





Grant agreement no. 654139 **LEARN**

Leaders Activating Research Networks: Implementing the LERU Research Data Roadmap and Toolkit

Coordination & support action

H2020-INFRASUPP-2014-2

Topic: e-Infrastructure policy development and international cooperation

D5.1 Project Management Manual

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Contributors: UCL Reviewer: LIBER

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PU	Public	√		
СО	Confidential, only for members of the consortium (including the Commission Services)			
CI	Classified, as referred to in Commission Decision 2001/844/EC			

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1. Version log

Version	Date	Released by	Nature of Change
V1.0	20/11/2015	I Marsili (UCL)	First version
V1.1	25/11/2015	P. Ayris (UCL)	First revision
V1.2	07/01/2016	P. Ayris (UCL)	Feedback on section 5
V1.3	20/01/2016	R. Amis (UCL)	Second revision
V1.4	05/02/2016	G. Bueno (LIBER)	Feedback on section 6



2. Definition and acronyms

Acronyms	Definitions
Action	H2020 word used to refer to 'Project'
Agency	Executive Agency for the European Commission
CO	Coordinator
DoA	Description of Action
EC	European Commission
UN ECLAC	United Nations Economic Commission for Latin America and the Caribbean
ERIO	UCL European Research and Innovation Office
GA	General Assembly
LIBER	Stichting LIBER
M	Month
MST	Management Support Team
UCL	University College London
UB	Universitat de Barcelona
UNIVIE	Universität Wien
WP	Work Package
WPL	Work Package Leader



Introduction

The purpose of the Project Management Manual is to provide all partners¹ with an overview of the project's governance structure, work plans and the agreed processes and procedures to facilitate appropriate levels of control and consistency across activities, tasks, milestones and deliverables. This will ensure the successful execution of the LEARN project. The manual addresses the way the project is organised, the communication tools used, the schedule and the different deadlines, which occur throughout the project. It also contains useful project management information and provides guidelines regarding reporting and dissemination rules.

1. Project Governance structure and conflict resolution process

1.1 Governance structure

As outlined in Section 6 Governance Structure of the Consortium Agreement², the internal organisation of the project is structured as follows:

The Coordinator (CO) is the legal entity acting as the intermediary between the Parties³ and the Funding Authority⁴. The CO shall perform, in addition to its responsibilities as a Party, the tasks assigned to it as described in the Grant Agreement⁵ and the Consortium Agreement.

UCL is in charge of the project's coordination; this will be carried out by the Project Coordinator (Paul Ayris) supported by the Project Support Administrator (Rodney Amis), for what concerns the scientific and the technical aspects of the project and the Project Manager (Ilaria Marsili) for the administrative, contractual and financial aspects of the project.

General Assembly (GA) is the ultimate decision-making body of the consortium and responsible for any changes needed to the work plan. The GA shall be in charge of project conformance to the Grant Agreement, in particular to:

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¹ The term 'partner' is used to describe a legal entity, which has signed the Grant Agreement and therefore is bound by its terms and conditions with regard to the European Union (represented by the European Commission or another funding body). (IPR Helpdesk, 2015)

⁽IPR Helpdesk, 2015)

The Consortium Agreement is an internal agreement, which regulates the relations between consortium partners. This agreement does not involve the European Commission. It includes the designation of the beneficiaries, definitions, description of the work to be done as well as technical, managerial, financial and legal provisions. It also provides beneficiaries with rules about IPR, exploitation and dissemination. (Montesse, 2014)

³ The term 'Party' refers to the beneficiary in the frame of the Consortium Agreement.

⁴ Funding Authority means the body awarding the grant for the project, in this case the European Commission.

⁵ A contract concluded between the European Commission (representing the European Union) and the beneficiary (or beneficiaries) under which the parties receive the rights and obligations (e.g. the right of the Union's financial contribution and the obligation to carry out the research and development work). It consists of the basic text and annexes.

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- Review, quality check and approve project deliverables and, in general, of all public outputs generated by the project; and
- Act as the final level of escalation, should serious conflicts arise during the project.

Management Support Team (MST) is the supervisory body for the execution of the project. The MST is both accountable to and reports to the GA. It is chaired by the Project Coordinator. The other permanent members are the WP Leaders. The MST shall be in charge of project progress and in particular:

- The proper execution and implementation of the decisions taken by the GA;
- Developing and maintaining a communication and reporting line within the GA and towards the CO;
- Creation of efficient team structures to minimise the number of meetings, while being flexible.

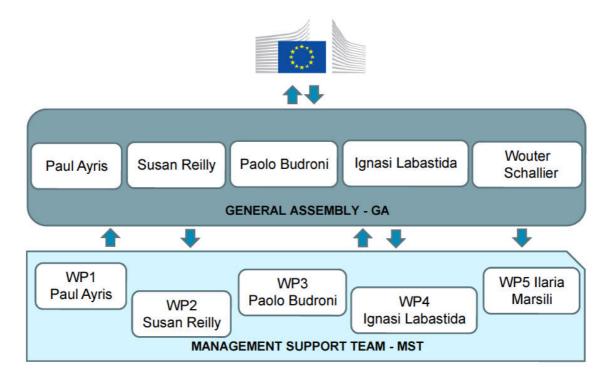


Figure 1 LEARN Governance Structure

In addition, the following roles are identified:

The **Work Package Leader (WPL)** manages the team assigned to the WP and is responsible for the latter's successful and timely completion.

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1.2 General Assembly

- The GA is the ultimate decision-making body. The GA is free to act on its own initiative to formulate proposals and take decisions regarding the project's work plan, finances, intellectual property rights and evolution of the Consortium.
- Proposals made by the MST, which affect the interests of the Consortium shall also be considered and decided upon by the GA.
- The GA will provide strategic guidance, evaluate and assess the project's performance, discuss and decide upon amendments to the Consortium Plan⁶.
- The GA is composed of one representative from each Party and is chaired by the Project Coordinator.

GENERAL ASSEMBLY COMPOSITION

Partner n.	Person (Institute)
1	Paul Ayris (UCL)
2	Ignasi Labastida (UB)
3	Susan Reilly (LIBER)
4	Paolo Budroni (UNIVIE)
5	Wouter Schallier (UN ECLAC)

GENERAL ASSEMBLY MEETINGS: SCHEDULE and PROCEDURES

	Ordinary meeting	Extraordinary meeting
Meetings	At least once a year	At any time upon written request of the Management Support Team or 1/3 of the members of the General Assembly
Notice of a meeting	45 calendar days	15 calendar days
Sending the agenda	21 calendar days	10 calendar days
Adding agenda items	14 calendar days	7 calendar days

1.3 Management Support Team

- The MST is responsible for the execution and implementation of the tasks included in the DoA (Description of the Action) and the decisions of the GA. In addition, it is the MST's responsibility to collect information at least every 6 months, regarding the progress of the project, to evaluate such information and, if necessary, to suggest modifications to the Consortium Plan for the evaluation of the GA.
- The MST is composed of one representative for each WPL and it is chaired by the Project Coordinator.

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⁶ The 'Consortium Plan' means the description of the project and the related agreed budget as first defined in the Grant Agreement and which may be updated by the General Assembly without the submission of an official amendment to the EC.

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MANAGEMENT SUPPORT TEAM COMPOSITION

WP	Person (Institute)	
1	Paul Ayris (UCL)	
2	Susan Reilly (LIBER)	
3	Paolo Budroni (UNIVIE)	
4	WP4 Ignasi Labastida (UB)	
5	Ilaria Marsili (UCL)	

MANAGEMENT SUPPORT TEAM: SCHEDULE and PROCEDURES

	Ordinary meeting Extraordinary meeting		
Meetings	At least quarterly At any time upon written request of any member of the Management Support Team		
Notice of meeting	14 calendar days 7 calendar days		
Sending the agenda	7 calendar days		
Adding agenda items	2 calendar days		



1.4 Procedures related to the General Assembly and the Management Support Team

Quorum	Each Consortium Body (GA and MST) shall not deliberate or decide validly unless two-thirds (2/3) of its members are present physically or virtually or represented (quorum). If the quorum is not reached, the chairperson of the Consortium Body shall convene another ordinary meeting within 15 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.
Decisions	Decisions shall be taken by a majority of two-thirds (2/3) of the votes cast. Each member of a Consortium Body present or represented in the meeting shall have one vote . Defaulting Parties ⁷ may not vote.
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 made by the Consortium Body may exercise a veto with respect to the corresponding decision or relevant part of the decision. When a decision has been taken on a new item which was added to the agenda before or during the meeting, a member may veto such decisions during the meeting and within 10 calendar days after the draft minutes of the meeting are sent. A Party may not veto decisions relating 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 these decisions.
Minutes	The chairperson of a Consortium Body shall ensure written minutes of each meeting are produced. This shall be the formal record of all decisions taken. The chairperson shall send the draft minutes to all members within 10 calendar days of the meeting. Members of the Consortium Body will be requested to contribute to

⁷ Defaulting Party means a Party which the General Assembly has identified to be in breach of this Consortium Agreement and/or the Grant Agreement as specified in Section 4.2 of this Consortium Agreement.

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the minutes to ensure that all the actions decided at the meeting are correctly recorded. **15 calendar** days will be given.

The minutes shall be considered as accepted if, within **15 calendar** days from despatch, no member has sent any comments or objection in writing to the chairperson with respect to the accuracy of the draft of the minutes.

The chairperson shall send the accepted minutes to all members of the Consortium Body and to the Project Manager, who shall safeguard them.

1.5 Work Package Leaders

The WPLs are responsible for meeting the objectives of their respective WPs and monitoring that the deliverables and the milestones are achieved on time. WPs are split into tasks, each having a task leader. Each task leader is accountable to the WPL. The WPLs and their teams will contribute to the preparation of Internal⁸ and Periodic Reports⁹ which will be collated by the Project Manager and reviewed by the Project Coordinator before submission to the General Assembly and the European Commission respectively. The WPLs are also responsible for implementing the actions, which are a result of the decisions made by the MST and/or the GA.

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⁸ For more information, see Section 6.1.

⁹ For more information, see Section 6.2.



1.6 Conflicts Resolution

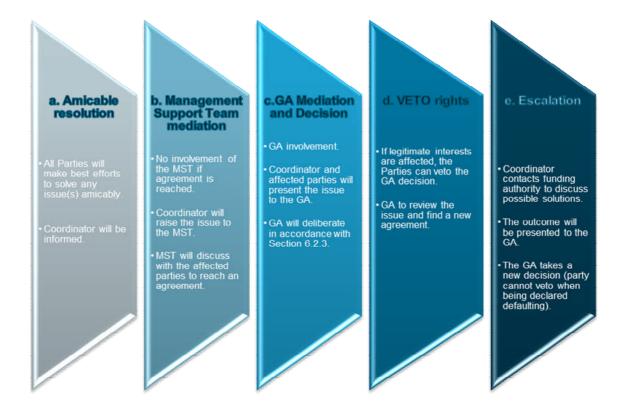


Figure 2 Conflict Resolution

Disputes among the partners regarding workflow, delivery of results, dissemination of information within and outside the consortium, IPR issues, etc. will be managed according to a pre-defined procedure laid down in the Consortium Agreement.

- At the first level, it shall be assumed that those involved in a dispute shall attempt to resolve the matter to their mutual satisfaction. If this is not possible, the dispute shall be referred in the first instance to the Project Coordinator, who shall keep a record of all interactions with all parties concerning the matter. The Project Coordinator will act as a mediator and attempt to resolve the dispute to the satisfaction of all, and in the best interests of the project.
- If the Project Coordinator deems that the seriousness of a dispute is negatively affecting the project, or appears likely to continue to a point that it will do so, the dispute shall then be considered to be a conflict.
- The Project Coordinator shall convene the MST to mediate. The MST shall act as impartially as possible, and will investigate the conflict and attempt to come to a mutually acceptable resolution within six weeks of its formation.

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• If the Management Support Team fails in its task, or in the case that the original dispute concerns a decision or action made either by the MST, or Project Coordinator, the matter shall be referred directly to the General Assembly.



2. Communication

Communications management includes the processes required to ensure timely and appropriate generation, collection, dissemination and storage of project information. This section describes the communication mechanisms in use on the LEARN project. The overall goal is to maintain an open communications environment throughout the project.

2.1 Internal communication

2.1.1 Internal Mailing lists

Most of the day-to-day communication between the partners will be via e-mail. Two mailing lists have been set up by the UCL and are managed by the Project Manager.

- learn_project mailing list, learnproject@ucl.ac.uk
 This mailing list will be used to send general information to the LEARN partners and will include all scientific, administrative, legal and financial contacts.
- learn_scientific mailing list, learnscientific@ucl.ac.uk
 This mailing list will be used to send information to the LEARN partners who are mostly involved in the scientific and technical aspects of the project.

It is the partners' responsibility to ensure that relevant personnel are included in the mailing lists and to communicate any changes to the Project Manager.

2.1.2 Dropbox

A Dropbox folder has been set up for the archive of all final versions of the documents produced (e.g. deliverables, reports, etc.) during the project. Partners receive emails about updates and comments regarding the documents they are working on, ensuring a transparent way of working.

2.2 External communication

2.2.1 Project Website

The LEARN website will be the main means through which the results achieved in the project are communicated to external stakeholders. It will not only introduce the project itself (objectives, outputs, etc.) but also present the partners and their roles in the project. The website will be a channel for announcing the latest news and promoting relevant events. Additionally, through the website, LEARN partners and stakeholders will be able to communicate, exchange opinions and ideas and provide comments to the outputs generated by the project through the 'blog' facility.



2.2.2 Social Media

LEARN will be actively promoted on social media such as Twitter (https://twitter.com/learnRDM), LinkedIn (https://www.linkedin.com/grp/home?gid=8353591) and Slideshare (https://www.slideshare.net/learnrdm), in order to ensure a strong social media presence. It is the main goal of the LEARN social media channels to create an engaged target audience. For more information, see D2.1 (Shared Workspace).

2.2.3 Logo, factsheet and brochure

All partners will use shared communication tools (logo, factsheet and brochure) to ensure a striking and common project promotion. In order to realise a logo, which could best communicate the project's ideas and objectives, all partners have contributed actively. Two versions of the logo have been created in order best to suit the different layouts of the project's documents.

Vertical Horizontal





The factsheet and brochure are being finalised and will be available for download from the LEARN website http://www.learn-rdm.eu/dissemination



3. Work Plan, Schedule and Deliverables

3.1 Management Phases of the project

The LEARN project started on 1st June 2015 and ends on 31st May 2017. The key management stages of the project are listed below.

Project Stage	Key Management Tools	
Pre-Project	Grant Agreement Preparation and Signature	
Project Initiation	Distribution of Grant Agreement and its Annexes	
	Kick Off Meeting	
	Distribution of Pre-financing	
	Project Management Manual	
Delivery Stage	Internal Report (M6, 12)	
	First Periodic Report (M18)	
	Project Review (M20 tbc)	
	Distribution of Interim payment after receipt of the funds from the EC	
Final Delivery Stage	Second Periodic Report (M24)	
	Final Report (M24)	
	Final Project Review (M24) tbc	
Project Close	Distribution of final payment after receipt of the funds from the EC	
	Project's closure activities	
Continuous reporting	Deliverables - Milestones	

3.2 Work packages

The LEARN work plan includes five WPs. Details are shown below. The person months assigned to each WP are detailed in Appendix 4.

WP no.	Work package Title	Work package Leader	Start Month	End Month
WP1	Stakeholder Engagement	1 – UCL (Paul Ayris)	3	24
WP2	Dissemination	3 - LIBER (Susan Reilly)	1	24
WP3	Policy Development and Alignment	4 – UNIVIE (Paolo Budroni)	9	24

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WP no.	Work package Title	Work package Leader	Start Month	End Month
WP4	Assessment of Impact	2 – UB (Ignasi Labastida)	19	24
WP5	Project Management	1 – UCL (Ilaria Marsili)	1	24

3.3 Deliverables and Milestones

3.3.1 Deliverables

The LEARN deliverables are listed in chronological order in the table below.

		Period 1	(June 2015 - I	November 2	2016)	
Del. No.	Deliverable Title	WP No	Lead Participant	Туре	Dissemination level	To be submitted by (as per Annex 1)
D2.1	Shared Space	WP2	3- LIBER	Website s, patents filling, etc.	Confidential	1.09.2015
D5.1	Project Management Manual	WP5	1- UCL	Report	Public	1.10.2015
D1.1	Workshops (1)	WP1	1- UCL	Report	Public	1.02.2016
D1.2	Workshops (2)	WP1	1- UCL	Report	Public	1.05.2016
D1.3	Workshops (3)	WP1	1- UCL	Report	Public	1.08.2016
D1.4	Workshops (4)	WP1	1- UCL	Report	Public	1.11.2016
		Period 2	(December 2	016 - May 2	(017)	
D1.5	Workshops (5)	WP1	1- UCL	Report	Public	1.02.2017
D2.2	Executive briefing	WP2	3- LIBER	Report	Public	1.02.2017

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Del. No.	Deliverable Title	WP No.	Lead Participant	Туре	Dissemination level	To be submitted by (as per Annex 1)
D1.6	Best Practice and Case Studies document in Toolkit	WP1	1- UCL	Report	Public	1.04.2017
D3.1	Model RDM policy	WP3	4- UNIVIE	Report	Public	1.04.2017
D5.2	Gender Workforce Statistics Report	WP5	1- UCL	Report	Public	1.04.2017
D2.3	Final Conference	WP2	3- LIBER	Website s, patents filling, etc.	Public	1.06.2017
D4.1	KPIs	WP4	2- UB	Report	Public	1.06.2017
D4.2	Survey analysis report	WP4	2- UB	Report	Public	1.06.2017

3.3.2 Milestones

The LEARN milestones are listed in chronological order in the table below. The WPLs are responsible for the timely achievement of the milestones as identified in Part A of Annex 1 to the Grant Agreement. The Project Coordinator and the Project Manager will be monitoring their progress throughout the duration of the Project.

In case of potential delays, the Project Coordinator and the Project Manager will work with the WPLs to develop a contingency plan. Acute delays will be brought to the attention of the MST

Progress on the milestones' achievement will be described in the Internal Reports and the Periodic Reports.



	P1 (June 2015 -	November 20	16)	
Milestone number	Milestone title	WP number	Lead beneficiary	Means of verification	To be achieved by
MS1	Shared Workspaces	WP2	3- LIBER	Partners using shared workspaces and tools	1.09.2015
MS2	Liaison with research funders	WP3	4- UNIVIE	Discussions with research funders reach agreement on liaison	1.11.2015
MS3	Best Practice and Case Studies	WP1	1- UCL	Template for LEARN Toolkit produced	1.12.2015
MS4	Executive Briefing	WP2	3- LIBER	Executive Briefing on original Roadmap produced	1.06.2016
MS5	Model RDM policy	WP3	4- UNIVIE	Draft Data Management Policy agreed by partners	1.09.2016
MS6	KPIs	WP4	2- UB	KPIs agreed by partners	1.10.2016
MS7	Survey & analysis	WP4	2- UB	Survey agreed by partners	1.12.2016



P2 (Decemb	er 2016 - May 2017)				
Milestone number	Milestone title	WP number	Lead beneficiary	Means of verification	To be achieved by
MS8	Final	WP2	3- LIBER	Timetable and	1.02.2017
	Conference			Programme	
				for	
				Conference	
				established	



4. Quality Management

4.1 Deliverable creation, review and submission process

4.1.1 Deliverable Templates

A general template for the deliverables has been developed and made available to everyone on the internal area of the LEARN Dropbox (Dropbox\LEARN Project\Templates\Deliverable Template).

The Lead beneficiary, i.e. the partner responsible for the deliverable, shall retrieve the template and update it as necessary.

4.1.2 Deliverable Creation and Review Process

Deliverable production should comply with the following rules:

- Working draft of the deliverables should be produced as a 'Google Docs' document.
- Final release of the deliverables should be produced as a PDF document
- The following naming convention should be used to name the deliverable documents

Deliverable Status	Document Name
Draft	LEARN_ <deliverable_number>_<yy dd="" mm="">_v<number>_Initials</number></yy></deliverable_number>
Dian	Example: LEARN _D2.1_2015 08 16_v1.0_IM.doc
	LEARN _ <deliverable_number>_< YY MM DD >_Final</deliverable_number>
Final	Example: LEARN _D2.1_2015 08 16_Final.doc
	LEARN _D2.1_2015 08 16_Final.pdf

The Lead beneficiary, i.e. the partner responsible for producing the deliverable, must ensure that it is of consistently high quality and that the following review procedure is followed:

- A first draft shall be sent to the Project Coordinator 20 calendar days before the deadline set in the Grant Agreement;
- The Project Coordinator makes his best efforts to provide feedback within 10 calendar days after receipt of the draft deliverable. The Project Coordinator might ask for other partners' contributions to the deliverable, if necessary;
- The Lead beneficiary responsible partner will have 10 calendar days to address the comments provided by the Project Coordinator, if any.
- If the Project Coordinator deems that the deliverable does not meet the EC requirements, he can convene the MST. In case of major conflict, the issue shall be raised to the GA. Voting procedures as indicated in section 1.6 will apply.

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 Once the deliverable is finalised, the Project Manager shall submit it to the European Commission via the Participant Portal.¹⁰

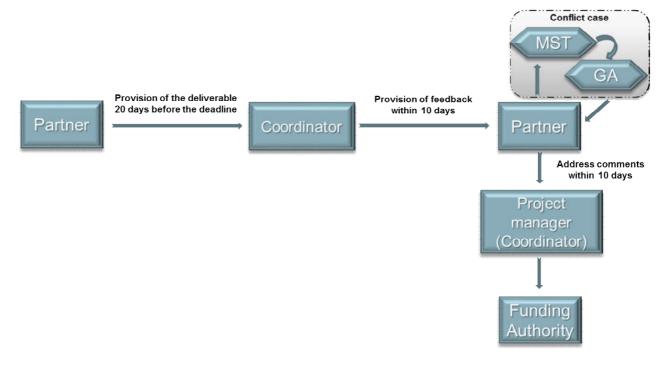


Figure 3 Deliverables creation and Review process

4.1.3 Procedures to release an internal project's document

As a general rule, the WPL is responsible to release the documents produced within his/her WP to the relevant people. If input is needed from other partners, the WPL shall circulate the document and ask partners to provide feedback within 10 working days. If no feedback is received by the deadline, the WPL can consider the document as final and distribute it to the relevant stakeholders.

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¹⁰ The Participant Portal is the European Commission website dedicated to management of Projects and Proposals, http://ec.europa.eu/research/participants/portal/desktop/en/home.html

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5. Risk Management

The LEARN project, like all projects, will experience risks that can impact on or threaten the success of the project. Some risks have already been identified at the proposal stage, whereas others will emerge during subsequent phases of the project. Therefore, an effective risk mitigation and management plan is a critical element of the overall project management approach. In order to mitigate risks, the partners have elaborated a Risks and Associated Contingency Plans (see figure 6 below). The plan will be reviewed by the MST every 6 months.

Definition of ranking scales

A ranking scale for the classification of risks has been prepared.

Probability and Impact Scales											
Probability Impact											
Low	1	Low	1								
Medium	2	Medium	2								
High	3	High	4								
Very high	4	Very high	8								

Figure 4 Probability and Impact Scales

Derive P-I (Probability-Impact) scores for each category

P-I scores for each risk are derived by multiplying the score for Probability by the score for each Impact (e.g. Time, Cost, Quality).

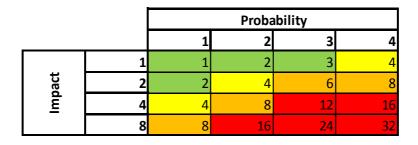


Figure 5 Probability and Impact Matrix

The evaluation step

The scores developed for each risk in the P-I matrix can now be used as the basis for ranking and prioritising risks for treatment.

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D5.1 Project Management Manual

		Data atial imparant	Inh	erent f	Risk			Re	sidual	risk		
Ref	Risk Description	Potential impact on project	Р	1	Total (Pxl)	Existing Controls	Mitigating factors	P	I	Total (PxI)	Comments	
1	Loss of a key staff in LEARN partner	Project work delayed or reduced ability to deliver	1	8	8	Each task involves multiple staff	There is enough diversity planned into the experience of the project partners to cover such a loss. A deputy coordinator has already been appointed. Each partner is to make sure that their work is available to other employees if necessary, to avoid loss of data.	1	4	4	No further action can be taken	
2	Change of Project Coordinator	Communication disruption, delays in implementation of the work	2	4	8	Communication channels are active, partners are aware of the roles of the Project Coordinator and Project Manager	By ensuring proper communication within the		2	4	The Project Coordinator, the Project Manager and the partners will ensure that changes are notified promptly	
3	Underperforming partner	Project work delayed or reduced ability to deliver	2	4	8	Consortium Agreement provisions, Internal and Official reports	All of the partners are highly committed to LEARN and have extensive experience. Regular project performance and risk monitoring by the Project Manager is designed to identify underperformance at an early stage. In the event of serious underperformance, the rules agreed in the Consortium Agreement would apply and the General Assembly will intervene to decide a course of action.		2	2	Low risk given previous experience	
4	Defaulting party	Project work delayed or reduced ability to deliver	1	4	4	Consortium Agreement provisions, Internal and Official reports	All of the partners are highly committed to LEARN. Regular project performance and risk monitoring by the management is designed to identify underperformance at an early stage. Defaulting party procedure is clearly laid out in the Consortium Agreement.		2	2	Low risk given previous experience	
5	Partner withdrawal	Project work delayed or reduced ability to deliver	1	4	4	Consortium Agreement provisions	Small number of partners and high level of their commitment means this is a small risk. Should a partner withdraw, arrangements will be made to transfer work amongst remaining partners.		2	2	Low risk given previous experience	

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		Potential impact	Inh	erent l	Risk			Re	sidual	risk	
Ref	Risk Description	on project	Р	-1	Total (Pxl)	Existing Controls	Mitigating factors	P	I	Total (Pxl)	Comments
6	Delay in providing official reports (technical and financial)	Affects credibility of the Consortium vis a vis the Commission, jeopardises the possibility to claim funds and possibly the continuation of the project	3	8	24	Internal reports, Management Handbook	The Project Manager provides all partners with all the deadlines which will occur throughout the duration of the project and sets internal deadlines for the provisions of the required data, ensuring that the official deadlines are met. The Internal reports provide an important opportunity for the partners to familiarise themselves with the EC reporting procedures.	1	8	8	Continuous monitoring and assistance will be provided to all partners
7	Low quality deliverables	Affects the credibility of the Consortium, might lead to additional work to provide funds	2	4	8	Deliverable review procedure, Internal reports	The partners are committed to provide high quality deliverables.	1	4	4	Continuous monitoring by the Project Coordinator, the Project Manager and the Work Package Leaders will be carried out
8		Slow-down if not interruption of project's progress	3	4	12	GA procedures, Consortium Agreement provisions	The partners are mostly well known to each other from previous projects. The mitigation strategy will be for the Scientific Coordinator to intervene informally. In the event of conflict, the rules agreed in the Consortium Agreement would apply and the General Assembly will intervene to decide a course of action.	3	2	16	The Project Coordinator and the Project Manager will ensure issues are properly addressed and that the relevant CA procedure is adopted
9	LACCASS FIGHT GISHIITAS	Project work delayed or reduced ability to deliver	2	4	8	Consortium Agreement provisions	Most partners already have good relationships with each other and are fully committed to the Project.	1	4	4	The Project Coordinator and the Project Manager will provide support and assistance throughout the project

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		Potential impact	Inh	erent F	Risk			Re	sidual	risk	
Ref	Risk Description	on project	Р	1	Total (Pxl)	Existing Controls	Mitigating factors	P	ı	Total (PxI)	Comments
10	Dispute over joint ownership	Affects the exploitation of project results, and consequently the project impact. This in turn would affect the Commission's evaluation of the Project	2	4	8	Consortium Agreement provisions	Most partners already have good relationships with each other and are fully committed to the Project.		4	4	The Project Coordinator and the Project Manager will provide support and assistance throughout the project
11	Grant Agreement	Slow-down of payment process, potential loss of credibility against the EC	3	2	6	Grant Agreement, Consortium Agreement provisions and internal reports	The Project Manager will make sure that the costs are properly claimed and partners will be able to train through internal reports.		2	2	Low risk given previous experience
12	Institutional policy makers do not engage	Affects the impact of the Project	2	8	16	LEARN will ensure engagement with bodies such as RDA and LERU to develop relationships	Work with project partners, LERU's global research network, and RDA to ensure project engages.	1	8	8	Research data management is a new emerging area. Engagement of RDA, LERU and other bodies will help develop engagement
13	consensus on findings in Workshops and Breakout Groups for policy development and	As RDM is an emerging area. It is likely that there will not be initial consensus in all areas. For the project, this will indicate a spectrum of issues that the project outputs need to address	3	4	12	The project Workshops will capture all view and indicate likely ways forward in each situation	Workshops will be chaired by members of the research community who are expert in brokering agreement and consensus; Breakout Groups will be the focus for discussions and identifying agreements going forward.		2	4	Project outputs will provide a range of options for research organisations to follow - not single solutions

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		Potential impact	Inh	erent F	Risk			Re	sidual	risk	
Ref	Risk Description	on project	Р	-1	Total (Pxl)	Existing Controls	Mitigating factors	P	I	Total (Pxl)	Comments
14	Impacts are not available in real time	Impacts in areas such as policy development and costing should be available; implementation of technical solutions and infrastructures may not be	2	8	16	The project outputs will differentiate between what can be achieved by research organisations and how long this work will take	Those engaged in the project will understand the importance of communication; staffing around the partnership will ensure that there is enough resource to support this objective.	1	8	8	Research organisations will be clear what they can achieve any on what timescale
15	Researchers show no interest in Roadmap or Toolkit	Would have a serious impact on the outcomes and outputs of the project	3	8	24	External drivers - e.g. research funder policies - are drawing increasing attention to RDM. Project will also raise awareness of the issues	External drivers - e.g. esearch funder policies - ere drawing increasing attention to RDM. Project Workshops will be aimed at encouraging attendance; project will work with champions from the Workshops to open up		8	8	Advocacy for best practice in RDM is designed to be an outcome of the project
16	Novel technologies and services not identified	Would help with advocacy and dissemination	2	4	8	Project will look for innovative examples wherever possible	The field is full of potential for service and tool development. Once outputs are known, potential providers will themselves identify ways to commercialise services and products.	1	4	4	Outcomes would raise visibiliy of project and its outputs
17	Support measures do not identify or address key issues	Would seriously impact on usefulness of project outcomes and outputs	2	8	16	Range of Workshops in different countries and ongoing literature review will minimise risk	Workshops in buntries and All core issued are already addressed in original LERU Roadmap.		8	8	Intention is that LEARN website and outputs will be best of breed in RDM
18	Funders - fail to support project financially, and project partners fail to deliver promised staff time and expertise	Would seriously damage project	2	8	16	Horizon 2020 funding unlikely to be withdrawn; relationships between project partners is excellent and all partners are committed to a sucessful outcome	Funders and project partners are increasingly interested in RDM. Project will maintain contact named funders/partners to ensure dialogue is smooth.	1	4	4	Risk can be managed to ensure successful delivery of project

Figure 6 Risks and Associated Contingency Plans

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6. Reporting

6.1 Internal Reports

At M6 and M12, Internal Reports (covering both financial and scientific aspects of the project) will be drafted by each partner on the basis of the provided template. All partners' contributions will be collated by the Project Manager and a final draft produced as a 'Google Docs' document. This will be reviewed by Project Support Administrator and the Project Coordinator. Once approved, the report will be stored in the project's Dropbox. Any issues arising from the report will be communicated either to the MST or GA, depending on the nature of the issue and the decision to be taken.

6.2 Periodic Reports

The Consortium has the obligation to submit two Periodic Reports during the course of the project:

- the first covering the period M1 M18 (June 2015 November 2016) and,
- the second covering the period M19-M24 (December 2016 May 2017).

Both the template for the Periodic Reports and template for the collection of the necessary information will be provided by the Project Manager in due course.

The Periodic Report shall comprise:

- a) A 'Periodic Technical Report' containing:
- An explanation of the work carried out by the beneficiaries
- An **overview of the progress** towards the objectives of the project, 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 also 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'

- A **summary** for publication by the *Agency*
- The answers to a **questionnaire**, covering issues related to project implementation and 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:
- An 'individual financial statement' from each beneficiary, for the reporting period concerned. The individual financial statement must detail the eligible costs (actual costs, unit costs and flat-rate costs) for each budget category. Each beneficiary must certify that the information provided is full, reliable and true. The costs
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declared must be eligible and should be capable of substantiation by adequate records and supporting documentation.

- An explanation of the use of resources and the information on subcontracting and in-kind contributions provided by third parties from each beneficiary, for the reporting period concerned
- A 'periodic summary financial statement' will be 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.

6.3 Final Report

In addition to the Periodic Report for the last reporting period, the Consortium 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:
 - An overview of the results and their exploitation and dissemination
 - The conclusions of the project emanating from the project
 - The socio-economic impact of the project emanating from the project
- b) A 'Final Financial Report' containing:
 - 1. 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
 - 2. According to the original Annex 2, no beneficiary has to provide a 'certificate on the financial statements'.



7. Publications rules

These rules represent a simplified version of the relevant sections of the Grant Agreement and the Consortium Agreement. If you have any doubts please refer directly to these documents, as these contain the official rules on publication & dissemination.

7.1 Publication, presentations and Dissemination rules

All publications, presentations, papers and posters must include the following text:

"This Project has received funding from the European Union's Horizon2020 research and innovation programme under grant agreement No 654139."

Each partner must keep track of all their publications and dissemination activities related to LEARN. These publications and activities will be reported to the Project Manager by means of Internal Reports. UCL will maintain the overall list of publications and dissemination activities and ensure that this list is sustained on the LEARN website.



Publications and/or presentations

If you are publishing or presenting something in the framework of LEARN, you must inform the other partners at least **45 days** before the publication. Any objection to the planned publication shall be made in writing to the Party or Parties proposing the dissemination within **30 days** after receipts of the notice. If no objection is made within the time limit stated above, the publication is permitted.

An objecting partner can request a publication delay of not more than 90 days from the time it raises such an objection. After 90 days the publication is permitted.

Please consider **confidentiality obligations**, and do not publish any information or work that may be the property of another partner without their prior written approval.

Dissemination

Any dissemination activity shall be reported in the plan for the use and dissemination of results, including sufficient details/references to enable the EC to trace the activity. With regard to scientific publications relating to results published before or after the Final Report, such details/references and an abstract of the publication must be provided to the EC at the latest two months following publication. Furthermore, an electronic copy of the published version or the final manuscript accepted for publication shall also be provided to the EC at the same time.

Any results and / or material produced by the LEARN partners will be licensed under the Creative Commons licences¹¹. In details, the **CC-BY** licence (4th version) will be used for publications and **CC-0** licence for data.

¹¹ https://creativecommons.org/



7.2 Open access

7.2.1 Open access to publications

Each LEARN partner must ensure open access to all peer-reviewed scientific publications relating to its results. Open access means making publications freely available online for any user.

There are two main routes towards open access to peer-reviewed scientific publications:

- **Self-archiving** (also referred to as '**green' open access**): it means that the published article is archived (deposited) by the author or a representative in an online repository before, alongside or after its publication. The article becomes freely available after an 'embargo period' of 6 or 12 months.
- Open access publishing (also referred to as 'gold' open access): it means that the
 publisher immediately provides an article through open access. In this model, the
 payment of publication costs is shifted away from readers, and instead charged (for
 example) to the university or research institute to which the researcher is affiliated, or to
 the funding agency supporting the research.

The steps are as follows:

- To deposit, as soon as possible and at the latest on publication, an electronic copy of the published version or peer-review publication (even those published after the Final Report) in an institutional or subject-based repository together with the research data needed to validate the results presented in the publications;
- To ensure open access to the deposited publication via the repository at the latest:
 - (i) on publication, if an electronic version is available for free via the publisher (gold open access), or
 - (ii) within 6 months of publication (green open access)

In addition, each partner must ensure open access – via a repository – to the **bibliographic metadata** that identify the deposited publication. The bibliographic metadata must be in standard format and must include all the following:

- The terms 'European Union (EU)' and 'Horizon2020'
- The name of the Action, acronym and grant number
- The publication date, and length of embargo period if applicable
- A persistent identifier

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7.2.2 Open access to research data

As regards to the digital research data generated in the project ('data'), each LEARN partner shall:

- (a) deposit in a research data repository and take measures to make it possible for third parties to access, mine, exploit, reproduce and disseminate free of charge for any user the following:
 - (i) the data, including associated metadata, needed to validate the results presented in scientific publications as soon as possible;
 - (ii) other data, including associated metadata, as specified and within the deadlines laid down in the 'data management plan' (see Annex 1);
- (b) provide information via the repository about tools and instruments at the disposal of the beneficiaries and necessary for validating the results (and where possible provide the tools and instruments themselves).



8. Gender equality management

According to the Article 33 - Gender equality of the Grant agreement:

Article 33.1 Obligation to aim for gender equality

The beneficiaries must take all measures to promote equal opportunities between men and women in the implementation of the Action. They must aim, to the extent possible, for a gender balance at all levels of personnel assigned to the Action, including at supervisory and managerial level.

Article 33.2 Consequences of non-compliance

If a beneficiary breaches its obligations under this Article, the Agency may apply any of the measures described in Chapter 6 [of the Grant Agreement].

The table below shows the percentage of females present in LEARN partner organisations

Proportion of Women
63%
51%
51%
83%
50%
60%

In order to ensure that Article 33 is fulfilled, the consortium has already defined the plans set out below. Gender monitoring will be carried out through a dedicated section of the Internal and Periodic Reports.

In order to address the gender gap, LEARN will ensure:

- a) An open and impartial selection procedure, as well as fair working conditions, to researchers recruited for work, in line with the Commission Recommendation of 11 March 2005 on the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers.
- b) Women will be encouraged to take on decision-making roles. This is in order to address absence of diversity at management and policy-making levels, which has broad implications which the project will examine. This will also tackle the 'generation effect', by supporting women to take on leading roles, as a career development incentive.

As it stands, 2 of 5 WPLs are females.

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Appendix 1 – Project Gantt Chart

			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
	Task No.	Task Name																									
	Task 1.1	5 Workshops																									
WP1	Task 1.2	Best Practice and Case Studies																									
	Task 2.1	Shared workspaces																									
WP2	Task 2.2	Executive Briefing in English, French, German and Spanish																									
	Task 2.3	Final Conference																									
	Task 3.1	Model Research Data Policy																									

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WP3	Task 3.2	Liaison with global research funders																									
			Month	1	2	3	4	2	9	7	8	6	10	11	12	13	14	15	16	11	18	19	20	21	22	23	24
	Task No.	Task Name																									
	Task 4.1	KPIS for public project documents																									
WP4	Task 4.2	Evaluation of Questionnaire Results																									
	Task 5.1	Financial and contractual management																									
WP5	Task 5.2	Monitoring and Reporting																									
	Task 5.3	Gender Workforce Statistics Report																									



Appendix 2 – LEARN Internal Report template

LEARN Internal Progress Report (Months X - X)

Period Covered: xx - xx - 201x to xx - xx - 201x

Deadline: xx - xx - 201x

1. Summary of progress towards the planned objectives

Please provide a summary of the progress of work towards the objectives for the period, including achievements and attainment of any deliverables and milestones as identified in Annex 1. This report should include the differences between the work expected to be carried out in accordance with Annex 1 and what has actually been carried out.

w			Activities carried out in the period	Significant results		
P	Task	Objectives for the period	(please include a short description of the activities carried out)	(e.g. deliverable submission, milestone, achievement, publication, etc)		

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2. Deviations from Annex 1

Please indicate in the table below any <u>deviations</u> from Annex 1 and relevant corrective actions implemented or to be implemented in regards to the Work Package you are involved in. If applicable, explain the reason for failing to achieve the critical objectives and/or not being on schedule. Please explain the <u>impacts</u> that these deviations will have on other tasks, any deliverables and milestones as well as on available resources and planning. If applicable, please describe any <u>corrective actions</u> implemented or to be implemented.

W P	Deviation from Annex 1 (e.g. tasks not fully implemented, critical objectives not fully achieved, deviations on the use of the resources, etc.)	Severity of the Impact (Low, Medium, High)	Activities impacted (other tasks, dlvs or mls, resources)	Corrective actions (implemented or to be implemented)

3. Statement on the use of resources

3.1 Effort use

Please provide, in the table below, information about personnel involved in the project.

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"This project has received funding from the European Union's Horizon 2020 research and innovation programme under the Grant Agreement No **654139**"



W P	Staff Member Name	e.g. Technician Researcher, etc.	Person months (pm) 1 pm = 1 person working full-time for one month	Main Activities Please summarise the work carried out by this person during Months X-X, in each individual Work Package where appropriate.

3.2 Major Costs

Please indicate in the table below an estimate (the most accurate possible) of the costs incurred in the period.

Type of Cost	Amount (EUR)	Description
Personnel		
Computing systems		
Consumables		
Durable Equipment		
Travel		

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Other (registration fees, audit certificate, etc)				
Subcontracting				
Third Party costs (please specify if personnel costs or other costs)				
Indirect @25%				
TOTAL				

4. Critical implementation risks and mitigation actions

4.1 Foreseen Risks as per Annex 1

Please give the state of play of every risk identified in Annex 1 and if necessary give new mitigation measures.

Risk Numb er	Description of Risk	WP	Proposed risk-mitigation measures	Did your risk materialise ? Yes / No	Did you apply risk mitigation measures? Yes / No	Comments (insert comment if needed; mandatory if the risk mitigation measures have not been applied)

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4.2 Unforeseen Risks

Please list any new risks which were NOT identified in Annex 1 and propose risk- mitigation measures.

Insert Risk Numb er	Description of Risk	WP	Proposed risk-mitigation measures

5. Gender balance

Please fill out the table below indicating the number of females and males working in the project and related role.

Number Females including third parties (if appropriate)	Role in the Project (e.g. WPL, member of the General Assembly, Team Leader, Researcher, etc)	Number Males including third parties (if appropriate)	Role in the Project (e.g. WPL, member of the General Assembly, Team Leader, Researcher, etc)

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Please list	any measures¹² you have i	implemented to promote equal opport	unities	
Description	of the measure implemen	ntod ve d	u a lf na placea avploi	n why
Description	of the measure implemen	Mere these measures effect	tive? If no, please explai	II WIIY
6. Future s	steps for the next 6 r	months		
	•			
Please pro	vide a short paragraph on t	the planning of the next steps and link	them to the relevant Work P	ackage
WP	Future activities/plans			
	-			

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Examples (measures to promote equal opportunities): transparency of recruitment and advancement processes, including gender-sensitive language in vacancies and job-descriptions; plans and conditions for career advancement; transparent wage classification and grading of jobs; development of leadership opportunities; gender planning and budgeting; gender impact assessment of new policies; climate surveys of institutions; adoption of family-friendly policies; promotion of mobility and dual-career couples.

Appendix 3 – Project Effort per partner per work package

	WP1	WP2	WP3	WP4	WP5	Total Person/Months per Participant
1 - UCL	4.50	4	1.50	1.50	7.50	19
2 - UB	1.50	1.50	1.50	3	0.50	8
3 - LIBER	1.50	3	1.50	1.50	0.50	8
4 - UNIVIE	1.50	1.50	3	1.50	0.50	8
5 - UN ECLAC	1.50	2	1.50	2	0.50	7.50
Total Person/Months	10.50	12	9	9.50	9.50	50.50

Appendix 4 – Estimated budget for the Project

		Est	imated eligible co	sts (per budget catego	ory)			EU contribution	
	Direct personnel costs	Direct costs of subcontracting	Direct costs of fin. support	Other direct costs (Travel, equipment, other goods and services, costs of large research infrastructure)	Indirect costs	Total costs	Reimbursement rate %	Maximum EU contribution	Maximum grant amount
Form of costs	Actual	Actual	Actual	Actual	Flate-rate 25%				
1. UCL	112,876.00	0.00	0.00	47,840.00	40,179.00	200,895.00	100.00	200,895.00	200,895.00
2. UB	33,600.00	0.00	0.00	10,500.00	11,025.00	55,125.00	100.00	55,125.00	55,125.00
3. LIBER	48,600.00	0.00	0.00	13,400.00	15,500.00	77,500.00	100.00	77,500.00	77,500.00
4. UNIVIE	44,000.00	0.00	0.00	13,400.00	14,350.00	71,750.00	100.00	71,750.00	71,750.00
5. UN ECLAC	37,600.00	0.00	0.00	35,450.00	18,262.50	91,312.50	100.00	91,312.50	91,312.50
Total consortium	276,676.00	0.00	0.00	120,590.00	99,316.50	496,582.50	100.00	496,582.50	496,582.50



Appendix 5 – LEARN Deliverable template





Grant agreement no. 654139

Leaders Activating Research Networks: Implementing the LERU Research Data Roadmap and Toolkit

Coordination & support action H2020-INFRASUPP-2014-2

Topic: e-Infrastructure policy development and international cooperation

DX.X Title of the deliverable

Work Package:

Due date of deliverable: month XX

Actual submission date: dd/month/year

Start date of project: Month, dd year Duration: XX months

Lead beneficiary for this deliverable: Short Name of beneficiary

Contributors: Short Name of beneficiary/ies

Reviewer: Name of the Reviewer (if applicable)

	Project co-funded by the European Commission within the H2020 Programme (2014-2020)				
Dissemination Level					
PU	Public				
СО	Confidential, only for members of the consortium (including the Commission Services)				
CI	Classified, as referred to in Commission Decision 2001/844/EC				



Disclaimer

The content of this deliverable does not reflect the official opinion of the European Union. Responsibility for the information and views expressed herein lies entirely with the author(s).

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1. Version log

Version	Date	Released by	Nature of Change

2. Definition and acronyms

Acronyms	Definitions



3. Introduction

- Give a synthetic introduction to the matter dealt with in the deliverable (recall to quote the number and title of the deliverable)
- Situate the deliverable with respect to the general objectives of the project and the state-of-the art
 - State and make clear the specific objectives

of the deliverable

4. Activities carried out and results

The total length of this section depends on the specificity of the deliverable.

Activities carried out

Describe the activities carried out and the methodology followed

Results

- Describe the results giving all the details necessary to make the deliverable. Include all the necessary diagrams, tables and figures with clear captions coherent with the text and easily identified.
- Make a critical analysis of the results. Highlight the major achievements and the pending issues.
- A deliverable might contain results that do not necessarily represent a success. If this is the case, please explain the reasons for failing the deliverable's objectives. If applicable, suggest contingency plans and the need for the issue of a new version of the same deliverable. Such request will then be submitted to the EC Project Officer.

5. Conclusions

Make clear the status of the work performed and results achieved in view of the objectives of the project

6. Bibliography / References

Include Bibliographical references, if applicable