Deliverable 9.1: Project Management Handbook

Dissemination Level: Confidential (CO)

Owner

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Context

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Declaration: Any work or result described therein is genuinely a result of the Hiperdias project. Any other source will be properly referenced where and when relevant

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1 Version History

Version	Summary of Change	Written By	Approver	Date
0.01	Initial draft.	James Clayton	KITE PMs	04/02/2016
0.02	Change of 7.4 - Approval of Report and Deliverables by the Consortium	James Clayton	KITE PMs	18/02/2016
0.03	Minor modifications made to main body of text.	James Clayton	KITE PMs	23/02/2016
0.04	Change of 4.2 to include partner representing E6	Julie Devall	KITE PM’s	10/03/2016
0.05	Change of 4.2.1 to state clearly the structure of the Management Board	Julie Devall	KITE PM’s	10/03/2016
0.06	Change of 4.2.3 Technology Transfer Panel (TTP) to emphasise IP expertise from E6	Julie Devall	KITE PM’s	10/03/2016
0.07	Correction of 5. Work Package Structure terminology from the word photonics to lasers	Julie Devall	KITE PM’s	10/03/2016
0.07	Link added to 6.1.3 Controls and Sanctions	Julie Devall	KITE PM’s	10/03/2016
0.08	Minor alteration made to 9.2 Minutes to define members of the meeting body	Julie Devall	KITE PM’S	10/03/2016
0.09	Alteration to 13 Dissemination and Intellectual Property Procedures, 29.2 Open access to scientific publications to state clearly the role of Participant Portal and the format of information	Julie Devall	KITE PM’s	10/03/2016

2 Scope

The purpose of this document is to provide a single point of reference that describes the project organisation and the associated management & coordination processes for the HIPERDIAS project. Much of this information is already described in detail elsewhere. As a result, this document will summarise the relevant information and cross reference the relevant master document for more detail.

The HIPERDIAS project will use the same Project Management processes and tools from Work Package Leader level upward, however Work Package members can agree the tools and processes that will be used within each Work Package.

This is a "living" document which will be updated and reviewed throughout the project to incorporate new information, implement process improvements identified and address any issues encountered.

Feedback on this document should be sent to the Central Project Office at hiperdias@kiteinnovation.com

NOTE: All formal communication to the consortium bodies and Coordinator should also include the Central Project Office (CPO) account – hiperdias@kiteinnovation.com

3 Referenced Documents

3.1 Project Documents

HIPERDIAS Grant Agreement Number 687880 - Version 1 (19.10.2015).

This document is also available in the Participant Portal under 'Manage Project' (MP)

Grant Agreement-687880-HIPERDIAS.pdf

The Grant Agreement is composed of:

- Terms & Conditions
- Annex 1: Description of the Action
- Annex 2: Estimated Budget for the Action
- Annex 3: Accession Form for Beneficiaries
- Annex 4: Model for the Financial Statements
- Annex 5: Model for the Certificate on the Financial Statements
- Annex 6: Model for the Certificate on the Methodology

HIPERDIAS – Consortium Agreement

The latest version of the key project documents will also be stored in a file sharing site.

20160118 HIPERDIAS - Consortium Agreement (Version 1).pdf

3.2 H2020 Guidelines

The Participant Portal contains useful guidance documentation for H2020 participants and H2020 reference documents can be found via this link:
http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html

Please contact hiperdias@kiteinnovation.com if you need help or advice regarding accessing and interacting with the Participant Portal. Note: Targeted instructions will be circulated at key administrative stages of the project, for example Periodic Reporting.

Additionally, the H2020 Online Manual offers a broad range of advice. Of particular interest are the subjects under the "Grant Management" heading.

Topics covered currently include:

- Amendments: see Article 55
- Checks, reviews, audit & investigations
    - see Article 20.4 'Final report — Request for payment of the balance'
    - the Certificate on Financial Statements (CFS) should be based on the model in Annex 5 to the GA
    - see Article 22 for more about checks, reviews, audit and investigations
- Communication
    - see Article 38: communication and promoting the action
- Deliverables
    - see Article 19
- Dissemination & exploitation
    - see Article 29: dissemination
    - see Article 28: exploitation of results
- Keeping records: see Article 18 of the GA (*all Articles referred to hereafter are from the GA unless explicitly stated otherwise*.
- Reports & payment requests (includes Periodic reports and the Final report)
    - see Article 20 for more about reports and payment requests;
    - see Article 5 for reimbursement rates;
    - see Article 6 for eligible and ineligible costs

For more information on the legislation for Horizon 2020, please refer to the Annonated Model Grant Agreement.

Note: The H2020 Online Manual is a continally developing tool to support partners with their Project. Additional chapters may be added over the duration of the Project.

3.3 Financial Helpdesk

AnThe Financial Helpdesk Website is also a useful information hub and contains key information on H2020 and has Helpline facility.

Finance Helpdesk Website: http://www.finance-helpdesk.org

4 Governance and Management Structure

The Governance and Management Structure, Roles and Responsibilities and Procedures are described in the Consortium Agreement – Section 4 [9] in the Grant Agreement Annex 1 (Description of the Action) in Part B2.3.4.

Fig. 4.1 displays the basic management and coordination structure of the project is as follows:

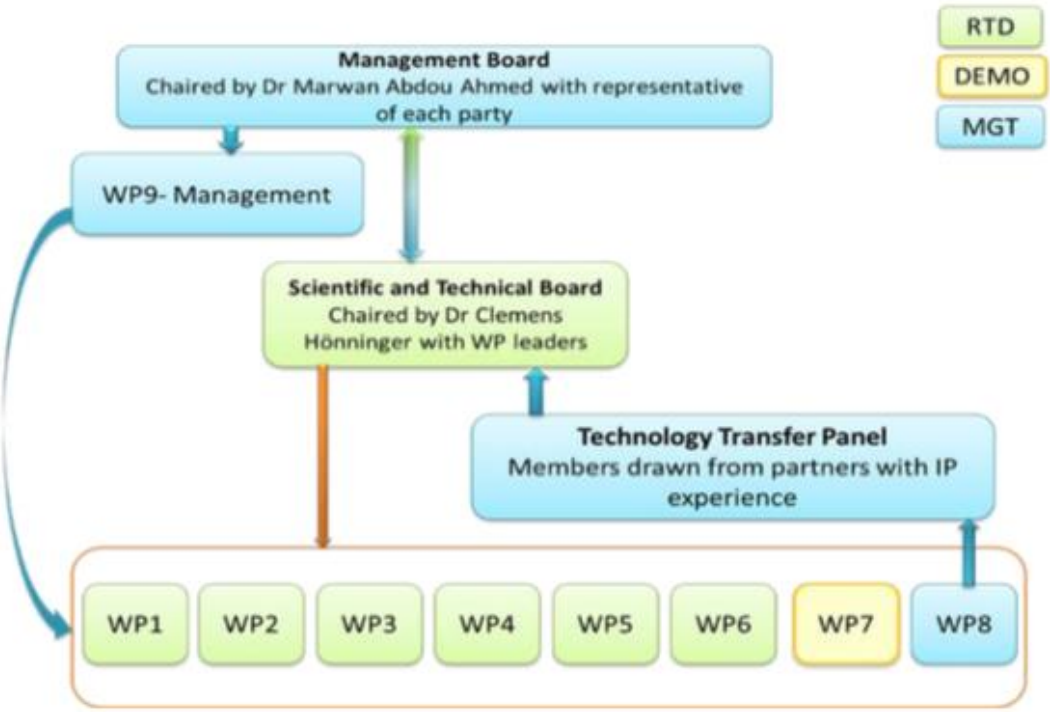


Figure 4.1 – Management and Coordination Structure of the HIPERDIAS Project.

4.1 The Project Coordinator

University of Stuttgart (USTUTT), as the intermediary to the European Commission, is authorised to execute the project management with the support of Kite Innovation (Europe) Ltd. These beneficiaries shall report and be accountable to both the Management and Scientific and Technical Board.

The Coordinator is an equal partner, having no more rights than any other partner, only more responsibilities. This includes;

- Monitor that the action is implemented properly (see Article 7);
- Act as intermediary for all communications between the beneficiaries and the *Commission* (in particular, providing the *Commission* with the information described in Article 17), unless the Agreement specifies otherwise;
- Request and review any documents or information required by the *Commission* and verify the completeness and correctness before passing them to the *Commission*;
- Submit the deliverables and the reports to the *Commission* (see Articles 19 and 20) and ensuring that the appropriate Submission Protocol is followed;

- Ensure that all payments are made to the other beneficiaries without unjustified delay (see Article 21);
- Inform the *Commission* of the amounts paid to each beneficiary, when required under the Agreement (see Articles 44 and 50) or requested by the *Commission*.

Key Project Tasks have also been identified in Annex I – Description of Action. They include:
- Ensuring that partners accede to the grant agreement
- Monitoring compliance by partners with their obligations under the grant agreement
- Administration of the European Commission grant payments
- Communicating and reporting to the European Commission

4.2 The Consortium Bodies

The basic management and coordination structure of the Consortium shall comprise the following bodies:
- Management Board (MB) - Dr. Marwan Abdou Ahmed.
- Scientific and Technical Board (STB) - Dr. Clémens Hönninger.
- Technology Transfer Panel (TTP) - Prof. Thomas Graf
  (E6) - Andrew Whitehead

4.2.1 Management Board (MB)

The Management Board (MB) will be chaired by Dr. Marwan Abdou Ahmed (University of Stuttgart) and will include one representative from each of the partner's organisation with decision-making authority, which will be decided at either the Kick-Off Meeting or in Month 1 of the Project. The MB will have the responsibility for ensuring that correct procedures are adopted and followed, that all deadlines, milestones, deliverables and reports etc., are met. The MB will also review the Technical and Scientific progress and performance made by each of the partners within at six monthly intervals. This will be agreed depending on the complexity of the Work Package based upon realistic and achievable milestones – and will agree in detail the forward actions for the next period, and necessary, any corrective measures necessary to address delays. The MB meetings will review overall progress against the Project Plan and include presentations from each of the partners who are actively working on interrelated research activity during that period; the Consortium will retain overall responsibility for the direction of the project. The MB will meet biannually at the HIPERDIAS consortium meetings to discuss privately any risks, changes or issues. Alternatively, conference calls will be arranged if urgent matters arise so that any problems are promptly and effectively solved. A dedicated project manager will participate and act as secretary in all meetings of the MB.

Note: Additional responsibilities of the Management Board do apply, which are clearly specified in both of the Consortium Agreement and Grant Agreement.

4.2.2 Scientific and Technical Board (STB)

The Scientific and Technical Board (STB) is the body that provides research direction within the project. Its membership will comprise the group leaders from each of the participating organisations and it will be headed by the STB leader. Participating partners will have a single representative each. The distribution of votes within the STB will be equal. The leader of the STB is proposed to be Dr. Clémens Hönninger reflecting AMP's experience with USP lasers and their reputation as a European wide leading laser development company with a broad expertise base and good experience of EU collaborative projects.

4.2.3 Technology Transfer Panel (TTP)

Technology Transfer Panel (TTP) is the body that will help provide support for the management of IPR and technology transfer in HIPERDIAS project. The TTP will be led by Prof. Graf of USTUTT, strongly supported by Andrew Whitehead IP Advisor of E6, and will include other consortium members who are experienced in intellectual property issues or who have ready access to advice from persons and companies experienced in intellectual property issues and intellectual property law. The consortium will have access to several bodies experienced in Intellectual Property issues; such organisations are associated with major institutions that are partners. The TTP will consult one or more of these bodies for advice when needed. The TTP will meet annually as a minimum. It is anticipated that the TTP will comprise, as a minimum, representatives from all private sector beneficiaries plus selective invitations for attendance where appropriate by key developers of novel technology. The partners are not aware of any limits to their freedom to operate, and to the best of our knowledge the application space is not limited by existing patents which would inhibit the exploitation of the results.

4.3 Project Management

The Central Project Office is proposed by the Coordinator and assists the Management Board, Scientific and Technical Board and the Coordinator with overall management & coordination of the project. Responsibilities include:

- Management of consortium meetings
- Reporting to the European Commission
- Monitoring and reporting on the promotion of gender equality in the project
- Financial management
- Provision and maintenance of Project Management Handbook and associated Project Management Tools
- Managing secure repository for project information including master copies of project documents
- Providing Project Management guidance and support to partners
- Risk Management and with the assistance of the Work Leaders be responsible for the Identification, Assessment, Evaluation, Control and Monitoring of Risks within the Project.

Note: It should also be noted that items that have also been escalated in priority, for example Risks to Project; must first be communicated and discussed with the Project Manager and the Coordinator before being added to the agenda for the Scientific and Technical Board and Management Board.

5 Work Package Structure

The HIPERDIAS work program builds on a strong existing foundation of knowledge in the fields of ultrafast lasers and laser processing. The project research activities are structured into 7 logical research related work packages, with additional work packages for demonstration, dissemination and management.

WP1: Definition of User Requirements. Lead Beneficiary: Robert Bosch GMBH (BOSCH); Andreas Michalowski

Definition of User Requirements – will collect the requirements of all involved partners and analyse their impact on project structure and progress, coordinating the individual prerequisites and boundary conditions and in turn generating the appropriate input for the research activities in WP2-7. Specifications of the individual end-user applications will be obtained and reviewed to ensure no contradictory requirements in order to find a common, compromised specification towards process, system and laser development. Prototypes, base lines, measurement and validation procedures will also be defined.

WP2: Process Development. Lead Beneficiary: Universitaet Stuttgart (USTUTT); Volkher Onusiet

Process Development – will focus on the basic process development for high throughput applications for 3D silicon processing, diamond processing and fine cutting of materials including investigation of the processing limits. Process strategies to improve the processing speed with high average power will be developed and investigation will be carried out of the interdependencies between processing parameters and resulting quality, culminating in an adjustment of the requirements for laser source and machine designs if necessary.

WP3: Ultrafast Laser Front-end development. Lead Beneficiary: Amplitude Systemes SA (AMP); Clemens Hoenninger

Ultrafast Laser Front-end development – will develop the frontend lasers which will be based on an existing high power femtosecond platform and a preliminary laboratory demonstration. A compression module will be developed along with a flexible user friendly control interface.

WP4: Photonics components for pre- and post-pulse conditioning. Lead Beneficiary: Universite De Limoges (XLIM); Fetah Benabid

Photonic components for pre- and post-pulse conditioning – will develop innovative and highly tailored components, this time for pulse conditioning. This will include pulse stretching, post compression and spectral broadening.

WP5: Thin-disk multi-pass booster. Lead Beneficiary: Universitaet Stuttgart (USTUTT); Marwan Abdou Ahmed

Thin-disk multi-pass Booster – USTUTT will develop and assemble a stable and robust thin-disk multipass amplifier/booster in order to generate sub-picosecond pulses with an average power between 500W and 1kW at a repetition rate in the order of a 1-2 MHz.

WP6: System Development. Lead Beneficiary: Class 4 Lasers Professionals AG (C4L); Noémie Dury

System Development – will define which interfaces and system features, laser, optics and scanner will be integrated into the system for evaluation and proof of concept.

WP7: Demonstrators. Lead Beneficiary: Laser Engineering Applications SA (LASEA); Jose A Ramos

Demonstrators – will focus on the demonstration activities throughout the project. Mid-term testing will influence the ongoing development work to direct the development work throughout the project. At the end of the project, a 12 month long period will be devoted to test the developed systems in a range of relevant applications-scenarios. Here 3D silicon processing, diamond ablation and fine cutting of metals will all be undertaken and the results of each application reported

WP8: Exploitation Planning and Dissemination. Lead Beneficiary: Kite Innovation (Europe) Ltd (KITE); James Clayton

Exploitation Planning & Dissemination - will undertake exploitation planning, IPR management, dissemination, outreach and any other related activities. This will involve the preparation and executing of detailed plans and agreements between the partners for the exploitation of the project results, and management and control of dissemination activities consistent with the exploitation plans of the partners.

WP9: Project Management. Lead Beneficiary: Universitaet Stuttgart (USTUTT); Marwan Abdou Ahmed

Project Management - will perform the financial, progress monitoring and reporting tasks of the consortium and represent the primary interface with the European Commission.

Fig. 5.1 shows the interdependencies of the components of the HIPERDIAS Project.

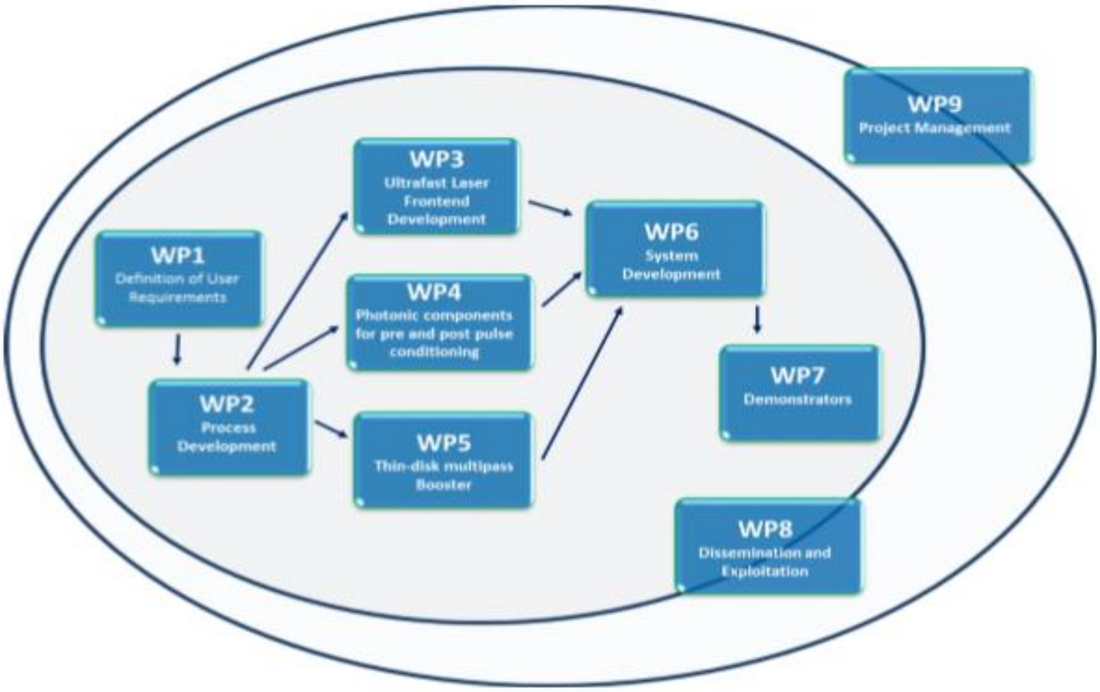


Fig. 5.1 Pert Chart showing the interdependencies of the components of the HIPERDIAS Project.

6 Specific responsibilities within the Project

6.1 Budgets & Payments

The Commission financial contribution to the project shall be paid to the Coordinator who receives it on behalf of the beneficiaries. The Coordinator shall administer the Commission financial contribution regarding its allocation between beneficiaries and activities, in accordance with this grant agreement and the decisions taken by the Consortium. The coordinator shall ensure that all the appropriate payments are made to the other beneficiaries without unjustified delay.

Important Notes about Payments and Total EU Contribution:

The maximum grant amount for the HIPERDIAS Project is €3,640,307.50.

The following payments will be made to the coordinator:

- one pre-financing payment;
- one or more interim payments, on the basis of the request(s) for interim payment
- one payment of the balance, on the basis of the request for payment of the balance

5% of all H2020 grant funding is transferred to the Guarantee Fund (essentially an 'insurance policy'). Generally, this enables the financial responsibility of each beneficiary to be limited to its own debt. Interest generated by the Fund shall be added to it and shall be used by the European Commission for transfers from or recoveries from the Fund. Contributions are returned via the Coordinator at the end of the project as part of the final payment (although this could be less if the Fund has been called on).

A total 10% retention of the total EC contribution will always be kept by the *European Commission* until the date of the last payment.

More information on Payments is available in Article 20 of the Terms and Conditions of the Grant Agreement.

Prefinancing Payment:

- The aim of the pre-financing is to provide the beneficiaries with a float.
- It remains the property of the *EU* until the payment of the balance.
- The amount of the pre-financing payment will be EUR 1,577,345.24 (one million five hundred and seventy seven thousand three hundred and forty five EURO and twenty four eurocents).
- The Commission will make the pre-financing payment to the coordinator within 30 days, either from the entry into force of the Agreement Article 58) or from 10 days before the starting date of the action (see Article 3), whichever is the latest. *Exceptions do apply, if Article 48 of the Terms and Conditions of the Grant Agreement applies. More information is provided in Article 3 and 21 of the aforementioned document.*

- An amount of EUR **182,015.38 (one hundred and eighty two thousand fifteen EURO and thirty eight eurocents**), corresponding to the 5% of the maximum grant amount is retained by the *Commission* from the pre-financing payment and transferred into the '**Guarantee Fund**'.

*The Grant Agreement describes **Reporting – Payment Requests** (Article 20) and **Payments and Payment Arrangements (including Interim and Final Payments)** (Article 21) and **Financial Provisions** (Chapter 7: Articles 52-58) in more detail.*

6.1.1 Budget Flexibility

Partners have some degree of flexibility in the way in which they spend their budget without having to seek approval from the European Commission. For example, a partner may decide to send less on Personnel Costs to allow an equivalent overspend on Equipment.

According to *Article 4.2 Budget transfers*:
"The estimated budget breakdown indicated in Annex 2 may be adjusted by transfers of amounts between beneficiaries or between budget categories (or both). This does not require an amendment according to Article 55, if the action is implemented as described in Annex 1.

The beneficiaries may not however:

- *Add costs relating to subcontracts not provided for in Annex 1, unless such additional subcontracts are approved in accordance with Article 13."*

For more information on the acceptable practices of budget transfers etc., please refer to a recent presentation by UKRO on the Model Grant Agreement (Slide 10-11).

Please Note: the Coordinator should be informed of any budget changes as differences from the planned budget will need to be explained in the Periodic Report.

6.1.2 Budgets & Payments

Any of the following are liable to delay the payment of the Community financial contribution:

- Partners late with reports, Financial Statements or the Certificate on the Financial Statements (audit certificate) if required.
- Incomplete Financial Statement or Certificate on the Financial Statements (audit certificate) not compliant with *European Commission* procedures.
- Delays in acceptance of reports by the *European Commission*.
- Delays in clarifying scientific and technical queries from evaluators.

6.1.3 Controls and Sanctions

The *European Commission* may carry out financial and technical audits during the project and **up to two years after the payment of the balance*** (see Article 22.1.2 Right to carry out reviews. Obligation to keep records and other supporting information for more details). Partners must make available all detailed information and data that may be requested by the EC or the external auditor. As a result, good record keeping is essential.

With regard to the requirement to keep records after the final payment, please note the following advice from the Finance Helpdesk:

“There have been many contradicting time limits being given from **2 Years***, 3 Years and up to 5 Years.

Firstly, let us explain that the time limit starts from when you receive the balance of Payment from the Commission (Final Payment). It does not start from the project end date.

Regarding the time limit, as far as we are concerned, the different units can say, 2 year or 3-5 Years. The only thing that is important is that they are only talking about the limit as far as the Commission is concerned.

According to the EU Regulations of October 2012, the court of auditors has a 5 year limit. **So we advise everybody to keep everything for the 5 year limit and ignore any lower limits that they may be told**.”

http://www.finance-helpdesk.org/front/ShowArticle.aspx?ItemID=1598

Moreover, according to **Article 18.1 Obligation to keep records and other supporting documentation**:

“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 costs they declare as eligible.”

The partner concerned must provide – within the deadline requires – any information (including complete accounts, individual salary statements or other personal data) to verify compliance with the Agreement. The Commission may request beneficiaries to provide such information to it directly.

For on-the-spot audits, the beneficiaries must allow access to their sites and premises, including to external persons or bodies, and must ensure that information requested is readily available.

Information provided must be accurate, precise and complete and in the format requested, including electronic format.

In addition, partners should retain the following records:
- Original copies of all project documents relating to the Grant Agreement
- Copies of the minutes of relevant project meetings to justify travel claims (see 9.2)
- Time records to justify personnel claims (see 6.1.3.1).

6.1.3.1 Time records

For personnel costs (declared as actual costs or on the basis of unit costs), all partners must keep time records for the number of hours declared. The time records must be in writing and approved by the persons working on the action and their supervisors, at least monthly. In the absence of reliable time records of the hours worked on the action, the Commission may accept alternative evidence supporting the number of hours declared, if it considers that it offers an adequate level of assurance.

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

6.2 All Partners Contractual Commitments

All partners must:
- Provide all detailed data requested by the *European Commission*
- Ensure that the project is carried out in accordance with the Grant Agreement
- Ensure the efficient implementation of the project (Consortium Agreement)
- Foster dialogue on the research results and related scientific issues
- Allow the *European Commission* to take part in meetings concerning the project

6.3 Specific Performance Obligations

All partners must:
- Carry out the activities in Annex I – Description of the action themselves. If using third parties for any work (subcontracting) check the conditions very carefully.
- Inform the coordinator and commission of any work planned to be performed by 3rd parties (see section 4.3 of the Consortium Agreement
- Provide the European Commission with all information requested in relation to audits.
- Take part in project meetings.
- Avoid commitments that are incompatible with the obligations of the Grant Agreement.
- Inform the coordinator, partners and the European Commission of any unavoidable obligations liable to influence the project.
- When carrying out project activities, take into consideration

  Ethical principles

  Equal opportunities

  European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers

- Avoid conflict of interest liable to influence the project performance.

7 Reporting procedures, frequency and format

Project Management relies strongly on continuous tracking, monitoring and reporting of project progress. Tracking progress to avoid drifting away too much from the original plan and the scope of the project becomes more important the farther the project has progressed.

At the Work Package level, it is recommended that Work Package members report progress to the Work Package Leader on a monthly basis. This may increase in frequency as important deadlines approach.

At the overall Project level, progress will be reported on a quarterly basis both technically and financially. This will be a combination of informal internal updates each month with a formal and detailed progress report every three months (7.1) to cover the periods in between the formal Periodic Reports to the European Commission (7.3.2). As a result, there will be 4 formal reports produced each year.

7.1 Internal Project Reporting – Quarterly

Formal updates will be provided every quarter by the principle scientific partner of each institution. The reports will be sent to the project manager, then a collective report analysis can be reviewed and submitted to the EU if it coincides with period end. This quarterly reporting process, will made readily available to all partners within the Project.

Templates and instructions will be provided on the first working day of the internal reporting month, unless specified or agreed otherwise.
The three monthly activity reports will contain:

1) a management overview;
2) a description of the progress towards the scientific and technological objectives;
3) the identification of the problems and suggested corrective action to be taken;
4) Progress towards publication.
5) An overview of the actual costs within the Project

The CPO will consolidate the information provided into a summary report which will be distributed to all partners and published on the Project Website.

The Financial Update will be sent to each partner individually, who will be responsible for providing the actual costs for the last three months. The internal update is to continually review and monitor each partner's expenditure within the Project.

7.2 Internal Project Updates (Informal)

Monthly

All partners should aim to provide regular updates each month which can cover the following information:

- WP progress during that month
- Issues / Concerns
- Dissemination activities / achievements / collaborations

The purpose of this is to ensure that project 'news' in the widest sense, can be publicized via the Project Website, Twitter or elsewhere as appropriate. Also, issues can be dealt with as they are identified.

It is expected that partners will inform the coordinator in good time about potential problems, dissemination activities etc. anyway.

7.3 Reporting to the European Commission

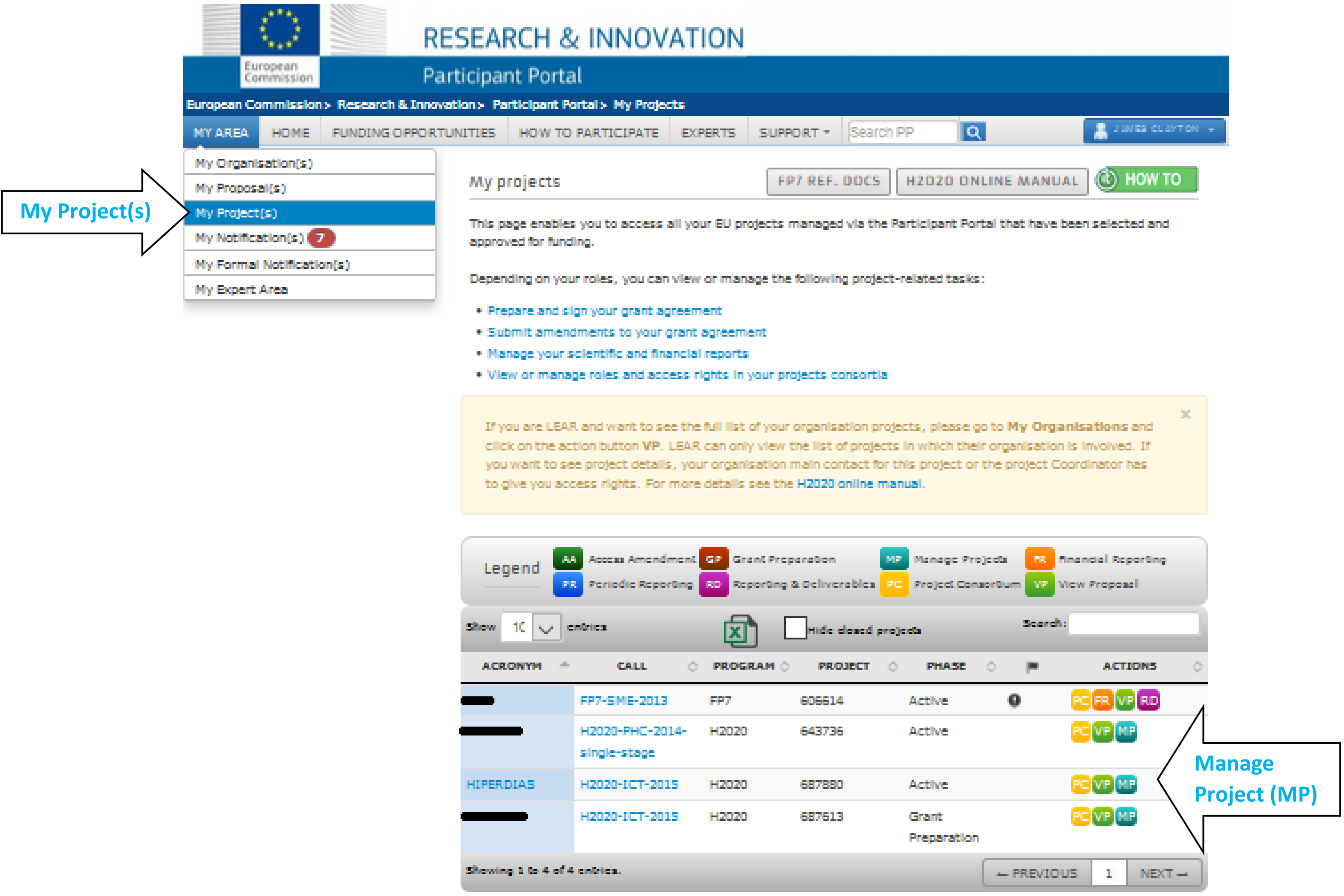
The Consortium's reporting obligations to the European Commission are described throughout the HIPERDIAS Grant Agreement, notably in the following Articles:

Article 17 – General obligation to inform
Article 18 – Keeping Records – Supporting Documentation
Article 19 – Submission of Deliverables
Article 20 – Reporting – Payment Requests

The following sections describe the processes that will be used to meet these obligations.

7.3.1 Reporting Tools

HIPERDIAS reporting is performed via the Participant Portal:
http://ec.europa.eu/research/participants/portal/desktop/en/home.html



7.3.1.1 Manage Project (MP)

When logged in select 'My Project(s)' from the drop-down menu under "MY AREA" on the left of the screen (under the EC logo, as indicated top-left in the above image).

*Your project(s) will appear. For HIPERDIAS, click the **Manage Project** (**MP**) button as indicated bottom right in the above image. The "Participant Portal – Grant Management Services" opens in a new window:*

You can view the 'Process list', 'Project Documents' or 'Messages' by clicking on the icons on the left of the screen as indicated in the above image. The default view is the Process list which shows:

7.3.1.2 Proposal Management & Grant Preparation

This area contains the online messages and notifications from proposal registration through to the EU payment of pre-financing. The proposal, evaluation documents and the Grant Agreement are available here.

7.3.1.3 Continuous project reporting

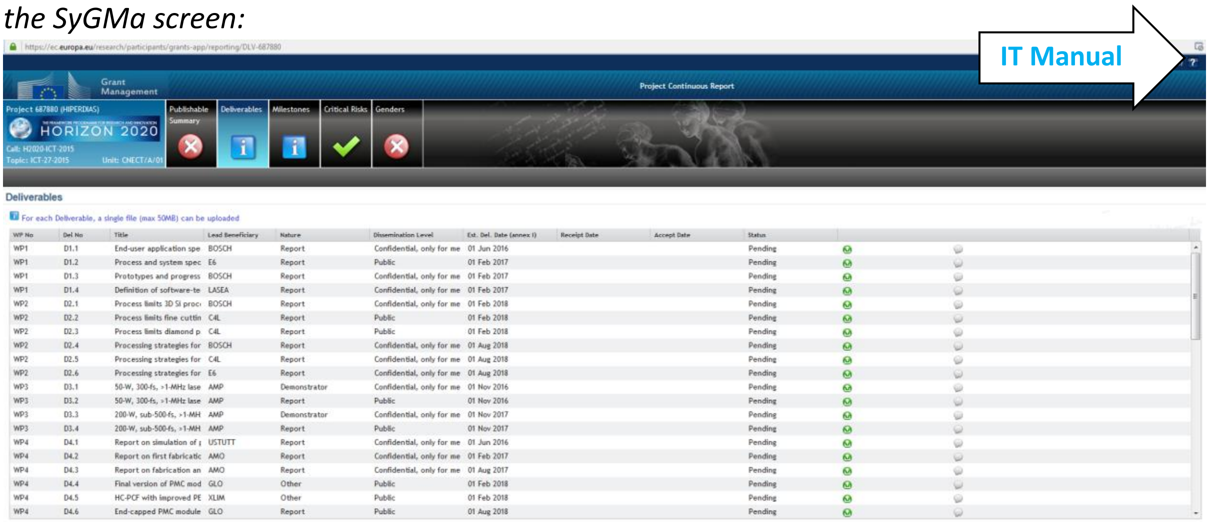
This area contains the following sections:

*<u>Project timeline</u>: Clicking on the **Continuous project reporting** hyperlink to the left of the project timeline opens the System for Grant Management (SyGMa) in a new window where you will see all project deliverables and their status (e.g. "Pending"). Deliverable reports are uploaded to the system by clicking on the green upload button(s) at the right of the screen.*

The deliverable list can be sorted by any of the column headers (e.g. by WP number, Estimated Delivery Date, Status).

<u>Continuous reporting data</u>: clicking on this will also open the System for Grant Management (SyGMa) in a new window as described in the previous bullet point.

***Note**: the Participant Portal IT Manual is available by clicking on the **?** icon at the top right of the SyGMa screen:*



This Participant Portal IT Manual provides a detailed guide of the Grant Management Services system. The various steps for 'Continuous Reporting' (e.g. Deliverables, Milestones etc.) and 'Periodic Reporting' are explained in the Business Processes section, along with helpful screenshots.

*The **Continuous project reporting** area also contains the following sections / functions:*

<u>Documents</u> (process documents)

<u>Messages</u> (sequential list of messages and system notifications)

7.3.1.4 Launch new interaction with the Service

*In addition to the functions mentioned in the previous section, the following actions can be initiated by clicking on the **+** icon at the top right of the Participant Portal – Grant Management screen:*

Consortium Requested Amendment:

Several draft amendment requests can be launched in parallel (although it is strongly recommended to limit the number). Once an amendment is signed, these draft amendments will be updated or invalidated by the system in order to reflect the latest signed amendment.

The new amendment will be based on the latest legal data.

- **Formal Notification**

Attention! *The use of the formal notification channel is reserved for specific purposes - i.e. for correspondence requiring acknowledgement of receipt (the content or nature necessitates) e.g. as a means to dispatch replies to formal notifications received from the EU Commission/Agency or for communications under the scope of Article 17 of the model grant agreement (MGA Art. 17.1- obligation to provide information upon request and 17.2 - obligation to inform) and whenever it is clearly stipulated e.g. termination of the grant agreement (Article 50.1 of the MGA) or termination of participation of one or more beneficiaries (Article 50.2 of the MGA).*

Note: for interaction with the Project Officer(s) the messaging facility should be used (see next bullet point).

- **Message or Question to the Service**

At any time, the Coordinator may wish to informally exchange messages or ask questions to the Service via the electronic system. For queries related to an ongoing process the guidance encourages use of the messages section of that process.

7.3.1.5 Internal Review of Deliverables

During the course of the project, the deliverables identified in Annex I of the Grant Agreement must be submitted to the European Commission according to the timetable specified in the Deliverables list.

For procedural details please refer to the *Participant Portal IT Manual* mentioned in section 7.2.1.3.

Note: No deliverable can be considered complete until the related report has been written.

7.3.1.6 Submission to the European Commission

Once the deliverable is approved by the Coordinator, a cover page will be attached and the deliverable will be uploaded on SyGMa and submitted to the European Commission for their review.

Note: uploaded deliverables can be deleted and replaced directly. Once a deliverable has been submitted, though, it can't be replaced without an intervention from the project officer: the officer has to reject ('ask for a revision') the deliverable. After this step, the deliverable will be in the 'pending' status again, and you will be able to upload a new version

Templates for the deliverables report and cover page will be stored on the file sharing site.

7.3.2 Periodic Reports

The HIPERDIAS project has 3 ‘reporting periods’ (RP):

- RP1: From month 1 to month 12

- RP2: From month 13 to month 30
- RP3: From month 31 to month 42

Periodic reports must be submitted to the European Commission within 60 days of the end of each reporting period.

The Project Manager of the Consortium will coordinate the generation of the Periodic Report and submission to the European Commission according to the following processes.

7.3.2.1 Report Generation

At the end of each reporting period, a beneficiary will receive a notification to complete:

- Their own **Financial Statement** (and the financial report of their Third Party, if any).
- Their contribution to the **Technical Part of the Periodic Report** (this is common for all beneficiaries in the project)

To fill in the information the beneficiary must log on to the Participant Portal and access the relevant project.

To allow sufficient time for review prior to submission to the European Commission, Work Package Leaders and Partners must ensure all information for the Periodic Report is submitted to the CPO **within 30 days of the end of the reporting period**.

7.3.2.1.1 Financial Statement

As part of the Periodic Report, each partner (beneficiary) must submit a financial statement.

The process is as follows:

- Each partner logs on to the Participant Portal and accesses the relevant project. (Only users with the roles Participant Contacts, Project Financial Signatories and Task Managers can perform this action)
- Click on the task **Financial Statement** to draft the financial report.
- Complete the requested information and save. Click the **Check Validation** button to see whether you have filled in all information correctly, then close the current screen and return to the Participant Portal.
- Once all information has been filled in, you can click on **Lock for Review.** This action will freeze the data (prevent changes) and generate a pdf document. The generation of the PDF may take a few minutes. (Only users with the role Participant Contacts can perform this action)
- The Financial Statement can be reviewed by clicking on the pdf icon (Only users with the roles Participant Contacts, Project Financial Signatories and Task Managers, can perform this action)

- Once reviewed, the Financial Statement can either be unlocked for further editing or electronically signed & submitted to the coordinator. (Only users with the role Project Financial Signatory (PFSIGN) can perform this action)
- To unlock the Financial Statement click the button **Unlock to draft**. (Only users with the role Project Financial Signatory (PFSIGN) can perform this action)
- To electronically sign & submit the Financial Statement click the button **Sign & Submit**. (Only users with the role Project Financial Signatory (PFSIGN) can perform this action)
- The system will then ask you to confirm that the information is valid.
- Once you have confirmed, the system will ask you to complete your ECAS password, in order to electronically sign the Financial Statement (the comment box is optional).
- **At this point you have completed the task of Financial Statement drafting.** Your statement has been electronically signed & submitted to the Coordinator. It is accessible via the task **Periodic**

Report composition. Please click on the Financial Statement pdf to consult the data you have submitted to the coordinator.

7.3.2.1.2 Certificate on the Financial Statements (CFS)

A 'certificate on the financial statements' is needed during Final Reporting, when the cumulative requested contribution is €325,000 or more as reimbursement of actual costs and unit costs calculated by the partner on the basis of its usual cost accounting practices.

The coordinator must submit the final report within 60 days following the end of the last reporting period containing among others a CFS for each beneficiary and for each linked third party that requested the contribution indicated above.

Note that use of the model certificates Annex 5 (CFS) and Annex 6 (Certificate on the Methodology) is mandatory. See section 3.1 above.

7.3.2.1.3 Periodic Report Review

The CPO will generate the Periodic Report and circulate to the Management Board for review and approval **within 30 days of the end of the reporting period**.

The Management Board will review the Periodic Report and send their feedback to the CPO **within 45 days of the end of the reporting period**. Note: All members of the Management and Scientific and Technical Board must actively approve the Periodic Report.

7.3.2.1.4 Periodic Report Submission

The CPO will submit the Periodic Report to the European Commission via SyGMa.

7.3.2.1.5 Periodic Report Schedule

The CPO will notify partners of the schedule two months prior to the end of the reporting period. The notification will remind partners of the reporting process and tools, level of detail required and highlight any changes in the contents and/or format of the Periodic Report

7.3.3 Final Report

In addition to the periodic report for the last reporting period, the coordinator must submit the final report within 60 days following the end of the last reporting period. The **final report** must include the following:

- a '**final technical report'** with a **summary** for publication containing:
  an overview of the results and their exploitation and dissemination;
  the conclusions on the action, and
  the socio-economic impact of the action;

- a '**final financial report**' containing:
  a '**final summary financial statement**' (see Annex 4), created automatically by the electronic exchange system, consolidating the individual financial statements for all reporting periods and including the request for payment of the balance and
  a '**certificate on the financial statements**' (drawn up in accordance with Annex 5) for each beneficiary , if it requests a total contribution of EUR 325 000 or more, as reimbursement of actual costs and unit costs calculated on the basis of its usual cost accounting practices (see Article 5.2 and Article 6.2, Point A). A final report must be submitted, within 60 days after the end of the project. The final report shall comprise:

As per the Periodic Reports, the final report is also submitted via the SyGMa reporting tool.

7.3.4 Distribution of the Community financial contribution

After the final payment from the EC has been received, the Coordinator shall submit a report on the distribution of the Commission's financial contribution between beneficiaries. This report must be submitted within 30 days **after receipt of the final payment** (Note: It is not required for intermediate payments).

7.3.5 Record retention

The CPO will retain electronic and hard copies of all Deliverables and Reports (including Financial Statements and Audit Certificates) and associated communications with the European Commission. These will also be published on the Project Website.

The obligation for all partners is covered in Article 18:

ARTICLE 18.1 Obligation to keep records and other supporting documentation

"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 costs they declare as eligible.

They must make them available upon request (see Article 17) or in the context of checks, reviews, audits or investigations (see Article 22).

If there are on-going checks, reviews, audits, investigations, litigation or other pursuits of claims under the Agreement (including the extension of findings; see Articles 22), the beneficiaries must keep the records and other supporting documentation until the end of these procedures.

The beneficiaries must keep the original documents. Digital and digitalised documents are considered originals if they are authorised by the applicable national law. The Commission may accept non-original documents if it considers that they offer a comparable level of assurance."

7.4 Approval of Reports & Deliverables by the Consortium

The Deliverable Submission Protocol is:

- The Lead Beneficiary of a Deliverable report will responsible for working in collaboration with partner/s to produce a detailed report on the subject area.
- Once finalized, the report will be submitted to the Coordinator of the Project for preapproval. Note: This should be completed at least two weeks prior to the submission deadline.
- Feedback, comments and issues will be recorded by the Project Manager from each of the Partners and sent to the Lead Beneficiary of the Deliverable Report and asked to make formal amendments.
- Once these amendments have been made and the Coordinator is satisfied, the Project Manager will submit the Deliverable Report via the Participant Portal and circulate a PDF Version of the report to the rest of the Partners within the Project.

7.5 Approval of Reports & Deliverables European Commission

At the end of each reporting period, the European Commission shall evaluate project reports and deliverables. Payments shall be made after the European Commission's approval of the reports and/or deliverables within 90 days of their receipt, unless the time-limit, the payment or the project has been suspended.

8 European Commission Reviews

The European Commission will review the project regularly throughout its duration and may audit the project up to 2 years after final payment.

8.1 Project Reviews

After reviewing the Periodic Report, the Project Officer **may** request a face-to-face review meeting. This will be requested formally by letter to the Coordinator, and the request will define the objectives of the review and any information to be provided in advance of the meeting.

Project Review meetings are mandatory for all beneficiaries. The actual dates and venues will be published in the Project Calendar on the Project Website once agreed with the European Commission.

All partners must attend the Project Review meeting. Three days should be allocated for the meeting in total. The first day will normally be a rehearsal of the presentations attended by relevant project members and the second and third days will be the formal review with the Project Officer.

There are no formal guidelines for the format of the Project Review meeting, however the agenda will be agreed with the Project Officer prior to the meeting

Since any presentation material typically has to be sent to the EC Project Officer and Expert Reviewers in advance of the meeting the presentations must be reviewed by the Management Board members prior to the meeting.

3 weeks prior to the Review meeting, presenters should send their slides to the Management Board members for review. 1 week prior to the Review meeting, presenters should send their final slides to the CPO. The CPO will then consolidate the presentations and send a copy to the EC Project Officer and Expert Reviewers.

The CPO will notify presenters of the schedule at least 6 weeks prior to the Project Review meeting.

8.2 Financial Audits

The European Commission reserves the right to request a financial audit at any time during the implementation of the project and up to two years after the final payment. In addition, the European Commission may carry out on-the-spot checks and inspections. The European Commission shall, when appropriate, issue recovery orders regarding all or part of the payments made by it.

Note: It is an individual partner that is audited and not a project. An audit could impact on any and all projects the partner has carried out under a framework contract.

8.3 Technical Audits and Reviews

The European Commission may initiate a technical audit or review at any time during the implementation of the project and up to five years after the end of the project. The aim of a technical audit or review shall be to assess the work carried out under the project over a certain period, by evaluating the project reports and deliverables relevant to the period in question. Such audits and reviews may cover scientific, technological and other aspects relating to the proper execution of the project and the grant agreement.

Partners must make available all detailed information and data that may be requested by the EC or the external scientific or technological expert with a view to verifying that the project is being properly implemented Based on the expert reports it will;

- Approve
- Modify or
- Terminate the project

9 Project Meetings

9.1 Meeting Schedule & Preparation

The **Consortium Agreement** describes the operational procedures for all Consortium Body meetings, including representation, notice of meetings, advance publication of agendas, voting rules, quorum and veto rights.

It is recommended that periodic progress meetings are scheduled close to the end of each formal reporting period so the presentations and discussions can be integrated into the periodic reports.

In addition to the formal meetings of the Consortium Bodies, it is important that there are regular meetings both within Work Packages and across the Work Packages. These meetings should focus on detailed discussions on the results, problems and dependencies both within the individual Work Packages and with other Work Packages.

Since many partners belong to multiple Work Packages, it may be logical to hold these meetings at the same time. The individual Work Package meetings would be held first, followed by a meeting of the Work Package Leaders. As with the Consortium Body meetings, agendas for these meetings should be agreed in advance.

9.2 Minutes

The Project Manager is responsible for producing written minutes of the Consortium meeting which shall be the formal record of all decisions taken.

The draft minutes should be circulated to all meeting attendees for review. Once reviewed the approved signed version should be distributed as follows:

- To all members of the meeting body (e.g. Management Board, Work Package members, etc.)
- To the Coordinator
- To the Management Board members
- To the CPO

The CPO will retain electronic and hard copies of all Meeting Minutes and also publish copies on the Project Website.

Each partner attending the meeting should also retain copies of the meeting minutes as they provide an official record of the meeting. In the event of a financial audit, the minutes can be used as proof that the meeting (and associated travel costs) are related to the audited contract.

A template for Meeting Minutes can be downloaded from the Project Processes and Templates folder on the file sharing site.

For Technical or Work Package Meetings, when the CPO is not present, it is the responsibility of the Consortium to elect an individual to take meeting minutes and upload to the file sharing site.

9.3 Tracking system for actions

Actions raised during Project Meetings should be tracked by the chairperson of the meeting. The Action Log should be published in the Project Meetings Section of the Project Website.

A template Action Log can be downloaded from the Project Processes and Templates folder on the Project Website.

9.4 EC Project Officer Attendance

It is good practice to treat the EC Project Officer as a member of the team and invite them to face-to-face consortium meetings and project events, e.g. thematic workshops.

10 Communication Procedures

Regular communication between partners at all levels is key to a successful project. This section describes recommended procedures for both formal and informal communication; however each of the different groups should agree the method(s) they will use.

Partners should endeavor to respond to emails & telephone calls in the requested timeframe. When unavailable, partners should provide details of alternative means of contact (e.g. a mobile number or the email address of a backup person) via an "Out of Office" message.

10.1 Formal Communications

10.1.1 Face-to-face meetings

The HIPERDIAS Consortium bodies will meet, as a minimum, according to the schedule defined in Section 6 of the Consortium Agreement. Ideally, these will be face-to-face meetings.

In addition, there should be regular meetings between Work Package Leaders and members to share information, exchange views, discuss results and controversial topics and reach consensus for further work. As stated in section 9.2, the key points of these meetings should be recorded and minutes distributed to all relevant parties.

10.1.2 Video-conferences / Conference calls / Web meetings

If it is not feasible to hold a face-to-face meeting (e.g. meeting required at short notice, attendee availability, short meeting duration, etc.), a teleconference or web-based conference (e.g. Powwownow, Skype for Business, Vsee, Skype or Adobe Connect Pro) can be held instead.

10.1.3 E-mail

E-mail can be used to formally communicate information to and/or solicit feedback from the various consortium bodies. Up-to-date distribution lists containing the e-mail addresses for members of each consortium body are published on the Project Website.

All formal project communication between the consortium bodies should also be copied to hiperdias@kiteinnovation.com

Note: Generally, e-mail should not be used to discuss issues in depth. If an issue requires interactive and detailed discussions, a meeting or conference call should be arranged.

10.2 Informal Communications

10.2.1 E-mail

E-mail is useful for informal communications when an immediate response or detailed discussions are not required. The e-mail addresses for all participants in the project are published on the Project Website.

10.2.2 Telephone

Telephone calls are useful when an immediate response is required or the topic requires a detailed discussion. The telephone numbers for all participants in the project are published on the Project Website.

10.3 Central Projects Office (CPO)

The HIPERDIAS Central Projects Office can be contacted as follows:

10.3.1 E-mail

hiperdias@kiteinnovation.com

10.3.2 Post

Kite Innovation (Europe) Ltd
3M Buckley Innovation Centre,
Firth Street,
Huddersfield,
HD1 3BD

10.3.3 Telephone

+44 (0)1484 365 332

11 Resources for project related information

11.1 Project Website

The Project Website will act as the central point for all project-related information. The Project Website will be supported with a file sharing site, which will include the following information:

Important dates for the coming year
This contains details of all project related events, including project meetings, thematic workshops, and due dates for forthcoming deliverables and milestones. It also contains a link to the project calendar.

Project Documents
This contains all the key project documentation and information. All members can download documents from this area. It is split into a number of folders, which have been populated with the documents currently available:

Contractual Documents: This contains the key Project Documents, i.e. Consortium Agreement, Grant Agreement and Annexes.

Project Meeting: This contains the agendas, minutes and any presentations from each project meeting. It also contains the cumulative Action Logs for meeting forum.

Papers and Presentations: This contains abstracts / drafts of all project-related papers and presentations that have been submitted to journals or conferences.

Internal Reports and Work Documents: This contains all internal reports and work documents.

European Commission Deliverables, Reports and Templates: This contains all reports and deliverables sent to the European Commission, as well as the agenda, presentations and feedback reports from European Commission Review meetings.

Project Processes and Templates: This contains the project process documentation (e.g. Project Management Handbook), templates (e.g. Meeting Minutes, Action Logs, Deliverables Front Page, Reports and Presentations) and the Project Logo.

Project Management and Tracking: This contains the Project Tracking Logs, e.g. Project Deliverables, Milestones, Risk etc.

11.2 Project Records

The CPO will retain electronic copies of the following information:

- Financial

- Claims to and payments received from the European Commission
- Payments to partners
- Contractual Reports
    - Periodic Reports, including Financial Statements and Audit Certificates
    - Deliverables

- Consortium Communications
- Minutes of meetings and Attendee Sheet
- Communications about finance
- Official communications from the Project Officer
- Any other important communication
- Dissemination Record
- Publications and Presentations
- Articles and Press releases
- Photographs
- Consortium Documents
- All versions of the Grant Agreement and Consortium Agreement

Note: Partners should also retain electronic and hard copies of relevant documentation in case of future audits (see 6.1.3).

12 Documentation Management Process

Documents produced by the HIPERDIAS project will be managed according to their purpose.

Documents that will be distributed outside the Consortium, e.g. European Commission deliverables, will be formally managed using the following process.

Documents that are only for use within the Consortium do not need to follow the same level of rigour. However, where appropriate, documents exchanged between partners should follow the document format, file naming and file sharing site.

12.1 Document Format

All documents for external distribution (with the exception of the Periodic Reports to the European Commission) should use the templates provided on the Project Website, unless a template has been provided by the recipient of the document, e.g. presentation for a conference, article for a technical publication. Most documents will typically be MS Word format, however an MS PowerPoint template has also been provided to ensure a consistent look and feel for all HIPERDIAS project-related presentations.

There are two MS Word templates, the first is for formal European Commission deliverables as identified in Annex 1 of the Grant Agreement (Project Deliverable Report Template) and the second is for any other MS Word documents (Generic Word Template). The MS Word templates contain fields to define the purpose, status, version, and confidentiality level of the document.

1) **Purpose:** This field is only present on the general MS Word template and indicates the purpose of the document:
   - **Internal Document:** Indicates the document is intended for internal use only but contains information required by a partner to complete their work.
   - **Published Document:** Indicates the document is intended for formal publication, e.g. article, etc.
2) **Status:** This indicates the review status of the document (see below for review process):
   - **Draft**: Indicates that this version of the document has not been formally reviewed and/or approved.
   - **Released**: Indicates that this version of the document has completed the review process and has been approved.
   - **Obsolete**: Indicates that this document in now obsolete and should no longer be used.
3) **Version:** This identifies the version number of the document. This is of the form <**xx**>.<**yy**>, where **xx** identifies the major number and **yy** is the minor number. The first **draft** version of a document will be 0.01 and the minor number will be incremented by 1 for each new version produced until the document has been

reviewed and approved. At this point the major number will be incremented by 1 and the minor number reset to 0, i.e. the first released version will be 1.00.
Subsequent unapproved updates to the document will be indicated by incrementing the minor number and resetting the document status to Draft. Once the updated version of the document has been reviewed and approved, the major number will again be incremented by 1 and the minor number reset to 0, i.e. the second released version will be 2.00.

4) **Confidentiality level:** This indicates who is authorised to access this document. For consistency, the dissemination levels defined by the EC for H2020 will be used to indicate confidentiality level, i.e.:
   - **PU**: Public
   - **CO**: Confidential, only for members of the consortium (including the Commission Services)
   - **CI**: Classified, as referred to in Commission Decision 2001/844/EC

12.2 File Naming

The following naming conventions should be used for project documents:

European Commission Deliverables
Format: HIPERDIAS_[Deliverable ID]_[Description]_v[Version Number].doc
For example, the document describing Deliverable 1.1 "End user application specifications" might be called HIPERDIAS_D1-1 _v1-00.doc.

All other documents
Format: HIPERDIAS_[Partner Name]_[Subject]_v[Version Number].doc
For example, a document produced by the CPO summarizing monthly project reports for 2015 might be called HIPERDIAS_KITE_Monthly_Report_Summary_2015_v1-00.doc.

Note: Avoid the use of dots, spaces and control characters in file names.

12.3 Document Review

All European Commission Deliverables should follow the process defined in 7.3.1.5. In addition, all documents that will be distributed out with the HIPERDIAS Consortium should be reviewed by the co-authors and concerned beneficiaries.

Document review requests should be sent by email, with the documents either attached to the email or posted on the Project Website. Large documents should be sent in zip format.

12.4 Document Storage

Once documents have been reviewed and approved, they will be uploaded to the appropriate file sharing site by the Project Officer.

13 Dissemination and Intellectual Property Procedures

Prior to submission, authors should ensure that the content of proposed publications is reviewed and approved by all co-authors and any concerned beneficiaries. See the HIPERDIAS *Consortium Agreement*, **Section 8: Results**.

Note: Article 29.4 of the Grant Agreement states the obligations of the HIPERDIAS project to the European Commission in relation to Dissemination.

29.4 Information on EU funding — Obligation and right to use the EU emblem

Unless the *Commission* requests or agrees otherwise or unless it is impossible, any dissemination of results (in any form, including electronic) must:

display the EU emblem and

include the following text:

"This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 687880"*.*

When displayed together with another logo, the EU emblem must have appropriate prominence.

For the purposes of their obligations under this Article, the beneficiaries may use the EU emblem without first obtaining approval from the Commission.

This does not however give them the right to exclusive use.

Moreover, they may not appropriate the EU emblem or any similar trademark or logo, either by registration or by any other means.

In addition, authors should consider if the *foreground* in the publication being submitted is capable of industrial or commercial application. This should be detailed in a Pre-publication Intellectual Property Notification Form (see Appendix 1).

Finally, authors must determine the embargo period before open access is available (maximum of 12 months) and the open access repository. This should also be detailed in the Pre-publication Intellectual Property Notification Form.

According to Article, **29.2 Open access to scientific publications**:

<u>Publication Access between Partners</u>
Each beneficiary must ensure open access to all peer-reviewed scientific publications relating to its results. In terms of the Hiperdias Project all beneficiaries should receive a copy

of pre-submitted manuscripts (for editing/suggestions, along with the pre-publication intellectual property notification form as stated in Appendix 1 – Page 42

Use of the Horizon2020 Participant Portal and Making Publications Accessible to the EU

In particular, it must:

as soon as possible and at the latest on publication, deposit a machine-readable electronic copy of the published version or final peer-reviewed manuscript accepted for publication in a repository for scientific publications;

Moreover, the beneficiary must aim to deposit at the same time the research data needed to validate the results presented in the deposited scientific publications.

ensure open access to the deposited publication - via the repository - at the latest:

on publication, if an electronic version is available for free via the publisher, or

Within six months of publication (twelve months for publications in the social sciences and humanities) in any other case.

Ensure open access - via the repository - to the bibliographic metadata that identify the deposited publication.

Kite, as part of general project and dissemination management will monitor the Participant Portal to give advice to partners on depositing publications where necessary.

Format of Information

The bibliographic metadata must be in a standard format and must include all of the following:

- the terms "European Union (EU)" and "Horizon 2020";
- the name of the action, acronym and grant number;
- the publication date, and length of embargo period if applicable, and
- A persistent identifier.

Once a publication has been submitted, the author should send a copy of the publication text (and abstract if available) and completed Pre-publication Intellectual Property Notification Form to the Coordinator (see Appendix 1 to this handbook). The form should indicate whether:

the content of the publication contains any intellectual property capable of commercial application and

Whether the submitting partner will seek to protect the intellectual property.

Particular care must be taken with regard to the publication of project results in any form, and an internal process of review and agreement of all materials proposed for publication will be implemented as part of the management process and as agreed in the Consortium Agreement.

The consortium will require to be notified with 45 days in advance and have 30 days to object. This will specifically avoid any unplanned publication of results, which might conflict with the interests of the industrial partners.

The CPO will post the publication text on the secure area of the Project Website and notify all partners. This allows any partners who were not involved in the review at Stage 1 to raise issues prior to the actual publication date (normally there is at least 2 months elapsed time between submission and publication).

Once published, details of the publication will be added to the public area of the Project Website.

14 Appendix 1 – Pre-publication Intellectual Property Notification Form

Pre-Publication Intellectual Property Notification	
Lead Author	
Partner Name	
Title	
Reference	*<yymmdd>/<1-n>/<partner short name>* e.g. 150301/1/USTUTT
Submitted to	*<name of journal, conference, etc>*
Expected date of publication / conference	
Embargo period before open access (max 12 months)	
Date for open access	
Repository to be used	
I have reviewed the contents of this submission and … *(select one of the options below)*	
a. It does not contain any intellectual property capable of commercial application	
b. It does or may contain intellectual property capable of commercial application which the beneficiaries will seek to protect	
c. It does or may contain intellectual property capable of commercial application but the beneficiaries will not seek to protect	

I understand that by selecting an option other than (b) subject to the agreement of the HIPERDIAS Management Board, the Coordinator may file the publication with the Patent Office to obtain a priority date. This will allow the publication to proceed while providing a period of 12 months for further consideration and review of the IP position.

Signed	
Date	

When signed, e-mail a pdf version of this form to **hiperdias@kiteinnovation.com** along with the draft publication.

- END OF DOCUMENT -