Check → Redo / Include
 - **Technical Report:** Check → Accept & Include
- Submit to EU

Figure 8. Reporting Process Summary

3.2.2 Final Report

In addition to the periodic report for the last reporting period, the coordinator will submit the final report within 60 days following the end of the project.

The final report consists of 2 parts (technical and financial), both of which must be completed in the grant management system. The report is automatically generated by typing it in the tool (there is no need to upload any document).

- **Final technical report is a publishable summary of the entire project.** Like the summaries for the periodic reports, the final summary must be written in an understandable style for a non-specialist audience, and will include:
 - An overview of the results and their exploitation and dissemination
 - The conclusions of the project
 - The projects socio-economic impact
 - An up-to-date link to the project website
 - Project logos, diagrams, photographs and videos illustrating its work (if available).
- **Final Financial Report**
 - Final summary financial statement that is automatically created by the system (consolidating the data from all individual financial statements for all beneficiaries and linked third parties, for all reporting periods) and that constitutes the request for payment of the balance
 - In some cases (and for some beneficiaries/linked third parties) it must be accompanied by a certificate on the financial statements - CFS (one certificate per beneficiary/linked third party).

- Coordinator - submit these as a scanned copy (PDF) together with the financial statement for the final reporting period of each partner concerned.
- Beneficiary –keep the signed original in your files.
- The certificate must be issued by an external auditor, using the [template in Annex 5](#). It is required if a beneficiary/linked third party requests a total financial contribution of **€325,000 or more**, as the reimbursement of actual and unit costs calculated on the basis of its usual cost accounting practices (i.e. ‘average personnel costs’, see more in [Certification](#) section).

Costs based on lump sums, flat-rates (e.g. indirect costs) or unit costs (other than those for personnel costs calculated according to the beneficiary's usual cost accounting practices) are not counted for the €325 000 limit (and do not need to be covered by the certificate).

4 QUALITY MANAGEMENT

The project quality management is based on the general procedures described in the following paragraphs. During the course of the project, the Project Coordinator, along with the Project Management Office, will be responsible to:

- Check that the project procedures are respected;
- Ensure that the deliverables fulfil the defined quality requirements;
- Maintain the contents of the SharePoint site of the project.

The Project Coordinator will ensure that each deliverable has followed the appropriate verification and approval process, including the review of the deliverables (see section 4.8). In addition, the Project Manager is responsible for the quality verification of all deliverables before submission to the GSA.

4.1 Project Meetings

4.1.1 Strategic Management Committee (SMC) Meetings

According to section 6 of the GA, the SMC will meet at least once every 6 months (being every 4 months the common practice, coinciding with the TMC meetings). In any case, this might be adapted to the needs of the project. Extraordinary meetings can be held any time upon written request of the 1/3 of the members of the SMC. The project coordinator sets the agenda of the meetings.

4.1.2 Technical Management Committee (TMC) Meetings

The TMC will normally meet 3 times a year (every four months) but this might be adapted to the needs of the project. Extraordinary meetings can be held at any time upon written request of any TMC member. In addition, interim contacts (e.g. conference calls) might take place if necessary. The TMC manager and Project coordinator set the agenda of the meetings and conference calls.

4.1.3 Work Package Meetings

Meetings of the technical Work Packages will take place on a regular basis (e.g. every other week) by teleconference but based on the specific needs of a given WP, where face-to-face meetings and/or workshop will be scheduled as needed. The Technical Leader and Project Coordinator can participate to the meetings of the WPs, as appropriate. The WP leaders set the agenda of their respective WP meetings.

4.1.4 GSA Review Meetings

There will be 2 review meeting with the GSA (after M18 and at the end of the project after M36). The purpose will be to review technical and scientific progress of the project and approval of deliverables and Periodic Reports.

The final review meeting will be held by the completion of the project and the purpose will be the review of the overall technical and scientific outcome of the project, the financial review and the discussion of the future industrial and exploitation perspective of the project.

4.2 Preparation of Meetings

Some general notes about the formal preparation of the meetings (e.g. convening meetings and sending the agenda) are described in detail in section 6 of the GA.

4.2.1 Use of “Good Practices”

Participants in meetings should be well selected. When appropriate, small meetings will be preferred to large ones. It is advised not to invite people who are not directly concerned with the subject of the meeting. The detailed information about convening meetings and noticing of meetings is described in the GA (section 6) and summarized in Table 2 and Table 3.

	Ordinary meeting	Extraordinary meeting
Strategic Management Committee	At least once each 6 months	At any time upon written request of the 1/3 of the Members of the Strategic Management Committee.
Technical Management Committee	At least once each 4 months	At any time upon written request of any Member of the TC.

Table 2. Timing for convening meetings

	Ordinary meeting	Extraordinary meeting
Strategic Management Committee	30 calendar days	15 calendar days
Technical Management Committee(STC)	14 calendar days	7 calendar days

Table 3. Timing for notice of a meeting

Each of these meetings should be well prepared. The objectives, agenda and required preparation/contribution from the attendees should be defined before the meeting (Table 4). If specific documents or reports will be discussed in the meeting, the draft material should be made available sufficiently in advance to ensure that the participants have time to read and comment it.

	Ordinary meeting	Extraordinary meeting
Strategic Management Committee	14 calendar days	10 calendar days
Technical Management Committee	7 calendar days	7 calendar days

Table 4. Timing for sending the agenda of a meeting

	Ordinary meeting	Extraordinary meeting
Strategic Management Committee	10 calendar days	5 calendar days
Technical Management Committee	2 calendar days	2 calendar days

Table 5. Timing for adding agenda items of a meeting

Meeting dates should be chosen adequately in advance to ensure all participants concerned can attend. If possible, meetings with different purposes should be combined to save both travel time and money. Detailed description of travel information should be provided.

4.2.2 Responsibility

Each meeting should have a facilitator designated in advance. At the stage of the preparation, the facilitator is in charge of:

- Coordinating administrative arrangements and preparation of an agenda in collaboration with the meeting participants;
- Liaising with the logistics assistant of the site where the meeting takes place to arrange accommodation for all participants;
- Reporting status of meeting preparation and follow-up to the meeting participants;
- Distribution of relevant papers.

Each participant to a meeting should contribute to the meeting preparation by providing:

- Working documents: normally the main subjects discussed during a meeting will be documented by discussion papers. These papers should be distributed in advance and not during the meeting itself, since otherwise the participants will be unable to prepare for the meeting;
- Contributions to the agenda;
- Timely registration; Preparation of presentations.

4.2.3 Meeting Minutes

Every official meeting (including task/WP plenary conference call) of the project should be traceable on the SharePoint collaboration site in the Meetings section (Minutes of meetings and Agendas), allowing the members to be informed about meetings and allowing them to claim those travel costs when applicable.

The templates for the meeting minutes can be accessed in the documents' repository (see Annex A.5).

4.3 Internal Communication

All partners will be regularly informed about project status, planning and any other issue relevant for the partners in order to obtain maximum transparency and awareness. More details about internal communications are described in section 2.1 of this document.

The quality process for internal communication establishes the foreseen work flow for any WP resolution. It sets the internal communication flow and the role of each participant, which assures the quality of the management and of the scientific and technical objectives of each WP. This process is illustrated in Figure 9, taking into account that every participant in a given WP can act as task reviewer.

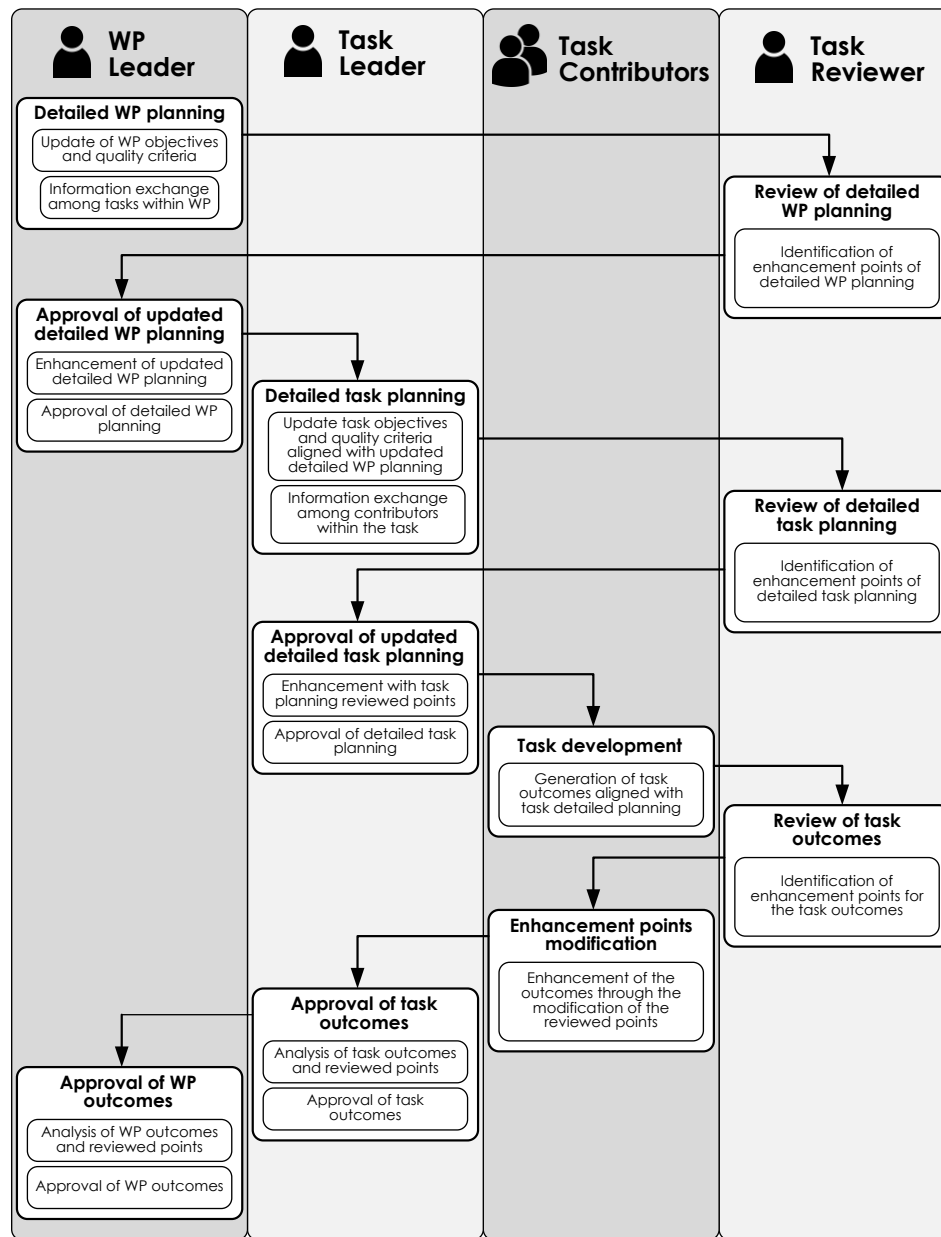


Figure 9. Quality process for internal communication among WP activities

4.4 External Communication

The details concerning external communication are described in section 2.2 of this document.

4.5 Internal Financial and Technical Reports

The Project Coordinator must submit to the Commission a technical and financial report, including requests for payment. For specific content about this issue see section 5 of this document.

4.6 Risk / Issues Management

Risk management, quality assurance and financial and contractual management are considered as the key tools to guarantee the success of the project. Regular internal project reporting and a transparent communication plan will ensure that eventual problems or delays in project progress will be detected early and rapidly and that corrective actions can be taken if necessary. Special attention will be paid to keeping the partners informed of the project status, planning and other important issues.

The management structure as outlined in section 1.1 ensures that risks are reported promptly to the Project Coordinator via the WP leaders. A risk table associated to each WP and important milestone will be established and stored in the correspondent WP's repository.

Please refer to GA: section 1.3.5. WT5 Critical Implementation risks and mitigation actions.

4.6.1 The Management of Issues & Problems

Open issues and problems will also be managed during the project within the SharePoint site. Whenever a new issue or problem arises in a given task and/or WP, the correspondent task leader and/or WP leader will open and describe an issue until it is solved. All the issues will be traceable and accessed in this path:

<https://tecnun365.sharepoint.com/sites/partners/sia/Lists/ISSUES/AllItems.aspx>

The fields that need to be completed are:

- **Issue ID.** A unique ID tag (i.e. number) used to identify the issue in the issue tracking log. It is automatically generated.
- **Title.** A short but descriptive title for the issue.
- **Category.** This column should be populated with the issue type. Valid options include the following:
 - **(1) Category1.** Relating to a technological problem in the project.
 - **(2) Category2.** Relating to resources, i.e. equipment, material, or people problems
 - **(3) Category3.** Other issues. For example, informational issues just for logging purposes, or other issues impacting other areas, e.g. issues relating to the project's design, issues in response to a request for information external to the immediate project/project team, etc.
- **Issue Status.** This column should be populated with the issues current status. Valid options include the following:
 - **Active:** The issue is currently open but has not yet been addressed or is being actively worked to develop a resolution.

- **Resolved.** The issue has been resolved
- **Closed:** The issue is no longer considered an active project threat and can be closed with or without resolution.
- **Priority.** This column should be populated with the priority of the issue. Valid options include the following:
 - **(1) High:** Issue will likely move the project back in terms of budget or timeline, or will materially affect quality or scope.
 - **(2) Normal:** Issue will have material effect on project, has potential to be moved to high category and/or requires significant resources to manage.
 - **(3) Low:** Issue is expected to have a moderate effect on the project, but will require resources to address.
- **Description.** This column should be populated with a description of the issue
- **Related issues.** This column contains the title of any other associated issues that may be impacted by the issue or that the issue is dependent upon for resolution.
- **Assigned To.** This column should be populated by email of the issue's owner. The individual most responsible for working towards resolving the issue.
- **Due Date.** This column should be populated with the date that the issue is expected to be resolved.
- **Comments.** The following fields must be completed within the Comments section:
 - **Escalation Required (Y/N).** This column should be populated with "Yes" if the issue needs to be escalated (e.g. SMC, TMC, GSA, EC) and "No" if escalation is not needed to resolve the issue.
 - **Impact Summary.** This column should be populated with a description of the impact of the issue. The impact may be expressed in terms of one or more of the following: schedule, scope, resources, and space. The impact description should also include a reference to any deliverables and/or milestones impacted.
 - **Action Steps.** This column should be populated with the proposed steps to address the issue.
 - **Final Resolution & Rationale.** This column should be populated with a description of the final resolution & rationale of the issue. The resolution may be expressed in terms of one or more of the following: schedule, scope, resources, and space. The resolution description should also include a reference to the deliverables and/or milestones impacted.

- **Created.** This column is populated with the date that the issue was identified. It is automatically generated.
- **Created By.** This column is populated by the name of the individual who first identified the issue. It is automatically generated.
- **Modified.** This column is populated with the date that the issue was modified. It is automatically generated.
- **Modified By.** This column is populated by the name of the individual who modified the issue. It is automatically generated.

All the issues will be reviewed periodically during task/WP meetings (at a maximum periodicity of 2 weeks), and the list will be upgraded asynchronously, whenever a new issue arises.

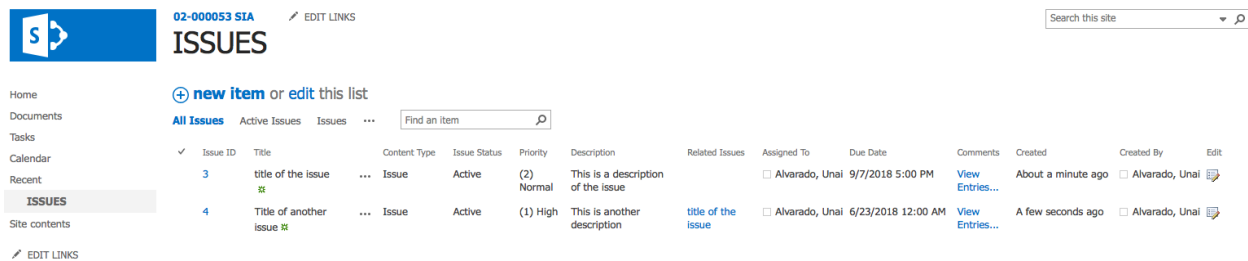


Figure 10. Screenshot of the ISSUES page on SharePoint

To open an issue, the “**new item**” has to be selected, and all the fields in the popup form (Figure 11) must be fulfilled. For editing an issue, the same form must be utilized.

The format of the “**Description**” and “**Comments**” will be plain text by default. The fields can be edited utilizing basic HTML. A basic editor, where you can input the formatted text and obtained the related HTML code can be found at <https://html-online.com/editor/>.

BROWSE

EDIT

SHARE

FOLLOW

Save

Cancel

Paste

Cut

Copy

Delete Item

Attach File

Spelling

Commit

Clipboard

Actions

Spelling

Home

Documents

Tasks

Calendar

Recent

ISSUES

Site contents

EDIT LINKS

Title *

title of the issue

Assigned To

Alvarado, Unai x

Issue Status

Active

Priority

(2) Normal

Description

This is a description of the issue

[Click for help about adding basic HTML formatting.](#)

Category

(2) Category2

Related Issues

Title of another issue

title of the issue

Add >

< Remove

Comments

[Click for help about adding basic HTML formatting.](#)

Alvarado, Unai (5/10/2018 12:25 PM):

This is an example of a comment. - Escalation required - Impact summary - Action steps - Final resolution & rationale

Due Date

9/7/2018

5 PM

00

Version: 1.0

Created at 5/10/2018 12:25 PM by Alvarado, Unai

Last modified at 5/10/2018 12:25 PM by Alvarado, Unai

Save

Cancel

Figure 11. Screenshot of the edition of issues in SharePoint

A summary of all the information of an issue can be accessed by clicking on the issue, as shown in Figure 12.

BROWSE		VIEW		SHARE FOLLOW	
Manage		Actions			
Home		Title	title of the issue		
Documents		Assigned To	<input type="checkbox"/> Alvarado, Unai		
Tasks		Issue Status	Active		
Calendar		Priority	(2) Normal		
Recent		Description	This is a description of the issue		
ISSUES		Category	(2) Category2		
Site contents		Related Issues			
		Comments	<input type="checkbox"/> Alvarado, Unai (5/10/2018 12:25 PM): This is an example of a comment. - Escalation required - Impact summary - Action steps - Final resolution & rationale		
		Due Date	9/7/2018 5:00 PM		
		Version: 1.0			
		Created at 5/10/2018 12:25 PM by <input type="checkbox"/> Alvarado, Unai			
		Last modified at 5/10/2018 12:25 PM by <input type="checkbox"/> Alvarado, Unai			
		<input type="button" value="Close"/>			

Figure 12. Summary of the information related to an issue in SharePoint

4.7 Monitoring Processes and Self-Assessment

Special attention will be dedicated to self-assessment at project level and to evaluation activities. This will be done through a continuous assessment and evaluation process. It will be the responsibility of the TMC, according to their respective scope of work within the SMC, to assess the fulfilment of the previously stated project objectives, as well as to propose to the SMC the appropriate corrective actions.

4.8 Deliverables Lifecycle

The lifecycle of the deliverables of SIA will have five stages, as illustrated in Figure 13. It will be the leader of each deliverable (Deliverable Leader – DL) takes the role of pushing forward to the completion of the document.

1. **Creation.** The project leader (PL) creates the document (v.0.0) with the proposed TOC, roles and responsibilities, and timeline until document completion.
2. **Preparation.** The PL coordinates the preparation of the document with the deliverable contributors (DC) until the document is ready for internal review (v.1.0)
3. **Internal Review.** The internal review process starts at T1 (3-weeks before the delivery date – T2) at WP level.

4. **External Review.** The external review process by the GSA starts at T2, which is the official date of delivery according to the DoA.
5. **Completed.** At this stage, the deliverable will be completed.

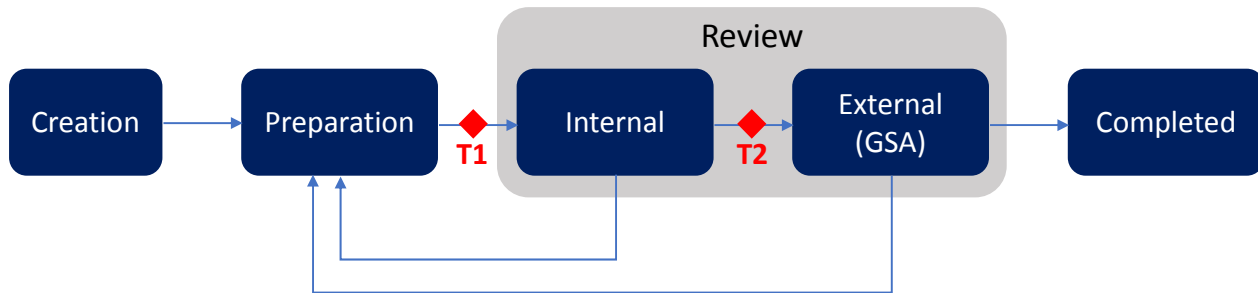


Figure 13. Deliverable lifecycle

4.8.1 Deliverable Creation

During the deliverable creation phase, the following steps must be taken into account:

1. Firstly, the DL must create a first version of the document in order to initiate the deliverable preparation phase (section 4.8.2) from the template.
2. The naming of the deliverable will include v0.0 at this stage, being the name of the file ***SIA_Deliverable_DX.X_v0.0***
3. DL completes the basic data of the document:
 - a. FIRST PAGE
 - i. Deliverable number
 - ii. Deliverable title
 - iii. Due date of deliverable
 - iv. Beneficiary short name
 - v. Dissemination level
 - b. HEADER: Deliverable number and title
 - c. SECOND PAGE
 - i. Author(s)
 - ii. Name (Company) in the yellow table
4. DL creates a proposed TOC

5. DL specifies the roles and responsibilities (tentative) of DCs within the different sections of TOC
6. DL prepares a timeline for the document completion
 - a. Acceptance of the TOC, roles and responsibilities so the preparation phase can start
 - b. Deadline for input contributions and consolidation of document
 - c. Completion of v1.0 (T1)
 - d. Actual delivery for external review (T2)
7. Each DC send back the requested information on time:
 - a. Confirming where and how it will contribute to the deliverable
 - b. Editing the TOC using “track changes”
 - c. Renaming the document name: **SIA_Deliverable_DX.X_v0.0_PARTNER**
8. The DL collects the information from all PCs and **consolidates a final TOC:**
 - a. with an agreed description of roles, responsibilities and timing among the partners
 - b. Updated the changes’ control in the yellow table of the second page.
 - c. The deliverable leader renames the consolidated document name: **SIA_Deliverable_DX.X_v0.1**
9. DL circulates v0.1 of the deliverable to PCs with a clear statement of roles, responsibilities and timeline required until document’s delivery.

NOTE: The WP leader and Project Coordinator must be copied (CC) in all the communications related to the deliverable lifecycle.

4.8.2 Deliverable Preparation

During the deliverable preparation phase, the following steps must be taken into account:

1. All the DCs prepare their contribution from the document’s version 0.1.
2. Each DC fills, in the SECOND PAGE:
 - a. Author(s)
 - b. Content description in the yellow table
 - c. Name (Company) in the yellow table
3. Each DC changes the name of the file as **SIA_Deliverable_DX.X_v0.1_PARTNER**

4. Any consolidation of the document made by the DL must increase its version number
5. Any changes from a previous version should include the new contributions with “track changes”.
6. The preparation phase finishes when the deliverable is ready for internal review.
7. The final consolidation of the deliverable leads to v1.0: **SIA_Deliverable_DX.X_v1.0**
8. The DL must update the control changes table in the second page with version v1.0.

NOTE: The WP leader and Project Coordinator must be copied (CC) in all the communications related to the deliverable lifecycle.

4.8.3 Deliverable Review (Internal)

During the deliverable internal review phase, the following steps must be taken into account:

1. The DL initiates the internal review process by sending v1.0 of the document to the WP participants according to the distribution list (see section 2.1.1).
2. During the following 7 days, each reviewer will review the document:
 - a. Using track changes
 - i. Directly editing the text for typos and small edits
 - ii. Adding comments (provide as much details as possible) to parts that need more work
 - b. Changing the name of the document with **SIA_Deliverable_DX.X_v1.X_PARTNER**
 - c. Sending the document back to the DL on time
3. During the following 7 days, the DL will consolidate a v2.0 of the document:
 - a. Integrating all the contributions from the reviewers using track changes
 - i. All minor edits (i.e. typos, grammar) are accepted
 - ii. The comments are answered and taken care of as needed
 - b. updating the control changes table in the second page
 - c. The name of the deliverable will be **SIA_Deliverable_DX.X_v2.0**
 - d. The DL will send v2.0 once again to the reviewers
4. Steps 2 and 3 will be repeated during the following 7 days, and a final version of the document (ready for external review) will be consolidated

- a. The name of the deliverable will be **SIA_Deliverable_DX.X_v3.0**

NOTE: The WP leader and Project Coordinator must be copied (CC) in all the communications related to the deliverable lifecycle.

4.8.4 Deliverable Review (GSA)

Once the document is ready for delivery (at v3.0) it will be sent to the GSA's evaluators by email and the review will follow the process described by Figure 14.

1. The DL sends v3.0 of the document to the PC
2. PC coordinator sends v3.0 of the document to the evaluators

Once having positive feedback from the evaluators, the PC will upload it to SYGMA (System for Grant Management) inside Participant Portal (ECAS).

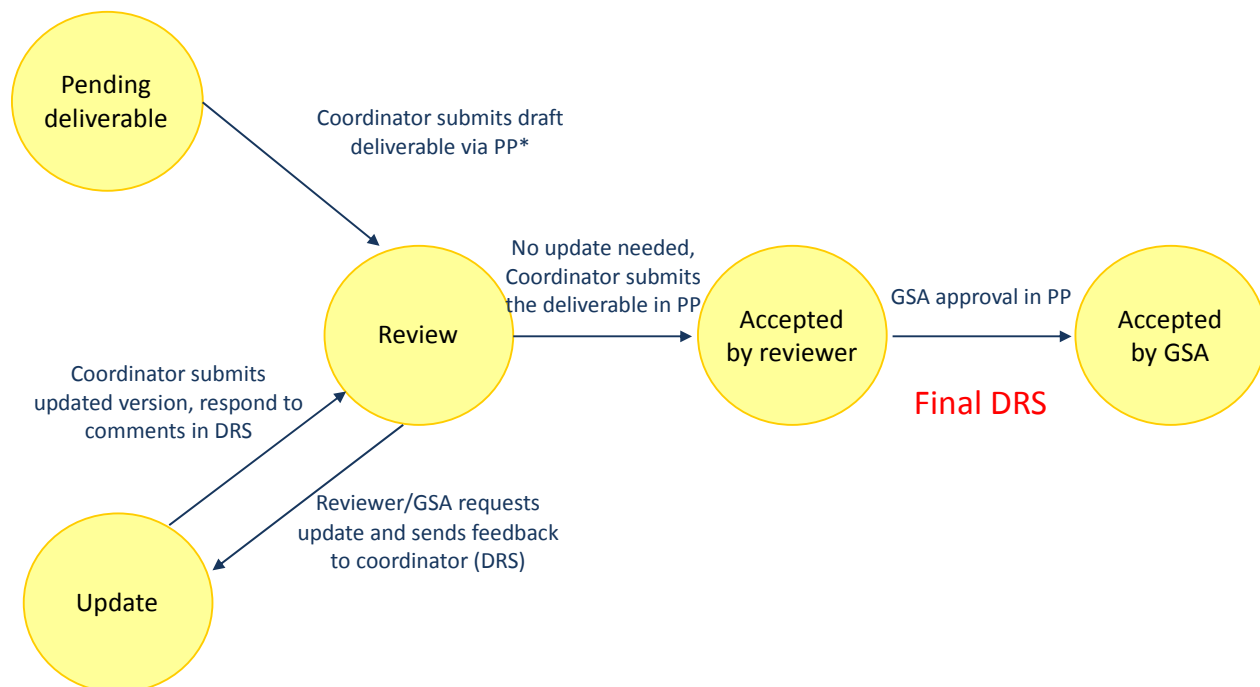


Figure 14. Deliverable external review

NOTE: The WP leader Deliverable Leader must be copied (CC) in all the communications with the GSA

4.9 External Publications Approval Process

The dissemination of intermediate and final results in the project will be done continuously by flyers, brochures, posters, articles and presentations on different national and international

conferences. The complete description of the planned WP9 activities related to dissemination and communication are detailed in deliverable D9.1: Dissemination and Communication Plan.

The publications approval of the activities of WP9 will be the following:

1. The author sends the draft abstract of the publication to WP9 leader (UIC) and the PC
2. The WP9 leader circulates the draft abstract of the publication to TMC members
3. TMC members send feedback to the PC/WP9 Leader
4. If there are no comments within 15 days from the date of circulation, the author is authorized to draft and finalize the publication.

The publication approval of individual initiatives by partners will be the following:

1. The document (flyer, brochure, poster, article, etc.) is approved within the WP
2. The document is sent to the PC/WP9 Leader
3. The WP9 leader circulates the document to TMC members
4. TMC members send feedback to the PC/WP9 Leader; if there are no comments within 15 days before the publication deadline, the document can be published.

5 FINANCIAL ISSUES

5.1 Payments

The coordinator CEIT will follow their usual management principles and practises concerning the payments of European Projects with the particularities of those managed by GSA. The payments are calculated by the PMO and approved and checked by the Deputy Financial Manager.

Likewise, in order to calculate the payments, it will take into account the current regulations of H2020 and GSA (more details about the particularities of the agency can be found in the document ***GSA_Financial and contractual rules.pptx*** - PATH), article 7.3 Payments of the Consortium Agreement as well as article 21 of the Grant Agreement.

There will be three types of payments: pre-financing payments, one interim payment and one payment of the balance.

The PMO will notify to each party by e-mail of the date and composition of the amount transferred to its bank account, giving the relevant references.

The final payment to a Party will be distributed by the Project Coordinator against a written agreement (“financial quitus”) on the final financial report of the Project signed by the financial representative of such Party.

It is well worth mentioning that according to article 7.1.4 of the CA. In any case of a Party having received excess payments, the Party has to return the relevant amount to the Coordinator without undue delay. For avoiding any doubt, a Party, having received payments not exceeding its allocated share but exceeding the amount of contribution accepted by the Commission, shall refund the exceed payment without delay. Coordinator is entitled to recover the exceeding amount already paid to such Partner.

5.2 Reporting

5.2.1 Quarterly Reports

Apart from answering to the question “Budget on track?” with a Yes/No answer, there is no additional financial information to provide in the quarterly reports.

5.2.2 Periodic / Final Reports

The financial-related aspects of the periodic and final reports have already been described in sections 3.2.1 and 3.2.2 of this document.

5.3 Keeping Records – Person Months – Timesheets

5.3.1 Keeping Records

The beneficiaries must, for a period of five years after the payment of the balance, keep records and other supporting documentation in order to prove the proper implementation of the action and the cost they declare as eligible.

5.3.2 Person Months Monitoring

At the beginning of the project, the Project Coordinator will distribute an Excel file among the parties in which the effort per partner (i.e. PM) will be broken down not only by WP (as it is shown in the DoA) but also by task, in order to be approved by consortium.

This file will be used by the PMO to calculate the estimation of person month per work Package and task in each reporting period, and to compare the actual effort in a given period (in person-months - PMs) with the PMs planned for that period.

5.3.3 Timesheets

For personnel cost (declared as actual costs or on the basis of unit costs), the beneficiaries must keep time records for the number of hours declared. The time records must be printed on paper and approved by the persons working on the action and their supervisors, at least monthly.

As an exception, there is no need to keep time records for persons working exclusively on the action if the beneficiary signs a declaration confirming that matter.

An example of time record template is provided in **Annex A4**.

6 IPR MANAGEMENT PROCEDURE

6.1 IPR in the Consortium Agreement

The Consortium Agreement (CA) was signed by all the Project Partners and has come into force on the date of its signature by the Parties and shall continue in full force and effect until complete fulfillment of all obligations undertaken by the Parties under the EC-GA and the Consortium Agreement. The purpose of the Consortium Agreement (CA) is to establish a legal framework for the project in order to provide clear regulations for issues within the consortium related to Results and Intellectual Property (IP), Ownership, Confidential Information, Open Source issues, Standard contributions, and Access Rights to Background and Foreground along the duration of the project and any other matters of the consortium's interest.

The CA also covers full rights and responsibilities of participants during the project in respect of the confidentiality of information disclosed by the partners, as well as the publication and communication of information. Moreover, the CA provides additional rules to ensure effective dissemination of the results. Settlements of internal disputes and of course Intellectual Property (IP) arrangements are part of the CA as well.

Any knowledge, information, data and/or IPR generated before the effective date of the CA (i.e. background) shall remain with the respective party providing such background to the project. Any result generated by a party after the said date, during and within the scope of the project (i.e. Result), whether or not it qualifies for Intellectual Property Right (IPR) protection, shall vest in the party that generated such Result. Any jointly generated Result will be jointly owned. The rights and obligations associated to such jointly generated Result will be regulated in the CA, but in any event each joint owner contributing to the cost of such jointly generated Result shall enjoy an unrestricted right to freely use and exploit such jointly generated Result. Throughout the execution of the project, all partners will continuously contribute to the identification of Results that may qualify for IPR protection and will act with the aim of achieving a meaningful outcome for the community following completion of the project.

In case certain results are identified to be essential for the future business opportunities of the involved partners, the necessary steps will be taken to protect such results accordingly. The patenting and other protective measure procedures will proceed along the regulations set forth in the CA.

The IP terms and conditions during the cooperation of SIA will be, a priori, based on a royalty free basis. After completion of the project (i.e. during exploitation) access rights to background and to Results may require fair and reasonable compensation with non-discriminatory conditions, subject to agreement amongst the parties and reflected in the CA.

All access rights needed for the execution of the project and following completion of the project will be granted on a non-exclusive basis, will be worldwide and in principle, will not contain the right to grant sub-license(s). The CA will further regulate rights and obligations for affiliated entities of a party, where those shall enjoy the same access rights conditions as the party

participating in the project, and where such affiliated entities will need to grant requested access rights to other parties if those are needed during execution and/or following completion of SIA.

The CA also provides additional rules on the introduction, pursuant to notification, of background that has been made available under controlled license terms, e.g. so-called open source licenses. To the extent required for proper use of software results, sub-licensing rights on software results are regulated by the CA if it is in the best interest of the project dissemination, where such sub-licensing rights shall not be in a manner where the so licensed software results would be subject to controlled license terms. Means to make software results available to the other parties or to the public are part of the CA.

6.2 IPR Models

Three possible models have been considered during the proposal preparation phase and will be estimated during the project execution phases. The current consensus of the consortium is the retention of title, ownership and exploitation rights of the results and IPR generated on an individual per partner basis as the preferred option, although other no binding options will be explored.

Results - Foreground and IP shall be owned by the project partner carrying out the work leading to such Foreground and IP. If any Foreground and IP is created jointly by at least two project partners and it is not possible to distinguish between the contributions of each of the project partners, such work will be jointly owned by the contributing project partners. The same shall apply if, in the course of carrying out work on the project, an invention is made having two or more contributing parties contributing to it, and it is not possible to separate the individual contributions. Such joint inventions and all related patent applications shall be jointly owned by the contributing parties. Alternative models to be explored, on the basis of unanimous agreement, are:

- *Joint Ownership and Exploitation:* The SIA partners will register title and jointly share the exploitation rights of the project foreground based on the relative share of Person Month effort dedicated to the project.
- *Per Work Package or Tasks Ownership and Exploitation:* In this case, each partner or sub group of partners involved in individual tasks will register title and exploit the results of their own Work Package.
- *Combined Approach to Title and Exploitation:* In this case the SIA partners will register title in the foreground and IPR in line with their own Foreground and IPR policy.

6.3 IPR Officer and the Auditing and Management of Generated Data, Results, and IPR

The SIA proposal has appointed a specialist on IPR. The role of the IPR Officer (IPO) will be to act as an honest broker with the Research and Management staff of the project and provide an objective audit and reporting on the title and ownership of the IPR generated during the project. This will be done via periodic surveys and reports based on the content of deliverables and

partners assigned to the associated tasks. The IPO nominated by the project will conduct Interim IPR Audit will identify the Results generated by the project, its dependencies on and External IP, or Background knowledge, and recommend actions to be taken by the consortium for its protection. CEIT has allocated a specific budget to appoint the IPO. The results of the Interim IPR Audit carried out will be reported internally and the results of the Final IPR Audit carried out at M36 will be reported in the corresponding deliverable. The IPR Officer is Dr. Isabel Hernando, Professor of Civil Law at University of the Basque Country and IP Lawyer.

6.4 Final IP and Generated Foreground Control Report

The Final Report will summarize the results - foreground generated by each partner during the SIA Project. During the periodic Reports all partners will be requested by the Intellectual Property Officer to identify:

- The **access rights** granted to another partner of the consortium of their background, which was needed for the implementation of the project.
- The **access rights** granted to another partner of the consortium of their foreground, which was needed for the implementation of the project.
- The **background** used in the implementation of the project.
- The **foreground** generated in the project.
- The **Party exploitable foreground** generated in the project where are identified the Consortium **Single Products** (SP) per Parties and their Contributions – components.

Moreover, the partners will also identify in these Interim Reports the commercial and open source software as well as the hardware used in the implementation of the project. The Intellectual Property Officer will review all this information and will provide advice about IPR when needed to the consortium. All this information will be requested using the “Result and IP Control Report Template” provided by the IPO and the Coordinator.

Once all the Foreground and IP information has been gathered from the partners, the IPO will carry out an objective audit and will report on the title and ownership of the IPR generated during the project.

Tables will be used to clearly identify the main outcomes of the IPR analysis. Among the foreground generated in SIA during the Project, a **Table 1** will identify those that are exploitable foreground of the consortium classified in five groups (1) for Further Research; (2) for developing, creating and marketing a product/process; (3) for creating and providing a service; (4) for Standardization activities; and (5) For others (as Joint ventures, Spin-off, licensing, etc.). A **Table 2** will provide the possible and recommended IPR qualifications for the identified SIA Exploitable Foreground. This Table will present the list of IPR registration applied or recommended. A **Table 3** will identify the Ownership percentages to the components – contributions to the Single Products and the Intermediate Single products developed in the SIA

Project and finally, for the Exploitable Foreground, a **Table 4** will identify the Parties ownership percentages to the Final Project Single products.

6.5 Exploitation and Ownership Agreement

Title and ownership of results is considered to be, from a legal perspective, a matter of undisputable fact. The IPR audits will be presented by the IPO to each partner as a proposal of ownership of results according to data provided by the Partners and derived from the control of technical outputs and deliverables for revision and acceptance by their organizations.

At the end of the SIA project, these audits will form the basis for a potential Exploitation and Ownership Agreement (EOA) if any. This agreement will not be a formal project deliverable and is a private contract between partners in the same level as the Consortium Agreement. The Exploitation and Ownership Agreement will be a binding legal contract between the partners which will be negotiated and approved by authorized representatives within the partners' organizations.

7 References

The following consortium documents are available in the document repository, in the folder “Consortium documents”:

<https://tecnun365.sharepoint.com/:f:/r/sites/partners/sia/Shared%20Documents/1.%20Consortium%20Documents?csf=1&e=h94oCh>

- SIA - Grant Agreement
- SIA - Consortium Agreement
- SIA - Technical Annex

Deliverable D9.1. Dissemination and Communication Plan

Deliverable D1.2. IPR agreement