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## D1.1 – Project Management Plan

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1.3	28/6/2017	Matteo Gerosa	FBK	Revision with final contributions from partners.
2.0	29/6/2017	Marco Pistore	FBK	Final quality check.

### Statement of originality

This deliverable contains original unpublished work except where clearly indicated otherwise. Acknowledgement of previously published material and of the work of others has been made through appropriate citation, quotation or both.

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## Glossary

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<b>AB</b>	Advisory Board
<b>API</b>	Application Programming Interface
<b>EAB</b>	Ethics Advisory Board
<b>HTML</b>	HyperText Markup Language
<b>PA</b>	Public Administration
<b>PDF</b>	Portable Document Format
<b>PC</b>	Project Coordinator
<b>PM</b>	Project Manager
<b>PMB</b>	Project Management Board
<b>PMP</b>	Project Management Plan
<b>QAP</b>	Quality Assessment Procedure
<b>REST</b>	REpresentational State Transfer
<b>RST</b>	reStructuredText
<b>WP</b>	Work Package
<b>WPL</b>	Work Package Leader

## Executive summary

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This document is the deliverable “D1.1 – Project Management Plan” of the European project “SIMPATICO - SIMplifying the interaction with Public Administration Through Information technology for Citizens and cOMpanies” (hereinafter also referred to as “SIMPATICO”, project reference: 692819).

The SIMPATICO Project Management Plan (PMP) is the main planning document and describes how major aspects of the project are managed, monitored and controlled. It is intended to provide guidance and direction for specific management, planning, and control activities such as schedule, cost, risk, communication, quality, etc. The focus of this document is to describe the approaches being taken in the project to manage the various work packages, share and store documents, communicate among consortium members, control the quality of project deliverables, identify and mitigate risks associated with the project.

Benefits of creating a Project Management Plan include:

- clearly define roles, responsibilities, processes and activities;
- increase probability that projects will complete on-time, within budget, and with high degree of quality;
- ensuring understanding of what was agreed upon;
- helping project teams identify and plan for how project activities will be managed (budget, quality, schedule, etc.).

The PMP is a living document and should be updated continuously throughout the project. The main updates will concern project KPIs, project risks and ethics concerns, which will be regularly updated on the meetings of the Project Management Board (PMB). After approval by the PMB. the updated PMP will be uploaded in the SIMPATICO website. The final update of the Project Management Plan will be released at M36.

The intended audience of the SIMPATICO Project Management Plan consists of members of the SIMPATICO consortium and the Project Officer.

## 1 Introduction

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Deliverable 1.1 details the Project Management Plan (PMP) of the SIMPATICO project. The purpose of this document is to provide a documented plan for the management and control of the organizational, developmental and supporting processes necessary to the successful implementation of the SIMPATICO project.

It outlines the goals and objectives and organizational structure; defines the responsibilities and roles of project participants; identifies the interactions among project partners; and specifies the general procedures and management tools that are implemented to ensure effective project management and successful project completion.

The development of the PMP is an evolving process: the PMP will be updated and revised as needed. The main updates will concern project KPIs, project risks, and ethics issues: these aspects will be updated on the regular meetings of the project boards. During each Project Management Board (PMB) meeting, the Project Manager will illustrate the updates of the PMP and ask for their approval from the PMB. After the approval, the updated PMP will be uploaded in the SIMPATICO website. The final update of the Project Management Plan will be released at M36. Revisions to the PMP will include periodic updates to the plan, especially related to project budget schedule, and risks. The PM will be responsible for the maintenance of and subsequent revisions to the PMP.

The project management process and procedures included in this PMP are based on the Project Management Body of Knowledge the PMBOK® Guide, 5th Edition (Rose, 2013), published by the Project Management Institute.

The SIMPATICO project is employing a standard project management approach based on documented timelines, regular communications, active follow up, and formal quality control and risk mitigation processes. To support its project management approach, the SIMPATICO project uses a cloud shared; revision history enabled and always synced folders (provided by Google Drive service) and a set of dedicated conference calls. The combination of these solutions provides the team with facilities for sharing and managing of documents, managing work package tasks, tracking progress against task deliverables, scheduling meetings and discussions, and generally ensuring that the distributed project team can pro-actively collaborate to meet project requirements.

In order to ensure that regular progress reports are produced on time by deliverable leaders FBK created procedures and templates. These procedures have been finalized to assure that actual resource consumption is tracked against plan, that any deviations from the plan are quickly surfaced and appropriate risk mitigation actions taken.

To facilitate on-going reporting activities and project team work, email lists have been created and conference calling facilities established. In addition, a project website been developed to provide not only internal communications capabilities for the SIMPATICO team, but to support the team's dissemination and exploitation activities.

Finally, formal quality control and risk management processes have been established so that project deliverables meet the operational criteria so that any deviations from plan are properly addressed.



## 2 Overview of SIMPATICO project

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SIMPATICO proposes a novel approach for the delivery of personalized online services that, combining emerging technologies for language processing and machine learning with the wisdom of the crowd, makes interactions with the PA easier, more efficient and more cost effective.

### 2.1 Project purpose and objectives

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SIMPATICO's goal is to improve the experience of citizens and companies in their daily interactions with the public administration by providing a personalized delivery of e- services based on advanced cognitive system technologies and by promoting an active engagement of people for the continuous improvement of the interaction with these services. The project objectives are:

1. Adapt the interaction process with respect to the profile of each citizen and company (PA service consumer), in order to make it clear, understandable and easy to follow.
2. Exploit the wisdom of the crowd to enhance the entire e-service interaction process. Deliver the SIMPATICO Platform, an open software system that can interoperate with PA legacy systems.
3. Evaluate and assess the impact of the SIMPATICO solution.

The goal will be achieved through a solution based on the interplay of language processing, machine learning and the wisdom of the crowd (represented by citizens, business organizations and civil servants) to help citizens interact with the PA in a better way with less repeat calls for information or linguistic misunderstandings due to form and format.

### 2.2 Project milestones

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For a correct tracking of progress, the SIMPATICO project adopts a work plan with six Milestones. Table 1 presents the list of Milestones.

Table 1: List of milestones

Mil. number	Milestone name	Related WPs	Est. date	Means of verification
<i>Mil1</i>	First version of SIMPATICO requirements	WP5, WP6	M6	SIMPATICO validation framework and use-case requirements have been defined for all 3 use-cases. Technological requirements have been collected. State-of-the-art techniques have been reviewed and selected.
<i>Mil2</i>	First release of SIMPATICO components	WP2-4	M12	First release of SIMPATICO components ready to be integrated in a prototype system. Preliminary methods and tools developed in WP2-WP4, following recommendation and policies developed in WP2.

<i>Mil3</i>	First integration and validation of use-cases	WP5, WP6	M20	Successful integration of SIMPATICO components developed in WP2-4 and validation by the 3 use-cases in a prototype test environment. Successful achievement of use-case KPI as defined in T6.2.
<i>Mil4</i>	Second release of SIMPATICO components	WP2-4	M24	Improved version of SIMPATICO tools and components, following lessons learned in the first evaluation phase. The tools will be prioritized with respect to their maturity and potential of adoption by end users.
<i>Mil5</i>	Second integration and validation of use-cases	WP5, WP6	M32	Improved release of the SIMPATICO Platform containing improved versions of all methods and tools planned in the project. Successful validation of the second release of SIMPATICO by the 3 use-cases: second validation phase will involve a larger number of users and increased number of services. Successful achievement of use-case KPIs as defined in T6.2.
<i>Mil6</i>	Final release of SIMPATICO solution	WP1-7	M36	Final version of SIMPATICO solution, including SIMPATICO Platform, sustainability model and exploitation plan. In particular, the SIMPATICO solution will include a plan for the extension of the platform to other cities and application domains.

## 2.3 Project deliverables

Table 2 summarizes the SIMPATICO deliverables.

Table 2: List of deliverables

ID	Deliverable name	WP	Short name of lead particip.	Type	Dissem. level	Delivery date
D1.5	Ethical compliance report	WP1	FBK	R	PU	M3
D7.1	Project website	WP7	SPA	DEM	PU	M3
D1.1	Project management plan	WP1	FBK	R	PU	M6
D1.3	Data management plan, v1	WP1	FBK	R	PU	M6
D3.1	User interactions modelling and design, v1	WP3	HIB	R	PU	M6
D4.1	Citizenpedia framework specification and architecture	WP4	DEUSTO	R	PU	M6
D5.1	SIMPATICO platform requirements and architecture, v1	WP5	ENG	R	PU	M6

D6.1	Use-case planning & evaluation, v1	WP6	FBK	R	PU	M6
D7.2	Dissemination plan	WP7	SPA	R	PU	M6
D2.1	Basic version of text and workflow adaptation	WP2	USFD	OTH	PU	M12
D3.2	Basic methods and tools for user interaction automation	WP3	HIB	OTH	PU	M12
D4.2	Basic methods and tools for human computation	WP4	DEUSTO	OTH	PU	M12
D6.3	Citizens & stakeholders engagement & community building plan, v1	WP6	FBK	R	PU	M12
D5.3	SIMPATICO interoperability framework and use-case environments, v1	WP5	ENG	OTH	PU	M14
D7.4	Market analysis and exploitation plan, v1	WP7	SPA	R	CO	M18
D5.2	SIMPATICO platform requirements and architecture, v2	WP5	ENG	R	PU	M20
D5.5	SIMPATICO platform validation report, v1	WP5	ENG	R	PU	M20
D6.5	SIMPATICO evaluation report, v1	WP6	FBK	R	PU	M20
D1.2	Intermediate activity report	WP1	FBK	R	PU	M22
D2.2	Advanced version of text and workflow adaptation	WP2	USFD	OTH	PU	M24
D3.3	Advanced methods and tools for user interaction automation	WP3	HIB	OTH	PU	M24
D4.3	Advanced methods and tools for human computation	WP4	DEUSTO	OTH	PU	M24
D6.2	Use-case planning & evaluation, v2	WP6	FBK	R	PU	M24
D6.4	Citizens & stakeholders engagement & community building plan, v2	WP6	FBK	R	PU	M24
D5.4	SIMPATICO interoperability framework and use-case environments, v2	WP5	ENG	OTH	PU	M26
D6.6	SIMPATICO evaluation report, v2	WP6	FBK	R	PU	M32
D1.4	Data management plan, v2	WP1	FBK	R	PU	M36
D2.3	Final version of text and workflow adaptation	WP2	USFD	OTH	PU	M36
D3.4	Final user interaction automation framework	WP3	HIB	OTH	PU	M36
D4.4	Final human computation framework	WP4	DEUSTO	OTH	PU	M36
D5.6	SIMPATICO platform validation report, v2	WP5	ENG	R	PU	M36
D7.3	Dissemination & communication	WP7	SPA	R	PU	M36

	materials					
D7.5	Market analysis and exploitation plan, v2	WP7	SPA	R	CO	M36
D8.1	H – Requirement	-	FBK	R	PU	M3
D8.2	POPD – Requirements	-	FBK	R	PU	M3

### 3 Project organization

The SIMPATICO Consortium is comprised of ten partners and is coordinated by Fondazione Bruno Kessler (FBK) in Trento. The partners of the SIMPATICO consortium hold considerable and long-lasting experience with EU research projects. FBK in particular has a strong experience in coordinating European research projects, and expert FBK staff supports all administrative, legal and financial tasks.

In order to fulfil this objective, the SIMPATICO consortium counts on a highly competent international team consisting of an internationally well recognized research institute (FBK), two prestigious universities (DEUSTO and USFD), a large company (ENG), three innovative SMEs (HIB, SPA, BENG) and three public administrations (TRENTO, GALICIA, SCC), for a total of ten organizations from three countries. The consortium composition results in a dynamic, focused and strategically balanced group between academia, public administration and industry as Table 3 shows.

Table 3: Consortium composition

Participant No *	Participant organisation name	Participant short name	Country
1	Fondazione Bruno Kessler	FBK	IT
2	Universidad de la Iglesia de Deusto	DEUSTO	SP
3	University of Sheffield	USFD	UK
4	Engineering – Ingegneria Informatica SPA	ENG	IT
5	Hi-Iberia Ingenieria y Proyectos SL	HIB	SP
6	Sparta Technologies LTD	SPA	UK
7	BEng Business Engineering SRL	BENG	IT
8	Comune di Trento	TRENTO	IT
9	Conselleria de Politica Social - Xunta de Galicia	GALICIA	SP
10	Sheffield City Council	SCC	UK

#### 3.1 Management structure

The coordination of the SIMPATICO project requires special attention to the management of multi-disciplinary activities in order to define an organization that meets the overall SIMPATICO objectives, with the right balance between rigor and flexibility and giving room to innovation and creativity. Special attention must also be paid to the content of each WP in order to ensure the maximum consistency and solidity in the project.

The main objective of the management is to ensure that all project-related tasks are performed successfully and comply with contractual requirements. The key features for successful project management are:

- a management organization that is matched with the project complexity;
- efficient communications within the organization;
- clear definition of contractual requirements and relationships;
- adequate planning and control procedures;
- comprehensive quality and risk management frameworks.

In order to achieve efficient project implementation, the structures of the Work Packages and their related tasks have been defined with the aim of minimizing overlap between different activities. Figure 1 shows the relation among task and WP in the SIMPATICO work-plan. This allows the definition of clear responsibilities, roles and objectives for all project resources. Within the project each partner has a clear responsibility and lines of reporting: each task activity in a WP is led by a partner, with the task leader reporting to the work package leaders, coordinating the technical work for his/her activity according to the project and WP objectives.

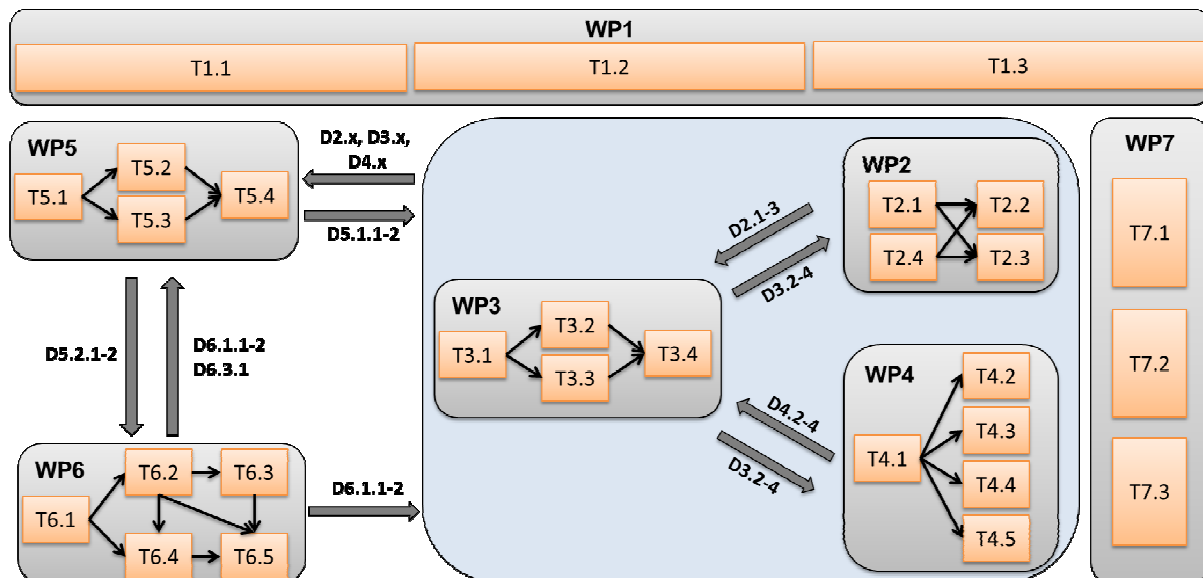


Figure 1: SIMPATICO work-packages and their relations

The management structure is based on the extensive experience of the partners in European funded projects and has been adapted in order to meet the requirements of a project that is characterized by an ambitious activity plan and a heterogeneous consortium. The SIMPATICO project management structure is shown in Figure 2.

The main elements of the project organizations are:

- the **Project Coordinator**, acting as the general manager and overseeing the technical progress of SIMPATICO;
- the **Project Manager**, supporting the Project Coordinator in administrative, financial and management issues;

- the **Innovation Manager**, entrusted with the promotion of the SIMPATICO results adoption outside the SIMPATICO consortium;
- the **Work Package Leaders**, responsible for successful execution of the work packages;
- the **Project Management Board**, chaired by the Project Coordinator and consisting of one representative of each partner of the Consortium, is the decision-making body of the consortium;
- the **Advisory Board** an external consultant body to the Project Management Board.
- the **Ethic Advisory Board** composed of one external expert plus one representative for each partner, in charge of addressing ethical issues in the project

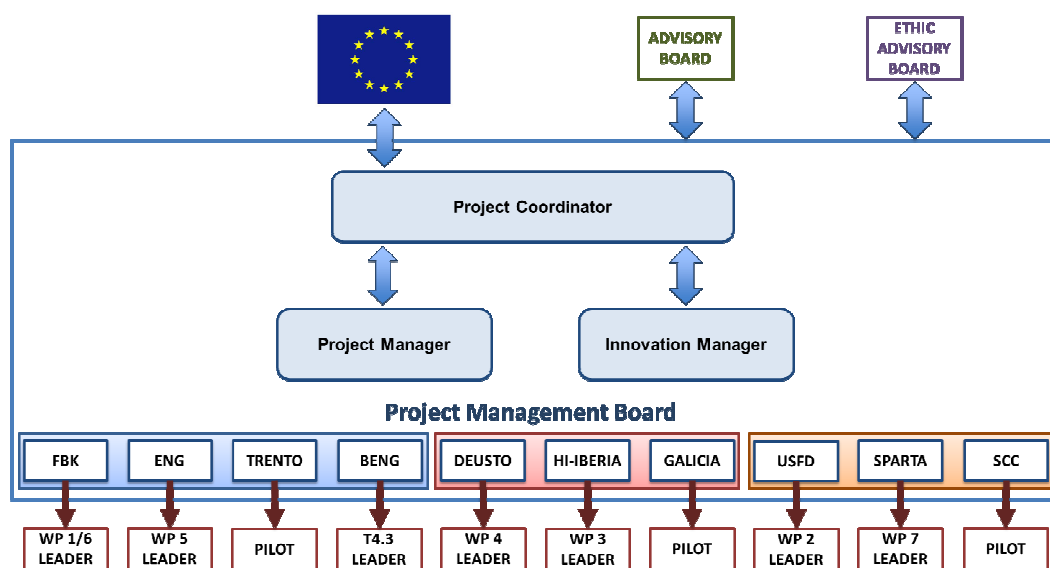


Figure 2: SIMPATICO management structure

### 3.2 Roles and responsibilities

The SIMPATICO project has been successfully implemented through the concerted efforts of various organizations and responsible parties, who work together as an integrated team providing multiple levels of oversight to ensure a successful outcome for the project. In the following, a description of the responsibilities for the main roles is given, and persons already appointed to the roles are specified.

**Role:** Project Coordinator (PC)

**Appointed Person:** Marco Pistore (FBK)

**Main Responsibilities:** The PC is the primary responsible for the SIMPATICO project and acts as the intermediary between the Consortium and the European Commission. He is also responsible for the overall coordination of the project execution, and works on the day-to-day management of the project in collaboration with the Project Manager. The PC also chairs all the meetings of the Project Management Board. In particular, the Project Coordinator is responsible for:

- monitoring compliance by the Parties with their obligations

- collecting, reviewing and submitting information on the progress of the project, reports and other deliverables to the EC
- preparing the meetings, proposing decisions and preparing the agenda of Project Management Board meetings, chairing the meetings, and monitoring the implementation of decisions taken at meetings
- transmitting promptly documents and information connected with the Project,
- providing, upon request, the Parties with official copies or originals of documents which are in the sole possession of the Coordinator when such copies or originals are necessary for the Parties to present claims.

The Project Coordinator is assisted in its role and responsibilities by the Project Manager.

**Role:** Project Manager (PM)

**Appointed Person:** Matteo Gerosa (FBK)

**Main Responsibilities:** the PM is responsible for overseeing the Administrative and Financial Management of the project, managing advance payments, transfer of the sums allocated among the contractors as per budget and record-keeping of EC payments allocated/paid to the contractors. The PM also supports the PC in making sure that the project is managed using the highest standards and procedures in compliance with the recognised international standards for project management set by the Project Management Institute (PMI). He is responsible for ensuring that all key deliverables are met within time, cost and performance constraints and that they adhere to proper quality control mechanisms and standards. The PM must ensure that all assigned resources are effectively and efficiently utilized and that the project is properly resourced with both internal and external resources. He is in charge of:

- regular status reports and updates to executives;
- ensure that all partners are kept informed and up-to-date as to what their responsibilities are in relation to the project;
- budget tracking actual against estimated;
- assistance to the Project Coordinator in the day-to-day management of the Project.

**Role:** Innovation Manager (IM)

**Appointed Person:** Zulf Choudhary (SPA)

**Main Responsibilities:** The IM is in charge of promoting the adoption of SIMPATICO results outside the SIMPATICO Consortium. He takes care of contacts with organizations that may be potential user of the SIMPATICO platform, and considers especially adoption in the long term, once the project has finished. He works in close touch with the PC and with the PM. He supervises the exploitation activities of the individual partners and coordinates the elaboration of an exploitation plan. In order to fulfil this goal, the IM acts as the Task Leader of T7.3.

**Role:** Work Package Leader (WPL)

**Appointed Persons:** Matteo Gerosa (FBK), Lucia Specia (USFD), Raúl Santos de la Cámara (HIB), Iván Pretel (DEUSTO), Antonio Filograna (ENG), Marco Pistore (FBK), Fabio Perossini (SPA)

**Main Responsibilities:** Each WPL is responsible for the planning, progress control, quality management and the successful completion of its WP and of the interactions with the other WPs according to the work plan. Their activities include:

- keeping work package on track and report WP status to the PC;

- planning, distributing among WP partners actions transmitted by the PC and monitoring their execution;
- supervising the work of the of the WP team, identify problems and risks and when necessary propose revisions of the WP plan.

**Role:** Project Management Board (PMB)

**Appointed Person** one appointed representative per partner (See Annex 1), the PM and IM participate without voting rights).

**Main Responsibilities:** This board, chaired by the PC, bears the highest decision-making responsibilities and policy setting powers; it is the collective decision-making body of the Consortium and is in charge of all technical and management decisions. The PMB monitors the performance of the Consortium Agreement in which IPR, confidentiality and exploitation issues, conflict resolution, decision-making procedures, agreements mechanisms, and voting rights, etc. are formally established.

The board is also responsible to monitor project progress, approve the project management plan and any amendments, prepare and finally approve amendments to the implementation plan, assess project risks, decide on budget-related matters, review the policy and strategy for dissemination and exploitation, identify, monitor and resolve any IPR issues, resolve inter-partner conflicts during the project (if not successfully mediated by the PC) and discuss and decide to prematurely terminate the project if deemed necessary

**Meetings:** At least every three months or upon request of one of the partners to the PC to convene. Meetings may be via teleconference or face to face. Any member of the Project Management Board:

- should be present or represented at any meeting;
- may appoint a substitute or a proxy to attend and vote at any meeting;
- shall participate in a cooperative manner in the meetings.

**Role:** Advisory Board (AB)

**Appointed Person:** experts and potential users of project outcomes

**Main Responsibilities:** An Advisory Board (AB) is appointed and steered by the Project Management Board. The AB shall assist and facilitate the decisions made by the Project Management Board. The AB members interact with the Consortium using the SIMPATICO web site. The website includes an internal section where approved advisory board members are constantly kept up to date on the project accomplishment and are able to provide advice on some particular issue that corresponds to their expertise.

**Meetings:** Regular teleconference meetings twice a year. No face-to-face meetings are scheduled.

The Coordinator shall write the minutes of the AB meetings and prepare the implementation of the AB's suggestions. The AB members shall be allowed to participate in Project Management Board meetings upon invitation but have not any voting rights.

The AB is composed by three experts for each of the three countries involved in SIMPATICO. Its composition was chosen balancing public sector, research and industry. The members of the AB are listed in Annex 5.

**Role:** Ethic Advisory Board (EAB)



**Appointed Person:** For the first project year, one external expert plus one representative for each partner. For the following years one ethic expert for Italy, Spain and UK, plus the Project coordinator and the Project Manager.(See Annex 6).

**Main Responsibilities:** The **general responsibilities** of the Ethic Advisory Board include:

- Maintaining an **overview of the work** throughout the whole course of your project and help the Consortium to think ahead about possible problems that might arise and how they can be addressed (i.e. checking for compliance with ethical standards within the relevant research fields);
- Creating **reports (statements)** about the ethical acceptability of the planned research. One updated version of this deliverable will be sent after the first meeting of the above-mentioned Committee, which will define ethical and societal aspects that should be taken into account during the project lifespan, both when collaborating with project participants and when defining the functionalities of the final SIMPATICO platform/services. This updated version will be delivered before the start of the piloting activities.
- Reporting **the progress of how the ethical issues are addressed** in the project in the expected versions of the “**D1.1 Project management plan**” and “**D1.2 Intermediate activity report**” (M6; M22).

Further **specific responsibilities** of the Ethic Advisory Board include:

- Obtaining **instructions from the Data Protection Authorities** of the involved Member States, aimed at demonstrating the compliance of the ethics, privacy and data protection processes with the European and national legal framework. Prior to the commencement of each relevant WP that collects or processes data, and where applicable, copies of these instructions will be forwarded to the EU Commission and reported through the above-mentioned deliverables “D1.1 Project management plan” and “D1.2 Intermediate activity report” (M6; M22).
- Providing **detailed information on the relevant project activities to the Data Protection Authorities** of the involved Member States on the source and secondary use of the data. Their approvals will be sent to the EU Commission and reported through the above-mentioned deliverables “D1.1 Project management plan” and “D1.2 Intermediate activity report” (M6; M22).
- Submitting **any further copies of its ethical approvals/opinions/notifications to the EU Commission**, reported via the above-mentioned deliverables “D1.1 Project management plan” and “D1.2 Intermediate activity report” (M6; M22), prior to the commencement of each relevant WP that collects or processes data, and where applicable.
- Collecting free and fully **informed consent** of the persons concerned (‘data subjects’);
- Besides these documents, and where applicable, **providing to the EU Commission further detailed information on the source of the data, privacy/confidentiality, and the procedures** that will be implemented for data collection, storage, access, sharing policies, protection, retention and destruction. Confirmation that they comply with European and national legislation will also be included (i.e. via the above-mentioned “D1.1 Project management plan” and “D1.2 Intermediate activity report”).

The meetings of the EAB will be called by the Project Manager. The PMB members will also be invited as auditors to the EAB meetings in order to keep the management body of the project up to date with the ethical issues that may arise. The minutes of the EAB meetings are reported in Annex 7 – SIMPATICO EAB meeting minutes.

An organization based on these roles provides a good balance between striving for a light organizational load and detailing a structure that fits with the complex of a project like SIMPATICO. The above roles have very clear responsibilities with no overlap, as shown in Table 4.

Table 4: Management figures and responsibilities

Category	Responsibility	Roles and Bodies
General Management	Overall direction and major decisions of the project; communication, control and corrective measures	<ul style="list-style-type: none"> <li>• Project Coordinator (PC)</li> <li>• Project Management Board (PMB)</li> </ul>
Financial and day-to-day management	Supervision of deliverables preparation and submission, organisation of project meetings and reviews, control overall project expenditure, cost report collection, check and payment	<ul style="list-style-type: none"> <li>• Project Manager (PM)</li> </ul>
Scientific and technical management	Coordination of operative efforts on a scientific, technical, services and business related basis, responsible for scientific, technical and business decisions	<ul style="list-style-type: none"> <li>• Project Coordinator (PC)</li> <li>• WP Leaders (WPL)</li> </ul>
Consultancy, Exploitation, Dissemination	Monitoring, consultancy feed-back, exploitation and dissemination of the results of the technology driven project in order to provide fundamental impact end boot the adoption of project results outside the Consortium.	<ul style="list-style-type: none"> <li>• Innovation Manager (IM)</li> <li>• Advisory Board (AB)</li> <li>• Ethic Advisory Board (EAB)</li> </ul>

### 3.2.1 Responsibility assignment

Work done in the project is globally divided in 7 work packages. Each WP is composed of Tasks. Each task has a responsible person that monitors its progress, takes decisions about work distribution at that level, informs about its status to the upper level, transfers actions from the upper level and assigns them to the proper entity. Details about WP and task leaders are given in Annex 1 of this PMP.

The summary of each partner main responsibility assignments within the SIMPATICO project life cycle as far as WPs, tasks and deliverables are concerned are given in Annex 2 of this PMP.

### 3.3 Consortium procedures

Day-to-day scientific and management decision are taken by the PC. Strategic decisions and major technical and operational decisions (like any reschedule of deliverables, milestones, tasks, effort) are taken by the PMB, which has the highest decision-making responsibility and policy setting power.

The Project Management Board shall not deliberate and decide validly unless two-thirds (2/3) of its members are present or represented (quorum). Each member shall have one vote. Defaulting Parties may not vote. In case of conflict resolution voting, a majority of 80% is required. The PC mediates and participates in all important decision.

Any decision may also be taken without a meeting if the PC circulates to all members a written document which is then signed by the defined majority of members. Such document shall include the deadline for responses. Decisions will only be binding once the relevant part of the minutes has been accepted.

A member who can show that its own work, time for performance, costs, liabilities, intellectual property rights or other legitimate interests would be severely affected by a decision of the Project Management Board may exercise a veto with respect to the corresponding decision or relevant part of the decision. When the decision is foreseen on the original agenda, a member may veto such a decision during the meeting only. When a decision has been taken on a new item added to the agenda before or during the meeting, a member may veto such decision during the meeting and within 15 days after the draft minutes of the meeting are sent. In case of exercise of veto, the members shall make every effort to resolve the matter which occasioned the veto to the general satisfaction of all members. 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 them. A Party requesting to leave the consortium may not veto decisions relating thereto.

The PC shall produce written minutes of each meeting which shall be the formal record of all decisions taken. He shall send draft minutes to all members within 10 calendar days of the meeting. The minutes shall be considered as accepted if, within 15 calendar days from sending, no member has sent an objection in writing to the PC with respect to the accuracy of the draft of the minutes. The PC shall send the accepted minutes to all the members of the Project Management Board.

The Project Management Board shall be free to act on its own initiative to formulate proposals and take decisions in accordance with the procedures set out.

### **3.4 Issue management**

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Conflict is not expected to be a significant factor since the roles of each partner have been well defined, so as to avoid any misunderstandings that might occur later in the project.

The resolution of problems and conflicts are handled systematically. Establishing a good working relationship among the project team members is a prerequisite for the quick resolution of problems and issues.

Conflicts resolution are based on the principle that any dispute should be resolved by consent and as near the source as possible, thus, conflicts on a local sphere are managed by the people involved (e.g. a dispute between the partners engaged in a WP should be addressed by that WP team).

Conflicts which cannot be solved internally are taken through a “principled negotiation” process that is focused on optimising outcomes and maximising the benefits of all parties involved.

In case of conflicts arising within the consortium regarding the carrying out of the project or other matters related to the project itself, the following steps are taken:

- The parties will try to resolve the conflict issue amicably between them;
- If a conflict cannot be resolved within the local sphere, it is raised to the PC; for conflict resolution in a technical aspect, the PC is in charge of proposing an alternative. If this is agreed, the issue is solved.

- If this attempt fails the question will be brought to the first scheduled meeting of the PMB, or in case of urgency, an ad hoc meeting of the PMB will be called for by the Project Coordinator, upon request of a PMB member;
- The question will be discussed within the PMB, and the Project Coordinator will try to solve it by consensus; the PMB will decide which procedure will be followed, and the corresponding correction measures that should be taken. The participant that provokes the conflict will declare acceptance of the procedure and the corrective measures.
- If the conflict cannot be resolved, the PC declares the participant “not in line” with the project execution and the Consortium will ask for a contract termination for the participant concerned, with the contractually stated consequences. The Project Officer will be immediately notified of the situation and of the measures to be taken in order to solve it. An appropriate review of the work plan will be suggested by the PC, approved by the PMB and sent to the commission for acceptance.
- In case it is decided (by the PC or PMB) that a conflict resolution will involve a voting procedure among partners, a majority of the 80% will be required for the decision to go ahead (8 out of 10 partners).

### 3.5 Stakeholders (Internal and external)

Management of stakeholders’ engagement is carried out within WP6, although strong link has been activated with WP7 activities both in dissemination and exploitation. Stakeholders are considered key drivers to project exploitation so their selection is going to be done among target audience categories with priorities given to decision makers and opinion leaders. It is mandatory to include in stakeholders going to be engaged representatives of institutions, social communities, business actors and research excellences.

A first exercise to identify all key stakeholder categories is summarised in Table 5.

Table 5: Preliminary list of SIMPATICO stakeholders

ID	Description	Interest(s)	Observations
STK#1	Project partners	Actively participate project	No engagement needed
STK#2	End-users	Citizens interest concentrated in addressing their needs and simplification of processes	
STK#3	European Commission	Project enabler, Research outcomes and their evaluation.	No engagement needed
STK#4	Scientific community	Scientific exploitation of achieved results	Scientific dissemination designed to support their engagement.
STK#5	Institutional Agencies	Data privacy, Process simplification, Citizens integration.	Varied from country to country
STK#6	Public administrations	Municipality, Wider areas, Regions and States can bring the interest in simplify their	Local web sites designed to engage them

		process using Simpatico.	
STK#7	Business entities	Business exploitation around Simpatico outcomes should be designed around their needs	Local web sites designed to engage them
STK#8	NGOs	Not business related exploitation and project sustainability	Specific communities providing their special needs could empower the project exploitation

For each identified stakeholder category an analysis of their interests and whether those interests are in favour or against the goals of the project is conducted by the PM. For those stakeholders that it is considered appropriate pro-active engagement plans are defined and conducted.

On a regular basis, a review of the stakeholder list is done to identify new (if any) stakeholders and to assess the engagement and attitude of each stakeholder. When needed, new engagement plans will be defined and launched and already existing engagement plans will be modified.

Details on the procedures and criteria that are used to identify/recruit participants in the project are included in the deliverable D1.5 Ethics compliance report.

## 4 Project schedule

An overall SIMPATICO high-level schedule has been prepared by the PM to include the different phases and milestones of the project as Figure 3 shows.

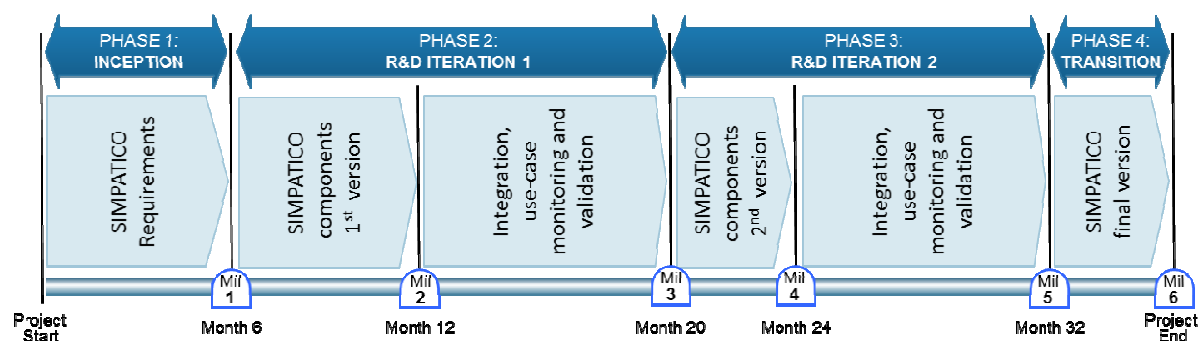


Figure 3: SIMPATICO project phases

The detailed timing of the SIMPATICO work-plan is given in Annex 2 of this document which constitutes the baseline. The project schedule is updated monthly to reflect the progress of the work. This section also addresses how action items are documented tracked and closed.

### 4.1 Schedule management

Schedule management is the process of ensuring that the project schedule is base lined, maintained, and managed. It is a dynamic process that occurs throughout the project lifecycle: under the rolling wave approach, as more information becomes available, the schedule can be refined to reflect the updated information. Schedule management is accomplished through a stringent change control

process, and a comprehensive monitoring and reporting system. Project status is monitored against the baseline on a monthly basis and the Work-Plan will be updated as needed. The PM has primary responsibility for coordinating the gathering of schedule status information from all partners.

The project overall schedule management is the responsibility of the Project Coordinator; the schedule management within each WP is managed by the leader of that WP; the detailed action plan for each task will be managed by the leader of that task; thus, the different schedule management processes is therefore managed by different people depending on the level.

As the monthly monitoring is performed, the PM may identify schedule slippage on critical paths tasks: the PM and the PC will work together to identify ways to get the project back on schedule.

For variances greater than 1 month the project manager may choose to ask guidance of the PMB. Variances greater than 3 months are considered unacceptable. The PM and PC will immediately inform the PMB if they determine that any milestones are at risk of being missed.

If a change occurs, the PM shall incorporate proposed change(s) into an updated work-plan. This document contains a revision history log where the following information should be recorded:

- the incremented version number;
- the date;
- the name of the person authorizing the change;
- the description of the change;
- the effects of the change on the progress of the work.

Revisions to schedule baselines (only in cases in which a milestone is missed) are managed and controlled by the change management plan.

The approved schedule Plan is stored in the SIMPATICO Google Drive repository, maintained by the PM and available to all project team.

#### **4.1.1 Action item management**

Actionable activities are traced by the relevant minutes of meetings and teleconferences. Each action includes the following information:

- action identifier;
- action responsible;
- action deadline.

Actions can have three different states which depend on the current level of accomplishment:

- an action is IN PROGRESS if it is not yet managed;
- an action is DONE if there is evidence that somebody accomplished the action;
- an action is DELAYED if it is postponed with respect to the fixed date.

The PM is in charge of managing the project action items list which is stored in the SIMPATICO repository. Action item list is checked and discussed during plenary and technical teleconferences.

## 5 Project budget

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As specified in the Consortium Agreement, the financial contribution of the Funding Authority to the SIMPATICO project is distributed by the Project Coordinator according to

- the Consortium Plan;
- the approval of reports by the Funding Authority.

The coordinator must distribute the payments between the beneficiaries without unjustified delay. The following payments will be made to the Coordinator:

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

The aim of the pre-financing is to provide the beneficiaries with a float. It remains the property of the EU until the payment of the balance. The Agency will make the pre-financing payment to the coordinator within 30 days either from the entry into force of the Agreement or from 10 days before the starting date of the action. An amount of EUR 181,435.94, corresponding to 5% of the maximum grant amount, is retained by the Agency from the pre-financing payment and transferred into the 'Guarantee Fund'.

Interim payments reimburse the eligible costs incurred for the implementation of the action during the corresponding reporting periods. The Agency will pay to the coordinator the amount due as interim payment within 90 days from receiving the periodic report.

The payment of the balance reimburses the remaining part of the eligible costs incurred by the beneficiaries for the implementation of the action.

The payment schedule, which contains the transfer of pre-financing and interim payments to Parties, is handled according to the following:

- Funding of costs included in the Consortium Plan will be paid to Parties after receipt from the Funding Authority without undue delay and in conformity with the provisions of the Grant Agreement. Costs accepted by the Funding Authority will be paid to the Party concerned.
- The Coordinator is entitled to withhold any payments due to a Party identified by a responsible Consortium Body to be in breach of its obligations under this Consortium Agreement or the Grant Agreement or to a Beneficiary which has not yet signed this Consortium Agreement.
- The Coordinator is entitled to recover any payments already paid to a Defaulting Party. The Coordinator is equally entitled to withhold payments to a Party when this is suggested by or agreed with the Funding Authority.

A Party which spends less than its allocated share of the budget as set out in the Consortium Plan or – in case of reimbursement via unit costs - implements less units than foreseen in the Consortium Plan will be funded in accordance with its actual duly justified eligible costs only.

A Party that spends more than its allocated share of the budget as set out in the Consortium Plan will be funded only in respect of duly justified eligible costs up to an amount not exceeding that share.

A Party leaving the consortium shall refund all payments it has received except the amount of contribution accepted by the Funding Authority or another contributor. Furthermore a Defaulting

Party shall bear any reasonable and justifiable additional costs occurring to the other Parties in order to perform its and their tasks.

More details can be found in the Consortium Agreement and in the Grant Agreement

## **5.1 Budget/Cost management**

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The objective of applying cost management is to ensure that the project is completed within budget. Cost Management refers to the process of gathering, tracking and managing the financial resources throughout the project's life cycle. This process relies heavily on accurate estimates and actual data that need to be maintained and updated accordingly. Having quality input data is the key to obtaining reliable cost information for managing resources and making decisions. Cost summaries information at the different levels are rolled up from task level to the project level.

Costs estimation and budget determination was done in the proposal phase of the project. The project budget reflects the whole estimated eligible costs that SIMPATICO consortium partners need for executing the project activities and is detailed in the overall project budget in the Grant Agreement.

In order to keep track of the estimated and real budget spent by each partner, the PM requests a financial internal report every 6 months, where real personnel costs, other direct costs and indirect costs during the period are indicated. Each partner is responsible to control their costs (personnel, subcontracting, and other indirect costs) in accordance with their own accounting and management principles and practices.

The PM shall prepare a status update every 6 months, including tracking and evaluating trends and variances in the costs associated with the project in order to provide timely management reporting which will enable rapid response and mitigation to adverse trends, problem areas, progress shortfalls, potential progress or cost impacts, etc. before they become milestone impacts.

The PM meets with the PMB as needed to review planned vs. actual progress, forecasted activity, areas in need of recovery and upcoming critical milestones.

For each reporting period, aggregated figures are prepared and passed by all partners to the Project Coordinator. The Project Coordinator then checks whether there are significant deviations between actuals and planned costs; if so corrective actions are defined and put in place.

The PM ensures that the project costs and available contingency amounts are monitored continuously and that there is adequate funding to cover proposed budget changes. Use or reallocation of contingency funds must be approved by the PMB. Cost deviations that will result in increasing the overall project budget have to be approved by the PMB once it is demonstrated that adequate funding exists to finance the proposed change.

## **6 Risk management**

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According to the 5th Edition of the PMBOK® Guide (1), a risk is “an uncertain event or condition that, if it occurs, has a positive or negative effect on one or more project objectives such as scope, schedule, cost, or quality.” For the purpose of this document, only *uncertain events with a potential*



*negative impact* are considered. If the foreseen event or condition takes place, it becomes an actual issue to be dealt with by the project's Consortium.

From this perspective, Risk Management is the identification, assessment, and prioritization of risks to minimize, monitor and control the probability and/or impact of unfortunate events also known as threats. Since not all risks can be eliminated, mitigation strategies and contingency plans can be developed to lessen their impact if they occur. Essentially, effective risk management requires an informed understanding of relevant risks, an assessment of their relative priority and a rigorous approach to monitoring and controlling them.

The responsibility of managing project risks relies with the Coordinator: identified risks are tackled and alerts are raised in case any of the identified risks increases its priority. All activities related with the risk management are monitored by the PM with collaboration of each WP leader for specific issues relevant within every specific WP.

## 6.1 Risk management strategy

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The Risk Management activities are applied to the SIMPATICO project to attempt to decrease the probability and impact of negative events by identifying and planning for risks before significant negative consequences occur. This section describes the process used to identify, classify, document and track risks during the project. The risk management lifecycle is made up of the following steps, as shown in Figure 4:



Figure 4: Risk Management Process

These steps are executed in sequence for each project risk introduced in the risk management process.

Each Work Package-Leader develops a specific risk management plan for the WPs they are managing. These WP-specific risk management plans will be rolled-up into a single risk management plan for the whole project.

The most commonly used tool to record information about risks is the Risk Register, which acts as a central repository for all identified potential threats of the project. Prepared by the PM (with inputs from all members), the Risk Register is used to identify, classify, organize, evaluate and track all levels of risks that may affect the project. Mitigation strategies are then identified and tracked for implementation at appropriate times during the timeline of the project.

The Risk Register is maintained by the Project Manager and is constantly updated as the project evolves. The most critical risks in the risk register are reviewed as a standing agenda item of the project's monthly plenary meetings. During these reviews each risk is considered to see how it has changed since the last meeting, to monitor the status of risk mitigation measures, and to determine if any actions need to be taken to further reduce the risk. In practice, the SIMPATICO Risk Register consists of a spreadsheet that is stored electronically in the project's internal repository. Finally, new risks will be identified, assessed and strategies for mitigating them will be developed.

A condensed version of the SIMPATICO Risk Register is reported in Annex 4 – SIMPATICO Risk Register. The risk register will be updated at each PMB meeting with its latest online version. The current version is update to June 2017

## 6.2 Risk identification

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Risk Identification is the proactive process of uncovering risks which might affect the project before they turn into problems. Risk identification is an iterative process. The first phase of risk identification occurred during the proposal phase of the project; the risks identified during the proposal phase have been re-examined and updated based on the current state of the project. This process of ongoing updating will continue throughout the lifecycle of the project.

Participants in risk identification include subject-matter experts, WPLs, project management and team members. Identified risks are documented in the risk register and discussed/reviewed during the monthly project plenary meetings.

Risks may span through various aspects including those that are political, design-related, procurement-related, environmental, technical, organizational, external, and/or economical. For SIMPATICO two categories have been initially used, i.e. project-level risks and WP-level risks.

Each time a new risk is detected it shall be managed. Nevertheless, the biggest effort has to be put at the beginning in order to anticipate, as far as possible, the monitoring of possible risk and plan, if the case, mitigation actions.

## 6.3 Risk analysis, qualification, and prioritization

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Risk Analysis is the most detailed phase of the entire risk management process. It involves evaluating and prioritizing the risks. Evaluating a risk involves establishing values for its potential effect on scope, cost and/or schedule of the project. A determination is made as to the:

- probability (likelihood) of the risk occurring;
- ability to mitigate the risk;
- potential effect of the risk.

There are two primary methods for conducting risk analysis:

- qualitative: assessing the probability and impact of risks;
- quantitative: using mathematical methods to objectively assess the probability and impact of risks.

The determination of risk **probability** (likelihood of occurrence) and **impact** (degree of its effect) is a subjective process which considers the criticality of internal and external project factors within the specific context of the SIMPATICO project. The probability and the impact for each identified risk are assessed using the following approach:

### Probability

- *Very Low* – (<10%) chances);
- *Low* – (10-30%)
- *Medium* – (30-50%)
- *High* – (50-70%)
- *Very High* – (>70%)

### Impact

- *Very High (Catastrophic)* – Risk that has a catastrophic impact project cost, schedule or performance
- *High (Major)* – Risk that has a major impact project cost, schedule or performance
- *Medium (Significant)* – Risk that has the potential to significantly impact project cost, schedule or performance
- *Low (Minimal)* – Risk that has relatively minimal impact on cost, schedule or performance
- *Very Low (Trivial)* – Risk that has only trivial impact on cost, schedule or performance

The combination of probability and impact is used to evaluate the risk level (Low, Medium or High) and to get a list of the prioritized risks. Table 6 visualizes the Impact and Probability matrix, with risk levels marked in different colours, where:

- **green** shows a low risk level;
- **yellow** shows a medium risk level;
- **red** shows a high risk level, which requires constant monitoring.

Table 6: Impact and probability matrix

<b>Impact</b>	<b>Very High</b>					
	<b>High</b>					
	<b>Medium</b>					
	<b>Low</b>					
	<b>Very low</b>					
		<b>Very low</b>	<b>Low</b>	<b>Medium</b>	<b>High</b>	<b>Very High</b>
	<b>Probability</b>					

Based on the risk analysis, each risk is prioritized and ranked.

Risks that have been prioritized through the qualitative risk analysis process are further analysed to estimate their effect on project activities. Quantitative analysis utilizes techniques such as simulation and decision tree<sup>1</sup> analysis to provide data on:

- the impact on cost or schedule for each risk;
- the probability of meeting project cost and/or scheduled targets;
- realistic project targets on cost, schedule, and/or scope.

Not every risk needs to go through quantitative analysis. The results of the risk analysis step is documented in the Risk Register, adding the following information:

- risk impact;
- risk probability;

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<sup>1</sup> A *simulation* is an experiment on a model of the project's performances (concerning costs, time etc.) rather than the real performances themselves – e.g., the Monte Carlo simulation, a method for studying the behaviour of a system, as expressed in a mathematical model on a computer. A *decision tree* is a decision support tool that uses a tree-like graph or model of decisions and their possible consequences, including chance event outcomes, resource costs, and utility. It is one way to display an algorithm (see [https://en.wikipedia.org/wiki/Decision\\_tree](https://en.wikipedia.org/wiki/Decision_tree)).

- risk level, computed by combining risk impact and probability (See Table 6 );
- project impact.

## 6.4 Risk response planning

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Risk response is the process of deciding what should be done with a risk, if anything at all. Risk response answers two key questions: (1) who owns the risk (responsibility) and (2) what can / should be done (scope and actions). Strategies and plans are developed to minimize the effects of a risk to a point where the risk can be controlled and managed. For each major risk (i.e. those falling in the Red & Yellow zones in the Impact-Probability Matrix), a risk response plan is usually developed. The range of response actions for the project is as follows:

- **Transfer:** risk is external to the project. Resources and knowledge outside of the project are better able to manage the risk. Transfer implies the ultimate accountability, responsibility and authority to expend resources, it requires acceptance of the risk by the receiving party. Transferring liability for risk is most effective in dealing with financial risk exposure.
- **Accept:** do nothing, but handle the risk as an issue if it occurs. However, no further resources are expended in managing the risk. These are usually risks of lower significance.
- **Avoid:** determine actions that if executed enough in advance will prevent the risk from occurring
- **Mitigate:** eliminate or reduce the risk by reducing the impact, reducing the probability, or shifting the timeframe when action must be taken.
- **Watch:** monitor the risks for early warning of critical changes in impact, probability, timeframe or other aspects.
- **Contingency:** determine actions that are executed once the risk has occurred to address the situation (actions taken especially to minimize adverse consequences).

For all identified risks, the various handling techniques should be evaluated in terms of feasibility, expected effectiveness, cost and schedule implications and the effect on the system's technical quality and performance.

The results of the evaluation and selection will be added and documented in the risk register which includes:

- responsibility is assigned to a consortium member (risk owner) to ensure that the risk will not "fall through the cracks";
- an adequate response strategy is chosen (specific actions to be taken to reduce the probability that a threat will become real);
- a contingency plan, i.e. the actions to be taken to reduce the impact of a threat that becomes an actual issue, is defined;
- the triggers (indicators of risk event occurrence) are described;
- responsibilities for each agreed-upon response is assigned;

The Project Manager, together with the concerned WP and Task Leaders, is responsible for developing and evaluating different risk handling strategies that are best fitted to the project's circumstances. The selected strategies require approval by the SIMPATICO Project Management Board before being applied.

The Project Manager is also responsible for monitoring and controlling the performance of risk-handling actions.

## **6.5 Risk monitoring and control**

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Risk Monitoring is the process of keeping track of the risks and evaluating the effectiveness of the response actions. Monitoring may also provide a basis for developing additional response actions and identifying new risks and is done in a continuous manner.

The level of critical risks on the SIMPATICO project are tracked, monitored and reported regularly, with specific discussions during the monthly plenary conference calls. As more risks are identified, they are qualified and added to the Risk Register to ensure they are monitored at the appropriate times and adequate response strategies are developed.

During risk monitoring and control the following tasks are performed:

- identifying, analysing, and planning for new risks;
- reviewing project performance information (such as progress/status reports, issues, and corrective actions);
- re-analysing existing risks to see if the probability, impact, or proper response plan has changed;
- reviewing the execution of risk responses and analysing their effectiveness;
- reviewing the effectiveness of the risk process to determine whether changes to the approach, tools or techniques are required.

Risk monitoring and control results in an updated risk register and in recommended corrective and preventive actions. Regular review of the risk register is performed during the project meetings and a Risk Report will be issued every 6 months by the Project Manager to the Project Management Board. Project team members will be provided with an extract from the current Risk Register after each review, listing those risks and actions for which the individual is responsible.

During the course of the project, concerns may increase or decrease in their potential impact on the project. An issue is a situation that has occurred or will definitely occur, while a risk is a potential event. By moving a risk into an issue tracking, analysis and responses can be stepped up and status is reported more frequently. Alternatively an issue may cease to be a concern or have been resolved but the PM may wish to periodically monitor the conditions of the surrounding situation.

On completion of the project, a risk section will be included in the SIMPATICO Project Lessons Learned Report, detailing generic risks that might affect other similar projects, together with responses that have been found effective in this project. Based on this analysis, the project manager will identify any improvements that can be made to the risk management process for future projects.

## **7 Quality management**

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Quality management is the process of defining the strategy and methods the project will deploy to ensure the project's deliverables are of acceptable quality before they are delivered.

Quality management addresses all the issues related to quality assurance, self-assessment and any ethical issues.

All ethical issues are specifically addressed in deliverable D1.5 and in the additional "Ethics" deliverables, to respond to specific ethics requirements identified by the Commission: "D8.1 – H – Requirement" and D8.2 - POPD – Requirement

Quality management is fundamental to the success of the project, and the project adopts a methodology with two separated processes:

- *quality assurance* (which is the execution of processes and procedures to ensure the achievement of quality, to assure that the project satisfies the needs for which it was undertaken.)
- *quality control* (which verifies and assesses the achievement/product ; it is concerned with the operational activities and techniques that are used to fulfill the requirements of quality. Inspection and product testing are examples of quality control tools.)

Quality management is responsibility of the PC, who defines a Quality Assurance Procedure (QAP) which ensures quality of the project management and consequently, of all deliverables and provides measurement criteria to verify the success of the project.

## **7.1 Quality assurance procedure**

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The following quality goals for the quality management process shall apply:

- make sure that all standards and planning documents are available;
- make sure that standards appropriately address the criticality of the project;
- make sure that all team staff are familiar with the relevant planning documents and the associated rules and standards;
- verify that the outputs are delivered on time;
- ensure compliance with all relevant standards;
- follow the Quality Management process described in this Management Plan.

The quality management process defines quality objectives, working method, processes review, templates and responsibilities that are applied on the project. It defines internal and external processes applicable within the project (between WPs) and, in some cases, between the project and external partner/project/body.

Quality assurance is the monitoring of specific project results to determine whether the team is performing to relevant quality standards and the identification of actions required to correct unsatisfactory performance. These quality assurance activities consist of process quality reviews followed by recommendations and possible corrective action plans.

### **7.1.1 Criteria for the assessment of quality**

The Work Plan of the SIMPATICO project describes milestones and the acceptance criteria for each phase of the project. Assessing adherence to these baseline conditions provides the method for evaluating both the project and its product. The outcomes of SIMPATICO will also be measured through the a set of success indicators – or key performance indicators – which are identified as a way to track project progress with respect to its goals (see Section 7.2).

### 7.1.2 Quality organisation

The Quality organisation is under the responsibility of the Project Coordinator. The PC is supported by the PM in the definition of the QAP items applied to the SIMPATICO project, and in the execution of the control activities planned or considered useful during the project, according to what is defined in the following paragraphs. The Project Coordinator receives also support, advice and help at several levels:

- from Work Package leaders in several quality functions related to the delivery process. Activities leaders are fully responsible for scientific and technical quality check of all deliverables.
- from the European Commission. The European Commission, through the Project Officer, may provide advice on any quality issue related to the project. The Work Package Leaders may also request advice from the Project Officer on quality issues whenever necessary, usually communicating through the Project Coordinator.

The Project Coordinator is in charge of ensuring that deliverables to be submitted are structured, harmonized and organized to ensure that they are timely, exhaustive, clear and effective.

### 7.1.3 Document production process

During the project, many kinds of documents will be produced. It is crucial to define common formats of documents, uniform rules of their description, responsibilities, revision plans and revision procedures.

When producing any document to be distributed to at least another partner of the project, each contributor shall apply the rules below, in particular:

- Produce the document in an electronic file with the same name as the File Name;
- Use the English language;
- Use the appropriate template;

Deliverables structure:

- A front page with general data about the document and the SIMPATICO logo
- Version history
- A table of contents
- A list of figures and a list of tables (optional, but placed here if there are any)
- Glossary
- An Executive summary
- An introduction including the scope of the document
- Chapters constituting the body of the document
- Possible Annexes
- All the single pages of the document will include the GA number, the name of the document and the number of pages using the format "Page X of Y"

The different actors involved in the production of documents are:

- Document leader: is the deliverable responsible as indicated in the deliverable list
- Other contributors: are the partners/beneficiaries involved in the activities related to the Deliverable

- WP/Task leader
- Project Coordinator (PC)

The document leader is the person in charge of the production of a document. The production rules and guidelines and the document rules have to be applied under his/her responsibility.

#### 7.1.4 Deliverables monitoring and control

The monitoring process should envisage in advance possible problems connected to the development of tasks and the production of deliverables. To facilitate communicating progress on each deliverable, each WPL reports progress and issues on deliverable production and on the work package implementation during project technical conference calls on a bi-weekly basis.

A formal quality control process has been developed by the SIMPATICO project to ensure that the quality of deliverables generated meets the requirements of the European Commission and that any potential risks affecting the project are properly managed. The deliverable quality assurance process is graphically depicted in Figure 5 below.

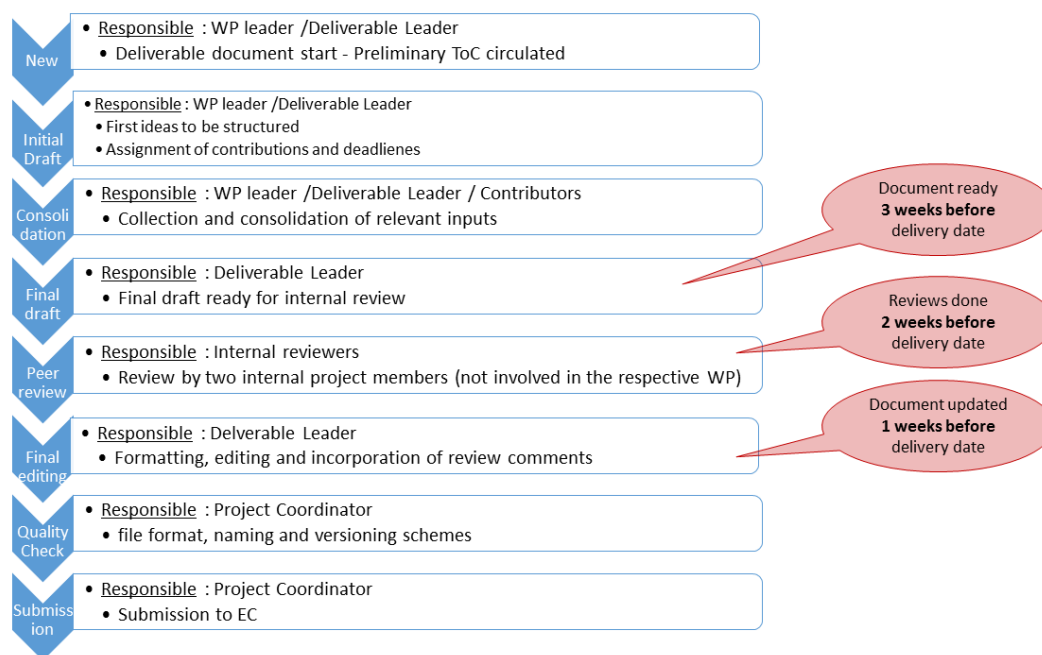


Figure 5: Quality assurance process for deliverables

Deliverables are generated under the responsibility of the WP Leader, who will be charged with ensuring that all deliverables are prepared correctly and in time.

Each project deliverable will be the target of a peer revision by two reviewers before being submitted to the Commission, to guarantee that it meets the objectives of the project as a whole. The limit date for reception of comments is 5 working days should be considered.

During the review the PC checks if the deliverable meets the formal requirements regarding the file format, naming and versioning schemes. Further, he monitors and maintains the review process itself.



The document leader is in charge of the update of a document after internal review. He receives the comments from the reviewers, has to give an answer to all the comments and take into account the accepted ones. The Task leader should be in copy of documents, comments and answers.

The quality control process for deliverables requires that the deliverable owners and reviewers ensure that the deliverables adhere to the following quality aspects:

- the contribution of the deliverable to the WP and the overall goals of SIMPATICO should be clearly stated;
- the objectives of the deliverable should be clearly expressed. Specifically, the deliverable should feature a short 1-2 paragraphs introduction that clearly states the role and duty of said document, in the scope of SIMPATICO;
- the deliverable should be clearly related to previous and future deliverables in the WP and – if applicable – to deliverables from other WPs;
- the relation / additions / differences to previous deliverables in the same work package (i.e. in the case the deliverable is an improved version of a previous one) should be clearly stated;
- the deliverable should be a self-contained document, which can be understood without knowledge of the DoA (or previous deliverables);
- the deliverable contents should be consistent with its description in the DoA; if not, the deviation should be explained;
- the deliverable should be cohesive and concise (typically not more than 50-60 pages);
- the deliverable should not contain any claims that are not proven or supported by references.

The final version of the deliverables must be submitted to the Project Coordinator in Word and pdf formats. The pdf is the electronic format requested by the EC for the submission of all the deliverables/documents elaborated during the project. If finally approved, deliverables will be published via the project web site.

## 7.2 Key performance indicators

SIMPATICO exploits performance indicators as a key management tool to track progress of the different activities undertaken in project tasks and work packages. The documents produced by the different work packages document the selected performance indicators and describe how they are measured. In this section, we concentrate on a small set of **key performance indicators (KPIs)**: they are used in SIMPATICO to track the progress of the project as a whole towards its objectives and to validate the approach, its impact and its sustainability. The table below **Error! Reference source not found.** defines these KPIs with the associated tools that will be used for measuring their progress.

Table 7: Project progress indicators for use-cases

Category	Indicators	Tools used for measurements
Stakeholders' engagement	<ul style="list-style-type: none"> <li>• Number of citizens (included disadvantaged users), civil servants and business owners engaged in the validation of SIMPATICO solutions</li> </ul>	Logs within SIMPATICO platform.
	<ul style="list-style-type: none"> <li>• Number of contributors to Citizenpedia.</li> <li>• Number of PA employee that contributes to Citizenpedia.</li> </ul>	Analysis of the Citizenpedia knowledge base.

Internal efficiency (impact within the PA)	<ul style="list-style-type: none"> <li>• Average time for completing the administrative process.</li> </ul>	Logs of internal legacy system.
	<ul style="list-style-type: none"> <li>• Time spent by civil servant replying to requests for clarifications from users.</li> <li>• Time spent by civil servant managing mistakes and uncompleted forms.</li> </ul>	Questionnaire and internal logs of civil servants activity.
Internal effectiveness (impact within the PA)	<ul style="list-style-type: none"> <li>• Average number of mistakes in a form/procedure</li> <li>• Total number of mistakes.</li> </ul>	Logs of internal legacy system.
	<ul style="list-style-type: none"> <li>• Number of request for integration of information sent to users.</li> </ul>	Internal PA electronic protocol system (registers e-mail and provides time stamps).
Reduction of administrative burden (external impact for businesses and citizens)	<ul style="list-style-type: none"> <li>• Average time spent completing a procedure or filling a form.</li> <li>• Number of times the user needs to interact with the e-service.</li> </ul>	Logs which instrument interactions of people with e-government services.
	<ul style="list-style-type: none"> <li>• Average waiting time before obtaining answer from the PA.</li> <li>• Number of requests for integration received.</li> <li>• Number of requests for clarification sent to PA employees.</li> </ul>	Internal PA electronic protocol system (registers e-mail and provides time stamps).
Inclusion and acceptance of technology	<ul style="list-style-type: none"> <li>• Average time spent filling in each field of the form.</li> <li>• Average time spent completing each form.</li> <li>• Number of disadvantaged users (elders, migrants) that are able to complete a process.</li> </ul>	Logs of SIMPATICO interactions (includes selection of paragraphs, time spent reading some section and so on).
	<ul style="list-style-type: none"> <li>• Increase in readability of adapted text.</li> <li>• Percentage of users that accept to use e-services instead of offline service (in person, by phone).</li> <li>• Increase in trust level with respect to e-services.</li> </ul>	Questionnaires and user studies on effectiveness of SIMPATICO on comprehension.
SIMPATICO platform	<ul style="list-style-type: none"> <li>• Number of PA procedures supported by SIMPATICO.</li> </ul>	Variety of procedures.
	<ul style="list-style-type: none"> <li>• Variety of types of annotation of documents for different procedures roles.</li> <li>• Amount of data provided by stakeholders.</li> </ul>	Documents and data.
	<ul style="list-style-type: none"> <li>• Number of accesses to the SIMPATICO platform.</li> <li>• Percentage of interactions completed online vs the ones completed in person/by phone.</li> </ul>	SIMPATICO Platform logs.
Dissemination	<ul style="list-style-type: none"> <li>• Mass media coverage</li> </ul>	Number of releases
	<ul style="list-style-type: none"> <li>• Trade shows and fairs</li> </ul>	Number of events attended.
	<ul style="list-style-type: none"> <li>• Scientific publications</li> </ul>	Number of journal and conference papers.

Further details on evaluation measures and **expected values** for some of the defined KPIs (those for which the consortium has been able to define a target value) can be found in the table **Error!**

**Reference source not found.** below; expected values are defined for each of the three use-cases, taking into account its characteristics.

Table 8: Characteristics of the three use-cases together with the expected values at the end of the second validation phase for some the most relevant KPI

Category	Tools and measurements	Trento	Galicia	Sheffield
Number of engaged stakeholders for each type	Citizens	400	300	200
	Disadvantaged users (migrants, elderlies...)	200	300	200
	Civil servants	25	15	50
	Business owners	50	100	-
	Number of users contributing to Citizenpedia	50	50	50
Internal efficiency of PA processes	Reduction of average duration of the administrative process	20%	20%	20%
	Percentage of time saved by civil servants in interactions with users (answering requests for clarifications, managing mistakes, etc.)	40%	30%	40%
Internal effectiveness of PA processes	Reduction in interactions rejected because of mistakes by users in filling the forms	20%	25%	10%
	Reduction in request for integration of information sent to users	25%	25%	n.a.
Reduction of administrative burden	Reduction in time spent completing a procedure or filling a form	50%	50%	50%
Inclusion	Increase in percentage of disadvantaged users that can complete the e-service autonomously	20%	25%	25%
	Decrease in average number of requests for help from users for each procedure	1	2	5
SIMPATICO Platform	Number of procedures supported by SIMPATICO	6-8	5-10	5-6
	Number of accesses to platform during experimentation	5000	5000	5000
	Number of platform users	250	400	250
Dissemination	Number of mass media releases	6	6	6

	Number of trade shows and fairs attended	3	3	3
	Number of journal and conference papers	18		

Most of the KPIs defined for the SIMPATICO project are measured during the execution of the validation in the three project use-cases. For this reason, the measurement of these KPIs will start at project month M16 (June 2017), when the use-case validation starts. Progress of KPIs will be monitored on a monthly base, from M16 until the end of the project, and will be reported in each update of the PMP.

We remark that, while the measure of these KPIs is associated to the validation activities, the scope of the KPIs is broader, and covers all project objectives. Indeed, also the research activities, the development of technical components and the delivery of the SIMPATICO platform are driven by KPIs describe in the table above. In particular, during the first iteration of SIMPATICO validation activities, which is running at the time of writing of this deliverable, the capability of the developed solutions and platform to achieve the KPIs will be assessed; based on the outcomes of this validation, the consortium will discuss specific objectives and priorities of research and development during the second iteration of the project, with the goal of maximizing the achievement of the KPIs.

### 7.3 Software development

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The various processes associated with software quality are normally incorporated in the software development process. Quality encapsulates the totality of all the features and characteristics associated with software which are designed to address a specific need.

SIMPATICO Technical Team will implement a Technical Quality Assurance process during the overall software development and implementation cycle:

- Requirements
- Analysis and design
- Implementation
- Test
- Installation /deployment
- Users acceptance and validation
- Configuration and change management

Technical teams were based across a wide geographically distributed environment and a set of collaborative tools are going to be used in order to assure the requested quality of software.

#### 7.3.1 Software Documentation

In order to facilitate the collaboration and integration of the platform it is requested that all software modules are formally documented and those documents are uploaded to the Project’s Knowledge Repository under the “Technical” workspace in the “SIMPATICO Software Components” subspace. There should be one document with the following structure for each component of the project’s platform:

1. Brief description of the component

2. Specifications (API)
3. Interfaces with other components
4. Installation guidelines

Furthermore the documentation will be integrated in a common HTML document in order to facilitate the access to all the different users of the platform.

The documentation, in its first version, will cover the following aspects of the platform:

- **Overview.** Containing an introduction to the characteristics of the SIMPATICO platform and the functionalities that it provides for the different users.
- **Installation guide.** Intended for administrators, this section contains a description of how to install and integrate the different components that constitute the SIMPATICO platform.
- **User guide.** Information about the usage of the components by final users.
- **API guide.** This section includes information about the methods exposed by the different components of the platform through the REST API.

This documentation will be generated using an utility (e.g. Sphinx, [www.sphinx-doc.org](http://www.sphinx-doc.org)) that allows writing the documentation using a simple format (RST- reStructuredText) and then it creates the final format of the documentation (i.e. HTML in this case) by automatically adding the corresponding formatting. In addition, this allows, if required, changing the style of the final documentation. In addition, it also enables to create other output formats such as PDF, RTF, etc., without maintaining multiple versions of the contents of the documentation.

The different components of the SIMPATICO platform communicate with each other through a REST API that exposes the functionality and objects. These methods are intended to be used not only for internal component communication but also for external applications and third-party developers.

The REST API will be annotated using OpenApi specification<sup>2</sup> (e.g. Swagger, <http://swagger.io/>) to generate a description of the methods that the API provides. There are some tools to process the information contained in this description and show them in a way more usable for developers.

### 7.3.2 Source Code Repository

The source code for the documentation will be maintained using a code repository (e.g. Bitbucket) that enables to control and integrate the different contributions and facilitates the creation and deployment of new version of the documentation. During the development the technical Team will evaluate the use of a continuous integration tools integrated with the code repository in order to allow a continuous deployment and test.

### 7.3.3 Issue Management

The management of software issues within the project is powered by the adoption of the Redmine issue tracker. Redmine's issue tracking feature meets the need for an agile instrument that being simple, though fully-featured, might really be effective limiting the adoption overhead.

Redmine bug tracker offers a very powerful tool that can, nevertheless, be also used in a very simple and agile way to overcome the issues arising in the development of the SIMPATICO platform and

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<sup>2</sup> <https://openapis.org/specification>

during the execution of related use cases. This is actually the kind of usage that is going to be done within the SIMPATICO project.

The visualization of reported Issues can be customized to the needs of the user using the attributes of the bugs in two different ways. The columns referring to such attributed can be optionally displayed or not. The entries in the issue table can be filtered, also in a very complex way, to show only those that are most interesting for the user.

Issues can be exported into several formats: Comma Separated Value (CSV), PDF and ATOM RSS feed.

The creation of a new issue require a very minimal set of compulsory fields changes:

- tracker (bug, feature, support);
- subject (a short description);
- status (new, in progress, resolved, feedback, resolved, rejected);
- priority (low, normal, high, urgent, immediate).

Then, it is possible to be as detailed as desired in the specification or modification of the issue specifying a lot of other attributes, for monitoring and managing bugs very thoroughly. Such attributes are:

- assignee (any project participant subscribed);
- category (platform components, app, pilot city, and more);
- parent task (issue linked to the current one);
- start date (insertion date);
- due date (deadline);
- estimated time (effort in hours needed to resolve it);
- percentage done (progress indicator);
- attachments (files to clarify the issue or the solution);
- watchers (list of people following the evolution of the issue).

Single issues can be visualized with all their details, and can then be cooperatively modified by all people allowed, in order to let the status of the issue progress, to discuss it and to supply information for its resolution.

Predefined reports, which summarize the situation of open and closed issues along different dimensions (tracker, priority, assignee, author and category, are available. Calendar and Gantt views can also be created using the monitoring information (start and end date, estimated efforts, and percentage done).

### **7.3.4 Software quality control**

In SIMPATICO Software Quality Assurance will based on the ISO 9126-3 and the subsequent ISO 25000:2005 quality model which identifies five characteristics to be evaluated and the associated metrics.

Starting from these models, the Consortium for IT Software Quality (CISQ) has defined five desirable structural characteristics: Reliability, Efficiency, Security, Maintainability and Size.

The software quality will be assessed manly over three dimensions:

1. Software functional quality, i.e. how well it complies with the specified design, based on functional requirements and specifications (from users);

2. Software structural quality, i.e. how it meets non-functional requirements needed to fulfil the functional requirements, such as robustness, reliability, security and maintainability;
3. Software interoperability and portability, i.e. how easy the software can be integrated into the IT environments where it must operate (in our case in the three pilot use case).

### 7.3.5 Measurements

The software functional quality will be measured by verifying how the software covers defined use cases and the level of satisfaction experienced by end-users.

The parameters to be measured include:

- adherence to users and technical requirements;
- reliability, i.e. the software should have no defects, no bugs open at the time of release;
- good performance, in terms of response time, time requested to use the software and to insert and retrieve data, accessibility etc.;
- ease of learning and use.

Software structural quality refers to aspects internal to the software construction, i.e. engineering aspects. We will measure the following parameters:

- code testability;
- code maintainability;
- code understandability, i.e. whether any IT engineer understand what the code does and how;
- code efficiency, i.e. if the software performs well also in case of resources constraints;
- code security.

Because structural quality is critical yet difficult to be measured, the Technical Manager will propose and agree with the other technical partners the appropriate measurements tools which can provide the necessary measurements.

## 8 Project communication

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Properly communicating on a project is a critical success factor for managing the expectations of the project consortium and the European Commission. The Project Coordinator is responsible for communication between the Project and the EC.

The SIMPATICO project uses several mechanisms for ensuring open and frequent communications amongst its members:

- electronic mails (e-mail) and mailing lists;
- conference calls;
- face-to-face meetings.

### 8.1 Electronic mails and mailing list

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E-mail is the principal means of interpersonal communication in SIMPATICO. It can be used for information exchanges, minutes of meetings, executive summaries. It is informal, fairly rapid and well suited for non-critical information. E-mail distribution lists is maintained (and regularly updated)

by SPARTA, and available to all the partners, indicating the contact persons for administrative issues as well as contact persons for the development of the activities. Any change concerning people involved and contacts details shall be opportunely communicated to SPARTA. The updated list of contact is available as Annex 1 of this PMP.

The following rules should ensure the suitable use of the e-mail communication between project participants:

- address information **ONLY** to involved parties in communication: do not systematically copy everyone into communications, or if replying to a specific individual, be cautious not to press the 'reply all' function over 'reply'.
- use an explicit Subject title. E-mail addresses on the official SIMPATICO mailing lists will automatically have an identifier appended in front of the subject line, like [Simpatico]. When writing emails, the subject should be a clear indication of the content (for instance, “Meeting minutes 2016-03-17”).
- in case the email message has an attachment, please use ZIP files to compress information. However, and as a general rule, it is always preferable to upload the file in Google Drive and inform the relevant people of the location of the file. Mailing lists have a limit on the size of messages so attachments should be avoided in favour of document storage on the shared SIMPATICO repository. Very large attachments may not be accepted by the recipient server and even modest size attachments (around a few MB) might rapidly cause e-mail quotas to be exceeded, particularly where recipients are away from the office for an extended period.

The e-mail exchange is the main instrument used by project partners to share information, proposals and ideas, as well as to prepare deliverables and any other project output (papers, talks, reports for the EC, etc.). The following project mailing lists have been created:

Plenary mailing list:

- [all@simpatico-project.eu](mailto:all@simpatico-project.eu)

One “technical” mailing list to discuss technical WP related matters

- [tek@simpatico-project.eu](mailto:tek@simpatico-project.eu)

All mailing lists are managed by SPARTA. Any request to add or remove a member from any of the project mailing lists should therefore be sent directly to SPARTA.

## 8.2 Conference calls

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Conference calls are used for meeting partners without spending time and budget on travelling. Videoconferences and teleconferences should be programmed at least a week in advance and should follow a set agenda. To hold conference calls GotoMeeting or Skype are generally used.

Telephone is used when personal interaction, a fast answer or reliable confirmation is needed. Telephone calls can sometimes be appropriate for urgent matters so it is important that up to date telephone numbers are made available. It is highly recommended to send an e-mail with the conclusion of a telephone call to limit any ambiguity.

Regularly scheduled conference calls are the primary means of detailed communication between the WPLs, work package members and deliverable teams. Overall project **plenary** calls are held on monthly basis to ensure that all work package leaders are informed of any upcoming events, issues that may have arisen since the last call or new factors that may have a bearing on the project. In



addition to plenary calls, **technical** calls are held on a bi-weekly basis to ensure that the work being performed in the different WPs integrate into the overall service architecture.

A fixed day of the week and time were decided, in order to simplify organization of the plenary and technical calls (Tuesday, 11.00 am - Rome Time). At least one member from each partner organization is expected to attend the conference calls.

During the call, WPLs are responsible for coordinating their work package teams and hold related conference calls. If needed, the WPLs can add more conference calls to the fixed schedule. Formal discussions between WPLs are held on a regular basis to ensure that each WP is being developed in order to support the other WPs. WP leaders propose more conference calls when the implementation of the work requires it, at least a week in advance.

Table 9: Summary of SIMPATICO Teleconferences

Type of Communication	Communication Schedule	Typical Communication Mechanism	Who Initiates	Attendees	Topics to discuss
Plenary Telco	Monthly (on Tuesday at 11am)	GotoMeeting	Project Manager	WP leaders, representative for partners, management	
Technical Telco	Every two weeks (on Tuesday, 12am)	GotoMeeting	Project Manager	WP leaders and management	progress, problems and solutions between the project's technical partners
WP2 Telco	Every two weeks	Skype	USFD	FBK, USFD, HIB	progress on tasks and deliverables
WP3 Telco	Every two weeks	Skype	HIB	DEUSTO, SPA, BENG, ENG, USFD, FBK	progress on tasks and deliverables
WP4 Telco	On Demand call		DEUSTO	FBK, ENG, BENG, DEUSTO	progress on tasks and deliverables
WP5 Telco	Every two weeks	GotoMeeting	ENG	FBK, DEUSTO, USFD, HIB, SPA, BENG	progress on tasks and deliverables
WP6 Telco	On Demand call		FBK		progress on tasks and deliverables
WP7 Telco	Every week		SPA	Dissemination managers	progress on tasks and deliverables

**Conference call minutes** are produced right after the meeting in a schematic way, which allows all SIMPATICO team to keep track of what was decided during the discussion in a series of action points. All the minutes are available to participants for consultation and are stored in the shared repository.

### 8.3 Meetings

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Regular face-to-face project meetings with all partners are scheduled to be held on a four month basis so that the entire project team can meet to share ideas and exchange experiences based on their work on the project.

Additional dedicated technical meetings in order to promote intra and inter-WP's cooperation on specific matters are held as appropriate.

Management meetings include the meetings of the Project Management Board which will meet quarterly in conjunction with project meetings. Minutes of all meetings are taken and distributed by the PM for review within two weeks after the event, with the final minutes available after four weeks at the latest. Different kinds of meeting are envisaged:

#### Project Meetings

- One meeting at least every 4 months
- Hosted by a different partner of the Consortium each time.

#### Technical Meetings (include the WP meetings)

- Activity meetings
- Meetings are convened upon Work Package Leader's request;
- Work Package Leader are the chairman of the meeting;
- Extraordinary meetings can be held at any time upon request of any member of the respective activity.

#### Project Management Board Meetings

- One meeting at least every 4 months
- The Project Coordinator is the chair of the meeting
- Hosted by a different partner of the Consortium each time
- Extraordinary meetings can be hold at any time upon request of any member of the Project Management Board

#### Review Meetings

- Assessment of the project by the PO (+External Project Reviewers)
- Frequency:
  - First Review at Months 14 (March 2017)
  - optional project review at Month 24 (March 2018)
  - Final Review at Month 36 (March 2019) (review procedure is to be finished normally at the latest 90 days after the reporting period).
- Usually held in Bruxelles

### 8.4 SIMPATICO project website

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The SIMPATICO project website <http://www.simpatico-project.eu>, is one of the main tools for disseminating information about the consortium and the achievements of the project, providing visitors with comprehensive information about its context and objectives.



The main SIMPATICO web site, deployed in English, will be followed by three other web sites managed at local level in each test site that will be in local language to be more accessible on field.

Most significant news from those web sites will be translated into English and reported on the main one.

The home page hosts also the links to SIMPATICO social media accounts:

- Facebook (<https://www.facebook.com/simpaticoproject/>),
- Twitter (<https://twitter.com/H2O2OSimpatico>),
- Google+ (<https://plus.google.com/communities/107679769963105218124>).

The SIMPATICO website has also a Public Documents area containing the links to public documents that each visitor can download. There will be three sub-areas: public deliverables, articles and scientific publications.

The website will also be used to involve external stakeholders in the SIMPATICO activities. Publicity material and publications will be made available or referenced. External users will thus find downloadable public documents from the project, notices on conferences either hosted by the SIMPATICO team or where the team will be presenting information on the project, academic papers generated by project team members concerning the project, and other documents that provide valuable insights on what the project is all about to external parties.

The website is developed and updated on a regular basis by SPARTA and has been made operational and accessible to the public since May 2016. For more information on the SIMPATICO website see project deliverable D7.1.

## **8.5 Document repository**

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As a primary tool to facilitate exchange of information, a web based shared collaborative environment has been set up which serves as a project tracking system accessible to all partners, in order that all information/documentation is easily accessible and kept up to date with little effort. A Google Drive repository for the SIMPATICO project has been created which gathers all sorts of documents generated during the project lifetime. Google Drive is a file storage and synchronization service which allows users to store files in the cloud, share files, and edit documents, spreadsheets, and presentations with collaborators.

Besides being a repository of information it is a common environment for the day-to-day work enabling several users to edit and upload files without overwriting them (working documents, drafts, templates). A set of folders has been created and shared among a definite list of representatives from each partner organizations. Requests for access should be addressed to the PM. The structure of Google Drive folders is presented in Figure 6 below.

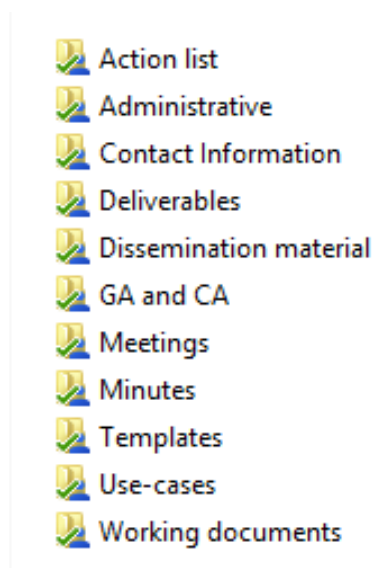


Figure 6: SIMPATICO Google Drive repository organization

Documents must be uploaded under their correspondent folder and must be named in a clear way so that everybody can have an idea of what the file is about.

Google Drive supports also revision history, so files accidentally deleted could be recovered from any synced computers or directly from the service web interface. The documents contained in Google Drive are in different formats, but all modifiable. A set of rules for working cooperatively on these files was proposed and agreed:

- SIMPATICO team group use the Word revision tool to track changes to the deliverables that are in place
- In case of contemporary changes to the same file, the name of the file will be specified as follows: Number and title of the deliverable + Acronym of the partner organization that reviewed it + REV + day month year (D1.1NAME FBK REV 01062016.doc).

## 8.6 SIMPATICO project templates

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To ensure consistency in the SIMPATICO project when communicating with external stakeholders or interested parties, a set of standard templates for various communications activities has been developed. These templates include:

- Deliverable template
- standard PowerPoint presentation template
- standard logos for the project.

For internal communication the following templates were also developed:

- Timesheet reporting template

They are all available for download in a dedicated Google Drive folder.

## 8.7 SIMPATICO shared calendar

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A Google Calendar specifically created for the SIMPATICO project has been shared among all partners. Anyone who wants to use it can easily, securely and quickly organize meetings, add events, schedule appointments, manage deadlines.

Benefits:

- share the project calendar with everyone in the team
- organize team meetings and keep the team informed
- stay up-to-date on appointments through automatic reminders
- keep all your deadlines coordinated from a single place

## 8.8 SIMPATICO clustering activities

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Clusters are powerful engines of economic development and drivers of innovation in the European Union.

The clustering idea takes the value of working together in project partnerships and aims to apply the same methods and draw the same benefits from cooperation between projects and European-level initiatives.

Therefore, by supporting each others' projects in delivery and drawing on the latest information available from a wide range of partners, individual projects will gain access to a much greater range of resources and knowledge, allowing them to take work on the strategic elements much further than would be possible in single projects.

Clustering activities are at the boundary of WP1 and WP7 and thus the PC and the WP7 leader will decide whom to assign the responsibilities of each activity.

Activity foreseen are the following:

### **Identification of the related project and initiatives at European level**

This activity will be carried out by the Project Coordinator in collaboration with the Project Manager and the WP7 leader. The most relevant projects and initiatives will be selected following a matrix approach with a direct relationship between these projects and SIMPATICO required in as many of the following criteria as possible:

- Status of projects - details of project including running or not (European location, funding programme, start date, finish date)
- Project commons - common practice between SIMPATICO project and other projects
- City services related to SIMPATICO - target areas for apps and web services (e.g. social inclusion)
- Consortium partners sectors related to SIMPATICO

### **Creation of a related projects section on the SIMPATICO website**

The SIMPATICO website is fairly flexible in its structure. Thus it will be simple to add a new section and its menu item. Initially all the related projects descriptions will share a single page. This will

evolve as the clustering between SIMPATICO and related projects deepens. This activity will be carried out by the WP7 leader.

### **Contact with Related Projects consortium**

A second phase requires useful points of contact to be made between projects. These contacts will act as bi-directional information flows between projects. This way projects will be closer linked in terms of sharing milestones, success and failure points. This information will be used to periodically populate each project's dedicated page within the SIMPATICO website. The SIMPATICO point of contact will be selected by the PC and the WP7 leader for each project/initiative.

#### **8.8.1 Initial list of related projects and European-level initiatives**

The SONNETS project (<http://www.sonnets-project.eu/>)

**Contact owner:** FBK



**SONNETS**

SONNETS' aims at renovating the way the public sector operates by suggesting a concrete set of actions that will place the public sector in the front line of tackling societal challenges, armoured with the right ammunition and with the right people that could take over the necessary tasks and activities.

SONNETS's concept for delivering its roadmap is based on the following major sub-concepts, which are all closely related and can be witnessed as a quadruple helix:

- Needs Identification through evidence-based research approaches and methods
- Innovations Identification and Gap Analysis
- Impact generation through Community Building and Intense Networking
- Innovation Transfer through best practice identification in multidisciplinary areas and impact assessment

The OPENGOVINTELLIGENCE project (<http://www.opengovintelligence.eu>)

**Contact owner:** DEUSTO



opengovintelligence

The OpenGovIntelligence project, funded by the same call of SIMPATICO, aims to modernize Public Administration by connecting it to Civil Society through the innovative application of Linked Open Statistical Data (LOSD). We believe the publication of high quality public statistics can transform society, services and enterprises throughout Europe. Towards this end, OpenGovIntelligence also seeks to support and develop approaches to co-design and service co-production; whilst providing software tools to aid decision making and better manage the complexities and precise nature of high quality statistical data.

Opengovintelligence anticipates developing and adopting new business processes, policies, and tools to enable the active participation of society and enterprise in data sharing and in the co-production of innovative data-driven public services.



### The WEGOVNOW project (<http://wegovnow.eu>)

Contact owner: BENG



The WeGovNow project, funded by the same call of SIMPATICO, and its 12 partner organisations are building upon earlier research and development by further developing existing solutions and integrating them within a single community engagement platform. This platform will allow people to report problems and suggest improvements, to discuss their relevance, explore ways to fix problems through collective action, find solutions to compensate for resource shortages affecting the quality of publicly provided services, debate topics of strategic nature, and develop and vote upon concrete suggestions for local policy action.

### The DECODE project (<https://decodeproject.eu>)

Contact owner: ENG



The DECODE is a response to people's concerns about a loss of control over their personal information on the internet. The ability to access, control and use personal data has become a means by which internet companies can drive profits. However the people who create much of this data have lost control over how it is used. DECODE will explore how to build a data-centric digital economy where data that is generated and gathered by citizens, the Internet of Things (IoT), and sensor networks is available for broader communal use, with appropriate privacy protections.

The DECODE solution for "Giving people ownership of their personal data" should be investigated to see if it can be applied to SIMPATICO, as DECODE provides tools that put individuals in control of whether they keep their personal data private or share it for the public good.

### European network of living labs ([www.openlivinglabs.eu](http://www.openlivinglabs.eu))

Contact owner: SPARTA



A Living Lab is a real-life test and experimentation environment where users and producers co-create innovations. Living Labs have been characterised by the European Commission as Public-Private-People Partnerships (PPPP) for user-driven open innovation. A Living Lab employs four main activities:

- Co-Creation: co-design by users and producers
- Exploration: discovering emerging usages, behaviours and market opportunities
- Experimentation: implementing live scenarios within communities of users
- Evaluation: assessment of concepts, products and services according to socio-ergonomic, socio-cognitive and socio-economic criteria.

### EIT digital (<https://www.eitdigital.eu>)

Contact owner: FBK and ENG



EIT Digital is a leading European digital innovation and entrepreneurial education organisation driving Europe's digital transformation.

EIT Digital delivers breakthrough digital innovations to the market and breeds entrepreneurial talent for economic growth and improved quality of life in Europe. It does this by mobilising a pan-European ecosystem of over 130 top European corporations, SMEs, start-ups, universities and research institutes.

Both FBK and ENG are core partners of EIT digital (Trento is one of EIT Digital co-location centers), and will investigate the opportunity offered by its Call for Activities to enhance SIMPATICO exploitation opportunities.

**The European Innovation Partnership on Smart Cities and Communities (EIP-SCC)**  
(<http://ec.europa.eu/eip/smartcities/>)

**Contact owner:** FBK



The European Innovation Partnership on Smart Cities and Communities (EIP-SCC) brings together cities, industry and citizens to improve urban life through more sustainable integrated solutions.

This includes applied innovation, better planning, a more participatory approach, higher energy efficiency, better transport solutions, intelligent use of Information and Communication Technologies (ICT), etc.

SIMPATICO will evaluate to become a becoming a member of the EIP-SCC platform, in order to have a voice at EU level, meet potential partners and form partnerships to reach common goals

## 9 Project reporting

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Each Partner generates an internal administrative report every year, to be collected by the PM, regarding the local administration of project resources and budget. The PC will be informed in case of any inconsistencies, or unexpected management of resources. In addition, an activity report is generated every year, for each WP, by the WPL. Each partner is committed to provide to the PM all the necessary information and documentation to prepare the official periodic reports to be submitted to the European Commission. The reporting includes information about the technical progress, results obtained (e.g. deliverables), the compliance with the work programme and all the relevant information at management level (resources, costs, delays...). The PC synthesises the overall project status and planning and compiles the reports due to the EC. The following reports are prepared and officially supplied by the PC:

- **Periodic activity report v1 and v2.** These reports include the following:
  - a *'periodic technical report'* containing:
    - an explanation of the work carried out;
    - an overview of the progress towards the objectives of the action, including milestones and deliverables, explanations justifying the differences between work expected to be carried out and that actually carried out,



- an updated ‘plan for the exploitation and dissemination of the results’,
- a summary for publication by the Agency;
- a ‘*periodic financial report*’ containing:
  - an ‘individual financial statement’ for the reporting period concerned. It must detail the eligible costs (actual costs, unit costs and flat-rate costs, for each budget category).

(Delivery: D1.2.1 at M12; updates to D1.2.2 at M24). The coordinator must submit a periodic report within 60 days following the end of each reporting period.

- **Final activity report.** The final report must include the following:
  - a ‘*final technical report*’ with a summary for publication containing:
    - an overview of the results and their exploitation and dissemination;
    - the conclusions on the action,
    - the socio-economic impact of the action;
  - a ‘*final financial report*’ containing:
    - 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
    - a ‘certificate on the financial statements’ for each beneficiary , if it requests a total contribution of EUR 325 000 or more, as reimbursement of actual costs and unit costs calculated on the basis of its usual cost accounting practices

(Delivery: M36) the coordinator must submit the final report within 60 days following the end of the last reporting period.

For reporting at project level, regular review meetings are organized to provide the European Commission and the Consortium with information on the status of the project: one project review at months 12 (optionally at month 22) and the final project review at month 36. For more details see Section 8.3

## 10 Change management

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Change management is the exercise of establishing procedures to assess, approve or disapprove, implement, release and disseminate changes to agreed specifications and baselines. Change management ensures that configured items are always maintained in a known state or condition. This method of controlling changes guarantees that only approved modifications to existing data are allowed and only these are applied.

The purpose of the SIMPATICO change management is to document how changes are managed throughout the project life cycle. It defines the activities and processes related to managing changes for the SIMPATICO project.

Change requests are requests to expand or reduce the project scope, modify operational policies, processes, plans or procedures, revise schedule.

A multi-level approach is used to approve change requests; the authority limits dictate when it is necessary to escalate the change request to a higher level for review and approval:

- the Project Manager makes the final decisions to analyse and proceed with changes if the changes have little or not impact on scope, budget or schedule or result in any increased risk for the project.
- changes which have little or medium impact on scope, budget or schedule are forwarded to the PC for review
- The PMB discusses requests that may result in a significant change in scope, schedule, and budget, and make the final decision based upon the information provided by the Project Manager and the inputs of the PC. The following table details the approval authority limits:

Role	Approval Authority Limit
Project Manager	0 - 2.49% Change
Project Coordinator	2.5 -9.99% Change
Project Management Board	10.0% or more Change

Each request is tracked from the time of presentation through:

1. Identify (identify and document the required change)
2. Validate (verify the change is valid and requires management)
3. Analyse (analyse schedule, cost and effort impact of change)
4. Control (decide whether to execute the change)
5. Action (execute decision, including revision to project plans if necessary)
6. Close (verify that action is complete and close change request)

#### Identify Change Request

Action	Responsibility
1. Identify and record the issue	Project Manager or Team Leader

#### Validate Change Request

Action	Responsibility
2. Identify member of the team as the issue owner	Project Manager
3. Validate change request with project team members as appropriate.	
4. Assess and evaluate change for necessity to project.	
5. Update change request with target date for completion of analysis.	

**Analyse Impact**

Action	Responsibility
6. Direct activity to assess the scope, cost and schedule impact of the change. 7. Update change request with impact analysis and estimates in terms of scope, cost, schedule and effort impacts. 8. Update change request with target date for decision.	Project Manager

**Control Change Request**

Action	Responsibility
9. Determine required approvals and assign priority to the change request. 10. If changes do not impact scope, budget or schedule decide whether to proceed with the change. 11. If changes impact scope, budget or schedule, consult PC 12. If change request should be escalated to PMB, place request on agenda for next meeting (or email if request is urgent).	Project Manager
13. Review and discuss analysis of change request 14. Decide whether to proceed with the change.	Project Coordinator /Project Management Board
15. Generate approval/disapproval signature sheets for each outstanding change request. 16. Update status of change request with control decision.	Project Manager

**Action Change Request**

Action	Responsibility
17. Incorporate change request into appropriate plans and work plan 18. Update work plan baseline for agreed changes.	Project Manager

**Close Change Request**

Action	Responsibility
19. Close change request. 20. Communicate work plan change to project team. 21. Monitor and report progress against project plan.	Project Manager

## **10.1 Document change process**

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The reason for a change (both corrections and enhancements) of any document must be clearly documented in the change history of the document. The change reason must clearly be stated and the significant changes shall be listed with page numbers so that the new text can easily be recognized and distinguished from the previous text.

After a change is requested, the responsible and/or work package leader analyse its impact on the deliverable itself as well as on the other project outcomes. They may consult with the Project Coordinator.

When the change is evaluated, it may become approved or disapproved, respectively. The editor informs the originator of the change request and all contractors involved on the results of evaluation. If the change is disapproved, the editor also presents reasons of his decision within the change request form, which may lead to a further discussion eventually leading to a clear accept or reject decision.

If the change is approved, the editor must implement the changes. After completion, a new draft version of the deliverable is issued for approval or release.

## **11 Conclusions**

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This document presents the approach taken by the SIMPATICO team to manage the project. The PMP has to be considered as a guiding document to guarantee that the project will adhere to the original work plan. In addition, the tools used by the team to manage the project, communicate internally and externally about the project and to control the quality and risks associated with the project have been presented. The project management plan and the various instruments used to control the project will be continuously updated and refined as the project moves forward. As this is living document changes will be made as the project advances and partners develop more components of the project

## References

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1. **PMI**, **AA**. Practice Standard for Project Risk Management, . s.l.: Project Management Institute, 2009.

## Annex 1 – List of Contacts

Table 10: SIMPATICO Project Management Board Members

No	Participant organisation name	Short name	Country	Member
1	Fondazione Bruno Kessler	FBK	IT	Marco Pistore
2	Universidad de la Iglesia de Deusto	DEUSTO	SP	Diego Lòpez de Ipiña
3	The University of Sheffield	USFD	UK	Lucia Specia
4	Engineering - Ingegneria Informatica SpA	ENG	IT	Antonio Filograna
5	Hi-Iberia Ingenieria y Proyectos SL	HIB	SP	Raúl Santos
6	Sparta Technologies Ltd	SPA	UK	Zulf Choudhary
7	BEng Business Engineering SRL	BENG	IT	Orazio Tomarchio
8	Comune di Trento	TRENTO	IT	Giacomo Fioroni
9	Conselleria de Politica Social Xunta de Galicia	GALICIA	SP	Carmen Orgeira
10	Sheffield City Council	SCC	UK	Eddie Coates-Madden

Table 11: SIMPATICO WP and Task Leaders

ID	Title	Leader Name	Affiliation	Email	Phone
WP1	Project management	Matteo Gerosa	FBK	<a href="mailto:gerosa@fbk.eu">gerosa@fbk.eu</a>	+39 0461 314561
T1.1	Administrative and financial project coordination	Matteo Gerosa	FBK	<a href="mailto:gerosa@fbk.eu">gerosa@fbk.eu</a>	+39 0461 314561
T1.2	Scientific and technical coordination	Marco Pistore	FBK	<a href="mailto:pistore@fbk.eu">pistore@fbk.eu</a>	+39 0461 314880
T1.3	Quality assessment and risk management	Matteo Gerosa	FBK	<a href="mailto:gerosa@fbk.eu">gerosa@fbk.eu</a>	+39 0461 314561
WP2	Interaction adaptation and personalization	Lucia Specia	USFD	<a href="mailto:specia@sheffield.ac.uk">specia@sheffield.ac.uk</a>	+44 114 2221831
T2.1	Text profiling and enrichment	Sara Tonelli	FBK	<a href="mailto:satonelli@fbk.eu">satonelli@fbk.eu</a>	+39 0461 314542
T2.2	Design and learning of operations for text and workflow adaptation	Lucia Specia	USFD	<a href="mailto:specia@sheffield.ac.uk">specia@sheffield.ac.uk</a>	+44 114 2221831
T2.3	Application and evaluation of adaptation operations	Lucia Specia	USFD	<a href="mailto:specia@sheffield.ac.uk">specia@sheffield.ac.uk</a>	+44 114 2221831
T2.4	Citizen data vault	Roberto Di Bernardo Antonio Filograna	ENG	<a href="mailto:roberto.dibernardo@eng.it">roberto.dibernardo@eng.it</a> <a href="mailto:antonio.filograna@eng.it">antonio.filograna@eng.it</a>	+39 327 68 46 907 +39 333 12 29 818
WP3	Front-end interaction and enrichment	Raúl Santos de la Cámara	HIB	<a href="mailto:rsantos@hi-iberia.es">rsantos@hi-iberia.es</a>	+34 699 830 005

T3.1	Modeling of interactions	Raúl Santos de la Cámara	HIB	<a href="mailto:rsantos@hi-iberia.es">rsantos@hi-iberia.es</a>	+34 699 830 005
T3.2	Implementation of interactive front-end	Iván Pretel	DEUSTO	<a href="mailto:ivan.pretel@deusto.es">ivan.pretel@deusto.es</a>	+34 944 139 003 ext 2977
T3.3	Data/log analysis	Raúl Santos de la Cámara	HIB	<a href="mailto:rsantos@hi-iberia.es">rsantos@hi-iberia.es</a>	+34 699 830 005
T3.4	Annotation engine	Raúl Santos de la Cámara	HIB	<a href="mailto:rsantos@hi-iberia.es">rsantos@hi-iberia.es</a>	+34 699 830 005
WP4	Human computation	Iván Pretel	DEUSTO	<a href="mailto:ivan.pretel@deusto.es">ivan.pretel@deusto.es</a>	+34 944 139 003 ext 2977
T4.1	Human computation framework specification	Iván Pretel	DEUSTO	<a href="mailto:ivan.pretel@deusto.es">ivan.pretel@deusto.es</a>	+34 944 139 003 ext 2977
T4.2	Social question answering engine	Unai Lopez	DEUSTO	<a href="mailto:unai.lopez@deusto.es">unai.lopez@deusto.es</a>	+34 944 139 003 ext 3034
T4.3	Collective knowledge and search API	Iván Pretel	DEUSTO	<a href="mailto:ivan.pretel@deusto.es">ivan.pretel@deusto.es</a>	+34 944 139 003 ext 2977
T4.4	Design and implementation of collaborative procedure designer	Giuseppe Di Modica	BENG	<a href="mailto:gdimodica@gmail.com">gdimodica@gmail.com</a>	39-3284123318
T4.5	Stakeholder engagement and Citizenpedia deployment	Unai Lopez	DEUSTO	<a href="mailto:unai.lopez@deusto.es">unai.lopez@deusto.es</a>	+34 944 139 003 ext 3034
WP5	Integration and environment setup	Roberto Di Bernardo Antonio Filograna	ENG	<a href="mailto:roberto.dibernardo@eng.it">roberto.dibernardo@eng.it</a> <a href="mailto:antonio.filograna@eng.it">antonio.filograna@eng.it</a>	+39 327 68 46 907 +39 333 12 29 818
T5.1	Technical specification and architecture of the SIMPATICO platform	Roberto Di Bernardo Antonio Filograna	ENG	<a href="mailto:roberto.dibernardo@eng.it">roberto.dibernardo@eng.it</a> <a href="mailto:antonio.filograna@eng.it">antonio.filograna@eng.it</a>	+39 327 68 46 907 +39 333 12 29 818
T5.2	SIMPATICO interoperability framework	Roberto Di Bernardo Antonio Filograna	ENG	<a href="mailto:roberto.dibernardo@eng.it">roberto.dibernardo@eng.it</a> <a href="mailto:antonio.filograna@eng.it">antonio.filograna@eng.it</a>	+39 327 68 46 907 +39 333 12 29 818
T5.3	Use-case deployment and connection with legacy	Marco Pistore	FBK	<a href="mailto:pistore@fbk.eu">pistore@fbk.eu</a>	+39 0461 314880
T5.4	Technical validation of the SIMPATICO platform	Roberto Di Bernardo Antonio Filograna	ENG	<a href="mailto:roberto.dibernardo@eng.it">roberto.dibernardo@eng.it</a> <a href="mailto:antonio.filograna@eng.it">antonio.filograna@eng.it</a>	+39 327 68 46 907 +39 333 12 29 818
WP6	Use-case management	Marco Pistore	FBK	<a href="mailto:pistore@fbk.eu">pistore@fbk.eu</a>	+39 0461 314880
T6.1	Coordination of pilots	Marco Pistore	FBK	<a href="mailto:pistore@fbk.eu">pistore@fbk.eu</a>	+39 0461 314880
T6.2	Use-case requirements, KPIs, planning	Marco Pistore	FBK	<a href="mailto:pistore@fbk.eu">pistore@fbk.eu</a>	+39 0461 14880
T6.3	Use-case community building	Raúl Santos de la Cámara	HIB	<a href="mailto:rsantos@hi-iberia.es">rsantos@hi-iberia.es</a>	+34 699 830 005
T6.4	Use-case operation and monitoring	Marco Pistore	FBK	<a href="mailto:pistore@fbk.eu">pistore@fbk.eu</a>	+39 0461 314880
T6.5	Use-case evaluation	Li Yao	SPARTA	<a href="mailto:yao.l@spartadigital.co.uk">yao.l@spartadigital.co.uk</a>	+441614254800
WP7	Dissemination and exploitation activities	Fabio Perossini	SPARTA	<a href="mailto:perossini@spartadigital.co.uk">perossini@spartadigital.co.uk</a>	39335370400

T7.1	Communication & dissemination plan and activities	Fabio Perossini	SPARTA	<a href="mailto:perossini@spartadigital.co.uk">perossini@spartadigital.co.uk</a>	39335370400
T7.2	Communication & dissemination material	Fabio Perossini	SPARTA	<a href="mailto:perossini@spartadigital.co.uk">perossini@spartadigital.co.uk</a>	39335370400
T7.3	Innovation, sustainability and exploitation plan	Fabio Perossini	SPARTA	<a href="mailto:perossini@spartadigital.co.uk">perossini@spartadigital.co.uk</a>	39335370400



## Annex 2 – Summary of partners responsibility assignments

Table 12: FBK responsibility assignment

<b>WP1 Project management</b>	
T1.1	Administrative and financial project coordination
T1.2	Scientific and technical coordination
T1.3	Quality assessment and risk management
D1.5	Ethical compliance report
D1.1	Project management plan
D1.3	Data management plan, v1
D1.2	Intermediate activity report
D1.4	Data management plan, v2
T2.1	Text profiling and enrichment
<b>WP6 Use-case management</b>	
T6.1	Coordination of pilots
T6.2	Use-case requirements, KPIs, planning
T6.4	Use-case operation and monitoring
D6.1	Use-case planning & evaluation, v1
D6.3	Citizens & stakeholders engagement & community building plan, v1
D6.5	SIMPATICO evaluation report, v1
D6.2	Use-case planning & evaluation, v2
D6.4	Citizens & stakeholders engagement & community building plan, v2
D6.6	SIMPATICO evaluation report, v2

Table 13: USFD responsibility assignment

<b>WP2</b>	<b>Interaction adaptation and personalization</b>
T2.2	Design and learning of operations for text and workflow adaptation
T2.3	Application and evaluation of adaptation operations
D2.2	Advanced version of text and workflow adaptation
D2.3	Final version of text and workflow adaptation

Table 14: HIB responsibility assignment

<b>WP3 Front-end interaction and enrichment</b>	
T3.1	Modeling of interactions
T3.3	Data/log analysis
T3.4	Annotation engine
D3.1	User interactions modelling and design, v1
D3.2	Basic methods and tools for user interaction automation
D3.3	Advanced methods and tools for user interaction automation
D3.4	Final user interaction automation framework

Table 15: ENG responsibility assignment

<b>T2.4</b>	<b>Citizen data vault</b>
<b>WP5</b>	<b>Integration and environment setup</b>
<b>T5.1</b>	<b>Technical specification and architecture of the SIMPATICO platform</b>
<b>T5.2</b>	<b>SIMPATICO interoperability framework</b>
<b>T5.4</b>	<b>Technical validation of the SIMPATICO platform</b>
<b>D5.1</b>	<b>SIMPATICO platform requirements and architecture, v1</b>
<b>D5.3</b>	<b>SIMPATICO interoperability framework and use-case environments, v1</b>
<b>D5.2</b>	<b>SIMPATICO platform requirements and architecture, v2</b>
<b>D5.5</b>	<b>SIMPATICO platform validation report, v1</b>
<b>D5.4</b>	<b>SIMPATICO interoperability framework and use-case environments, v2</b>
<b>D5.6</b>	<b>SIMPATICO platform validation report, v2</b>

Table 16: DEUSTO responsibility assignment

<b>T3.2</b>	<b>Implementation of interactive front-end</b>
<b>WP4</b>	<b>Human computation</b>
<b>T4.1</b>	<b>Human computation framework specification</b>
<b>T4.2</b>	<b>Social question answering engine</b>
<b>T4.3</b>	<b>Collective knowledge and search API</b>
<b>D4.1</b>	<b>Citizenpedia framework specification and architecture</b>
<b>D4.2</b>	<b>Basic methods and tools for human computation</b>
<b>D4.3</b>	<b>Advanced methods and tools for human computation</b>
<b>D4.4</b>	<b>Final human computation framework</b>

Table 17: SPARTA responsibility assignment

<b>T6.5</b>	<b>Use-case evaluation</b>
<b>WP7</b>	<b>Dissemination and exploitation activities</b>
<b>T7.1</b>	<b>Communication &amp; dissemination plan and activities</b>
<b>T7.2</b>	<b>Communication &amp; dissemination material</b>
<b>T7.3</b>	<b>Innovation, sustainability and exploitation plan</b>
<b>D7.1</b>	<b>Project website</b>
<b>D7.2</b>	<b>Dissemination plan</b>
<b>D7.4</b>	<b>Market analysis and exploitation plan, v1</b>
<b>D7.3</b>	<b>Dissemination &amp; communication materials</b>
<b>D7.5</b>	<b>Market analysis and exploitation plan, v2</b>

Table 18: BENG responsibility assignment

<b>T4.4</b>	<b>Design and implementation of collaborative procedure designer</b>
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## Annex 3 – SIMPATICO Workplan

ID	Title	Year 1												Year 2												Year 3																																																														
		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36																																																			
<b>WP1 Project management</b>																																																																																								
T1.1	Administrative and financial project coordination	[Green bar]																																																																																						
T1.2	Scientific and technical coordination	[Green bar]																																																																																						
T1.3	Quality assessment and risk management	[Green bar]																																																																																						
D1.1	Project management plan						D1.1																																																																																	
D1.2	Intermediate activity report																																					D1.2																																																		
D1.3-D1.4	Data management plan												D1.3																																						D1.4																																					
D1.5	Ethics compliance report	D1.5																																																																																						
<b>WP2 Interaction adaptation and personalization</b>																																																																																								
T2.1	Text profiling and enrichment	[Green bar]																																																																																						
T2.2	Design and learning of operations for text and workflow adaptation	[Green bar]																																																																																						
T2.3	Application and evaluation of adaptation operations	[Green bar]																																																																																						
T2.4	Citizen data vault	[Green bar]																																																																																						
D2.1	Basic version of text and workflow adaptation												D2.1																																																																											
D2.2	Advanced version of text and workflow adaptation																																					D2.2																																																		
D2.3	Final version of text and workflow adaptation																																					D2.3																																																		
<b>WP3 Front-end interaction and enrichment</b>																																																																																								
T3.1	Modeling of interactions	[Green bar]												[Green bar]												[Green bar]																																																														
T3.2	Implementation of interactive front-end	[Green bar]																																																																																						
T3.3	Data/log analysis	[Green bar]												[Green bar]												[Green bar]																																																														
T3.4	Annotation engine	[Green bar]																																																																																						
D3.1	User interactions modelling and design						D3.1																																																																																	
D3.2	Basic methods and tools for user interaction automation												D3.2																																																																											
D3.3	Advanced methods and tools for user interaction automation																																					D3.3																																																		
D3.4	Final user interaction automation framework																																					D3.4																																																		
<b>WP4 Human computation</b>																																																																																								
T4.1	Human computation framework specification	[Green bar]												[Green bar]												[Green bar]																																																														
T4.2	Social question answering engine	[Green bar]																																																																																						
T4.3	Collective knowledge and search API	[Green bar]																																																																																						
T4.4	Design and implementation of collaborative procedure designer	[Green bar]																																																																																						
T4.5	Stakeholder engagement and Citizenpedia deployment	[Green bar]																																																																																						
D4.1	Citizenpedia framework specification and architecture						D4.1																																																																																	
D4.2	Basic methods and tools for human computation												D4.2																																																																											
D4.3	Advanced methods and tools for human computation																																					D4.3																																																		
D4.4	Final human computation framework																																					D4.4																																																		
<b>WP5 Integration and environment setup</b>																																																																																								
T5.1	Technical specification and architecture of the SIMPATICO platform	[Green bar]												[Green bar]												[Green bar]																																																														
T5.2	SIMPATICO interoperability framework	[Green bar]																																																																																						
T5.3	Use-case deployment and connection with legacy	[Green bar]																																																																																						
T5.4	Technical validation of the SIMPATICO platform	[Green bar]																																																																																						
D5.1-D5.2	SIMPATICO framework requirements and architecture						D5.1													D5.2																																																																				
D5.3-D5.4	SIMPATICO interoperability framework and use-case environments																																					D5.3													D5.4																																					
D5.5-D5.6	SIMPATICO platform validation report																																					D5.5													D5.6																																					
<b>WP6 Use-case management</b>																																																																																								
T6.1	Coordination of pilots	[Green bar]																																																																																						
T6.2	Use-case requirements, KPIs, planning	[Green bar]																																																																																						
T6.3	Use-case community building	[Green bar]																																																																																						
T6.4	Use-case operation and monitoring	[Green bar]																																																																																						
T6.5	Use-case evaluation	[Green bar]																																																																																						
D6.1-D6.2	Use-case planning & evaluation						D6.1													D6.2																																																																				
D6.3-D6.4	Citizens & stakeholders engagement & community building plan																																					D6.3													D6.4																																					
D6.5-D6.6	SIMPATICO evaluation report																																					D6.5													D6.6																																					
<b>WP7 Dissemination and exploitation activities</b>																																																																																								
T7.1	Communication & dissemination plan and activities	[Green bar]																																																																																						
T7.2	Communication & dissemination material	[Green bar]																																																																																						
T7.3	Innovation, sustainability and exploitation plan	[Green bar]																																																																																						
D7.1	Project website	D7.1																																																																																						
D7.2	Dissemination plan						D7.2																																																																																	
D7.3	Dissemination & communication materials																																					D7.3																																																		
D7.4-D7.5	Market analysis and exploitation plan																																					D7.4													D7.5																																					
<b>Project Milestones</b>		<span style="color:red">★</span> <i>Mi1</i> <span style="color:red">★</span> <i>Mi2</i> <span style="color:red">★</span> <i>Mi3</i> <span style="color:red">★</span> <i>Mi4</i> <span style="color:red">★</span> <i>Mi5</i> <span style="color:red">★</span> <i>Mi6</i>																																																																																						
<b>Project Phases</b>		PHASE 1												PHASE 2												PHASE 3												PHASE 4																																																		

## Annex 4 – SIMPATICO Risk Register (22 June 2017 version)

RISK REGISTER*						
ID	Risk description	Risk Owner(s)	Impact	Probability of occurrence	Overall risk level	Response Strategy
Proj_R1	Changes in local regulatory framework that could delay or even prevent the use-case execution	FBK	High	Low	Medium	When dealing with e-government in public administration, changes in local regulations and policies are always a risk to be considered. A special task will be devoted to identify the regulatory constraints in the involved use-case countries. Moreover, each use-case PA partner will be continuously supported by a technical partner responsible, among other thing, for monitoring and controlling of environmental factors that could impact the setup and operation of the use-cases.
Proj_R2	Citizens' concern for privacy and security of e-services increase due to an unforeseen raise in cybercrimes (or cyber terrorist acts) in EU.	FBK	Medium	Low	Medium	SIMPATICO solution already is aware that citizen lack of trust in e-services is a barrier preventing the achievement of project impacts. If during the project lifetime this effect increases due to external factor we will devote more effort to the analysis and information about the objective online security levels and, more importantly, will devote more effort in devising new incentives models and engagement strategies.
Proj_R3	Partner activities are not aligned and do not meet project objectives	FBK	High	Low	Medium	Task 1.2 Scientific and Technical Coordination assure an adequate progress of the technical tasks to be carried out by each partners in order to get the project objectives. Progress of activities and partners' contributions are monitored regularly, during technical phone calls scheduled every two weeks and plenary consortium calls scheduled every four weeks. Additionally PMB meetings will be held every 3 months to ensure that activities are streamlined and if not to take the corresponding measures.
Proj_R4	A partner leaves the project	FBK	High	Low	Medium	The rest of the Consortium will try to assume the partner objectives, responsibilities and resources. In case the responsibilities reallocation is not possible, the Consortium will look for another partner with the same profile.
Proj_R5	Progress starting too late in the project resulting in poor delivery and project outcome	FBK	High	Low	Medium	The use of the PMI International standard for PM practices will help create a project with stepwise project progress, realistic time-lines and resource estimates based on partner's experience and best practice. Most of the partners have experience in EU projects and hence ready for a quick start.

Proj_R6	Any of the deliverables or official notifications to the EC is suffering a delay	FBK	Low	High	Medium	Progress in the preparation of the deliverables will be monitored during the regular technical phone calls (scheduled every two weeks) and plenary consortium calls (scheduled every four weeks). In addition to this, the coordinator will check, 15 days earlier of the deadline, the status of any of deliverable to be sent to the EC. In case there is a delay, Project Management procedures will be put in place to ensure a timely delivery or to reduce the delay for the formal submission. In case delays with respect to the official delivery date are confirmed, an impact analysis will be carried out by the coordinator with the help of the consortium, so that any significant impact is recognized and appropriate mitigation actions are defined. In case of significant delays (more than 15 days), the Project Officer will be informed.
Proj_R7	Too much resources are consumed by one or more partners in the first half of the project, and as a consequence the project do not have the necessary resources to reach its final objectives.	FBK	High	Very low	Low	Resource consumption is constantly monitored during the project. The PM requests a financial internal report every 6 months, where real personnel costs, other direct costs and indirect costs during the period are indicated. The PM shall prepare a status update every 6 months, including tracking and evaluating trends and variances in the costs associated with the project in order to provide timely management reporting which will enable rapid response and mitigation to adverse trends, problem areas, progress shortfalls, potential progress or cost impacts, etc. before they become milestone impacts.
<b>WP2 Risks</b>						
WP2_R1	Current machine learning techniques may not provide sufficient support for the interplay of many components needed for our approach, particularly for learning new adaptation operations	USF D	Medium	Medium	Medium	Fall back to applying already existing adaptation operations for groups of users, trying to extend as much as possible the set of existing operations in a rule-based fashion.
WP2_R2	The integration between the Citizen Data Vault and the legacy systems of PA could be difficult, mainly for the Personal Data storage	ENG	Medium	Medium	Medium	The tight collaboration between PA and CDV team is needed. The security techniques to assure the data protection have to be explained to decision maker of PA. At the beginning of the experimentation, only a selected set of user information can be stored into the CDV in agreement with the PA.
WP2_R3	Insufficient user feedback collected from end-users in pilots may not allow adequate	USF D	Medium	High	Medium	Collect data from other users, who have similar characteristics as those of our end-users (e.g. are also non-native speakers of English), but are recruited through other means (e.g. crowdsourcing).

	personalization of simplification models.					
WP2_R4	The Citizen Data Vault front-end could be not usable by non-savvy technical people, in particular elderly and disadvantaged people	ENG	Low	Medium	Medium	Starting from the feedback received during the pre-validation phase, a plan to improve the usability of the CDV front-end will be put in place.
<b>WP3 Risks</b>						
WP3_R1	The data collected through user interactions does not show enough variability to build a consistent profile space and avoid data sparseness	HIB	Low	Medium	Medium	In case no consistent profile can be identified, we will create some prototypical profiles (e.g. non-native speaker with 2 children, native speaker with no technical background, etc.). Low variability will still allow testing the hypotheses put forward in this proposal, but in a less robust way
WP3_R2	The IFE component requires a technology or strategy that is not fully compatible with the deployed legacy system.	HIB	Medium	Low	Medium	A range of technologies have been put forward to integrate the needs of the IFE with different families of front-end technologies (e.g., javascript injection, Google Chrome plugins). This will be leveraged to find a solution valid for every pilot and propose future solutions.
WP3_R3	The users don't provide enough feedback on their usage of the system in the SF	HIB	Medium	Low	Medium	Different strategies can be followed to incentivate citizen's feedback. Among these we can fine tune the questions asked so that they match their profiles better or some solution based on Gamification could be implemented
WP3_R4	The analytics that are required to extract/show relevant information rto the Civil Servants in the DA/EE are too connected to the particulars of each pilot	HIB	Low	Medium	Medium	This is more relevant towards delivering a usable component post-project. For the SIMPATICO project, even very fine tuned analytics can be used to match very precise needs (this will require more development). An ideal solution would be some kind of authoring tool for Civil Servants to do this on their own. This can be at least outlined at the end of the project.
WP3_R5	The EE presents information that is not useful for the PAs	HIB	Medium	Medium	Medium	The Enrichment Engine presents to the civil servants who are in charge of the design of the e-services information that might be useful in re-designs. For this to be useful, SIMPATICO developers need indication of which might be the useful metrics, data or results for the PAs. The response to this risk is the preparation of a plan (surveys, focus group, etc) to collect such information from the PAs.
WP3_R6	The IFE for the SIMPATICO enrichment of services proves to be too complex for the targeted users to understand.	HIB	Medium	Medium	Medium	Early capture of usability issues during design (with consortium members, etc) and during the pre-validation so that future redesigns can take them into account. Creation of a Usability Issues register?

WP4 Risks						
WP4_R1	Citizens do not give enough contribution to Citizenpedia, making its viability limited.	DEU STO	Medium	Medium	Medium	In case of low contribution we will devote resources from PA partners within SIMPATICO to bootstrap the Citizenpedia environment with a set of question/answers and knowledge on online processes. Furthermore in task T4.5 we will ensure that engagement campaigns are undertaken to ensure sufficient participation. The initial population of the local citizen knowledge (task T5.3) also helps mitigating this risk. A gamification strategy where frequent high quality contents contributors are empowered with moderator role will also be considered.
WP4_R2	The technology used for the development of the CPD frontend is not fully supported by the browser IE10 and IE11. Since January 2016 Microsoft is not supporting IE10 and is providing very limited support for IE11. The risk is that the CPD will not be working on the mentioned browsers	BEng	Low	High	Medium	BEng is studying possible workarounds. At the worst, citizens will be invited to use alternative browsers to access the CPD
WP4_R3	The quality of the answers provided to the questions in Citizenpedia is low (unuseful answers, spam ...)	DEU STO	Medium	Medium	Medium	Two strategies will be adopted to ensure the quality of the QAE content. Firstly, the spam handling module will be developed, and fine tuned. Secondly, we envisage to have a moderator role, taken by a physical person, who will revise the contributions in the Citizenpedia. Finally, the Gamification approach to incentivize citizen contributions will be reinforced considering means to promote high quality frequent contributors towards the moderator role.
WP4_R4	Citizens do not find the Citizenpedia attractive or easy to use, thus, not contributing to it. This might happen specially with disabled, migrant or elderly users.	DEU STO	High	Medium	Medium	The Citizenpedia user interface design will be reviewed to continuously enhance its usability and accessibility. For that, well-known usability and accessibility best practices will be adopted and the interface tested with demanding collectives, e.g. elderly or disabled people.
WP4_R5	Relevance of recommended questions and associated answers based on user input search criteria are not relevant.	DEU STO	High	Low	Medium	The QAE will leverage on semantic searching capabilities to overcome typos problems and even to enable term association.

WP5 Risks						
WP5_R1	Difficulty in integrating the SIMPATICO platform with the legacy systems in the PA.	ENG	Medium	Medium	Medium	Integration with legacy systems, and in general interoperability issues, is a key concern of the project, to which dedicated resources are allocated (tasks T5.2 and T5.3). Even if this integration turns out to be unfeasible, the architecture of the SIMPATICO platform still ensures a satisfactory level of adoption of the proposed approach, by building on top of legacy e-service systems, as discussed in task T3.2 (see SIMPATICO-adapted approach).
WP5_R2	Integration among SIMPATICO components could not work well	ENG	High	Low	Medium	The adoption of the Open APIs should allow to avoid this risk. Moreover, the pre-evaluation phase will consent to perform all the possible tests to guarantee the total integration among components
WP5_R3	Possible delay of platform deployment in the PA servers	ENG Cities Use- case leaders	High	Low	Medium	The use-case leaders will adopt a sandbox in order to have the whole platform already operating and easily deployable when the PA servers will be available. In this way, a replica of services will be already in place and usable.
WP6 Risks						
WP6_R1	Lack of commitment and resistance to change by the PA users	FBK	High	Low	Medium	Reluctance of PA users (either civil servants or policies designers) and the resulting lack of belief sometimes is one of the strongest obstacles when a change in the governance model is proposed. Within the project, special activities will be carried out to demonstrate the advantages of the SIMPATICO solution and thus gain an authentic commitment from the Public Administration adopters. Specific incentive models, developed within T4.5, will be also put in place to ensure engagement of civil servants.
WP6_R2	Delays in use-case implementation due to PA partners delay with internal procedures (e.g., with the digitalization process of their public services)	FBK	Medium	High	Medium	In the Task 6.2 Planning, Community Building and Evaluation KPIs Definition, the planning for the implementation of the use-cases will be defined. The Task will also identify early triggers of delays and strategies to prevent them. In case there are some delays, a re-schedule of the WP6 tasks and resources will be performed in order to speed up the tasks in line with the project milestones and deadlines.
WP6_R3	Mistakes, problems in the collection of data for SIMPATICO technical validation and for measuring the progress indicators during the use-cases.	FBK	Medium	Low	Medium	The principal indicators have already been defined in this proposal, and the Consortium agrees on their measurability. In case it will not be possible to measure them, new indicators will be defined by the PC.



WP6_R4	Changes in local regulatory framework that could delay or even prevent the use-case execution	FBK	High	Low	Medium	When dealing with e-government in public administration, changes in local regulations and policies are always a risk to be considered. A special task will be devoted to identify the regulatory constraints in the involved use-case countries. Moreover, each use-case PA partner will be continuously supported by a technical partner responsible, among other thing, for monitoring and controlling of environmental factors that could impact the setup and operation of the use-cases.
WP6_R5	Citizens' concern for privacy and security of e-services increase due to an unforeseen raise in cybercrimes (or cyber terrorist acts) in EU.	FBK	Medium	Low	Medium	SIMPATICO solution already is aware that citizen lack of trust in e-services is a barrier preventing the achievement of project impacts. If during the project lifetime this effect increases due to external factor we will devote more effort to the analysis and information about the objective online security levels and, more importantly, will devote more effort in devising new incentives models and engagement strategies.
<b>TRENTO Pilot Risks</b>						
WP6_TN_R1	The "e-service portal" project will not deliver in time to allow the integration with SIMPATICO solution and instruments	TRE NTO	High	Low	Medium	The "e-service portal" project is currently proceeding according to the plan, which foresees a release by end of September 2016. This release date is compatible with the integration plan of SIMPATICO and offers an adequate time margin to address integration problems. TRENTO has the responsibility to monitor the progress of the "e-service portal" project and to report any problem that could invalidate this assumption.
WP6_TN_R2	The test e-services selected for validation will not be ready and open for applications during the period of execution of the SIMPATICO use-case (M15-M20).	TRE NTO	High	Low	Medium	The test e-services have been selected taking into account their delivery date according to the plan of the "e-service portal" project – they are expected to be M10 of SIMPATICO project. The planned period of execution of the SIMPATICO use-case is compatible with the periods when these test e-services will be open for applications, and when users are expected to apply to these services. TRENTO has the responsibility to monitor both the delivery of these services and any obstacle that can make it impossible, complex or not effective to exploit these services during the period of execution of the SIMPATICO use case. FBK has the responsibility to monitor any change in the planning of the SIMPATICO project that may affect the period of execution of the use case – and hence the possibility to exploit the selected e-services.

WP6_TN_R3	Inadequate support is provided by GLOBO srl in order to permit the integration of SIMPATICO with the Trento e-service portal.	TRE NTO	High	Low	Medium	GLOBO srl is informed of the SIMPATICO project, and of the requirement of the Municipality of Trento to integrate SIMPATICO instruments within the e-service portal. GLOBO srl is contractually committed (as provider of the solution for the e-service portal) to dedicate a fair effort to support this integration. After an analysis of the integration scenarios, this effort is considered adequate. TRENTO has the responsibility to ensure that an adequate support is provided by GLOBO srl.
WP6_TN_R4	SIMPATICO tools and techniques are not delivered in time for the integration.	ENG. FBK	High	Low	Medium	A strict plan and many checkpoints are in place preventing this situation to occur. Project Management techniques are in place to monitor the situation and to rise signals in case of plan misalignments. Technical and Plenary meetings have been set up also to prevent major impact situation to show up. ENG and FBK have the responsibility to monitor the progress of SIMPATICO's tools and techniques development plan and to report to TRENTO any problems that could affects the delivery deadline.
WP6_TN_R5	The integration mechanisms supported by "Sportello Telematico" (JavaScript injection and invocation of external REST web services) are not adequate for the integration with SIMPATICO.	FBK, TRE NTO	High	Medium	Medium	A pre-evaluation of "Sportello Telematico" integration capabilities has been made. Integration test will be take place starting from the end of September 2016, in order to better assess the probability and extent of this risk. Comune di Trento will assure GLOBO srl involved in the local SIMPATICO technical team.
WP6_TN_R6	The selected e-services are not complex enough to experiment and evaluate all the relevant SIMPATICO project techniques and tools.	FBK, TRE NTO	Medium	Medium	Medium	An extra e-service will be identified to test the specific missing SIMPATICO project techniques and tools.
WP6_TN_R7	Difficulty of the local community (civil servants, citizens and professionals) involvement.	TRE NTO	Medium	High	Medium	To promote a powerful communication campaign giving tangible advantages to the SIMPATICO community participants.

WP6_TN_R8	Integration incompatibility between the authentication system of Trento's new e-service portal and the one adopted by SIMPATICO components, in particular the Interactive Front End, Citizenpedia and CDV., that are the three user access points according to the SIMPATICO Platform Architecture.	FBK, ENG	High	Medium	Medium	<p>The development timeframe of SIMPATICO Platform Components (M7-M12, Sept. 2016 – Feb. 2017) and related integration (M13-M14, March 2017 – April 2017) is compatible to the “e-service portal” project delivery in order to better assess and mitigate this risk.</p> <p>In particular, mitigations of this risk are: the use by the service provider (GLOBO srl) of the same authentication system based on national standards such as the National Service Card (CNS), also adopted at the regional level through the specifications defined by the Province of Trento and its subsidiary companies (Informatica Trentina SpA); and the involvement of these companies in the analysis of the authentication mechanism of the e-service portal for the Trento use-case.</p>
WP6_TN_R9	Misalignment between the e-service portal development and SIMPATICO platform tools	TRE NTO, FBK	Medium	High	Medium	<p>The two phases approach used in Use Case development and the time frame planned for the development of e-services (Sept. 2016 – Dec. 2016) mitigates the risk.</p> <p>The e-service portal and the required e-services will be ready two month before SIMPATICO integration phase. This amount of time prevents system misalignment due for the deployment immaturity of the solution.</p> <p>Moreover the configuration of a sandbox environment with a suitable integration test plan, in collaboration with municipality service provider, contributes to mitigate potential operative risk of test e-services with SIMPATICO tools.</p>
WP6_TN_R10	Deployment misalignment between the Trento e-service portal and SIMPATICO platform tools. The deployment requirements (i.e. operative environments, network configuration, hardware performance, etc) of e-service portal and SIMPATICO Platform could provide potential misalignment or incompatibility.	ENG, FBK, TRE NTO	Medium	Medium	Medium	<p>The use of a sandbox environment in the first phase of use case development and the strong collaboration among all the departments involved in the two projects should assure the meet of deployment requirements and consequently mitigate the risk.</p>

SHEFFIELD Pilot Risks						
WP6_SH_R1	The SCC's new website or sandbox environment will not be delivered in time to allow the integration with SIMPATICO solution and instruments	SCC	High	High	High	SCC has the responsibility to monitor the progress of the new website and to report any problem that could invalidate this assumption.
WP6_SH_R2	The test e-services selected for validation will be ready and open for applications during the period of execution of the SIMPATICO use-case (M15-M20).	SCC, SPA	High	High	High	The test e-services have been selected taking into account their importance to the council and the high demand of migrants. However, it is not clear whether or not such services will be a priority to the new website. SCC has the responsibility to monitor both the delivery of these services and any obstacle that can make it impossible, complex or not effective to exploit these services during the period of execution of the SIMPATICO use case. Sparta has the responsibility to monitor any change in the planning of the SIMPATICO project that may affect the period of execution of the use case – and hence the possibility to exploit the selected e-services.
WP6_SH_R3	SIMPATICO solution should be accessible via Mobile browsers	SPA	High	High	High	The interactive services should be mobile responsive as per Use case requirements that half of the traffic goes on mobile devices
WP6_SH_R4	Sheffield website should have an User identification system to allow SIMPATICO to update personalized content specific to User	SCC, SPA	High	High	High	There should be some user identification system so when User makes specific text or workflow adaptation request, it should be stored in SIMPATICO system with unique User details. If no user identification is possible, a cookie based approach will be followed to track activities of the user.
WP6_SH_R5	The new website does not support Google Chrome Extension technology.	SCC, SPA	High	Low	Medium	It has been suggested that we use the plugin till such a time as Sheffield council have their full service platform developed.
WP6_SH_R6	The selected e-services are not available on the date of the use-case evaluation.	SCC	High	Medium	Medium	To test the specific missing SIMPATICO project techniques and tools on a different e-service.
WP6_SH_R7	The selected e-services are not complex enough to experiment and evaluate all the relevant SIMPATICO project techniques and tools.	SCC	Medium	Medium	Medium	An extra e-service will be identified to test the specific missing SIMPATICO project techniques and tools on a different e-service.

WP6_SH_R8	Incompatibility between the selected test procedure and workflow adaptation techniques.	SPA, SCC	Medium	High	Medium	Experiment SIMPATICO with different services that can also be potential use-cases
WP6_SH_R9	Integration Incompatibility between SCC new website and SIMPATICO components	SPA, SCC	Medium	High	Medium	Test SIMPATICO solution on sandbox environment in first phase of Use case development mitigates the risk
WP6_SH_R10	Difficulty of the local community (civil servants, citizens and professionals) involvement	SCC	Medium	High	Medium	To promote a powerful communication campaign giving tangible advantages to the SIMPATICO community participants.
WP6_SH_R11	Problems associated with the integration of the Simpatico Tool with SCC's Adobe Experience Manager (AEM) based website. Delays in the successfully deployment of the Simpatico functionality will lead to significant delays in the dependency associated with having a fully functional integration.	SPA	High	Medium	Medium	SPA will attempt to resolve the issues associated with the integration in their Sandbox environment, send the completed installation using a third party app. This can then be staged on the SCC server where the necessary security tests can be performed. Where necessary Pre-validation and validation can be conducted on the SPA replica site.
<b>GALCIA Pilot Risks</b>						
WP6_GL_R1	The replicated e-services will not be delivered in time to allow the integration and the experimentation with SIMPATICO platform	DEU STO	High	High	High	The selection and the study of the corresponding e-services is currently proceeding according to the plan. DEUSTO has the responsibility to monitor the progress of the selection and replication of the selected e-services and to report any problem that could invalidate this assumption.
WP6_GL_R2	The number of selected citizens will not be significant or sufficient to perform the experimentation with SIMPATICO platform	XUN TA	High	High	High	This selection is currently proceeding according to the plan, also thanks to the liaison with citizens' associations. It will depend on the location of the selected environments. Consequently, it is going to be strongly linked with the following assumption. GALICIA has the responsibility to monitor the selection and to report any problem that could invalidate this assumption.

WP6_GL_R3	The environments to perform all the experiments in terms of locations, additional resources and staff will not be ready and available.	XUN TA	High	High	High	The environments to perform all the experiments in terms of locations, additional resources and staff will be ready and available. Environment selection is currently proceeding according to the plan and taking into account the size, availability and additional resources. GALICIA has the responsibility to monitor the selection and to report any problem that could invalidate this assumption.
WP6_GL_R4	The replicated e-services will be ready and open for applications during the period of execution of the SIMPATICO use-case (M15-M20).	XUN TA	High	High	High	The planned period of execution of this use-case is compatible with the periods of delivery. All the possible technical errors and integration issues will be solved. GALICIA has the responsibility to monitor the correct performance of the tests with users during the period of execution of the SIMPATICO use case. HIB has the responsibility to monitor any change in the planning of the SIMPATICO project that may affect the period of execution of the use case.
WP6_GL_R5	The decrease of the size of testing community during the use case execution.	XUN TA	Medium	High	Medium	This risk is directly related to WP8_GL_R2. Having a significant amount of citizens, detecting these kind of decreases in early stages will be crucial. If this situation is detected, several resources should be invested on more dissemination and engagement tasks. Furthermore, more institutions related to Xunta (e.g. Universidad Senior) will be involved to engage more citizens.
WP6_GL_R6	Difficulty of the community involvement of civil servants.	XUN TA	Medium	Low	Medium	To promote a powerful communication campaign and benefits of adapting SIMPATICO to their work in terms of workload and tasks to perform.
WP6_GL_R7	The selected e-services are too complex for elderlies to experiment and evaluate all the relevant SIMPATICO project techniques and tools.	DEU STO	Medium	Medium	Medium	Additional training, literacy and dissemination campaigns will be created and a simpler e-service will be identified and replicated.
WP6_GL_R8	Simplified versions for the e-service's text in Galician language are not provided, or not adequate enough.	HIB	Medium	Medium	Medium	More effort will be put by the task force in change of developing the Text Adaptation Engine (TAE) component. The GALICIA team will provide the TAE task force with more Galician texts to be used as training sets, and will invest more time in the testing of the TAE tool for Galician.
WP6_GL_R9	The e-services in Galician are not usable enough to be adopted by challenging collectives, e.g. elderly or disabled people.	DEU STO	High	High	High	Heuristic evaluation of the piloting e-services will be carried out. Also, accessibility compatibility checks according to WAAG 2.0 will be performed. The results of these tests will be used to adapt the e-services and increase their acceptability.

WP7 Risks						
WP7_R1	Viability negative outlook	SPA	High	Low	Medium	Discuss with the consortium actions to correct the outlook.
WP7_R2	Lack of involvement of key stakeholders	SPA	Medium	Medium	Medium	Activate hard engagement procedure to overcome the lack.
WP7_R3	Dissemination activities not well focused	SPA	Medium	High	Medium	Rephase dissemination strategy to better focus on project targeted stakeholders

\*columns “Status Date”, “Status Description” and “Notes” are not included in this public deliverable.

## Annex 5 – SIMPATICO Advisory Board composition

Country	Name	Position	Sector
Italy	Paolo Testa	Capo ufficio studi ANCI	Public Administration
Italy	Roberto Loro	CIO Dedagroup	Industry
Italy	Simonetta Montemagni	Head of Istituto for computational Linguistic (CNR)	Research
Spain	Jorge Perez	Innovation Project Manager	Industry
Spain	Daniel Sarasa	Smart City Program Manager at Zaragoza City Council	Public Administration
Spain	Natalia Maeso	General Manager, Deloitte	Industry
UK	Andrian Slatcher	Senior Policy Officer, City Policy, Manchester City Council	Public Administration
UK	Stuart Wrigley	Business Development Manager, DCS, USFD	University
UK	Yvonne Rennison	Head of Business & Public Engagement Faculty of Business and Law Manchester Metropolitan University	University



## Annex 6 – SIMPATICO Ethic Advisory Board composition

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Country	Name	Position
Italy	Umberto Izzo	Professor of Law at University of Trento
Spain	M <sup>a</sup> Luz Guenaga	Head of DeustoLearningLab
UK	Maria-Cruz Villa-Uriol	Study Abroad Officer & Principal Ethics Contact, University of Sheffield
Italy	Marco Pistore	SIMPATICO Project Coordinator
Italy	Matteo Gerosa	SIMPATICO Project Manager

## Annex 7 – SIMPATICO EAB meeting minutes

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### 1<sup>st</sup> SIMPATICO Ethics Advisory Board (EAB) Meeting Minutes

Friday, 2 December 2016 (h. 4 pm CET)

#### Participants

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President/External Member: Umberto Izzo (UNITRENTO)

FBK: Marco Pistore, Matteo Gerosa, Serena Bressan

ENG: Vincenzo Savarino

USFD: Lucia Specia

DEUSTO: Unai Lopez

BENG: Orazio Tomarchio

SPA: Zulf Choudhary

HIB: Not attending

SCC: Not attending

TRENTO: Not attending

GALICIA: Not attending

#### Agenda

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1. Welcome and introduction of the meeting
2. Description of the SIMPATICO deliverables regarding ethics and data protection
3. Pilot activities and necessary authorizations/notifications regarding ethics and data protection
4. Withdrawal procedure and data portability
5. Any other business

#### Main discussion points

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**1. Welcome and introduction of the meeting - [FBK]**

- Agenda and presentation of the President Umberto Izzo (UNITRENTO) and of the EAB

Members

- Role and functions of the EAB in the SIMPATICO project

## **2. Description of the SIMPATICO deliverables regarding ethics and data protection – [EAB President and FBK]**

[MATTEO and MARCO] describes the deliverables that have already been submitted to the European Commission:

- D1.5 – Ethics compliance report
- D8.1 – H – Requirement no. 1, "concerning any research involving work with humans"
- D8.2 – POPD – Requirement no. 2, "concerning any research involving collecting or processing personal data"
- D1.3 - Data management plan, v. 1

[MARCO] stresses that the Consortium can modify all the above-mentioned deliverables. It is up to the Consortium whether to work proactively or not before the reviewers' remarks. As regards especially the D1.3 – Data Management plan, v. 1 (and following versions), it is a living document that you may need to alter as the course of your research changes.

## **3. Pilot activities and necessary authorizations/notifications regarding ethics and data protection – [EAB President and FBK]**

[MARCO] Before starting the project activities involving personal and sensitive data of users (Month 14), we need to have a statement that says that we are aligned with the national legislation and procedures. These documents shall be collected by the EAB before the commencement of the experimentations and hopefully before the review meeting.

[UMBERTO] According to the personal and sensitive nature of specific data that will be processed within the Italian pilot (e.g. health data; see article 37 of Italian Data Protection Code), it is required to do a notification to the National Data Protection Authority.

[MATTEO] As a first action, the EAB ask USFD and DEUSTO to check with their Ethical Board whether it is necessary for them to do these notifications to their National Data Protection Authorities, depending to the data they are treating in their use cases.

[LUCIA] The USFD approach to research ethics requires that all research involving human participants, personal data, or human tissue should be reviewed, and research ethics approved obtained, before data gathering commences. USFD will send this authorization before the commencement of the UK pilot.

## **4. Withdrawal procedure and data portability [EAB President and FBK]**

[MARCO] stresses that the Consortium has to be aware of the new implications of the EU General Data Protection Regulation. The architecture has to be prepared in a way in which we are able to fulfil all the new legal requirements.

[UMBERTO] highlights that, according to the EU General Data Protection Regulation, the procedure to withdraw from the project shall be made explicit to the end-users as part of the terms and conditions presented at registration time (informed consent form). A data subject's consent to processing of their personal data must be as easy to withdraw as to give consent. Data controllers must be able to prove "consent" (opt-in) and consent may be withdrawn. When consent is withdrawn (also automatically), this may allow the termination or non-execution of a service which is dependent on the data.

[UMBERTO] says also that article 18 of the new EU Regulation introduces the data subject's right to data portability, i.e. to transfer data from one electronic processing system to and into another, without being prevented from doing so by the controller. As a precondition and in order to further improve access of individuals to their personal data, it provides the right to obtain from the controller those data in a structured and commonly used electronic format.

[MATTEO and MARCO] explains the SIMPATICO components in order to understand how the withdrawal procedure and the data portability can be structured. This is a technical analysis that the Consortium shall start doing as soon as possible and then discussed during the next meeting of the EAB.

[VINCENZO] asks, as regards the withdrawal procedure, if each user should have the power to remove all the data provided.

[UMBERTO] answers that, if you stop the treatment, all the data linked to the subject that has withdrawn his/her consent shall be cancelled. Data can be stored only if there are anonymized and if there are not connections with that person. In summary, in this case data shall be removed or anonymized.

## **5. Any other business**

[MATTEO and MARCO] summarizes the list of tasks that have emerged throughout the discussion:

- FBK shall do a notification to the Italian Data Protection Authority before the review meeting and/or the commencement of the experimentations. At the same time, USFD and DEUSTO shall check with their Ethical Boards whether it is necessary for them to do these notifications to their National Data Protection Authorities or an internal authorization of the above-mentioned board is sufficient.
- The Consortium shall discuss how to implement the withdrawal procedure and data

portability required by the new EU General Data Protection Regulation, according to the suggestions of the President of the EAB.

SIMPATICO deliverables regarding ethics and data protection may be modified accordingly, before the review meeting and/or the commencement of the experimentations.

[MATTEO] asks to report the discussion to the people that were not to be able to attend (especially the public administrations of each pilot) and says that the next EAB meeting (via conference call) will be scheduled before Month 14.

There was no other business.

## 2<sup>nd</sup> SIMPATICO Ethics Advisory Board (EAB) Meeting Minutes

Thursday, 20 April 2017 (h. 2 pm CET)

### Participants

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President (External Member - UNITRENTO): Umberto Izzo

FBK: Marco Pistore, Matteo Gerosa, Serena Bressan

ENG: Antonio Filograna

USFD: Lucia Specia

BENG: Orazio Tomarchio

SPA: Neetu Agrawal, Zulf Choudhary

HIB: Raúl Santos de la Cámara

DEUSTO: Not attending

SCC: Not attending

TRENTO: Not attending

GALICIA: Not attending

### Agenda

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1. Welcome and introduction of the meeting
2. Review of the SIMPATICO deliverables regarding ethics and data protection
3. Pilot activities and necessary authorizations/notifications regarding ethics and data protection
4. Any other business

## Main discussion points

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### 1. Welcome and introduction of the meeting - [FBK]

Agenda and presentation of the President Umberto Izzo (UNITRENTO) and of the EAB Members.

### 2. Review of the SIMPATICO deliverables regarding ethics and data protection – [EAB President and FBK]

[MARCO, MATTEO and SERENA - FBK] describe the deliverables (already been submitted to the European Commission) modified according to the conclusions of the first SIMPATICO EAB Meeting, the hints of the PO and the partners' remarks:

- D1.5 – Ethics compliance report
- D8.1 – H – Requirement no. 1, "concerning any research involving work with humans"
- D8.2 – POPD – Requirement no. 2, "concerning any research involving collecting or processing personal data"
- D1.3 - Data management plan, v. 1

In addition, they summarize the contents of the informed consent form with its related information sheet, the consent form for data recording and the SIMPATICO website terms and conditions. All the modifications to the above-mentioned deliverables shall be approved before the commencement of the pilots' activities.

[ANTONIO - ENG] explains how the SIMPATICO CDV has been and will be adapted in order to be compliant with the privacy and data protection rules of the new EU GDPR, and, in particular with specific regard to the "right to be forgotten", data access and data portability.

[UMBERTO – EAB President] highlights that, in his opinion, all the SIMPATICO deliverables and forms are well done, compliant with the new EU GDPR and ready to be re-submitted.

### 3. Pilot activities and necessary authorizations/notifications regarding ethics and data protection – [EAB President and FBK]

[MATTEO - FBK] Before starting the project activities involving personal and sensitive data of users, we need to have a statement that says that we are aligned with the national legislation and procedures. These documents shall be collected by the EAB before the commencement of the experimentations.

[UMBERTO] According to the personal and sensitive nature of specific data that will be processed within the Italian pilot (e.g. health data; see article 37 of Italian Data Protection Code), it is required

to do a notification to the Italian Data Protection Authority.

[MATTEO and MARCO] FBK will do this notification to the Italian Data Protection Authority before the end of May (after the Review Meeting). As a first action, USFD and DEUSTO shall ask their internal Ethical Committees to provide FBK with the necessary instructions and/or authorizations regarding SIMPATICO deliverables on ethics and data protection, and related-informed consent forms (+ terms and conditions). These internal committees are asked to review these documents and to provide possible comments before their formal approval.

[UMBERTO – EAB President] Please note that TRENTO and FBK are acting as separate data controllers in respect of the data processed during their specific tasks. FBK will be also data processor in relation to the TRENTO data processed during the Italian pilot on behalf of the data controller.

[LUCIA - USFD] USFD will send the above-mentioned instructions and/or authorizations before the commencement of the UK pilot. It is necessary to determine whether USFD is acting as a data controller or as a data processor in respect of the processing. The will check it with SCC. USFD will ask its internal Ethical Committee to review the requested documents and to provide its comments. Then USFD could get a letter of authorization from them; probably, they should get a letter also from the SCC.

[RAUL - HIB] HIB will ask to DEUSTO to provide FBK with the above-mentioned instructions and/or authorizations before the commencement of the Spanish pilot.

[UMBERTO – EAB President] It is essential for organisations involved in the processing of personal data to be able to determine whether they are acting as a data controller or as a data processor in respect of the processing. Data controller means a person who determines the purposes for which and the manner in which any personal data are or are to be processed. Data processor, in relation to personal data, means any person (other than an employee of the data controller) who processes the data on behalf of the data controller.

The involved local authorities (TRENTO, SCC, GALICIA) are the actual and real data controllers of the citizens' data. Research centers and Universities involved in the SIMPATICO Consortium have to make clear to them that they are in charge of the full endorsement of data processing and of the application of national and European legal requirements.

#### **4. Any other business**

[MATTEO] asks to report the discussion to the people that were not to be able to attend (especially the public administrations of each pilot). The urgent matter is to provide FBK with the necessary comments from the internal Ethical Committee of USFD and DEUSTO (Deadline: the end of this week). The authorization letters from the above-mentioned bodies of USFD and DEUSTO and the



notification to the Italian Data Protection Authority from FBK are requested before the commencement of the pilots activities (in May).

Please note that the data table “D1.3 - Data management plan, v. 1” should be fill in by FBK and SPA.

[MARCO] It is very important that all researchers engaged in the project dealing with end users are aware of what we wrote in the SIMPATICO deliverables on ethics and data protection, and related-informed consent forms (+ terms and conditions).

There was no other business. The meeting ended at 3 p.m. CET.