**Contract No 608224**

# Deliverable D7.1
# Project Handbook

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# Executive Summary

This document contains the management procedures and guidelines for the SPARKS project. It is required reading for all project participants, especially for new personnel. In addition to the contractual version, due in M3, updates will be made whenever necessary.

# Table of Contents

# Table of Figures

# Table of Tables

# Abbreviations and Acronyms

| Acronym / Abbreviation | Definition |
|---|---|
| AoB | Any other Business |
| CA | Consortium Agreement |
| CP | Consortium Plenary |
| DM | Dissemination Manager |
| DoW | Description of Work |
| EC | European Commission |
| GA | Grant Agreement |
| LEPPI | Legal, Ethical, Privacy and Policy Issues Officer |
| PM | Person Month |
| PO | EC Project Officer |
| PSC | Project Steering Committee |
| SLM | Standards Liaison Manager |
| STM | Scientific and Technology Manager |
| SVN | Subversion |
| TBC | To be confirmed |
| TBD | To be defined |
| TL | Task Leader |
| WP | Work Package |

# 1   Project Organisation

The project organisation is implemented according to the specification in the DoW (SPARKS DOW – Part B Section 2 Annex I to the Grant Agreement Number 608224).

## 1.1   Roles, Structure, Bodies

To realise the implementation of the SPARKS project, we have the following management roles, structures and procedures. These are summarised in **Figure 1** below.

### 1.1.1   Management Roles

The *Project Coordinator (PC)* and WP7 Leader take responsibility for the overall project management. This includes interactions with the European Commission on contract-related issues, as well as chairing regular management meetings. The PC has amongst his responsibilities a set of administrative and financial tasks, these include, but are not limited to: representing the project to the Commission's Project Officer (PO); representing the consortium in workshops and official meetings; collecting administrative reports from partners and forwarding periodic reports to the PO; preparing and updating the consortium agreement between the project's participants; administering project resources and spending; managing the overall ethical and gender issues; and coordinating the exploitation of the project's results.

The PC shares his technical responsibilities – monitoring the overall performance of the project, managing the technical audits, supervising the preparation of the final deliverables – with the project's *Scientific and Technology Manager (STM)*. The primary role of the STM is to oversee accomplishment of the scientific and technical objectives of the project, including providing guidance to the PC and work package leaders, and promote, in association with the PC, the project's visibility in international forums. The STM is one of the main members of the Project Steering Committee (PSC), defined below.

Recognising the importance of engaging with standardisation activities, SPARKS also has a *Standards Liaison Manager (SLM)*, whose role is to establish a continuous and comprehensive link to European standardization bodies. As such, the SLM is responsible for identifying the technical committees or working groups in standardization bodies that are relevant to the project, and evaluating the contribution that can be made to them. As part of this role, they will facilitate communication with the leaders of these bodies.

The *Dissemination Manager (DM) and WP1 Leader* will be the coordinator of all the project dissemination activities, as defined in WP1 on Stakeholder Engagement. The DM will be supported in all the relevant decisions by the Project Coordinator, and will collaborate in the definition of the project Website structure and functionalities.  Furthermore, the DM will oversee the organisation of the stakeholder engagement workshops, ensuring they are executed on-time and in a professional manner.  If necessary, the DM will facilitate engagement with stakeholders, for example, in the SPARKS stakeholder group and the project partners, e.g., by providing contact details and so on.

The *Legal, Ethical, Privacy and Policy Issues (LEPPI) Officer* will be the coordinator of all the activities related to legal, ethical, and privacy and policy issues. In particular, the LEPPI Officer will be in charge of monitoring that the security solutions developed within SPARKS respect national, European and international legislation; ensuring that the privacy directives are respected when potentially handling sensitive data from smart meters, for example; promoting awareness of ethical

principles and legal requirements within the project work packages, and dissemination of SPARKS best practice with respect to the LEPPI applied during the project.

*Work Package (WP) Leaders* will be responsible for all the activities in the work packages, including following the description of activities and objectives specified in the project plan, ensuring deliverables are on time, and ensuring no delays in the accomplishment of the tasks. WP Leaders will coordinate the activities within work packages and will work in close cooperation with the Project Coordinator. Within each work package, the *Task leader (TL)* will be the person responsible for the day-to-day work that is needed to carry out the tasks related to their specific activity. Their coordination work is not subject to any additional administrative or reporting burden; instead, they will act as team leaders of all the individuals from the different partners involved in a specific task.

## 1.1.2  Management Structure and Operation

The *Project Steering Committee (PSC)* has responsibility together with the Project Coordinator for monitoring the overall progress and direction of the project, the resources used and the costs incurred and risk evaluation. Reasons for any deviations from the project plan will be identified and the necessary corrective actions will be agreed by the PSC. Major changes in the project plan, such as reallocation of resources, may be done within the limits of agreements, by the decision of the PSC, as put forward by the Project Coordinator.

The PSC shall convene at least every three (3) months, in order to provide quick and efficient response to the events that arise during the project. The PSC meetings will precede the project's Plenary Meetings, in order to prepare for them. Whenever possible, the PSC will use remote meeting technology. The Project Coordinator, Scientific and Technology Manager, the Dissemination Manager, the Standards Liaison Manager and LEPPI Officer constitute the PSC. Other persons may attend the PSC meetings as advisors by invitation – either consortium members or external experts – with voice but without voting rights. The PSC meeting dates and agenda shall be announced by the Project Coordinator at least three weeks prior the meeting.

All the SPARKS partners will be represented in the *Consortium Plenary (CP).* The CP is the key liaison between the project and partner organisations. In the CP meetings, the Project Coordinator will present the project's status and plans for the next period. Representatives of the partner organisations will be able to voice their opinions and ask for more detailed information on progress and plans. The CP will aim to have a physical meeting on a *quarterly* basis and, when possible, in conjunction with the scientific and technical dissemination activities of the project. Dates of the meetings shall be announced by the Project Coordinator at least eight (8) weeks prior the meeting. In addition, the CP will convene for a monthly teleconference (see Section 5.2.2 below).
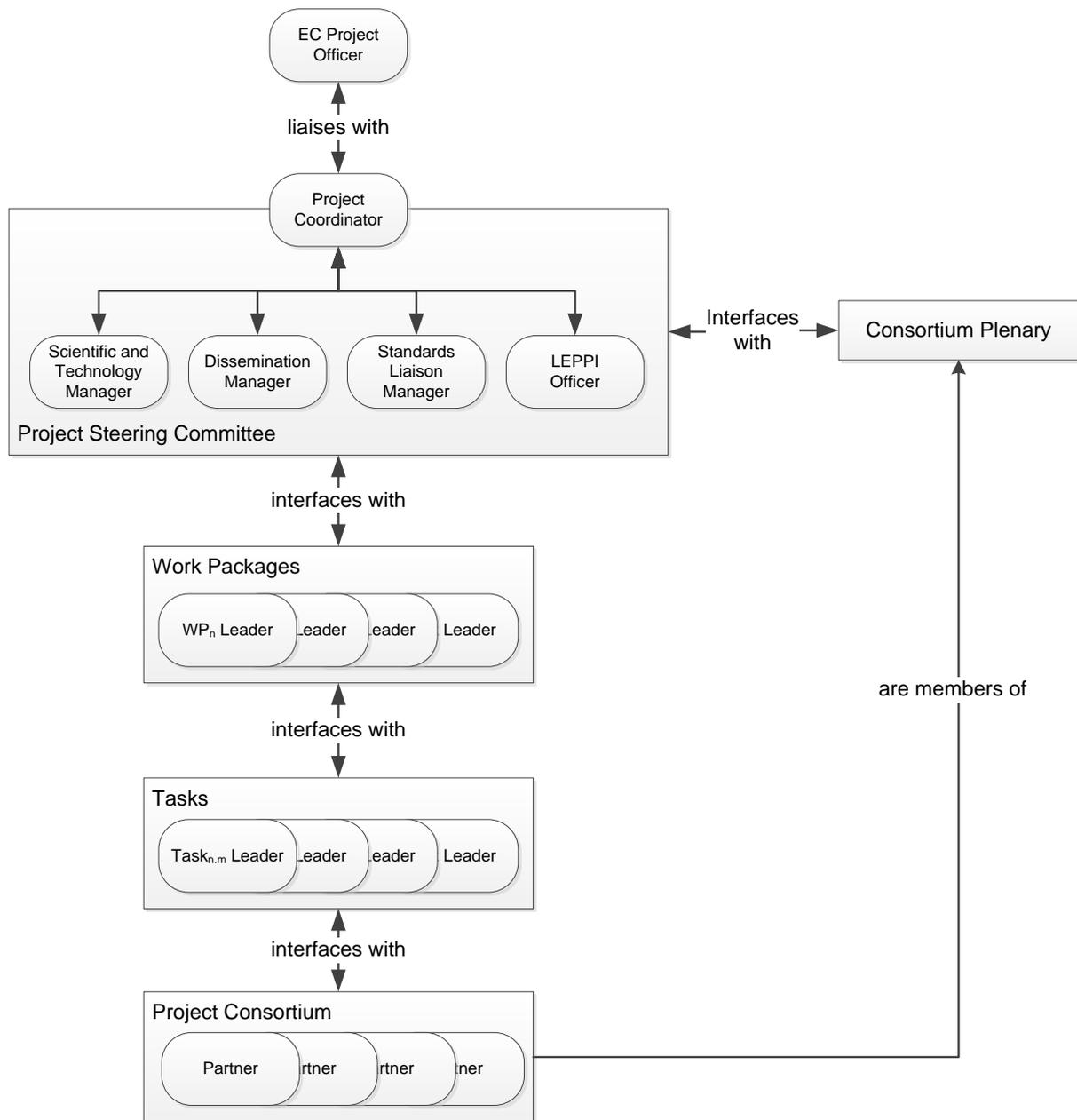
**Figure 1 Overview of the SPARKS project management structure.**

## 1.2 People and Roles

The people shown in **Table 1** have been nominated for the management roles that are specified in Section 1.1.1.

**Table 1 Named persons for the management positions in the SPARKS project**

| Role | Person | Organisation |
|---|---|---|
| Project Coordinator, WP7 Leader | Paul Smith | AIT |
| Scientific and Technology Manager | Robert W Griffin | EMC |
| Standards Liaison Manager | Lucie Langer | AIT |
| Dissemination Manager, WP1 Leader | Lucie Langer | AIT |
| Legal, Ethical, Privacy and Policy Issues Officer | Johannes Reichl | EI |
| WP2 Leader | Martin Hutle | AISEC |
| WP3 Leader | Paul Murdock | L+G |
| WP4 Leader | Gavin McWilliams | QUB |
| WP5 Leader | Kathrin de Bruyn | EI |
| WP6 Leader | Gerhard Meindl | SWW |

A directory of the SPARKS consortium members can be found on the project internal Wiki[1].

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[1] The SPARKS project personnel directory: https://project-sparks.eu/internal/projects/sparks/wiki/Project_Directory

# 2  Project Reporting Guidelines

The SPARKS project has two (2) reporting periods, with project reports due at M18 and M36 of the project. Furthermore, the project must supply two (2) intermediate reports, which are WP7 deliverables, at M9 and M27 of the project. These reports have to follow the "Guidance Notes on Project Reporting,"[2] with the caveat that the interim reports only require a budget approximation. The structure of these reports is as follows:

- Publishable summary
    - Project context and objectives
    - Highlights Achieved so far
    - Expected next major steps
- Core of the report for the period
    - Project objectives for the period
    - Work progress and achievements during the period
    - Project management during the period
- Deliverables and milestones tables
    - Deliverables
    - Milestones

Activities and the use of resources shall be reported by each partner. The report shall be reviewed by the relevant WP leaders and should list for each individual task:

- A summary of activities including all names of the people involved (from the reporting partner)
- The contribution to objectives:
    a. How do the reported activities contribute to the overall objectives of SPARKS
    b. How the reported activities contribute to the WP relevant objectives.
- Information on to which deliverable and milestone the activities in this task contributes
- An explanation of the original objectives for this task and, if applicable, how this has changed
- The anticipated progress at the time of reporting and, if applicable, explanation of difference
- The output and impact of the work carried out for the individual tasks
- The Plans for the next reporting period and potential problems

Templates for these reports are provided via the SPARKS Project Portal, which is described next.

# 3  The SPARKS Project Portal

Within the SPARKS consortium, an instance of the open source project management tool *Redmine* is used, which we refer to as the project portal. The portal is available at https://project-sparks.eu/internal/. At this address new members of the consortium can register for an account to access the project portal. Once a portal administrator has accepted the registration of a member, they have access to the following items:

- The SPARKS Wiki (organised by work package)
- Web interface for the integrated Subversion (SVN) repository

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[2] European Commission (2012). Guidance Notes on Project Reporting [Online]. Available: http://ec.europa.eu/research/participants/data/ref/fp7/89692/project-reporting_en.pdf
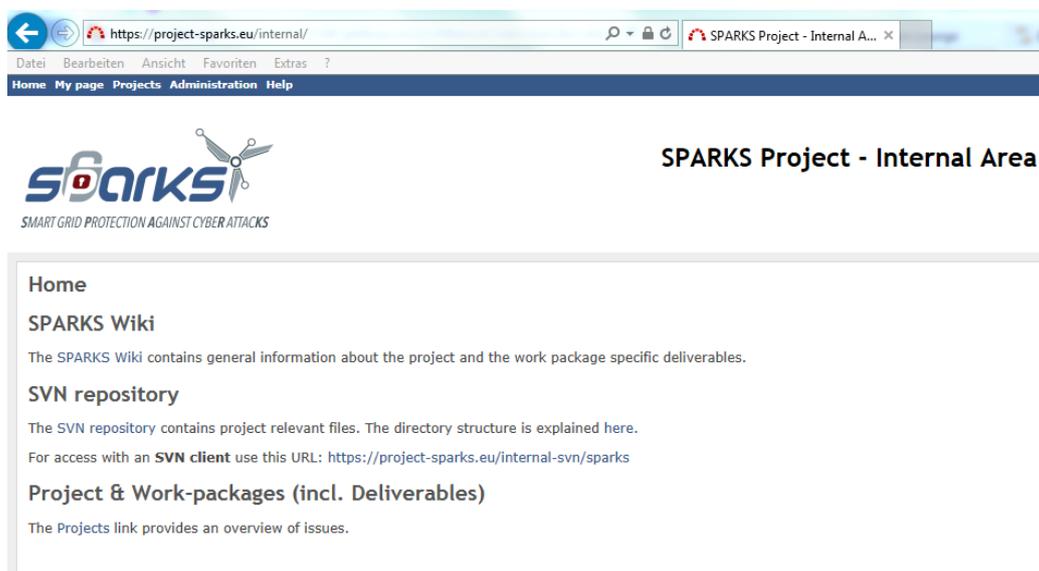
- The project's SVN repository



**Figure 2 Project Portal "Home Page"**

The project portal is organised by WPs – an overview is given on the "Projects" page. Subsequently, every WP contains a list of related issues and a WP-specific Wiki page.

## 3.1 The SPARKS Project Wiki

The SPARKS Wiki presents an overview of the tasks and deliverables of each work package for all project members. The Wiki is the central point of information for SPARKS. The following standard information is given for every deliverable:

- Due date (project month and date)
- Lead beneficiary
- Editorial board – people contributing to the deliverable
- Reviewers (see Section 4.5)
- Targeted dissemination activities (incl. scientific papers) – a short description of potential venues and what a paper could be about, based on the deliverable's content.
- Link to the location of the WP in the SVN repository
- The schedule for the delivery of the deliverable

Additional content to be put in the Wiki is at the discretion of the WP leaders and the other WP contributors.

## 3.2 Subversion Document Repository

Working together in a cross-organisational project brings the need for a document management system. For the SPARKS project, Apache Subversion (SVN) has been chosen as an open-source version control system. The SVN repository is available over a TLS channel at https://project-sparks.eu/internal-svn/sparks/. The consortium has agreed on using the following directory structure in the SVN repository (documented and maintained in the Wiki):

**Table 2: Subversion repository structure of the SPARKS document storage**

| Directory | Description |
|---|---|
| Deliverables | Approved project deliverables |
| DOW | Latest version of the DoW, including resources and financial information |
| Logo | Project and partners logos |
| Meetings<br>&bull; 2014-xx-xx-Kickoff<br>&bull; 2014-xx-xx-Meeting-Meaningfullname | Directories for storing documents and presentations associated with project meetings. |
| Other | Other documents (only in subdirectories) – only if it really does not fit above (double-check) |
| Proposal<br><br>&bull; Call<br><br>&bull; Description<br>&bull; Meetings<br>&bull; Overview<br><br>&bull; Partners<br>&bull; Resources<br>&bull; Submission | <br><br>All the information about the call, including proposers guidelines, etc.<br>The "Part B" of the proposal<br>Meeting Minutes, etc.<br>Two-page project summary and related overview documents and presentations<br>Contact-XLS, Partner Descriptions, Logos, etc.<br>Resource sheets<br>Submitted PDFs of all documents for all partners |
| UserBoard | Letter of Interest (LoI) template and signed LoIs |
| Publications<br>&bull; YYYY-MM-pub-description | Published paper including slides, etc. |
| Templates | Word and Powerpoint document templates, etc. |
| WPN-xxx<br>&bull; WP-Meetings<br>&bull; Deliverables-in-progress<br>&bull; T1.1-meaningfullname | Per work package directory<br>Optional, if necessary<br><br>Task in progress in isolation e.g. if multiple tasks contribute to a deliverable |
| WPx-ProjectManagement<br>&bull; Report-Year-N<br>&bull; Interim-Report-Year-N<br>&bull; Final-Report | Directory for the periodic, interim and final project reports |

### 3.2.1 Locking Documents

You may use the `svn:needs-lock` property for making locks to a specific directory or file. Using the TortoiseSVN tool[3] for Windows, this is done by:

2. Right-click on the directory or file that you want to set the permissions for
3. Go to the TortoiseSVN Properties
4. Click New Needs-Lock

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[3] The TortoiseSVN Website: http://tortoisesvn.net/

### 3.2.2  Source Code and LaTeX Source Files

For program source code and LaTeX files, the following SVN and code rules apply:

- Unless under exception circumstances, do not commit anything that does not properly compile. Always make sure that files that need to be compiled (source code, latex files, etc.) do compile without error. Ideally, compiling of the files should not produce any warnings even this might not always be feasible, but please at least have a look at the warnings before you commit.

- Do not commit changes without a comment. Please take the time to write a reasonable comment that summarises your changes.

- Only add the necessary files to the repository. This should be done to avoid unnecessary editing conflicts. For example, when writing deliverable D9.63, it is fine to add D9.63.tex, D9.63.bib, and awesome-plot.pdf, but please do not add files like D9.63.log, D9.63.aux or D9.63.pdf, which are just the output of the (pdf)latex command, and therefore change with each compilation and thus would cause conflicts in abundance.

# 4   Preparing SPARKS Deliverables and Other Documents

In what follows are guidelines that should be followed when preparing SPARKS deliverables and other documents, e.g., presentations.

## 4.1   Document Control Information

The document control information provided in the front matter of the document (e.g., deliverable) templates should be maintained. Each update to the document should be logged in the version table.

## 4.2   Language

The language for documents shall either be British English (EN-GB) (preferably) or US English (EN-US). One should be chosen for each document and used consistently.

## 4.3   Document Templates

The document templates for the project are located in https://project-sparks.eu/internal-svn/sparks/Templates (see Section 3.2). **Table 3** presents an overview of the templates used within the project. Possible additional document templates shall also be provided in the project Subversion repository.

**Table 3: The SPARKS project templates**

| Template | Type | Description |
|---|---|---|
| Deliverable | Microsoft Word/LaTeX | Used for all project deliverables |
| Presentation | Microsoft PowerPoint | Used for any presentations |
| Meeting Minutes | Microsoft Word | Used for meeting minutes |

## 4.4   Citation Style

In order to harmonise citing related work in SPARKS documents, IEEE-like citation style[4] should be used, unless a specific citation style is required by a certain publication template.

## 4.5   Project Deliverable Review Process

In order to ensure the quality of the project's deliverables, we will have an internal peer review process. The review of a deliverable should commence one (1) month prior to the deliverable's due date. Each deliverable should be reviewed by (at least) two (2) members of the SPARKS consortium who were not directly involved in the deliverable creation process. These reviewers should be nominated at a suitable time ahead of the aforementioned deadline. In Part B of the SPARKS DoW there are guidelines regarding partners that could be approached to identify people to fulfil the reviewer's position, which can be consulted.

When a deliverable is ready for review, the lead beneficiary should send to the reviewers a pointer to the uploaded deliverable in the Subversion repository. This should be a version of the deliverable in a quality that is understood to be ready to submit. For each deliverable, two rounds of review should be undertaken:

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[4] Graffox D. (2009,09). *IEEE Citation Reference* [Online]. Available:
http://www.ieee.org/documents/ieeecitationref.pdf

1. An initial review, which the deliverable beneficiaries should respond to and provide a brief summary (e.g., via email) of the changes they have made to reflect the reviewer's comments; and

2. A second round of review, which the reviewer uses to confirm their recommendations have been addressed and further comments. If necessary, the beneficiaries can use this round to make any final changes to the deliverable before submission to the PC.

How the review is articulated to the deliverable beneficiaries should be defined by the reviewers and the lead beneficiary. Examples include using the commenting facility in Microsoft Word, providing comments in a PDF version of the deliverable, or commenting inline of a LaTeX document.

In case of significant quality concerns, the reviewers shall inform the PC and the deliverable's lead beneficiary. The final deliverable will be submitted to the Project Officer by the PC.

# 5  Communication Policies

In this section, a number of communication guidelines are outlined that should be applied when engaging with potential stakeholders and internally, within the consortium.

## 5.1  Communicating with Potential Stakeholder Group Members

Potential SPARKS stakeholder group members should, if possible, sign a LoI after their subscription to the group has been discussed in a consortium plenary teleconference (monthly) or via email to the whole consortium. This process gives partners the opportunity to object to new stakeholders joining the group. A template for the LoI is provided in the project's Subversion repository (see Section 3.2.).

## 5.2  Guidelines for Internal Communication

Communication in the project shall follow the project organisation, as defined in the Consortium Agreement and the DoW. In summary, conflict resolution should first be carried out at the local level. If a conflict cannot be resolved within a WP, it shall be brought to the attention of the PC.

### 5.2.1  Project Mailing Lists

To support communication within the consortium, a number of email lists have been created. Membership of these mailing lists is managed by the Coordinator, AIT.

**Table 4: SPARKS Mailing lists**

| List name | E-mail list | Description |
|---|---|---|
| SPARKS WP1 | sparks-wp1@list.ait.ac.at | Mailing list for WP1 of the project |
| SPARKS WP2 | sparks-wp2@list.ait.ac.at | Mailing list for WP2 of the project |
| SPARKS WP3 | sparks-wp3@list.ait.ac.at | Mailing list for WP3 of the project |
| SPARKS WP4 | sparks-wp4@list.ait.ac.at | Mailing list for WP4 of the project |
| SPARKS WP5 | sparks-wp5@list.ait.ac.at | Mailing list for WP5 of the project |
| SPARKS WP6 | sparks-wp6@list.ait.ac.at | Mailing list for WP6 of the project |
| SPARKS General | sparks@list.ait.ac.at | The general mailing list that can be used to reach the SPARKS consortium |
| SPARKS Management | sparks-mgmt@ait.ac.at | A mailing list for contacting the SPARKS coordination team at AIT. |

In general, e-mails to the mailing lists should include no attachments. Instead, links to files that have been uploaded to the project's Subversion repository should be used. If necessary, files up to 2 MB can be attached to emails. Larger emails will not be directly delivered and have to be released by the mailing list administrator (AIT).

Please make use of the SPARKS Management email list when directing questions to the Coordinator regarding project management issues, e.g., queries regarding financial and resource matters. This email list is monitored by the PC and the coordination team at AIT.

### 5.2.2  Monthly Plenary Teleconferences

In order to track the progress of the project, the consortium has agreed on having a *monthly plenary teleconference*. The agenda will be sent out at least one (1) week before the proposed teleconference. The agenda of the teleconference and the minutes can be found on the WP7 Wiki page (https://project-

sparks.eu/internal/projects/wp7/wiki). The agenda for the plenary teleconference will have the following structure, which is populated by the PC with support from the WP leaders (see **Table 1**) :

- WP1 Stakeholder Engagement
- WP2 Smart Grid Security Analysis
- WP3 Smart Grid Security Standards
- WP4 Smart Grid Security and Resilience Measures
- WP5 Financial, Legal and Social Capability
- WP6 Smart Grid Security Demonstrations
- WP7 Management
- AOB

# 6 Publications

When publishing research outcomes that have been supported by SPARKS funding, authors should consider the following items:

- Adhere to the dissemination guidelines that are outlined in the SPARKS Consortium Agreement (CA) in Section 8.3. In particular, pay attention to the notification process that is outlined:

  "Prior notice of any planned publication shall be given to the other Parties concerned at least fourteen (14) days before the publication[5]. Any objection to the planned publication shall be made in accordance with the GA in writing to the Coordinator and to any Party concerned within seven (7) days after the date of the abovementioned prior notice. If no objection is made within the time limit stated above, the publication is permitted."

- Publications must specify that the project has received research funding from the Community's Seventh Framework Programme. A statement of this form should appear in an Acknowledgements section of the publication:

  "The research leading to these results has received funding from the European Union Seventh Framework Programme (FP7/2007-2013) under grant agreement n° 608224."

- The final version of any dissemination artefacts, e.g., a proceedings reference for a publication, should be submitted to the maintainer of the SPARKS web page (the WP1 Leader) for publication there, as soon as they are available. In cases where copyright permits publication via the SPARKS web page, a pointer to the final version should be provided, also.

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[5] To clarify, the notice should be given fourteen (14) days before submission of the publication for peer review, for example, in the case of scientific publications.

# 7 The SPARKS Stakeholder Engagement Facility

The SPARKS project budget contains a reserved amount of €97,200 for subcontracting members of the stakeholder group, called the *SPARKS stakeholder engagement facility*. The facility is intended to be used for supporting the project's stakeholders performing specific tasks (*non-core research related*) that complement the project consortium with additional expertise, and ensuring a wide range of viewpoints for maximum adoption and impact of the project results. The estimation of €97,200 is based on an estimated number of 108 person days needed for this effort, with an average cost of € 900 per day.

Consortium member(s) that would like to make use of the stakeholder engagement facility should follow this process:

1. The consortium member(s) should prepare a short document that describes the nature of the activity they would like the stakeholder(s) to undertake. This document should outline the following items:
   a. A description of the activity to be undertaken;
   b. The expected benefit to the project; and
   c. A cost-breakdown of the activities that will be carried out, ideally based on an offer from the organisation that will be tasked.
2. The summary document should be distributed to the Consortium Plenary (CP) for consideration. Please see the procedures for internal communication in Section 5.2 for support on how to proceed with this.
3. The CP will be given a *minimum* of two (2) weeks to consider the proposal. The PC may choose to seek guidance on the proposed activity from the PO, and the project's financial officer during this period.
4. After this period, a vote will be taken on whether to approve the activity. Voting rules will be based on those defined in the Consortium Agreement (CA) in Section 6.3.3. – i.e., two-thirds of the CP members must be represented, each member has one (1) vote, defaulting parties may not vote, and a decision will be taken by a majority of two-thirds of the votes.