

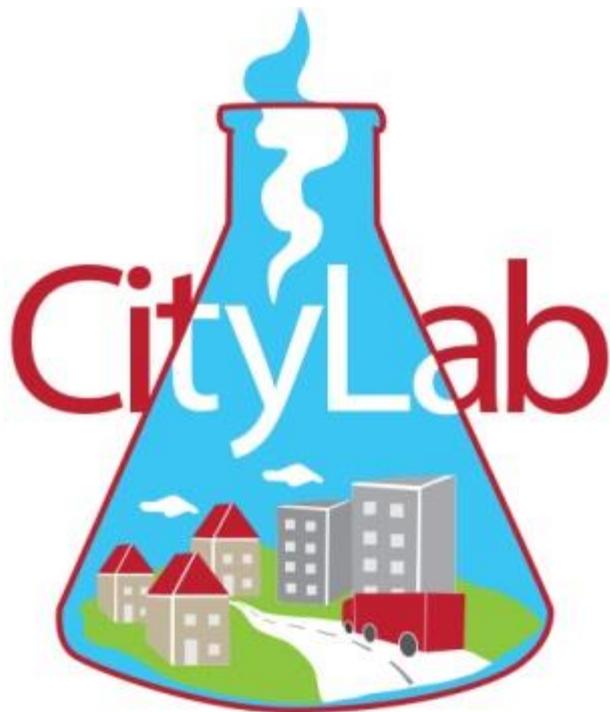
EUROPEAN COMMISSION

INNOVATION and NETWORKS EXECUTIVE AGENCY

HORIZON 2020 PROGRAMME for RESEARCH and INNOVATION

Reducing impacts and costs of freight and service trips in urban areas (Topic: MG-5.2-2014)

Grant agreement no: 635898



Deliverable 1.1

Risk management and quality assurance routines



Document Control Sheet

Project no.:	635898	Acronym	CITYLAB
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Work Package	WP1	Title:	Project management and coordination
Deliverable no.:	D1.1	Title:	Risk management and quality assurance routines
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Internal Reviewer	WP leaders

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CITYLAB consortium by Living Lab			
Living lab	Municipal partner(s)	Industry partner(s)	Research partner(s)
Brussels	Brussels Mobility	Procter & Gamble Services	Vrije Universiteit Brussel
London	Transport for London	TNT Gnewt Cargo	University of Westminster
Oslo	Oslo kommune	Steen & Strøm	TOI
Paris	Mairie de Paris		IFSTTAR DLR
Randstat	Gemeente Rotterdam	PostNL	TNO
Rome	Roma Capitale	Poste Italiane MeWare SRL	Università degli studi Roma Tre
Southampton	Southampton City Council	Meachers Global Logistics	University of Southampton
Networking and outreach partner			
POLIS			

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Executive summary

This deliverable sets up routines for risk management and quality assurance in the CITYLAB project, which are needed to ensure successful outcomes of the project.

Risks at several levels may threaten CITYHAB. The objective of this deliverable is to describe the risk management procedure for the project. The main aim of the active management of risks is to monitor their development and to be prepared for needed actions. Risks may be associated with the scientific level of the work, implementation risks connected to the ability to implement what has been foreseen, exploitation risks like lack of uptake of project results, and managerial risks connected to internal accomplishment of work.

An important part of the quality assurance is an internal reviewing procedure for scientific deliverables and an external quality assurance of implementations and Living Labs by a Living Lab Advisory Group (LLAG). The different steps of the reviewing procedure are described, and reviewing responsibilities are defined. A template for reviewing is included as an appendix to the deliverable.

1 Introduction

The objective of the CITYLAB project is to develop knowledge and solutions that result in roll-out, up-scaling and further implementation of cost effective strategies, measures and tools for emission free city logistics. A successful outcome of the project depends on efficient management and continuous surveillance of quality and risks.

This deliverable defines routines for risk management and quality assurance in the CITYLAB project. Other managerial issues are also introduced, data management will be specifically dealt within Deliverable 1.2.

Table 1 gives an overview of the roles of the project coordinator, work package leaders and all project partners within the topics

- Risk management
- Quality of work
- Data management
- Intellectual property management

Table 1. Roles and responsibilities.

Topic	Project coordinator (PC)	Work package leader (WPL)	Project partner (PP)
Risk management	Overall responsibility for monitoring.	Monitor risks related to own WP, manage risks in cooperation with PC.	Report potential risks to WPL and PC as soon as discovered.
Quality of work	Overall responsibility of the quality of work. Plan and manage internal reviewing system for deliverables.	Ensure that work is done as planned in Description of Action. Inform PC in the case of problems or deviations.	Perform work as planned in the Description of Action. Report progress to PC. Contribute to reviewing of deliverables.
Data management	Develop and manage a data management plan.	Ensure that data collected and used in own WP are managed in line with the data management plan.	Ensure that data are stored and used in line with the Data Management Plan.
Intellectual Property Management	Overall responsibility for IP issues. Involve Management Committee and General Assembly when needed.	Monitor intellectual property issues specifically related to own WP. Contribute to overall management of IPR in management committee.	Follow rules as set out in Consortium Agreement. Report publications to all WPL with <i>publication form*</i> .

*see Section 4.3.

The rest of this document is organised as follows: Chapter 2 deals with risk management, while Chapter 3 discusses quality of work and internal reviewing of deliverables. Other managerial issues are dealt with in Chapter 4.

2 Risk management

Several risks may threaten the CITYLAB project:

- Risk that planned activities cannot be implemented as foreseen
- Exploitation risks, lack of uptake of project results
- Risks associated with the scientific level of the work
- Managerial risks connected to internal accomplishment of work

In the CITYLAB Description of Action (DoA), a set of risks were identified, these are presented in Table 2 below.

Table 2. CITYLAB risks identified in the Description of Action.

Description of risk	Work package(s) involved	Proposed risk-mitigation measures
Lack of relevance of the project developments	2,3,4,5,6	Living lab processes and industry implementations will be monitored tightly and evaluated regularly as part of a learning and improvement processes such that corrective actions may be defined at an early stage. Second, the direct stakeholder involvement through a Living Lab Advisory Group (LLAG) will give direct feedback on each implementation and Living Lab at several stages throughout the project.
Limited interest from external parties	6,7	The needs of end-users will be emphasised and ensured by activate participation from several stakeholder groups (beyond the consortium partners) in the living lab activities.
Inability to implement solutions that the proposal promises to study due to technical problems, lack of support from stakeholders, or business priorities	3,4	The living lab approach is designed to stimulate co-creation processes involving multiple stakeholders. This is expected to increase the support from crucial actors, and also to contribute to a more solid foundation for the design of implementations. A monitoring procedure will be established, where the status of each implementation is reported to WP leader TOI every third month.
Delays in work or lack of ability to perform the tasks as set out in the proposal	1	The Project Coordinator will insist on committed timetables for deliverables and monitor progress. Routines for early warnings in the case of potential delays will be established. The Management Committee will sanction partners if deliverables are not completed with sufficient scientific quality in a timely manner.
Not able to go beyond existing state-of-the-art	2,3,4,5,6	The CITYLAB cities and implementations involve core European actors who knows the business and have a solid understanding of what will be required to develop more sustainable and efficient urban freight transport operations. In addition, each work package is specified with a set of ambitious aims that together make up the

Description of risk	Work package(s) involved	Proposed risk-mitigation measures
		project, and where deviations will be detected at work package level.
Project management issues that lead to delays, improper quality or mediocre impact as a result of a broad and complex scope and partners being different in nature and focus	ALL	The project has set up a proven management structure with experienced partners assisted by the LLAG that supports in monitoring the achievement of impact and progress. Although the consortium is set up complementary in nature, there's also sufficient overlap in expertise to help out one another. The project has well-defined deliverables and milestones to monitor progress and impact.
Insufficient quality of deliverables	1	An internal quality review system is established for reviewing of all deliverables. The LLAG will actively contribute with feedback to intermediate project results which will also benefit the deliverables

For risks that have already been identified, measures that reduce the risk has been identified and planned. Several risks will remain threats throughout the project, this is unavoidable. The main aim of the active management of risks is to monitor their development and to be prepared for needed actions.

2.1 Risk evaluation

Risks are evaluated in terms of probability of occurrence and consequence if the risk occurs, and the importance of a risk is typically calculated as the product of the probability and the consequence.

One approach is to differentiate between Low, Medium and High probability of occurrence, and Low, Medium and High Consequence. Typical interpretations of these are presented in Table 3.

Table 3. Interpretation of Low, Medium and High probabilities and consequences of risks.

Category	Probability	Consequence
Low	Typically below 25 %	Easily recoverable
Medium	Between 25 % and 75 %	Significant impact on cost, schedule or quality
High	Typically above 75 %	Threatens the objectives of the project

A classification scheme for risks based on assessment of probability of occurrence and consequence is presented in Figure 1.

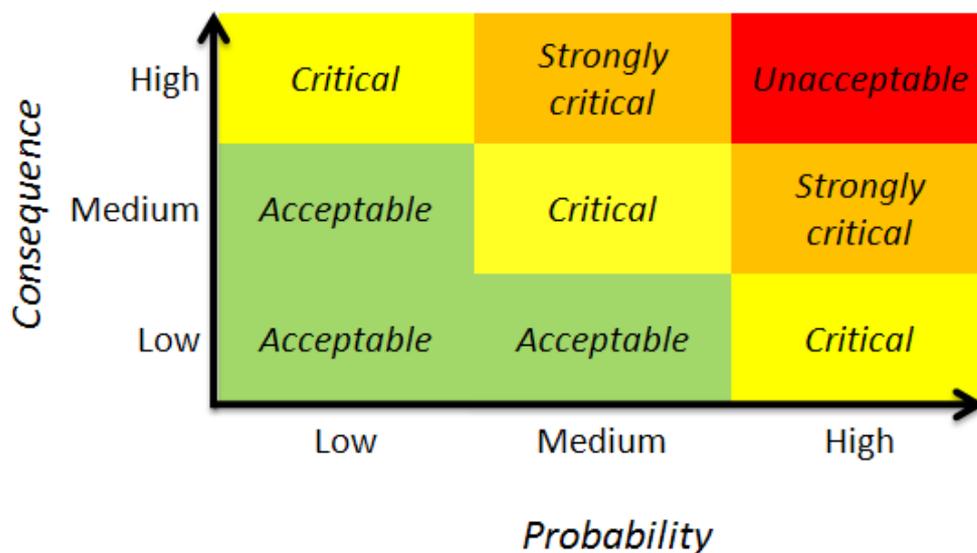


Figure 1. Classification of risks according to their probability of occurrence and consequence if they occur.

2.2 Risk mitigation and monitoring

For all identified risks, whose severity deviates from “Acceptable”, corrective measures have to be developed without unnecessary delay aiming at reducing the associated risks to an acceptable level. Such mitigating measures may be aimed at:

- Preventing the risks from occurring
- Reducing the consequences if the risks should occur
- Reduce or remove risk by risk transfer (in terms of time, space or ownership)

For all risks, the risk owner has to be identified. The risk owner is the individual who is responsible for overseeing the risk.

The status of the risk mitigation has to be updated on a regular basis, this means that the risk mitigation is monitored. We distinguish between:

- Risks that are identified
- Risks for which corrective measures have been applied
- Risks that are mitigated such that additional measures are not required

A template for the risk reporting and monitoring is presented in Appendix A. The template includes columns for:

- Risk ID (consecutive numbering)
- Date of reporting
- Relevant Work Package(s)
- Description of the risk
- Probability of occurrence (High, Medium, Low)
- Consequence of risk (High, Medium , Low)

- Classification of the risk (according to Figure 1)
- Corrective measures aimed at mitigation of risks
- Status of the risk mitigation, indicating implementation status of the mitigating measures including information on when the action is closed.
- Risk owner

These items should be entered for all identified risks, and the template will be kept updated on the CITYLAB Sharepoint site.

2.3 Responsibilities

All partners are responsible for identifying risks throughout the project. If a partner identifies a risk threatening the project, he or she should report the risk to the relevant WP leader and the Project Coordinator (TOI) as soon as possible. WP leaders have a particular responsibility for risk management related to the WP they are leading.

Risk evaluation will be performed by WP leader(s) forming the Management Committee (see Description of Work), supported by other project partners as well if appropriate. Each WP Leader will inform the Project Coordinator about the appearance of a risk within his/her WP. They will together evaluate the risk and propose mitigating measures. Risk management will be an item on the agenda in all meetings of the Management Committee.

The WP Leader will be responsible for completing the CITYLAB risk monitoring template, which will be uploaded to the internal Sharepoint site of the project. The WP Leader will also be responsible for the follow up of the mitigating measures, and for updating the status of the evaluated risk in the table.

The Project Coordinator will ensure that the table is completed correctly and that the measures are implemented. The Project Coordinator will also check that the measures are working correctly and that the risks are controlled and/or reduced. The risk monitoring template will be checked and updated at least every sixth month, and more frequent if deemed necessary.

2.4 Particular measures used in CITYLAB

For efficient management of risks, early identification of potential risks is a goal. Therefore, four monitoring and reporting regimes are introduced:

- **Implementation monitoring:** The implementations have a key role in the project. It is therefore necessary to establish routines for status reporting for each implementation. Starting in the autumn of 2015, regular feedbacks will be requested by TOI (WP leader for implementations). The reporting will ensure that problems are discovered early so that mitigating measures can be applied where needed.
- **Living lab monitoring:** A process evaluation form will be used for regular assessment of the progress of each living lab in the project.
- **Bi-annual internal project reporting:** Every 6 months information on financial and technical progress is reported from each partner and WP leader to project coordinator TOI. The format will be as close to the official EC reporting format as possible, and the collected information will be shared with the EC Project Manager.
- **Internal reviewing system for deliverables:** Project deliverables will be reviewed by other project partners that are not directly involved in the preparation of the deliverable. This reviewing system is presented in Chapter 3.

3 Internal reviewing of deliverables

The project uses an internal reviewing procedure for deliverables, where one project participant reviews each deliverable. In addition, University of Southampton has a particular role in performing language check of all deliverables.

The purpose of the review is to evaluate the:

- Technical approach adopted in the deliverable,
- Level of achievement with respect to the original objectives
- Quality and relevance of the results illustrated
- Clarity and quality of presentation, language and format

In this chapter we describe the reviewing schedule and responsibilities.

WP leaders are responsible for sending deliverables to the reviewer and Project Coordinator.

When the partner responsible for the deliverable is different from the work package (WP) leader, the responsible partner has to send the draft final version to the WP leader in due time before the deadline for review.

Each deliverable will also be introduced by an executive summary explaining (in max 1 page) the specific problem addressed in the deliverable, the solution found/developed for this problem, what this enables you to do or know, the exploitable value of this outcome, by whom and under which conditions.

The reviewing procedure consists of the following steps:

- Each WP leader has to send the draft final version to the partner responsible for internal review, to University of Southampton and to the Project Coordinator (TOI) 21 days prior to the submission deadline. For deliverables with deadline December 31, it is necessary to send the draft final version 28 days prior to the deadline (December 3). The WP leader has to make sure that this deadline is also met in the case the responsible authors are different from the WP leader. The Project Coordinator will send a reminder prior to the reviewing deadline.
- The executive summary should be sent to all partners when the review process is started. Interested partners may then contact the authors and get the opportunity to comment on the draft version as part of the review process.
- The internal reviewer and University of Southampton has ten days to perform the review and return the comments to the partner responsible for the deliverable with a copy to Project Coordinator and the responsible WP leader if different from the partner responsible for the deliverable. For deliverables with deadlines on December 31, the review has to be finalised by December 13.
- The partner responsible for the deliverable has to take into account the comments from the reviewer and to contact the reviewer in case of doubts or the need for discussions. The final version of the deliverable has to be sent to the Project Coordinator two days prior to the final deadline. For deliverables with a deadline of December 31, the Project Coordinator needs to receive the final version within December 22.
- The Project Coordinator will submit the deliverable within the final deadline. A copy of the deliverable will also be made available in the CITYLAB Sharepoint site. Public deliverables will be published in the public area of the CITYLAB web site when they are accepted by the European Commission.

Special arrangements can also be made when there are other bank holidays or specific issues that require a different schedule for the reviews. Such arrangements will be solved on a case-to-case basis.

If a deliverable is rejected by the European Commission, the authors have to modify the deliverable in order to close the gaps that have been identified. The original reviewing party will be consulted before resubmission of the deliverable.

In Figure 2 the deadlines prior to the submission of Deliverable 3.1 are illustrated (as an example).

OCTOBER 2015	1	Finalising deliverable
	2	
	3	
	4	
	5	
	6	
	7	
	8	
	9	
	10	WP leader sends deliverable to reviewers and project coordinator, executive summary sent to all partners
	11	Time for reviewer to perform internal review
	12	
	13	
	14	
	15	
	16	
	17	
	18	
	19	
	20	Internal reviewers send review form to WP leader and project coordinator
	21	Deliverable authors incorporate review comments and finalise deliverable
	22	
	23	
	24	
	25	
	26	
	27	
	28	
	29	
	29	WP leader sends final deliverable to project coordinator
	30	Project coordinator submits deliverable to the EC
31		

Figure 2. Deadlines for reviewing procedure exemplified for Deliverable 3.1.

In the case of disagreements or failures to meet deadlines, the Project Coordinator should be contacted immediately to mediate and resolve the issues, if necessary in line with procedures described in the Consortium Agreement. The partner responsible for the deliverable must inform the Project Coordinator if he/she expects that the deadline is not going to be met at least 1 month prior to the final deadline. The Project Coordinator will inform the EC Project Manager as soon as possible.

The review has to be based on the review form of the CITYLAB project (see Appendix B).

Table 4 shows the allocation of reviewing responsibilities for scientific deadlines, as well as the deadlines for submitting deliverables to review. The table is based on information from the Description of Action valid from project start. If changes in deadlines occur through the project, Table 4 has to be updated accordingly.

Table 4. Review plan for scientific deliverables.

Del. no.	Deliverable name	Delivery date		Submit for review	Resp. partner	Reviewer
3.1	Practical guidelines for establishing and running a city logistics living laboratory	6	31.10.2015	10.10.2015	TNO	VUB
3.3	CITYLAB: lessons and experiences with living laboratories	7	30.11.2015	09.11.2015	TOI	SOTON
5.1	Definition of necessary indicators for evaluation	7	30.11.2015	09.11.2015	VUB	TOI
3.2	Local CITYLAB plans including ambition and local roadmaps	8	31.12.2015	30.11.2015	TNO	POLIS
2.1	Scope of the Observatory of Strategic Developments Impacting Urban Logistics and Report of trends observed	10	29.02.2016	08.02.2016	IFSTTAR	TNO
2.2	Urban freight status - collate the specific information, data and knowledge for living labs and behaviour change/willingness to pay analysis	12	30.04.2016	09.04.2016	TNO	DLR
5.2	CITYLAB dashboards	16	31.08.2016	10.08.2016	VUB	TOI
2.3	Guidelines on (i) success factors of past initiatives (ii) achieving higher levels of effective public private cooperation	18	31.10.2016	10.10.2016	UoW	IFSTTAR
4.1	Monitoring of CITYLAB implementations – first phase	18	31.10.2016	10.10.2016	TOI	TNO
2.4	Report on achieving target of CO ₂ -free logistics in cities	24	30.04.2017	09.04.2017	UoW	UR3
5.3	Impact and process assessment of the seven CITYLAB implementations	24	30.04.2017	09.04.2017	TOI	UoW
5.4	Sustainability analysis of the CITYLAB solutions	26	30.06.2017	09.06.2017	TNO	TOI
5.5	Evaluation of the willingness to pay for the sustainable CITYLAB solutions	28	31.08.2017	10.08.2017	UR3	TNO
4.2	Monitoring of CITYLAB implementations – second phase	30	31.10.2017	10.10.2017	TOI	VUB
5.6	Assessment of roll-out potential of CITYLAB solutions to other CITYLAB living labs	30	31.10.2017	10.10.2017	DLR	TOI

Del. no.	Deliverable name	Delivery date		Submit for review	Resp. partner	Reviewer
6.1	Report on living-lab transferability activities	34	28.02.2018	07.02.2018	TNO	TOI
6.2	Minutes of local stakeholder meetings	34	28.02.2018	07.02.2018	VUB	TNO
6.3	Report on transferability to non-citylab cities	34	28.02.2018	07.02.2018	POLIS	VUB
3.4	CITYLAB Handbook for City Logistics Living Laboratories	36	30.04.2018	09.04.2018	TNO	UoW
6.4	Tools for achieving of CO ₂ –free logistics in cities by 2030	36	30.04.2018	09.04.2018	TOI	TNO

For non-scientific deliverables, reviewing responsibilities are presented in Table 5. For most of these all partners will contribute with feedback.

Table 5. Review plan for non-scientific deliverables.

Del. no.	Deliverable name	Delivery date		Submit for review	Resp. partner	Reviewer
1.1	Risk management and quality assurance routines	2	30.06.2015	n.a.	TOI	WP leaders
7.1	Dissemination and exploitation plan	2	30.06.2015	n.a.	SOTON	ALL
1.2	Data management plan	4	31.08.2015	10.08.2015	TOI	WP leaders
7.5	Project newsletters	6	31.10.2015	10.10.2015	SOTON	ALL
7.7	Dissemination and exploitation plan - mid term version	18	31.10.2016	10.10.2015	SOTON	ALL
7.2	Reporting of project symposia, workshops, meetings and other events	33	31.01.2018	10.01.2018	SOTON	ALL
7.3	Dissemination to follower cities and regions	33	31.01.2018	10.01.2018	POLIS	ALL
7.4	Business-targeted dissemination	33	31.01.2018	10.01.2018	PGBS	ALL
7.6	Videos and animations	36	30.04.2018	09.04.2018	SOTON	ALL
7.8	Dissemination and exploitation plan - final version	36	30.04.2018	09.04.2018	SOTON	ALL

4 Other managerial issues

This section describes external quality assurance by the Living Lab Advisory Group, data management, intellectual property management, and instructions for document naming in CITYLAB.

4.1 External quality assurance

To ensure external quality assurance of the work, CITYLAB has established a Living Lab Advisory Group (LLAG) for the discussion of results throughout the duration of the project. The LLAG consists of eight members, by June 2015 these are:

- Jos Marinus, European Logistics Association
- Graham Ellis, Ellis International Transport Consultancy, United Kingdom
- Herve Levifve, City of Paris Freight advisor to Deputy Mayor in charge of transport, France
- Erik Regterschot, Project manager Sustainable Mobility, City of Amsterdam, Netherlands
- Natalie Chapman, Freight Transport Association, United Kingdom
- Frans de Keyser, BECI (Employers organisation of Brussels), Belgium
- Johan Haavardthun, Logistics/Director RTD, DB Schenker Norway
- Nicoletta Ricciardi, University of Rome "La Sapienza", Italy

The Project Officer will be consulted if there should be a need to change the allocation of LLAG members.

The LLAG is established to guarantee innovative research results, as well as to make them accessible to key stakeholders and to provide a forum to discuss the implications of adopting specific solutions. LLAG members will contribute to project workshops and events. Further details can be found in CITYLAB Deliverable 7.1 (2015).

4.2 Data management

A data management plan (DMP) will be developed in Deliverable 1.2. The DMP will describe the data management life cycle for data sets that are collected, processed or generated by the project. Several principles have to be respected when dealing with research data, amongst these are:

- Data protection and privacy has to be respected, and appropriate solutions for data storage and handling must be established
- Open access to data should be the main principle for projects funded by public money
- Data should be discoverable, accessible and interoperable to specific quality standards
- Integrity of the research depends on the quality of data and that data are not manipulated, and data should be assessable and intelligible.

CITYLAB deals with several types of data:

- Living lab data: Data and knowledge concerning the living lab cities will be collected and analysed in WP 2 and WP 3. These include open statistical data reflecting traffic and freight flows, location of facilities, environmental status, and data stemming from interviews with stakeholders.
- Data in models: Data will be collected to perform a robust evaluation and impact assessment.

- Implementation data: For each implementation, data will be collected in WP 4 to allow for before/after comparisons. These data relate to effects and impacts of implementations, as well as the processes themselves.
- Behavioural data: The behavioural modelling and analysis of willingness to pay requires surveys where the priorities of different actors are mapped. These data are at a more general level and neither contain personal nor commercially sensitive data.
- Transferability data: Data on critical indicators will be collected to check a possible transferability of the concept to another city.

Allowing data to be exploited and made accessible for verification and reuse

The basic principle is that data should be accessible to the public, and a dedicated area of the CITYLAB web site will be used for sharing publicly accessible data. Exceptions from access can be made when legitimate academic or commercial interests, such issues will be handled by the Management Committee. One such example is financial implementation data where protection of information revealing for instance industry partners' general cost structure or competitive conditions may be needed. A workaround to the protection of proprietary data will be to refer to relative changes rather than absolute values.

CITYLAB is committed to distribute results and publications via Open Access publishing and has allocated dedicated resources for this. Consortium partners will seek to publish results in open access journals to widen the target audience of the project's results. Consortium partners will publish results in scientific journals that can assure such open access without restriction.

Curation and preservation of data

Proprietary data gathered by a consortium member remains in the care of that consortium member, and will not be distributed to any other consortium member or any party outside of the consortium. All consortium shared data will be stored in secure environments at the locations of consortium partners with access privileges restricted to the relevant project partners. Processing and use of data will follow Directive 95/46/EC and the "General Data Protection Regulations law".

Public data will be made available through the project's web site. For many previous European projects, it has been difficult to reuse the findings because the web sites have closed down after the projects' end dates. The CITYLAB web site will be planned in such a way that before the project ends, a post-project phase version will be established to facilitate access to data unrestricted in time. The web site will be kept by the University of Southampton, who may keep web sites permanently.

4.3 Intellectual property management

The CITYLAB Consortium Agreements defines rules and procedures for management of intellectual property that is brought into and generated by the CITYLAB project. Among the core principles are:

- **Ownership of Results** (8.0): Results are owned by the Party that generates them.
- **Joint ownership** (8.1): Unless otherwise agreed:
 - each of the joint owners shall be entitled to use their jointly owned Results for non-commercial research activities on a royalty-free basis, and without requiring the prior consent of the other joint owner(s), and
 - each of the joint owners shall be entitled to otherwise Exploit the jointly owned Results and to grant non-exclusive licenses to third parties (without any right to sub-license), if

the other joint owners are given:(a) at least 45 calendar days advance notice; and (b) Fair and Reasonable compensation.

- **Dissemination of own results** (8.3.1.1): During the Project and for a period of 1 year after the end of the Project, the dissemination of own Results by one or several Parties including but not restricted to publications and presentations, shall be governed by the procedure of Article 29.1 of the Grant Agreement subject to the following provisions. Prior notice of any planned publication shall be given to the other Parties at least 45 calendar days before the intended date of publication. Any objection to the planned publication shall be made in accordance with the Grant Agreement in writing to the Coordinator and to the Party or Parties proposing the dissemination within 30 calendar days after receipt of the notice. If no objection is made within the time limit stated above, the publication is permitted.
- **Dissemination of another Party's unpublished Results or Background** (8.3.2) A Party shall not include in any dissemination activity another Party's Results or Background without obtaining the owning Party's prior written approval, unless they are already published.
- **Use of names, logos or trademarks** (8.3.4): Nothing in this Consortium Agreement shall be construed as conferring rights to use in advertising, publicity or otherwise the name of the Parties or any of their logos or trademarks without their prior written approval.

To ensure transparency within the consortium, a **publication form** is introduced. Any party submitting scientific publications have to inform the **Management Committee** members (WP leaders) on their plans by use of the publication form in Appendix C. The publication forms will be kept in a dedicated folder of the project's Sharepoint site.

In the case of disputes, the Consortium Agreement defines procedures for handling these. However, in the case of doubts or concerns, it is good to raise a question to the Project Coordinator who will try to resolve the situation.

4.4 Document naming

Documents are shared between CITYLAB participants in an internal Sharepoint site made available by the University of Southampton. In order to ensure a reliable system for tracing of documents and their different versions, a document naming system is introduced. In this chapter we describe naming procedures for deliverables and reports, as well as for documents related to events taking place on specific dates.

Deliverables and reports

This category applies to all the working documents that are to be created during the CITYLAB project, such as deliverables or internal reports and working documents. These documents will be named as it is indicated below:

CITYLAB_<document name>_<version>-<revision>_<company>.extension

For deliverables the deliverable number (DXX) will be used as the name. The initial version of every document will be version 00 and revision 00. The document will be processed and the changes will be saved as revision 01, revision 02, etc. Once the document is considered definitive, it will be saved as version 01 revision 00.

In the case of those documents that have to be approved by the Project Manager (PM), e.g. deliverables, the version 01 revision 00 of it will be sent to the PM. If the PM considers that

any modification has to be done, the changes will be saved as version 01 revision 01, revision 02, etc. The next document to be sent to the PM will be sent as version 02 revision 01.

Those documents that do not have to be approved by the PM (e.g. internal documents), the final version of it will be saved as version 01 revision 00. If later on, the document has to be modified or updated, the document will be saved as version 01 revision 01, revision 02, etc. The new final document will be saved as version 02 revision 00.

The name of the company is optional and should be used for documents that are handled by different partners.

Example of naming (when VUB changes to a draft of this document): CITYLAB_D11_00-03_VUB.doc

When this deliverable is submitted to the EC, it will be named CITYLAB_D11_01-00.doc

Documents related to events taking place on specific dates

Documents related to events that take place on a given date, e.g.: minutes of meetings, workshops agendas, etc. will be named as follows:

CITYLAB_<date>_<document name>_<version>-<revision>_<company>.extension

The date will begin with the full year followed by month and day, each separated with dashes (e.g. 2016-03-26). This allows the accurate chronological ascending or descending order of documents in the file system of various operating systems.

The initial version of every document will be version 00 and revision 00. The document will be processed and the changes will be saved as revision 01, revision 02 etc. Once the document is considered definitive, it will be saved as version 01 revision 00.

In the case of those documents that have to be approved by the Project Manager (PM), the version 01 revision 00 of it will be sent to the PM. If the PM considers that any modification has to be done, the changes will be saved as version 01 revision 02, revision 03, etc. The next document to be sent to the PM will be sent as version 02 revision 00.

The final version of the documents that do not have to be approved by the PM (e.g. workshop agendas) will be saved as version 01 revision 00. If later on, the document has to be modified or updated, the document will be saved as version 01 revision 01, revision 02, etc. The new final document will be saved as version 02 revision 00.

The name of the company is optional and should be used for documents that are handled by different partners.

Example of naming: CITYLAB_2015-05-20+21_Kick-off-meeting-minutes_01-00.doc

Appendix A: CITYLAB Risk monitoring template

Instructions:

- The risk ID consists of two components. The first component is a consecutive numbering of the risks, while the second component indicates the status of the risk, where 1 indicates that the risk is identified, 2, indicates that measures are implemented, and 3 indicates that the risk has been mitigated and that further corrective measures are not needed.
- For probability and consequence, H=High, M=Medium and L=Low.

Risk ID	Date	WP	Description	Prob. H/M/L	Conseq. H/M/L	Classification	Corrective measures	Status of risk mitigation	Risk owner

Appendix B: Review form for deliverables

CITYLAB Deliverable review form

Part I: To be completed by authors

Deliverable number and title:	
Main objectives of the deliverable:	
Reviewer(s):	

Part II: To be completed by reviewers

A. Are the original objectives achieved?	
B. Is the technical approach adopted in the deliverable reasonable?	
C. Comment on the clarity and quality of presentation, language and format. Specific parts or issues that should be improved.	
D. Direct text suggestions	Please make suggestions with the “Track changes” functionality

Part III: To be completed by authors who receive the review

Please describe suggestions/requirements that have not been taken into account and why?

Reference	Explanation

Appendix C: Form of intent for planned publications

Title of the paper/publication:	
The names of the authors-participants in CITYLAB and the names of other authors outside the consortium (if any):	
CITYLAB partner(s) and the names of other institutions outside the consortium (if any):	
Name of the journal or conference (including place and timing, in case of conferences):	
Abstract:	