TRANSFORMING TRANSPORT

DELIVERABLE

D1.1 – Project management handbook

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Keywords:	Project management, documents management, internal communication, reporting, PCC, HLAB, decision making procedures, peer review, quality management, key contacts, IPR management, meetings,
Abstract (few lines):	This deliverable summarises the main procedures and tools that will be used in the project execution to monitor the proper implementation, partners' communication and contributions, resources consumption, quality management and reporting to EC as well as internal reporting.

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Definitions, Acronyms and Abbreviations

Acronym	Title
AMGA	Annotated Model Grant Agreement
CA	Consortium Agreement
CFS	Certificates on Financial Statements
DoA	Description of Action
EC	European Commission
EIM	European Rail Infrastructures Managers Association
ELA	European Logistics Association
ETP	European Technology Platform
ETR	Express Toll Route
EU	European Union
GA	Grant Agreement
HLAB	High Level Advisory Board
IC	Impact Coordinator
ITS	Intelligent Transport Systems
KPI	Key Performance Indicator
PC	Project Coordinator
PCC	Project Coordination Committee
PGA	Project General Assembly
PO	Project Officer
TC	Technical Coordinator
TT	TransformingTransport
USFC	Universidade Federal de Santa Catarina
WP	Work Package

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Executive Summary

This Handbook is written in the framework of WP1 – Project Management (Task 1.1 Project Management) of TT project under Grant Agreement No. 731932.

Its intention is to provide useful information to all partners about the procedures of the project, its governance structure, main roles, key project contacts, decision making and working procedures, IPR management, deliverables peer-review quality management process and communication and reporting procedures and about general issues of the H2020 Programme. The initial version of this Handbook is delivered on February 2017 (M2) but it will be updated throughout the duration of the project, if needed.

Any procedure decided after February 2017 will be included in this Project Handbook and sent as another version of this report.

The terms and provisions of the EU Grant Agreement (and its annexes) and the TT Consortium Agreement will prevail in the event of any inconsistency with recommendation and guidelines defined in the present Project Handbook.

Partners are advised to read carefully and follow all H2020 documentation.

For any comments on this Handbook, please contact the Project Coordinator:

      Mr. Rodrigo Castiñeira (INDRA)
      E-mail: rcastineira@indra.es

1 Introduction

This Handbook is written in the framework of WP1 – Overall Management (Task 1.1 Project management) of TransformingTransport (TT) project under Grant Agreement No. 731932.

This project handbook is a collection of instructions and decisions regarding project management and administration of the TT project. This is a living document that will be updated as new information becomes available and new decisions are made. Its intention is to provide useful information to all partners about the procedures that will be followed during the project execution for communication and reporting purposes.

It acts as a reference source for all Consortium members, covering many of the day-to-day activities and providing links to further information where required. Secondly, it aims to standardise various elements of the project e.g. project reports, deliverables, file naming conventions etc. through the use of agreed procedures and templates where relevant. The initial version of this Handbook is delivered on February 2017 (M2) but it will be updated throughout the duration of the project, if needed. This initial version has included the project quality manual expected in the D1.2 deliverable (formal delivery expected by M4) since the first important deliverables are due in the third month and having quality guidelines in place contribute to ensure the quality of all the deliverables.

Any update or improvement on procedures decided after the release of this document will be included in this Project Handbook and sent as another version of this document to all partners.
The terms and provisions of the EU Grant Agreement (and its annexes) and the TT Consortium Agreement will prevail in the event of any inconsistency with recommendations and guidelines defined in the present Project Handbook.

It must be noticed that the Handbook does not express the opinion of European Commission and does not, in any case, replace the European Commission documentation. This Handbook express only the authors' views: the Community is not liable for any use that may be made of the information contained therein. Partners are advised to read carefully and follow all H2020 AMGA and other relevant documents annexed to this handbook.

2 Project governance

This section describes the project governing bodies that have in charge all the project management activities and the procedures/recommendations aiming to the correct implementation of the management activities concerned with WP1 (Overall management), WP2 (Technical coordination), WP3 (Impact) and WP4-10 (Domain pilots) of the TT project.
Section 3 "Important contacts" includes the contact details for the leader/proxy assuming each one of the previous roles.

2.1 Consortium management structures

The project management will consist of the following structures and control functions, whose interaction is shown in the figure below:
- Project Coordinator (PC);

- Technical Coordinator (TC);
- Impact coordinator (IC);
- Project Coordination Committee (PCC);
- Project General Assembly (PGA);
- Work-Package (Domain) and pilot leaders;
- High Level Advisory Board (HLAB).
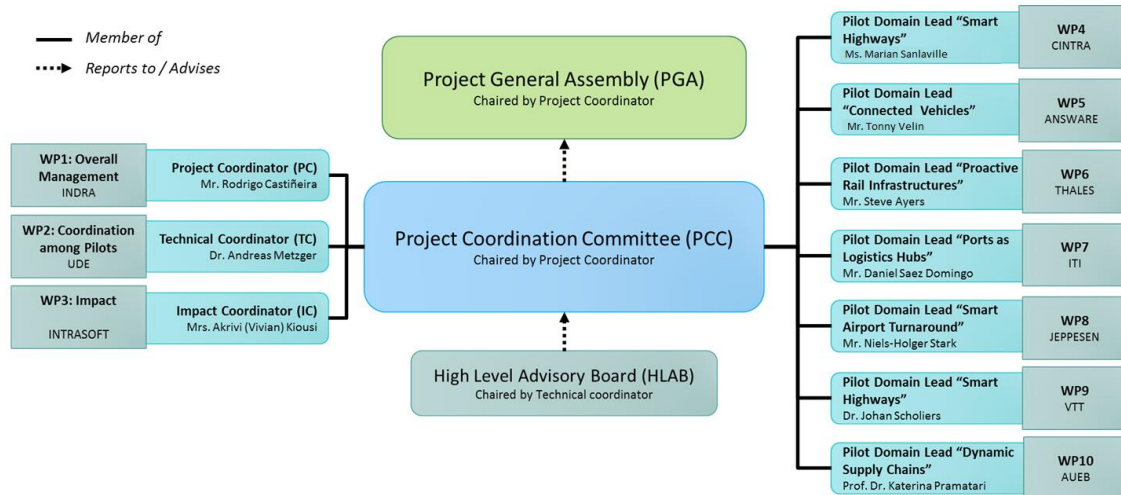
Figure 1: Project Management Structure

2.2   Roles and responsibilities of project bodies

2.2.1   *Project coordinator (PC)*
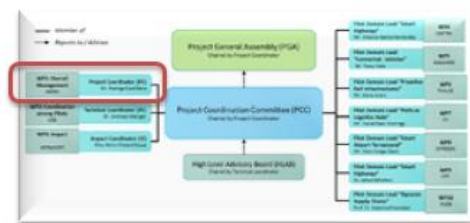
Project Coordinator (PC)		
	Rodrigo Castiñeira (INDRA) rcastineira@indra.es	

The PC, as leader of WP1 (Overall Management), will have the overall responsibility for the running of the project, ensuring delivery to time, cost, and required quality, the overall coordination of the project's technical and scientific progress. The main interfaces of the PC are:
  (i) EC (Project Officer);
  (ii) Technical Coordinator (TC) and Impact Coordinator (IC), as well as WP Leaders;
  (iii) the PGA and PCC.

The PC will be supported by the Administrative and Financial Manager (Manuel Lopez Villena from INDRA) who will be responsible for the administration of the internal Consortium structure and the financial administration of the project, including ensuring the proper completion and consolidation of the cost claims for partners. The Administrative and Financial Manager will act as a support to the PGA and will attend its meetings when required.

In particular, the Coordinator shall be responsible for the following tasks:
- Monitoring compliance by the Parties with their obligations.
- Keeping the address list of Members and other contact persons updated and available.
- Collecting, reviewing to verify consistency and submitting reports, other deliverables (including financial statements and related certifications) and specific requested documents to the Funding

Authority.

- Transmitting documents and information connected with the Project to any other Parties concerned.
- Administering the financial contribution of the Funding Authority and fulfilling the financial tasks (described in Section 7.3 of the Consortium Agreement).
- Providing, upon request, the Parties with official copies or originals of documents that are in the sole possession of the Coordinator when such copies or originals are necessary for the Parties to present claims.

Rodrigo will be supported by the internal coordination team at INDRA which is composed of the following people and roles:
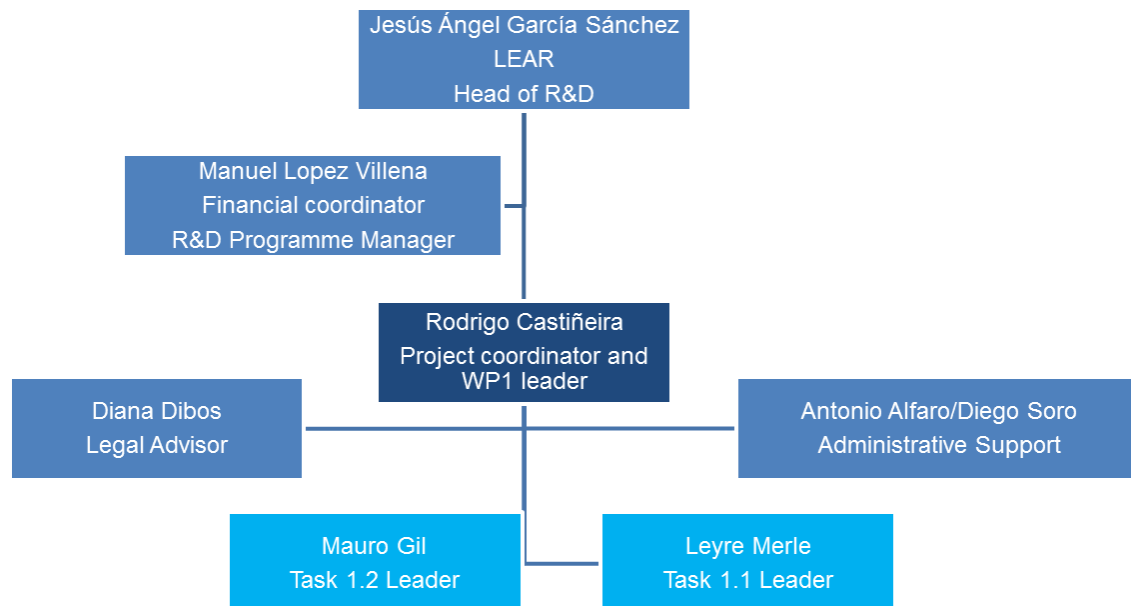
Figure 2: INDRA Internal management Structure

2.2.2   Technical coordinator (TC)

Technical Coordinator (TC)
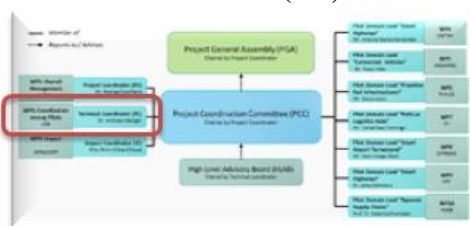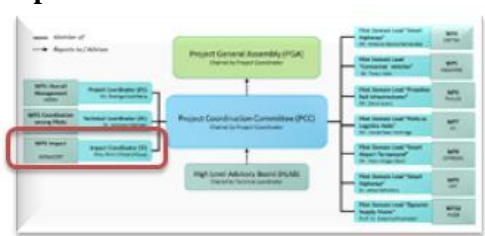
Andreas Metzger (UDE)
andreas.metzger@paluno.uni-due.de

The TC, as leader of WP2 (Coordination among pilots) will have the responsibility of the overall coordination of the project's technical progress. The main tasks of the TC will be to facilitate the coordination and alignment among pilots, and ensure the continuous alignment of commonly understood and agreed project results with the projects vision and the overall technical objectives. The TC will jointly work with the PC, supported by the Pilot Domain Leaders, in order to assure the delivery of high quality and timely technical results. Same tasks and responsibilities as for PC but applied to technical progress.

2.2.3   Impact coordinator (IC)

Impact Coordinator	
	Vivian Kiousi (INTRASOFT) Akrivi.Kiousi@intrasoft-intl.com

The IC, as leader of WP3 ("Impact"), will be responsible for monitoring the achieved during the project as well as for taking actions to bring the impact to the highest levels possible. The IC will be in continuous communication in particular with the industry partners of TransformingTransport to understand, facilitate and coordinate exploitation and dissemination actions, as well as to report them to the PCC.

Same tasks and responsibilities as for PC but applied to impact progress.

2.2.4   Project coordination committee (PCC)

Project Coordination Committee (PCC)	Will be composed by PC, TC, IC and all Pilot Domain Leads; chaired by PC.
	It was decided that an extended PCC will be created including all task leaders and it will be the extended PCC that will be convoked to meetings from M1 to M9 (First HLAB meeting and evaluation).

The PCC will manage the programme and decide about the high level management and technical issues. Its coordination tasks will guide the work and assume an effective communication between all partners. The PCC will meet physically at least once in six months. Additionally, bi-weekly conference calls of the PPC will be held to ensure timely project management and control.

Main PCC tasks are:
- The Project Coordination Committee shall prepare the meetings, propose decisions and prepare the agenda of the General Assembly.
- The Project Coordination Committee shall seek a consensus among the Parties.
- The Project Coordination Committee shall be responsible for the proper execution and implementation of the decisions of the General Assembly.
- The Project Coordination Committee shall monitor the effective and efficient implementation of the Project.
- In addition, the Project Coordination Committee shall collect information at least every 6 months on the progress of the Project, examine that information to assess the compliance of the Project with the Consortium Plan and, if necessary, propose modifications of the Consortium Plan to the General Assembly.
- The Project Coordination Committee shall:
  - Agree on the Members of the High Level Advisory Board, upon a proposal by the Coordinator.

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> o Support the Coordinator in preparing meetings with the Funding Authority and in preparing related data and deliverables.
> o Prepare the content and timing of press releases and joint publications by the consortium or proposed by the Funding Authority in respect of the procedures of the Grant Agreement Article 29.
> - In the case of abolished tasks as a result of a decision of the General Assembly, the Project Coordination Committee shall advise the General Assembly on ways to rearrange tasks and budgets of the Parties concerned. Such rearrangement shall take into consideration the legitimate commitments taken prior to the decisions, which cannot be cancelled.

2.2.5 WP (domain) leaders and pilot leaders

Pilot Domain Leader
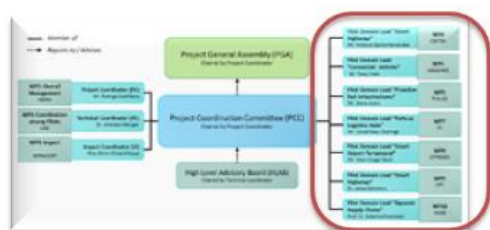
Pilot Domain Leaders are responsible for the coordination among the pilots within their pilot domain, and to plan and coordinate the work of the partners collaborating within the work package. The Pilot Domain Leader is also responsible for the circulation of progress and risk information to the PC. The Pilot Domain Leader will:
- Coordinate the technical activities of the partners involved the in the pilots and check intermediate work progress;
- Organize, when necessary, meetings with the participation of involved partners;
- Keep the PC informed on the status of activities and suggest any corrective action to be taken;
- Report to the PCC on the status of activities and suggest any corrective action to be taken;
- Contribute and closely align with the TC to ensure synergy and learning effects among pilots and pilot domains.

2.2.6 High level advisory board (HLAB)

High-level Advisory Board (HLAB)
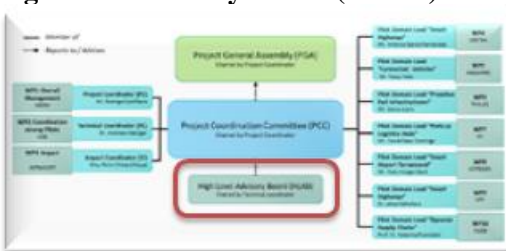
Will be composed of external high-level representatives; chaired by TC.

The HLAB will be one key instrument to strategically engage with decision makers and the wider stakeholder community. The HLAB will actively engage HLAB members and key partners of the TransformingTransport consortium, thereby providing HLAB members with early insights into HLAB results and findings, whilst providing TransformingTransport members with external views and recommendations. The HLAB will engage in the following ways:

> (1) Challenge TransformingTransport work against new developments and advances in the state-of-the-art;
> (2) Ensure that TransformingTransport stays in the highest level of scientific and technical

quality, thereby ensuring expected impact;

(3) Provide scientific, technical and domain expertise on TransformingTransport results and methodology;

(4) Share common priorities and establish future cooperation opportunities of mutual benefit;

(5) Disseminate and multiply project results by informing the various networks of HLAB members, thereby fostering active engagement of external organizations in Big Data demonstrations.

The High-level Advisory Board (HLAB) members will cover a relevant cross-section of stakeholders from the transport, mobility and logistics sectors, together with leaders in ICT and Big Data technology, as well as representatives of key European Technology Platforms (including the ALICE ETP and NESSI ETP). As opinion-leaders in their respective fields the members of the HLAB will provide a valuable referral point at critical milestones along the TransformingTransport project development. In addition, HLAB members will serve as major multipliers in their target communities and organizations to spread the word and encourage adoption of TransformingTransport technology.

HLAB members are:
- Ray Bacquie (407 ETR, Canada)
- Dr. Maxime Flament (ERTICO-ITS Europe)
- Prof. Dr. J. Rod Franklin (ALICE ETP & Kühne Logistics University, Germany)
- Ramón García (ELA – European Logistics Association)
- Scott Hansen (The Open Group, UK)
- Monika Heiming (EIM, European Rail Infrastructures Managers Association)
- Thorsten Hülsmann (Industrial Data Space Association, Germany)
- Dr. Tobias Knobloch (stiftung neue verantwortung, Berlin)
- Valter Zanela Tani (USFC - Universidade Federal de Santa Catarina, Brazil)

3 Key Project contacts

In the following tables, the main project contacts points for each work package and main tasks are identified. This table will be updated throughout the project in order to ensure that the key project contacts are identified by all partners.

3.1 WP1 Project management

WP Task	Name	Lead Benef	Lead Person	Key Contact	Proxy / Backup	Key Contact
WP1	**Overall Management**	**INDRA**	**Rodrigo Castinera**	rcastineira@indra.es	**Manuel Lopez Villena**	mlvillena@indra.es
T1.1	Project Management	INDRA	**Leyre Merle Carrera**	lmerle@indra.es	Rodrigo Castiñeira	rcastineira@indra.es
T1.2	Quality Assurance & Risk Management	INDRA	Mauro Gil Cabeza	mgilc@indra.es	Rodrigo Castiñeira	rcastineira@indra.es
T1.3	Management of Knowledge, IPR, Data Governance and Data Protection	FHG	Florian Flocke	florian.flocke@iml.fraunhofer.de	Julian Eggemann	Julian.Eggemann@iml.fraunhofer.de

3.2 WP2 Technical coordination

WP Task	Name	Lead Benef	Lead Person	Key Contact	Proxy / Backup	Key Contact
WP2	**Coordination among Pilots**	**UDE**	**Andreas Metzger**	andreas.metzger@paluno.uni-due.de		
T2.1	Methodology & Technical Coordination	UDE	Andreas Metzger	andreas.metzger@paluno.uni-due.de		

T2.2	Pilots Requirements Analysis & Lessons Learned	UPM	Andres Monzon	andres.monzon@upm.es	Guillermo Velázquez	g.velazquez@upm.es
T2.3	Data Quality, Integration & Homogenization	CEFRIEL	Gianluca Ripa	Gianluca.Ripa@cefriel.com	Roberto Spigolon	roberto.spigolon@cefriel.com

3.3   WP3 Impact

WP Task	Name	Lead Benef	Lead Person	Key Contact	Proxy / Backup	Key Contact
WP3	Impact	INTRA	Akrivi (Vivian) Kiousi	Akrivi.Kiousi@intrasoft-intl.com	George Dimitrakopoulos	George.DIMITRAKOPOULOS@intrasoft-intl.com
T3.1	Joint Exploitation, Market Impact & KPI Achievement	ATOS	Víctor Corral	victor.corral@atos.net	German Herrero	German.herrero@atos.net
T3.2	Communication, Stakeholder Engagement & Dissemination	INTRA	Akrivi (Vivian) Kiousi	Akrivi.Kiousi@intrasoft-intl.com	George Dimitrakopoulos	George.DIMITRAKOPOULOS@intrasoft-intl.com
T3.3	Open Data & Shared Data	UPM	Oscar Corcho	ocorcho@fi.upm.es	Francisco Yedro	fyedro@fi.upm.es
T3.4	Collaboration with Projects & High-level Experts	UDE	Andreas Metzger	andreas.metzger@paluno.uni-due.de		
T3.5	Knowledge Transfer & Policy Recommendations	INTRA	Akrivi (Vivian) Kiousi	Akrivi.Kiousi@intrasoft-intl.com	George Dimitrakopoulos	George.DIMITRAKOPOULOS@intrasoft-intl.com
T3.6	Post-project replication, Incubation & Innovation management	ANS	Tonny Velin	tvelin@answare-tech.com		

3.4 WP4 Smart Highways

WP Task	Name	Lead Benef	Lead Person	Key Contact	Proxy / Backup	Key Contact
WP4	Smart Highways	CINTRA	Marion Sanlaville	msanlaville@cintra.es	Iker Guinea	iguinea@ci3.es
T4.2	Ausol Load Balancing Pilot	INDRA	David Collado	dcollado@indra.es	Alberto Sosa Iker Guinea	asosa@indra.es iguinea@ci3.es
T4.3	Norte Litoral Load Balancing Pilot	CINTRA	Marion Sanlaville	msanlaville@cintra.es	Iker Guinea	iguinea@ci3.es

3.5 WP5 Sustainable Connected Vehicles

WP Task	Name	Lead Benef	Lead Person	Key Contact	Proxy / Backup	Key Contact
WP5	Sustainable Connected Vehicles	ANS	Tonny Velin	tvelin@answare-tech.com		
T5.2	Sustainable Connected Cars Pilot	ANS	Tonny Velin	tvelin@answare-tech.com	David Cobo	dcobo@answare-tech.com
T5.3	Sustainable Connected Trucks Pilot	PTV	Marcel Huschebeck	Marcel.Huschebeck@ptvgroup.com	Michael Schygulla	Michael.schygulla@ptvgroup.com

3.6 WP6 Proactive Rail Infrastructures

WP Task	Name	Lead Benef	Lead Person	Key Contact	Proxy / Backup	Key Contact
WP6	Proactive Rail Infrastructures	THALES	Steve Ayers	steve.ayers@uk.thalesgroup.com		
T6.2	Predictive Rail Asset Management Pilot	THALES	Steve Ayers	steve.ayers@uk.thalesgroup.com	Ben Pritchard	Ben.Pritchard@uk.thalesgroup.com

| T6.3 | Predictive High Speed Network Maintenance Pilot | INDRA | Angel Perez Bartolome | aperezb@indra.es | Jesús Alonso Ignacio Jardi | jmalonso@ferrovial.com ignacio.jardi@ferrovial.com |

3.7 WP7 Ports as Intelligent Logistics Hubs

WP Task	Name	Lead Benef	Lead Person	Key Contact	Proxy / Backup	Key Contact
WP7	**Ports as Intelligent Logistics Hubs**	**ITI**	**Daniel Saez Domingo**	dsaez@iti.es		
T7.2	Valencia Sea Port Pilot	ITI	Daniel Saez Domingo	dsaez@iti.es	Miguel Llop Chabrera	MLlop@fundacion.valenciaport.com
T7.3	Duisport Inland Port Pilot	UDE	Andreas Metzger	andreas.metzger@paluno.uni-due.de	Dirk Mayer	Dirk.Mayer@softwareag.com

3.8 WP8 Smart Airport Turnaround

WP Task	Name	Lead Benef	Lead Person	Key Contact	Proxy / Backup	Key Contact
WP8	**Smart Airport Turnaround**	**JEPP**	**Niels-Holger Stark**	Niels.Stark@jeppesen.com	**Anna-Lisa Mautes**	anna-lisa.mautes@jeppesen.com
T8.2	Smart Passenger Flow Pilot	INDRA	Juan Francisco García López	jfglopez@indra.es	Cristina Bravo	cbravo@indra.es
T8.3	Smart Turnaround, ETA Prediction and Passenger Flow Pilot	JEPP	Niels-Holger Stark	Niels.Stark@jeppesen.com	Anna-Lisa Mautes	anna-lisa.mautes@jeppesen.com

3.9 WP9 Integrated Urban Mobility

WP Task	Name	Lead Benef	Lead Person	Key Contact	Proxy / Backup	Key Contact
WP9	**Integrated Urban Mobility**	**VTT**	**Johan Scholiers**	Johan.Scholliers@vtt.fi	**Lumiaho Aki**	Aki.Lumiaho@vtt.fi
T9.2	Tampere Integrated Urban Mobility and Logistics Pilot	VTT	Johan Scholiers	Johan.Scholliers@vtt.fi	Lumiaho Aki	Aki.Lumiaho@vtt.fi
T9.3	Valladolid Integrated Urban Mobility and Freight Pilot	CARTIF	Marian Ángeles Gallego de Santiago	magal@cartif.es	Marta Galende Sergio Saludes Rodil	margal@cartif.es sersal@cartif.es

3.10 WP10 Dynamic Supply Networks

WP Task	Name	Lead Benef	Lead Person	Key Contact	Proxy / Backup	Key Contact
WP10	**Dynamic Supply Networks**	**AUEB**	**Katerina Pramatari**	k.pramatari@gmail.com	**Eleni Zampou**	zampoueleni@aueb.gr
T10.2	Shared Logistics for E-Commerce Pilot	AUEB	Katerina Pramatari	k.pramatari@gmail.com	Eleni Zampou	zampoueleni@aueb.gr

4 Decision making procedures

Regarding the decision making process, the organisational structure of the Consortium is comprised of the following Consortium Bodies:

- General Assembly as the ultimate decision-making body of the consortium.
- Project Coordination Committee as the supervisory body for the execution of the Project which shall report to and be accountable to the General Assembly. The PCC will be composed of three coordinators with distinct, complementary competencies and responsibilities, as well as all Pilot Domain Leaders of TransformingTransport. As shown in Figure 1 each of these roles also acts as WP leader of the respective project work packages to ensure strong vision and resources to ensure the responsibilities can be delivered.
- Project Coordinator. The Coordinator is the legal entity acting as the intermediary between the Parties and the Funding Authority. The Coordinator shall, in addition to its responsibilities as a Party, perform the tasks assigned to it as described in the Grant Agreement and Consortium Agreement. The Project Coordinator (PC) will undertake the management of the project, which will comprise chairing the Project General Assembly (PGA) and the Project Coordination Committee (PCC). The PGA will be responsible for the strategic decisions, while the PCC will be in change for the overall project management.
- The High Level External Advisory Board assists the Project Coordination Committee and the Coordinator.

The project's management structure and supporting procedures have been designed to specifically deal with the strategic and operational management requirements of an ambitious and large scale lighthouse innovation project that covers 13 pilots and involves 46 partners.

The management structure has a strong focus on objectives and milestones, risk and innovation management and finally impact assessment. All project management activities will be implemented in WP1 (Overall Management), ensuring that the project properly follows its iterative approach and that the work is completed within the terms of the contract with the European Commission. This will include ensuring that:

(i)   Appropriate agreements and management framework are in place between the partners;

(ii)   All the projects activities are properly coordinated with appropriate levels of legal, contractual, ethical, quality, innovation, financial and administrative management of the consortium;

(iii)   Proper operational project management is provided throughout the project and the project's work is completed to the expected timescales, resource usage and quality levels;

(iv)   Appropriate reporting to the European Commission is undertaken.

The following sections summarise the most relevant aspects of the decision making procedures in TT. For further details please see the TT Consortium Agreement, which is available at Basecamp.

4.1.1   Voting rules and quorum

Each Consortium Body shall not deliberate and decide validly unless the simple majority of its Members are present or represented (quorum). If the quorum is not reached, the chairperson of the Consortium Body shall convene another ordinary meeting within 7 calendar days. If in this meeting the quorum is not reached once more, the chairperson shall convene an extraordinary

meeting which shall be entitled to decide even if less than the quorum of Members are present or represented.

Each Member of a Consortium Body present or represented in the meeting shall have one vote.

A Party which the General Assembly has declared to be a Defaulting Party may not vote.

Decisions shall be taken by a majority of two-thirds (2/3) of the votes cast, except for accession of a new party where unanimous vote is required. In the event of a tie in the voting process, the Chairman shall have the casting vote.

For the avoidance of doubt, decisions of any Consortium Body may not unilaterally impose additional obligations on a particular Party which is beyond the obligations agreed by such Party under the Consortium Agreement and under the Grant Agreement if such Party does not agree to accept.

4.1.2   Veto rights

A Member which can show that its own work, time for performance, costs, liabilities, intellectual property rights or other legitimate interests would be severely affected by a decision of a Consortium Body may exercise a veto with respect to the corresponding decision or relevant part of the decision.

When the decision is foreseen on the original agenda, a Member may veto such a decision during the meeting only.

When a decision has been taken on a new item added to the agenda before or during the meeting, a Member may veto such decision during the meeting and within 15 calendar days after the draft minutes of the meeting are sent. A Party that is not a Member of a particular Consortium Body may veto a decision within the same number of calendar days after the draft minutes of the meeting are sent.

When a decision has been taken without a meeting a Member may veto such decision within 15 calendar days after written notification by the chairperson of the outcome of the vote.

In case of exercise of veto, the Members of the related Consortium Body shall make every effort to resolve the matter which occasioned the veto to the general satisfaction of all its Members.

A Party may neither veto decisions relating to its identification to be in breach of its obligations nor to its identification as a Defaulting Party. The Defaulting Party may not veto decisions relating to its participation and termination in the consortium or the consequences of them.

A Party requesting to leave the consortium may not veto decisions relating thereto.

4.1.3   General Assembly decisions

The following decisions shall be taken by the General Assembly:

(i)   Content, finances and intellectual property rights.
(ii)   Proposals for changes to Annexes 1 and 2 of the Grant Agreement to be agreed by the Funding Authority.
(iii)   Changes to the Consortium Plan.
(iv)   Modifications to background.
(v)   Additions to List of Linked Third Parties and Subcontractors.
(vi)   Evolution of the consortium.
(vii)   Entry of a new Party to the consortium and approval of the settlement on the conditions of the accession of such a new Party
(viii)   Withdrawal of a Party from the consortium and the approval of the settlement on the conditions of the withdrawal.
(ix)   Identification of a breach by a Party of its obligations under this Consortium Agreement or the Grant Agreement
(x)   Declaration of a Party to be a Defaulting Party
(xi)   Remedies to be performed by a Defaulting Party
(xii)   Termination of a Defaulting Party's participation in the consortium and measures relating thereto.
(xiii)   Proposal to the Funding Authority for a change of the Coordinator
(xiv)   Proposal to the Funding Authority for suspension of all or part of the Project.

(xv)   Proposal to the Funding Authority for termination of the Project and the Consortium Agreement

(xvi) Appointments. On the basis of the Grant Agreement, the appointment of necessary Project Coordination Committee Members.

4.1.4   *Escalation process for technical issue resolution*

As a general principle, decisions are made at all levels and in all areas of the project's activities. For important decisions arising within the project, i.e., decision that affects more than one partner, a consensus should be achieved.

The first step where to handle such consensus management is at the WP-level. If it cannot be found at this level, the work package leader must escalate the conflict to the PC for resolution. If the PC cannot find a solution satisfactory to all partners, the issue will be escalated to the level of the Project General Assembly for a final decision, eventually though a vote. Each member (Consortium Partner) will have a single vote, and the disputed matter will be resolved with simple majority. In case of ties, the PC will have an additional vote. In case of a procedural question related to the EC, the PC may, at his own will, raise the question to the Project Officer.

5   IPR Management

IPR Policy: To safeguard Intellectual Property Rights (IPR) of TransformingTransport partners, while ensuring impact of project results within the wider community, TransformingTransport strives balance between public information and confidential information – both as inputs to the project and output that is disseminated or considered for later reuse. Thus, as part of the overall IPR policy of TransformingTransport, the knowledge produced will be continually tracked and registered to the respective owners, as follows:

- **Input**: On input knowledge provided to the project the consortium partners have ensured that all existing knowledge that is required for proper execution of TransformingTransport, become available to all relevant partners. These inputs (background) and provisions on protection of IP have been established in detail in the consortium agreement. It specifies conditions (e.g., non-disclosure, confidentiality) on how existing knowledge that belongs to a consortium partner (e.g., reports, patents, software, hardware, etc.), will become available to the other consortium partners.
- **Output**: Concerning output generated by the project, IPRs on the results of the project have been protected by an exploitation agreement signed by the Consortium as part of the Consortium Agreement. This exploitation agreement regulates the following aspects:
  - Ownership of Results.
  - Joint ownership.
  - Transfer of Results.
  - Dissemination of own Results.
  - Dissemination of another Party's unpublished Results or Background.
  - Cooperation obligations.
  - Use of names, logos or trademarks.

6 Working procedures

6.1 Meetings

6.1.1 Convening meetings

The chairperson of a Consortium Body shall convene meetings of that Consortium Body.

	Ordinary meeting	Extraordinary meeting
General Assembly	At least once a year	At any time upon written request of the Project Coordination Committee or 1/3 of the Members of the General Assembly
Project Coordination Committee	At least quarterly	At any time upon written request of any Member of the Project Coordination Committee.

6.1.2 Notice of a meeting

The chairperson of a Consortium Body shall give notice in writing of a meeting to each Member of that Consortium Body as soon as possible and no later than the minimum number of days preceding the meeting as indicated below.

	Ordinary meeting	Extraordinary meeting
General Assembly	45 calendar days	15 calendar days
Project Coordination Committee	14 calendar days	7 calendar days

6.1.3 Sending the agenda

The chairperson of a Consortium Body shall prepare and send each Member of that Consortium Body a written (original) agenda no later than the minimum number of days preceding the meeting as indicated below.

General Assembly	21 calendar days, 10 calendar days for an extraordinary meeting
Project Coordination Committee	7 calendar days

6.1.4 Adding agenda items

Any agenda item requiring a decision by the Members of a Consortium Body must be identified as such on the agenda.

Any Member of a Consortium Body may add an item to the original agenda by written notification to all of the other Members of that Consortium Body up to the minimum number of days preceding the meeting as indicated below.

General Assembly	14 calendar days, 7 calendar days for an extraordinary meeting
Project Coordination Committee	2 calendar days

During a meeting the Members of a Consortium Body present or represented can unanimously agree to add a new item to the original agenda

Meetings of each Consortium Body may also be held by teleconference or other telecommunication means.

6.1.5 Decisions in meetings

Decisions will only be binding once the relevant part of the Minutes has been accepted according to voting procedures. Any decision may also be taken without a meeting if the Coordinator circulates to all Members of the Consortium Body a written document, which is then agreed by the defined majority of all Members of the Consortium Body. Such document shall include the deadline for responses.

The decisions will be binding after the chairperson sends to all Members of the Consortium Body and to the Coordinator a written notification of this acceptance.

6.2 Internal reporting

Survey Monkey and Google Forms/sheets will be the tools used to perform the internal reporting.

Reporting will be completed as a fully online process that might be complemented by ad-hoc requirements to specific partners depending on the information provided.

Three level of reporting will be considered:
- Pilot reporting – Monthly.
- Partner progress reporting – Quarterly.
- Financial reporting – Every six months.

The resulting reporting calendar would be as follows:

Month	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30
Pilot Reporting	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P
Progress Reporting			R			R			R			R			R			R			R			R			R			R
Final Reporting						F						F						F						F						F

Figure 3: Reporting Dates

Each of the reporting procedures are explained in more detail below.

6.2.1 Pilot reporting – Monthly

The objective of this reporting is to make periodic monthly updates on the technical work progress, i.e. mainly pilots' progress against the KPIs defined by each pilot in D4-10.1.

This report must be done by the pilot leaders after gathering inputs and in coordination with partners involved in their respective pilots.

The report shall include responses to the following aspects:
- Overall status / progress towards milestones.
- Progress setting-up Big Data infrastructures and Platforms
- Update on data availability (of expected size, speed, complexity, …)
- Update on Specific pilot procedures, indicators and metrics for performance monitoring.
- Actions being performed at this moment and expected date to finish each action.
- Next Steps and date foreseen.
- Actions already completed.
- Update on risk table.

The report shall be monthly completed online (from day 1 to day 5 of the following month) following the link that will be provided by the coordinator.

6.2.2   *Progress reporting (Resources consumption and contributions to impact) quarterly*

The objective of this reporting is to make periodic quarterly updates on the amount of resources (ESTIMATION of personnel and other direct costs) consumed by each partner in order to monitor the degree of resources consumption. This report will also cover partners' contributions to WP3, i.e. to project impact.

The report shall include responses to the following aspects:
- Estimation of personnel effort (in person-months) consumed for every WP.
- Estimation on other direct costs consumed.
- Estimation on subcontracting costs consumed.
- Impact assessment, evaluate all partners' contributions with respect to indicators defined in D3.3 (Participation in events, publications and press releases, social media activity, video or other relevant content produced, meetings or other contacts with external stakeholders, big data assets mobilised, collaboration with other projects, etc.)

The report shall be completed every quarter (from day 1 to day 5 of the following month after the reporting quarter, i.e. M4, M7, M10, etc.) by all partners (and linked third parties) following the link that will be provided by the coordinator.

6.2.3   *Final reporting (Financial reporting) every 6 months*

The objective of this reporting is to make periodic (Every 6 months) updates on the EXACT amount of resources (personnel and other direct costs) consumed by each partner in order to monitor the degree of resources consumption.

The report shall include responses to the following aspects:
- Estimation of personnel effort (in person-months) consumed for every WP.
- Estimation on other direct costs consumed.
- Estimation on subcontracting costs consumed.

It will also include a technical Summary Report on the progress and results achieved by each WP during the period.

The report shall be completed every quarter (from day 1 to day 15 of the following month after the reporting period, i.e. M7, M13, M19, etc.) by all partners (and linked third parties) following the link that will be provided by the coordinator.

7 Reporting to EC

The project has two formal reporting periods of 18 and 12 months duration, as follows:
1) Periodic report: 1st January 2017 – 30th June 2018
2) Final report: 1st July 2018 – 30th June 2019
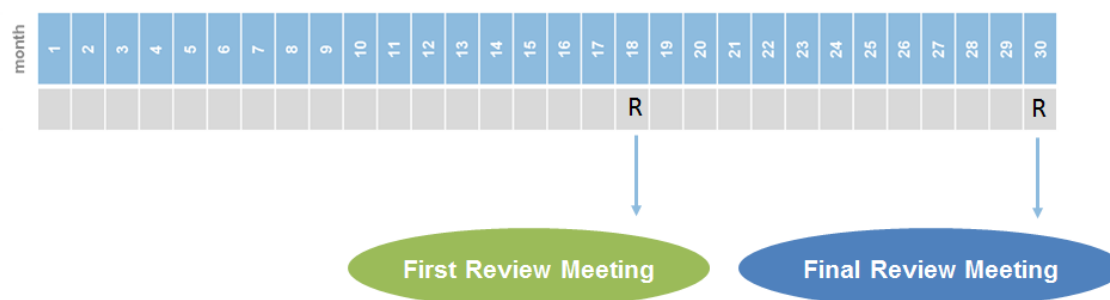
Figure 4: Review Meetings

The PC will provide the necessary templates and further indications in due time to prepare documents and information to be submitted for each one of the reporting periods. As an introduction to the informant needed for each one the following sections briefly list the information requested by the EC.

7.1 The periodic report

The periodic report must include the following:
a) 'periodic technical report' containing:
    (i) an explanation of the work carried out by the beneficiaries;
    (ii) an overview of the 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 and that actually carried out.
    The report must detail the exploitation and dissemination of the results and — if required in Annex 1 — an updated 'plan for the exploitation and dissemination of the results'.
    The report must indicate the communication activities performed during the period;

    (iii) a summary for publication by the Commission;

(iv) 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;

b) a 'periodic financial report' containing:

(i) an 'individual financial statement' (see GA Annex 4) from each beneficiary and from each linked third party, for the reporting period concerned.

The individual financial statement must detail the eligible costs (actual costs, unit costs and flat-rate costs; see GA Article 6) for each budget category (see Annex 2).

The beneficiaries and linked third parties must declare all eligible costs, even if — for actual costs, unit costs and flat-rate costs — they exceed the amounts indicated in the estimated budget (see GA Annex 2). Amounts which are not declared in the individual financial statement will not be taken into account by the Commission.

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.

The individual financial statements of the last reporting period must also detail the receipts of the action (see GA Article 5.3.3).

Each beneficiary and each linked third party must certify that:

- the information provided is full, reliable and true;
- the costs declared are eligible (see GA Article 6);
- the costs can be substantiated by adequate records and supporting documentation (see GA Article 18) that will be produced upon request (see GA Article 17) or in the context of checks, reviews, audits and investigations (see GA Article 22), and
- for the last reporting period: that all the receipts have been declared (see GA Article 5.3.3);

(ii) an explanation of the use of resources and the information on subcontracting (see GA Article 13) and in-kind contributions provided by third parties (see GA Articles 11 and 12) from each beneficiary and from each linked third party, for the reporting period concerned;

(iii) a 'periodic summary financial statement', created automatically by the electronic exchange system, consolidating the individual financial statements for the reporting period concerned and including — except for the last reporting period — the request for interim payment.

7.2   The final report (Request for payment of the balance)

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) a 'final technical report' with a summary for publication containing:

(i) an overview of the results and their exploitation and dissemination;
(ii) the conclusions on the action, and
(iii) the socio-economic impact of the action;

b) a 'final financial report' containing:

(i) a 'final summary financial statement', 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

(ii) a 'certificate on the financial statements' (drawn up in accordance with GA Annex 5) for each beneficiary and for each linked third party, 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 GA Article 5.2 and Article 6.2, Point A).

7.3   Certificates of Financial Statements - CFS

When a partner has to submit a CFS? If the cumulative **requested EU contribution is EUR 325.000** or more as reimbursement of actual costs and unit costs on the basis of usual cost-accounting practices (i.e. average personnel costs).

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 EUR 325.000 threshold (and don't need to be covered by the certificate) like the amount paid as pre-financing. Linked third parties must submit a certificate if they themselves (i.e. without taking into account costs claimed by the beneficiary in question) reach the EUR 325.000 threshold.

Within 60 days of the end of the last reporting period, coordinators must submit a final report **including a CFS for each beneficiary and each linked third party that requested the contribution indicated above.**

If a certificate is required, it must cover all costs declared as actual costs or average personnel costs. Incomplete certificates will be returned for correction.

8   Project Reviews

The PC will be in regular contact with the EU Project Officer to report on the project's progress in a transparent and practical manner. Such contacts will occur through emails, phone calls and possibly through meetings in Brussels or Luxembourg whenever needed. The PC may request the participation of other project partners depending on the subjects to be discussed. In this way the Project Officer will be able to continuously monitor the performance of the Project in accordance with Annex I of the DoA.

The EU will also undertake periodic contractual technical reviews to assess the work carried out by the project. Such reviews may cover scientific, technological and other aspects relating to the proper execution of the project.
Objectives and procedures to be followed for these reviews are described in the next sections.

8.1   Contractual periodic project reviews

Contractual Project Reviews are technical reviews carried out by the EU to monitor the performance of the project in accordance with Annex I (DoA). The aim of such reviews is to objectively assess the following:
  • the degree of fulfilment of the project work-plan for the relevant period and the status of related deliverables;

- the continued relevance of the objectives and breakthrough potential with respect to the original expectations;
- the resources planned and utilised in relation to the achieved progress, in a manner consistent with the principles of economy, efficiency and effectiveness;
- the management procedures and methods of the project;
- the partner's contribution and integration within the project;
- the expected potential impact in economic, competition and social terms, and the project partners plan for the use, dissemination and exploitation of foreground.

The EU will be assisted in technical reviews by independent, external scientific or technological experts. The reviewing team may have access to the locations and premises where the work, demonstrations and pilots are being carried out, and to any document concerning the work executed by TT. Any such review shall be carried out on a confidential basis. Each Project partner shall have the right to refuse the participation of a particular external scientific or technological expert on grounds of commercial confidentiality.

The Project partners attending the review should be those involved in the work under review, except if duly justified and provided that the partners present can report on behalf of the missing partners.

The EU shall send a report on the review outcomes to the PC, who may make observations thereon within one month of receiving it. On the basis of the experts' formal recommendations, the EU will thus inform the PC of its decision:
- to accept or reject the deliverables;
- to allow the project to continue without modifications to Annex I (DoA) or with minor modification;
- to consider that the Project can only continue with major modifications;
- to initiate the termination of the GA according to GA provisions;
- to issue a recovery order regarding all or part of the payments made by the EU and to apply any applicable sanction or initiate judiciary procedures.

8.2 Review preparation schedule

The following schedule is recommended for the preparation of Reviews:
- At least three months before the review, the date and location of the review should be fixed with the EU Project Officer and communicated to the Project partners.
- Approximately two months before the Review, the objectives of the Review should be defined, i.e. roles assigned to the participants, detailed agenda and supporting documentation defined, and participants instructed on the preparation of their contribution. The logistics for the Review should also be fixed at that time: meeting rooms and hotel selected.
- Approximately six weeks before the Review, a formal agenda must be sent to the participants including the EU Project Officer and Reviewers. The content of the Review shall be first agreed by the PCC and then validated with the EU Project Officer. The required logistics for rehearsals and review meetings as well as for any planned demonstration shall be also ensured at that time.
- Approximately four weeks before the Review, all supporting documentation necessary for the Review is made available to the EU Project Officer and Reviewers; rehearsals for the contractual Review should be held and PowerPoint presentations finalised.
- One week before the Review, the final presentations are sent to the EU Project Officer and Reviewers.

- One day before the Review, a rehearsal meeting is held to check presentations/demonstrations.
- The day of the Review, the EU Reviewers will produce, if necessary, recommendations and proposals for action. These actions will be discussed with the present project partners immediately after the review to ensure that recommendations are verified and understood; described as 'critical', 'major' and 'normal'; and allocated to the respective Project partner with the appropriate responsibility.
- After the Review, decisions and actions agreed during the Review meeting must be recorded using the Minutes template and the Actions Lists for each WP; these documents will be available on the Internal Area (Basecamp). It is the responsibility of each WP Leader to maintain each WP Action List. When an action concerns several WPs it should be registered in the action lists of all concerned WPs; when an action requires project level coordination and/or PCC decisions it should be registered in the Action Lists of WP1.

9 Document management

This section describes the processes to be used for document management and for related exchanges between project partners with the aim of assuring confidentiality, security, traceability, and consistency of information exchanged.

9.1 Document repository

Basecamp will be used as tool for document repository. The link to the document repository at Basecamp is: https://3.basecamp.com/3320520/buckets/1429164/vaults/221366353

Partners' representatives that are still not included as TT members in basecamp can ask any of your colleagues that are already member in basecamp or to the project coordinator to send you an invitation.

The image below shows which the responsible partner for managing each folder within the document repository is. For WP4-10 the WP leader are responsible. Specific folders for each pilot can be created internally to within each WP folder.
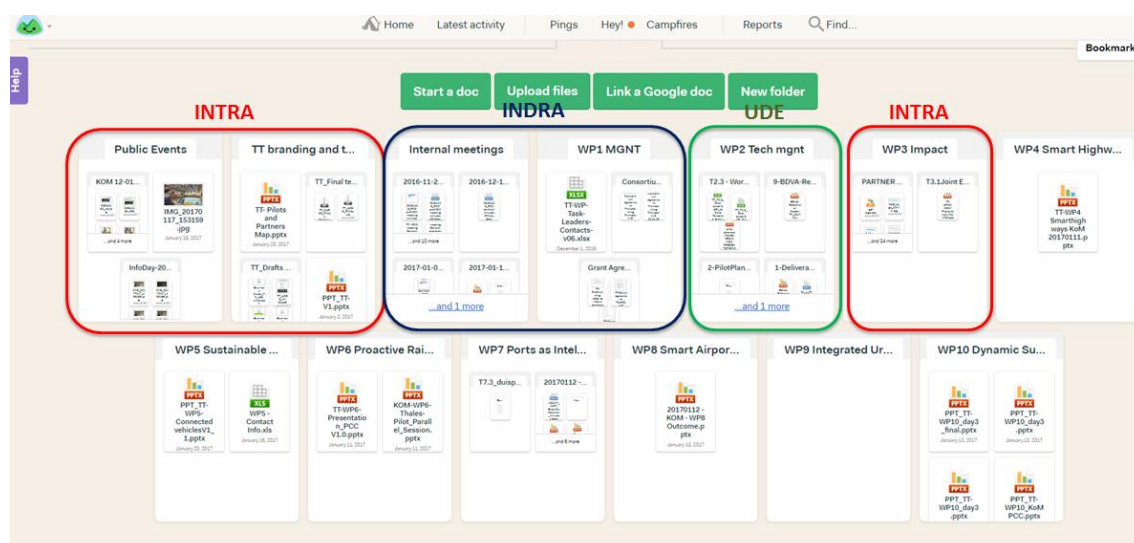
Figure 5: TT Document Repository – Landing Page

9.2 Documents to be produced in the scope of the project

9.2.1 Deliverables

Formal documents whose delivery, content and responsible partner has been committed in the DoA included in the Grant Agreement. List of deliverables can be checked in the DoA as well as in basecamp here: https://3.basecamp.com/3320520/buckets/1429164/todosets/221366346

9.2.2 Technical contributions

Documents produced by partners for internal consumption and sharing information with other partners, internal meetings, etc. These documents shall be shared among partners using the specific folders created for each WP in basecamp (*copy and paste the url link to your browser in case that direct link does not work*):

- WP1: https://3.basecamp.com/3320520/buckets/1429164/vaults/283176217
- WP2: https://3.basecamp.com/3320520/buckets/1429164/vaults/221371216
- WP3: https://3.basecamp.com/3320520/buckets/1429164/vaults/221371301
- WP4: https://3.basecamp.com/3320520/buckets/1429164/vaults/283191761
- WP5: https://3.basecamp.com/3320520/buckets/1429164/vaults/283192034
- WP6: https://3.basecamp.com/3320520/buckets/1429164/vaults/283192969
- WP7: https://3.basecamp.com/3320520/buckets/1429164/vaults/283193080
- WP8: https://3.basecamp.com/3320520/buckets/1429164/vaults/283193203
- WP9: https://3.basecamp.com/3320520/buckets/1429164/vaults/283193643
- WP10: https://3.basecamp.com/3320520/buckets/1429164/vaults/283193975

9.2.3 Agenda of meetings

It consists in a list of issues to be dealt with during a meeting or conference call at any level in the project (Pilot, WP,). It has to be produced and managed by the partner convening the meeting.

9.2.4 Minutes of meetings

It consists in a report on main discussions, agreements, update on ongoing actions status and new actions agreed. It has to be produced and managed by the partner convening the meeting.

9.3 Document Templates

A set of templates is available for download on the Restricted Area of the TT project in Basecamp to all project partners to facilitate and standardise project communications (internal, contractual and external).

For all official project documents and external presentations, the use of these templates is mandatory. In addition, all project documents produced shall be written in English.

The templates' definition includes the project logo on the cover page and the layout of the cover page as well as of the inner pages, including basic information fields, specific sections to be completed, and MS Word styles to be used.

Templates and other indications on TT branding are available at:

https://3.basecamp.com/3320520/buckets/1429164/vaults/336464743

9.4   Document identification policy

It is essential that every document circulated to other partners in the consortium includes a proper version naming and numbering. This will help to avoid the situation where partners are working with old or obsolete versions of documents.

In terms of file names, it is difficult to have a fixed file naming convention which can cover every situation. However, the guidelines below should be followed as much as possible:

- The filename should be descriptive of the contents and should include the project name 'TT' e.g. "TT_EDF_INDRA_2017.pptx" for a presentation by INDRA at an EDF conference in 2017.
- Filenames for formal deliverables shall be the deliverable code followed by the deliverable name as included in the deliverables table included in Annex I e.g "D1.1-Project Management Handbook"
- Where a document is specific to a particular date, this date should be included in the filename in the form 'yyyy-mm-dd'. For example, minutes of a WP meeting on 1st October 2017 will be called "TT-WP4-Minutes-2017-10-01.docx".
- Where a document is a template used to compile info from partners, the partner short name should be included in the filename as suffix e.g. "TT-Financial-report-UPM" for UPM's contribution to the financial report.
- Where different versions of a document are used, e.g. for deliverables and reports, the version number should be included at the end of the filename. For draft documents, the version number should start at v0.1, and increment in 0.1 steps. Once the document is formally issued, the version should change to v1.0 and then increment in 0.1 steps for minor changes. For a major change, the version will change to v2.0.
- When commenting on a document provided by another partner, the filename should be changed to include the initials of the person or short name of the partner making the changes e.g. "D1.1-Project Management Handbook_AndreasM.docx" if changes to D1.1 have been made by Andreas Metzger or "D1.1-Project Management Handbook_INTRA.docx" if changes have been made by INTRASOFT.
- When suggesting changes to a document, the use of the track changes feature in Word is recommended to assist the document author/owner.
- Only the originating author or owner of a document should increment the version number i.e. when the author has received and implemented all changes to the first draft version of deliverable D1.1, it becomes "D1.1-Project Management Handbook_v0.2.docx".

9.5   Documents review and quality management procedure

The quality assurance and control measures will ensure that the TransformingTransport results will be of a continuous and consistent high level of quality. All deliverables and reports produced by a work package will be reviewed within that work package. Additionally, other two experts of TT not directly involved in that work package will also perform a peer-review. These reviews focus on the technical content and readability of the documents. The Work Package Leader has responsibility to ensure the high quality of released reports and deliverables according to the quality plan. Finally, the PCC will review and approve all official, external deliverables; the focus of this review will be on the main message carried by a deliverable. The PC and TC will coordinate the internal document review process, to ensure high quality of deliverables and milestones.

Each partner has been assigned a number of reviews proportionally to their budget and role in the project.

Based on these criteria a preliminary assignment has been made

Partners reviewing a deliverable should not be involved in the document production.

Documents that have different versions released should maintain at least one reviewer to evaluate the progress

Figure 6: TT Quality management procedure

The process will basically consist on the following steps:

TT peer - review process		
When	**Action**	**Responsible**
14 days before official delivery date	Complete draft deliverable ready for revision is sent to reviewers.	Deliverable editor
7 days before official delivery date	Review the documents and send feedback and recommendations to improve it following the review format.	2 reviewers as defined in the TT peer-review table
7 remaining days until official delivery date	Use this feedback to produce the final version of the document to be submitted to EC.	Deliverable editor

Reviewers will complete the following table in order to send consolidated feedback to the deliverable main editor:

Overall evaluation	1. **Accepted** (direct submission to EC) 2. **Accepted with modifications** (Submission to EC after modifications are made) 3. **Rejected** (It requires re-evaluation after modifications are made before its submission to EC)

Modifications proposed or reasons for rejection (If needed you may also include specific comments over the document to complement this report and facilitate its modification)	Content:
	Format:
	Other comments:

Finally, the list of deliverables and corresponding reviewers can be checked in the section 13 of this document.

10 Communication tools

This section describes the main communication tools that will be used during the project:
- Teleconferences.
- Mailing lists.
- Basecamp.

10.1.1 Teleconferences

- GA Audio Meeting
    – On request / Discuss general issues.
    – Agenda, Minutes, Any related document -> Basecamp.
    – WebEx:
        • Web Access.
        • Phone Access.

- PCC Audio Meetings:
    – Every fortnight.
    – Agenda, Minutes, Any related document -> Basecamp.
    – WebEx:
        • Web Access.
        • Phone Access.

- WP / Tasks Pilot Meetings
    – To be agreed between project partners
    – Their collaborative audio tool
    – Report these meetings thorough the pilot reporting tool.

Minutes of meetings and teleconferences

The partner convoking the meeting is the responsible for producing and distributing the minutes of the meeting/teleconference. All partners are allowed to propose modifications and changes to the minutes during one week time since the distribution of such minutes. After this process the minutes will be considered approved.

10.1.2 Mailing lists

To facilitate communication between the TT partners, two mailing lists have been created:

- General: General@transformingtransport.eu
  Function:
    o Main communication of the PC and TC with the consortium
    o Notify updates, start procedures, request contributions, etc.

  This mailing list is moderated in order to avoid massive spam to partners.

- PCC: tt-pcc@transformingtransport.eu
  Function:
    o Communication among PCC Members
    o Request contributions

  This mailing list is NOT moderated and therefore emails included in this list can send emails to the whole list. Please use it with caution and avoid massive emails unless that it is considered necessary.

- Other relevant project emails:
    o communication@transformingtransport.eu
      Who manages this email:
        ▪ INTRA team: Vivian Kiousi, George Dimitrakopoulos and Nikolaos Dalivigkas.
      Function:
        ▪ Main channel for managing communication with external stakeholders, PR functions, communication with media, press, etc.
    o info@transformingtransport.eu
      Who manages this email:
        ▪ Coordination team: Rodrigo Castiñeira, Leyre Merle and Antonio Alfaro (INDRA) and Vivian Kiousi (INTRA)
      Function:
        ▪ Generic contact e-mail to be included in communication amd promotional material.
    o support@transformingtransport.eu
      Who manages this email:
        ▪ INTRA team: Vivian Kiousi, George Dimitrakopoulos and Nikolaos Dalivigkas.
      Function:
        ▪ Technical support and webmaster for TT website.

WP/Pilot-specific mailing lists (or in general any '@transformingtransport.eu' email) can be created if specifically requested by WP/Pilot leader/Partner.

To request the inclusion or removal of any contact from any of the mailing lists please contact the project coordinator.

10.1.3 Basecamp

Basecamp is the tool that will be used for managing the day-by day project coordination:
- Calendar with most relevant deadlines and responsible partner;
- Document repository: templates, deliverables, etc.
- Schedule: Next meetings and conference calls and other relevant internal or external relevant event.
- Message Board (one-to-one or group communications)
- To-Do's (assignment and management)

Link to project space at Basecamp: https://3.basecamp.com/3320520/projects/1429164

Partners' representatives that are still not included as TT members in basecamp can ask any of your colleagues that are already member in basecamp or to the project coordinator to send you an invitation.

The following image shows the home page and the six main areas included within the working space:
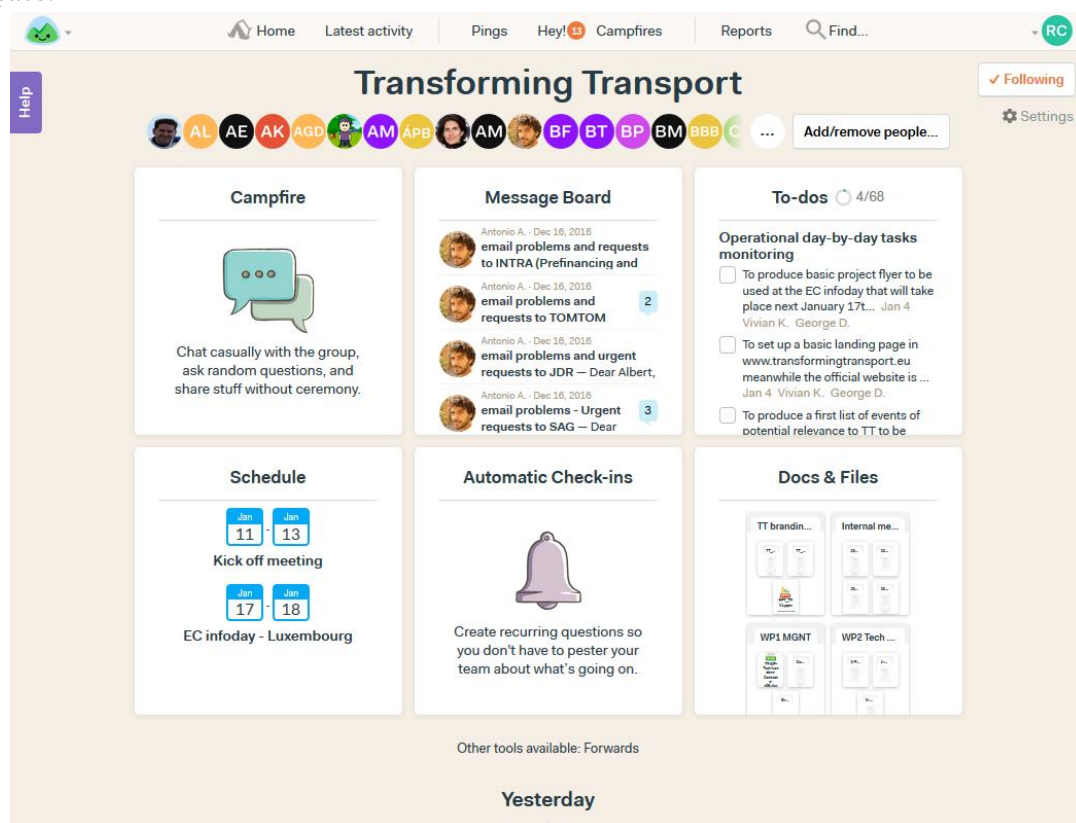
*Figure 7: Basecamp Landing Page*

Video tutorials on how to use different features at Basecamp can be found here: https://www.youtube.com/user/37signals/videos

WP leaders and pilot leaders are free to create specific working spaces to deal with their day-by-day activities but the main project working space shall anyhow be kept updated (tasks, to-do's deliverables, other documents, etc.) by all the partners.

11 KEEPING RECORDS

11.1 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 GA Article 17) or in the context of checks, reviews, audits or investigations (see GA 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 GA 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.

11.1.1 Records and other supporting documentation on the scientific and technical implementation

The beneficiaries must keep records and other supporting documentation on scientific and technical implementation of the action in line with the accepted standards in the respective field.

11.1.2 Records and other documentation to support the costs declared

The beneficiaries must keep the records and documentation supporting the costs declared, in particular the following:

a) for **actual costs**: adequate records and other supporting documentation to prove the costs declared, such as contracts, subcontracts, invoices and accounting records. In addition, the beneficiaries' usual cost accounting practices and internal control procedures must enable direct reconciliation between the amounts declared, the amounts recorded in their accounts and the amounts stated in the supporting documentation;

b) for **unit costs**: adequate records and other supporting documentation to prove the number of units declared. Beneficiaries do not need to identify the actual eligible costs covered or to keep or provide supporting documentation (such as accounting statements) to prove the amount per unit.

   In addition, **for direct personnel costs declared as unit costs calculated in accordance with the beneficiary's usual cost accounting practices**, the beneficiaries must keep adequate records and documentation to prove that the cost accounting practices used comply with the conditions set out in GA Article 6.2, Point A.

   The beneficiaries and linked third parties may submit to the Commission, for approval, a certificate (drawn up in accordance with Annex 6) stating that their usual cost accounting practices comply with these conditions ('**certificate on the methodology**'). If the certificate is approved, costs declared in line with this methodology will not be challenged subsequently, unless the beneficiaries have concealed information for the purpose of the approval.

c) for **flat-rate costs**: adequate records and other supporting documentation to prove the eligibility of the costs to which the flat-rate is applied. The beneficiaries do not need to

identify the costs covered or provide supporting documentation (such as accounting statements) to prove the amount declared at a flat-rate.

In addition, for **personnel costs** (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 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.

For costs declared by linked third parties (see GA Article 14), it is the beneficiary that must keep the originals of the financial statements and the certificates on the financial statements of the linked third parties.

11.1.3   Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, costs insufficiently substantiated will be ineligible (see GA Article 6) and will be rejected (see GA Article 42), and the grant may be reduced (see GA Article 43).

Such breaches may also lead to any of the other measures described in GA Chapter 6.

11.2 AUDITS

The Commission may — during the implementation of the action or afterwards — carry out audits on the proper implementation of the action and compliance with the obligations under the Agreement.

Audits may be started **up to two years after the payment of the balance**. They will be formally notified to the coordinator or beneficiary concerned and will be considered to have started on the date of the formal notification.

If the audit is carried out on a third party (see GA Articles 10 to 16), the beneficiary concerned must inform the third party.
The Commission may carry out audits directly (using its own staff) or indirectly (using external persons or bodies appointed to do so). It will inform the coordinator or beneficiary concerned of the identity of the external persons or bodies. They have the right to object to the appointment on grounds of commercial confidentiality.

The coordinator or beneficiary concerned must provide — within the deadline requested — 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.

On the basis of the audit findings, a '**draft audit report**' will be drawn up.

The Commission will formally notify the draft audit report to the coordinator or beneficiary concerned, which has 30 days to formally notify observations ('**contradictory audit procedure**'). This period may be extended by the Commission in justified cases.

The '**final audit report**' will take into account observations by the coordinator or beneficiary concerned. The report will be formally notified to it.

Audits (including audit reports) are in the language of the Agreement.

The Commission may also access the beneficiaries' statutory records for the periodical assessment of unit costs or flat-rate amounts.

12 Links to relevant documents

TT WP1 (overall coordination) presentation at the project kick off meeting:
(Opening) https://3.basecamp.com/3320520/buckets/1429164/uploads/351946642
(Admin issues) https://3.basecamp.com/3320520/buckets/1429164/uploads/346324504

Complete set of presentations made during the kick off meeting:
https://3.basecamp.com/3320520/buckets/1429164/vaults/337835923

Project Grant Agreement:
https://3.basecamp.com/3320520/buckets/1429164/vaults/283434088

Participant Portal:
http://ec.europa.eu/research/participants/portal/desktop/en/home.html

IT Helpdesk:
http://ec.europa.eu/research/participants/api/contact/index.html

Horizon 2020 Annotated Model Grant Agreement:
http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf

Horizon 2020 On-line Manual:
http://ec.europa.eu/research/participants/portal/desktop/en/funding/guide.html#

H2020 Reference documents:
http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html

Research Enquiry Service:
http://ec.europa.eu/research/enquiries

13 List of deliverable reviewers (Internal peer-review process)

	Del. Num	Deliverable title	Del. RESP	Type	Diss. Level	Delivery	Rev 1	Rev 2
P1	D2.1	Pilot Coordination Methodology Handbook	UDE	R	PU	1	ITINNOV	CINTRA
	D3.1	TransformingTransport Website	INTRA	DEC	PU	1	ATOS	THA-UK
	D1.1	Project Management Handbook	INDRA	R	PU	2	FHG	UPM
	D3.2	Data Management Plan	UPM	R	PU	3	ANS	PTV
	D3.7	Initial Impact Plan	INTRA	R	PU	3	INDRA	UDE
	D4.1	Smart Highways Pilots Coordination & Design	CINTRA	R	PU	3	SAG	CARTIF
	D5.1	Connected vehicles pilots design	ANS	R	PU	3	INDRA	JEPP
	D6.1	Proactive rail infrastructures pilots design	THA-UK	R	PU	3	MATT	FHG
	D7.1	Port Pilots design	ITI	R	PU	3	PTV	INFO
	D8.1	Smart Airport Turnaround Pilots design	JEPP	R	PU	3	LINCE	INTRA
	D9.1	Integrated Urban Mobility Pilots coordination	VTT	R	PU	3	INDRA	DUISPORT
	D10.1	Dynamic Supply Chain Networks Pilots design	AUEB	R	PU	3	CI3	TOMTOM
	D11.1	POPD - Requirement No. 1	INDRA	ETHICS	CO	3	ITML	ITI
	D1.2	Risk management plan and project quality manual	INDRA	R	CO	4	FERROVIAL	AUEB
	D2.2	Analysis of Pilot Requirements for Big Data Use	UPM	R	PU	4	ITI	SOF
	D1.3	IPR & Data management approach	Fraunhofer	R	PU	6	VTT	INDRA
	D3.8	KPI Assessment Framework	ATOS	R	PU	6	INDRA	THA-C&S
	D3.9	TransformingTransport Open Data Portal	UPM	ORDP	PU	6	UDE	CI3
	D3.10	Period 1 Impact Report and Plan	INTRA	R	PU	6	ITINNOV	INDRA
	D2.3	Initial recommendations for quality data integration	CEFRIEL	R	PU	9	THA-UK	FHG
	D3.3	Data Management Plan V2	UPM	R	PU	9	ANS	INDRA
	D4.2	Smart Highways Specific Performance Assessment Plan	CINTRA	R	PU	9	AUTOAID	CARTIF
	D5.2	Connected vehicles performance assessment plan	ANS	R	CO	9	CINTRA	ORB
	D6.2	Proactive rail infrastructures performance assessment plan	THA-UK	R	CO	9	LOGIKA	UPM
	D7.2	Port Pilots Performance Assessment Plan	ITI	R	CO	9	CARTIF	AG
	D8.2	Smart Airport Turnaround Performance Assessment Plan	JEPP	R	CO	9	INTRA	TAIPALE
	D9.2	Integrated Urban Mobility Domain Specific Performance Assessment Plan	VTT	R	PU	9	SOF	INDRA
	D10.2	Dynamic Supply Chain Networks Pilots Performance Assessment Plan	AUEB	R	CO	9	FVAL (VPF)	ITI
	D11.2	POPD - Requirement No. 3	INDRA	ETHICS	CO	9	UDE	ANS
	D3.4	Data Management Plan V3	UPM	R	PU	12	INDRA	AUEB
	D1.4	Report on IPR & Data management	Fraunhofer	R	PU	18	INDRA	PD
	D3.5	Data Management Plan V4	UPM	R	PU	18	TOMTOM	INDRA
	D3.11	Period 2 Impact & KPI Achievement Report and Plan	INTRA	R	PU	18	INDRA	ITAINNOVA
	D4.3	Smart Highways Pilots Release 1	INDRA	DEM	CO	18	SAG	CARTIF
	D5.3	Sustainable Connected Vehicles Pilots Release 1	ANS	DEM	CO	18	INDRA	THA-C&S
	D6.3	Proactive rail infrastructures Pilots release 1	THA-UK	DEM	CO	18	UDE	CARTIF
	D7.3	Ports as Intelligent Logistics Hubs Pilots Release 1	ITI	DEM	CO	18	INTRA	CI3
	D8.3	Smart Airport Pilots Realease 1	INDRA	DEM	CO	18	FVAL (VPF)	UDE
	D9.3	Integrated Urban Mobility Pilots release 1	VTT	DEM	CO	18	JEPP	CINTRA
	D10.3	Dynamic Supply Chain Networks Pilot Release 1	AUEB	DEM	CO	18	ITI	LINCE
P2	D3.6	Data Management Plan V5	UPM	R	PU	24	INDRA	ANS
	D2.4	Lessons Learned through cross-pilot analysis	UPM	R	PU	26	INSIGHT	AIA
	D4.4	Smart Highways Pilots Release 2	CINTRA	DEM	CO	27	SAG	MATT
	D5.4	Sustainable Connected Vehicles Pilots Release 2	PTV	DEM	CO	27	INFO	INDRA
	D6.4	Proactive rail infrastructures Pilots release 2	INDRA	DEM	CO	27	ANS	DUISPORT
	D7.4	Ports as Intelligent Logistics Hubs Pilots Release 2	UDE	DEM	CO	27	PTV	INDRA
	D8.4	Smart Airport Pilots Realease 2	JEPP	DEM	CO	27	ITI	UDE
	D9.4	Integrated Urban Mobility Pilots release 2	CARTIF	DEM	CO	27	INDRA	AUTOAID
	D10.4	Dynamic Supply Network Pilot Release 2	AUEB	DEM	CO	27	ORB	ITI
	D2.5	Lessons Learned and final recommendations for quality data integration	CEFRIEL	R	PU	28	INTRA	FHG
	D3.12	Period 3 Impact & KPI Achievement Report and Plan	INTRA	R	PU	30	INDRA	ITINNOV
	D3.13	Policy Recommendations	INTRA	R	PU	30	INDRA	SAG
	D4.5	Smart Highways Pilot Elements and Outcome	CINTRA	R	PU	30	CARTIF	BRTE
	D5.5	Impact of Big Data Technology for connected vehicles	ANS	R	PU	30	ITI	INDRA
	D6.5	Impact of Big Data Technology in predictive rail asset management	THA-UK	R	PU	30	UPM	VTT
	D7.5	Impact of Big Data Technology in Port Hubs	ITI	R	PU	30	PTV	INDRA
	D8.5	Impact of Big Data Technology in Airports Hubs	JEPP	R	PU	30	CEFRIEL	INTRA
	D9.5	Impact of Big Data Technology on Integrated Urban Mobility	VTT	R	PU	30	INDRA	UDE
	D10.5	Impact of Big Data Technology in Dynamic Supply Chain Networks	AUEB	R	PU	30	PTV	ITI