## Guidance and Procedure for Publication

### Date
September 2005 (Updated August 2007)

### Report Number
- **T28-05-01**

### Revision Number
- 2_5 P01

### Deliverable Number:
- D28.1

### Due date for deliverable:
- September 2005

### Actual submission date:
- September 2005

### Task Leader
- HR Wallingford

---

FLOODsite is co-funded by the European Community

**Sixth Framework Programme for European Research and Technological Development (2002-2006)**

FLOODsite is an Integrated Project in the Global Change and Eco-systems Sub-Priority

Start date March 2004, duration 5 Years

---

### Document Dissemination Level

<table>
<thead>
<tr>
<th>PU</th>
<th>Public</th>
</tr>
</thead>
<tbody>
<tr>
<td>PP</td>
<td>Restricted to other programme participants (including the Commission Services)</td>
</tr>
<tr>
<td>RE</td>
<td>Restricted to a group specified by the consortium (including the Commission Services)</td>
</tr>
<tr>
<td>CO</td>
<td>Confidential, only for members of the consortium (including the Commission Services)</td>
</tr>
</tbody>
</table>

---

**Co-ordinator:** HR Wallingford, UK  
**Project Contract No:** GOCE-CT-2004-505420  
**Project website:** www.floodsite.net
DOCUMENT INFORMATION

Title: Guidance and Procedure for Publication

Lead Author: Paul Samuels

Contributors: Management team

Distribution: Consortium Members and Commission

Document Reference: T28-05-01

DOCUMENT HISTORY

<table>
<thead>
<tr>
<th>Date</th>
<th>Revision</th>
<th>Prepared by</th>
<th>Organisation</th>
<th>Approved by</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>21/09/05</td>
<td>1_0_P01</td>
<td>Paul Samuels</td>
<td>HR Wallingford</td>
<td></td>
<td>Taken from uncontrolled discussion document</td>
</tr>
<tr>
<td>27/09/05</td>
<td>1_1_P01</td>
<td>Paul Samuels</td>
<td>HR Wallingford</td>
<td></td>
<td>Wording of disclaimer corrected on advice of HRW Solicitor.</td>
</tr>
<tr>
<td>04/10/05</td>
<td>1_2_P01</td>
<td>Paul Samuels</td>
<td>HR Wallingford</td>
<td></td>
<td>Incorporating comments from EC Scientific Officer</td>
</tr>
<tr>
<td>17/07/07</td>
<td>2_0_P01</td>
<td>Jackie Bushell</td>
<td>HR Wallingford</td>
<td></td>
<td>First draft of Version 2 (July 07 update)</td>
</tr>
<tr>
<td>23/07/07</td>
<td>2_1_P01</td>
<td>Jackie Bushell</td>
<td>HR Wallingford</td>
<td></td>
<td>Second draft of Version 2 incorporating AFT’s comments and updating sections relating to the public documents approval system</td>
</tr>
<tr>
<td>26/07/07</td>
<td>2_2_P01</td>
<td>Jackie Bushell</td>
<td>HR Wallingford</td>
<td></td>
<td>Third draft of Version 2 incorporating AFT’s comments on second draft</td>
</tr>
<tr>
<td>15/08/07</td>
<td>2_3_P01</td>
<td>Jackie Bushell</td>
<td>HR Wallingford</td>
<td></td>
<td>Fourth draft of Version 2 incorporating PGS’ comments on third draft</td>
</tr>
<tr>
<td>16/08/07</td>
<td>2_4_P01</td>
<td>Jackie Bushell</td>
<td>HR Wallingford</td>
<td></td>
<td>Final draft incorporating AFT’s comments on fourth draft</td>
</tr>
<tr>
<td>16/08/07</td>
<td>2_5_P01</td>
<td>Jackie Bushell</td>
<td>HR Wallingford</td>
<td></td>
<td>Final amendments</td>
</tr>
</tbody>
</table>

ACKNOWLEDGEMENT

The work described in this publication was supported by the European Community’s Sixth Framework Programme through the grant to the budget of the Integrated Project FLOODsite, Contract GOCE-CT-2004-505420.

DISCLAIMER

This document reflects only the authors’ views and not those of the European Community. This work may rely on data from sources external to the FLOODsite project Consortium. Members of the Consortium do not accept liability for loss or damage suffered by any third party as a result of errors or inaccuracies in such data. The information in this document is provided “as is” and no guarantee or warranty is given that the information is fit for any particular purpose. The user thereof uses the information at its sole risk and neither the European Community nor any member of the FLOODsite Consortium is liable for any use that may be made of the information.

© FLOODsite Consortium
SUMMARY

This guidance document contains important information for all FLOODsite team members. It affects everyone who produces a

- journal or conference paper
- report
- thesis
- dissertation
- presentation
- poster
- teaching material
- any other published article

arising from work undertaken on the project.

It covers procedures for authorship, reviewing, approval, numbering and formatting of publications from the project. It gives the wording for a disclaimer of liability and acknowledgement of EC financial support which must be given in all publications.

Project documents are managed electronically through the Document Management System (DMS) in the Partner Area of the project website (http://www.floodsite.net/html/partner_area/project_docs.asp). The availability of the document within and outside the project team is defined in the document (for reports) and controlled by selection of the relevant distribution category when uploading a new or revised document to the DMS.

Some documents are made available for unrestricted download from the public area of the FLOODsite website. It is important the partner submitting the document informs the Coordinator (floodsite@hrwallingford.co.uk) directly of any issues on protection of knowledge or copyright which might affect its unrestricted public availability.

It is expected that all publications will follow the procedures set out in this guidance note; this note forms part of the project's overall Communication and Dissemination Plan.
CONTENTS

Document Information ii
Document History ii
Acknowledgement ii
Disclaimer ii
Summary iii
Contents v

1. Vision and principles of the Communication and Dissemination Plan ............................ 1
   1.1 The FLOODsite vision for communication and dissemination ......................... 1
   1.2 Guiding principles of communication and dissemination ......................... 1

2. Introduction and generic guidelines ................................................................................. 2
   2.1 Purpose ........................................................................................................... 2
   2.2 Contractual requirements ................................................................................ 2
       2.2.1 EC Contract Annex II, Section II.12 – Publicity .................................... 2
       2.2.2 FLOODsite Consortium Agreement, Part 2, Section IV.5 ..................... 2
       2.2.3 EC reporting guidelines.......................................................................... 3
   2.3 Plagiarism and unacknowledged use of others’ work ......................................... 3
   2.4 Dissemination Levels ...................................................................................... 3
   2.5 Wording for Acknowledgements and Disclaimer ............................................... 4
   2.6 Formatting and templates ................................................................................ 4
   2.7 Version control ............................................................................................... 5
   2.8 Quality control of public documents .................................................................. 5
       2.8.1 Major deliverables .................................................................................. 5
       2.8.2 Minor deliverables ................................................................................. 6
   2.9 Project outputs covered by this guidance .......................................................... 6
       2.9.1 Teaching materials ................................................................................. 6

3. Procedure for FLOODsite Project Reports ...................................................................... 7
   3.1 Types of report ............................................................................................... 7
   3.2 Authorship, review and approval ..................................................................... 7
   3.3 Format ............................................................................................................. 7
   3.4 Title and report number .................................................................................. 7
   3.5 Document Information, Document History and Page Footers ......................... 8
   3.6 Version control ............................................................................................... 8
   3.7 Editions and updates ...................................................................................... 8
   3.8 Submission of reference version ..................................................................... 8
   3.9 Acknowledgement and disclaimer .................................................................. 9
   3.10 Submission of final project reports ................................................................ 10

4. Procedure for papers submitted to journals and conferences ......................................... 11
   4.1 Overview ....................................................................................................... 11
   4.2 Authorship .................................................................................................... 11
   4.3 Review and approval of Journal papers ........................................................... 11
   4.4 Review and approval of conference papers ..................................................... 12
   4.5 Acknowledgement and disclaimer ................................................................. 12
   4.6 Submission of reference version ................................................................... 12

5. Procedure for articles ..................................................................................................... 14
   5.1 Types ............................................................................................................. 14
5.2 Authorship ......................................................................................................... 14
5.3 Review and approval ......................................................................................... 14
5.4 Acknowledgement and disclaimer ..................................................................... 14
5.5 Submission of reference version ........................................................................ 14

6. Procedure for theses and dissertations ............................................................... 15
6.1 Overview ........................................................................................................... 15
6.2 Review and Approval ........................................................................................ 15
6.3 Acknowledgement and disclaimer ..................................................................... 15
6.4 Submission of reference version ........................................................................ 15

7. Procedure for presentations ................................................................................. 16
7.1 Review and Approval ........................................................................................ 16
7.2 Acknowledgement and disclaimer ..................................................................... 16
7.3 Format ................................................................................................................ 16
7.4 Submission of reference version ........................................................................ 16

8. Procedure for posters .......................................................................................... 17
8.1 Review and Approval ........................................................................................ 17
8.2 Acknowledgement and disclaimer ..................................................................... 17
8.3 Format ................................................................................................................ 17
8.4 Submission of reference version ........................................................................ 17

9. References ........................................................................................................... 18
1. Vision and principles of the Communication and Dissemination Plan

1.1 The FLOODsite vision for communication and dissemination

We will optimise our dissemination and communication within and beyond the FLOODsite project to stimulate uptake and implementation of our outputs.

The latest evaluation of the Project status (June 2007) indicated that full and proper dissemination of the Project’s outputs remains one of the major priorities for FLOODsite.

1.2 Guiding principles of communication and dissemination

We will use the following principles in all our dissemination and communication activities:

<table>
<thead>
<tr>
<th>Keep it simple</th>
<th>We will keep our outputs as simple as possible to maximise readability and understanding for the audience.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Audience centred</td>
<td>We will design our activities and outputs for the intended audience.</td>
</tr>
<tr>
<td>Fulfil contract requirements</td>
<td>We will ensure our activities and outputs will deliver our contractual requirements.</td>
</tr>
<tr>
<td>Co-ordinated</td>
<td>We will coordinate our activities and outputs in a suite of communication and dissemination actions defined by the FLOODsite project.</td>
</tr>
<tr>
<td>Timely</td>
<td>We will communicate our results as early as possible, in accordance with our communication and dissemination plan, but without jeopardising the successful completion of other parts of the project.</td>
</tr>
<tr>
<td>Control of quality and content</td>
<td>We will review all outputs as appropriate for quality and content.</td>
</tr>
<tr>
<td>Disclaimers</td>
<td>All project outputs will include an appropriate disclaimer of liability.</td>
</tr>
<tr>
<td>Version control</td>
<td>All documents will include a unique reference number and version number.</td>
</tr>
<tr>
<td>Acknowledgement</td>
<td>All outputs will include appropriate acknowledgements of the project funder, authors (with name and organisation) and contributors.</td>
</tr>
<tr>
<td>No plagiarism</td>
<td>We will seek permission to use, with acknowledgement, all material originating from others, whether or not they are participating in the project.</td>
</tr>
</tbody>
</table>
2. Introduction and generic guidelines

2.1 Purpose

The purpose of this guidance is to ensure that
- a consistent approach is taken to all publications from FLOODsite
- publications follow the principles set out in the project communication and dissemination plan
- all members of the FLOODsite project team fulfil the requirements of both our EC Contract and the project Consortium Agreement regarding publication
- all publications which are to be made publicly available are subject to appropriate review and quality control prior to publication.

Our Scientific and Technical Advisory Board (STAB) attaches a high importance to the project producing high quality scientific publications. The Application and Implementation Board (AIB) is also keen that all FLOODsite outputs are recognised, both by their high quality and the “FLOODsite brand”. The STAB recognises that a procedure is necessary to assure confidence that appropriate recognition and credit is given and so the STAB invited the FLOODsite Management Team to produce “Guidance and Procedure for Publication”. The operation of this procedure will depend on personal integrity and honesty of the team. Useful guidance on ethics and procedure in research is contained in
- a German publication on “Safeguarding Good Scientific Practice” (DFG, 1998)
- the UK “Joint code of practice for research” (BBSRC, 2003) – which also covers the management and integrity of research.
- “Good Scientific Practice in Research and Scholarship” of the European Science Foundation (ESF, 2000).

Copies of these documents are available for downloading from the Partner Area of the project website.

2.2 Contractual requirements

2.2.1 EC Contract Annex II, Section II.12 – Publicity

In summary, the main requirements of our contract regarding publication are:
- Ensure suitable publicity for the project and highlight Community financial support
- Specify that the project has received research funding from the Community’s Sixth Framework Programme.
- Specify that the publication reflects only the author’s views and that the Community is not liable for any use that may be made of the information.

2.2.2 FLOODsite Consortium Agreement, Part 2, Section IV.5

In summary, the main requirements of our Consortium Agreement regarding publication of reports, papers, theses etc. are:
- The Coordinator should consult with the Partner General Assembly on the initial publication of Project Deliverables to agree degree of confidentiality. If a Project Deliverable is publicly available, then any Partner may publish information included in that deliverable
- No Partner will allow, unless otherwise agreed, the publication of data which includes confidential knowledge of another Partner
- A thesis or dissertation may, however, be prepared for submission, examination and publication for a degree which includes incidental and minor elements of knowledge of another Partner provided that the intention to do so has been notified in writing to the Partner(s) concerned as soon as the need is foreseen.
- All publications, reports, press releases or information provided to the Commission will contain an appropriate disclaimer of liability on its use and indication of confidentiality (if any).
2.2.3 **EC reporting guidelines**

The EC reporting guidelines cover the preparation and submission of the interim and final management and activity reports of the project and also the preparation of reports which are specified project deliverables. The FLOODsite report templates have been prepared to include all information required by the guidelines, in particular the information requested for inclusion on the front cover of major deliverables. These templates are available from the Guidance & Templates page of the Project website at [http://www.floodsite.net/html/partner_area/guidance.asp#1](http://www.floodsite.net/html/partner_area/guidance.asp#1).

2.3 **Plagiarism and unacknowledged use of others’ work**

FLOODsite involves a large team of researchers, working collaboratively. It is essential that all members of the project team enjoy the mutual trust of others, and respect their work.

Plagiarism is the theft of another’s work or idea by claiming authorship of what somebody else has written or by taking somebody else’s idea and passing it off as original. Plagiarism is unacceptable. It is expected that all Partner institutes within FLOODsite will treat plagiarism as a serious, disciplinary matter.

Unacknowledged use of others’ work or visual material may be misleading and will detract from or destroy the mutual trust which is essential for the success of the project.

Many presentations will be made during the project of work in progress, using images derived from data obtained possibly on another project, or subject to verification. To aid communication of ideas within the project team access may be given to electronic files of presentations, diagrams, photographs, papers, reports etc.

All team members are requested to take particular care if they use material originally contributed by another team member. Permission should be sought for its use (and obtain a current version if the material was draft) even in a presentation about FLOODsite. In all cases an appropriate acknowledgement must be given.

2.4 **Dissemination Levels**

Our Description of Work (Annex 1 of the Contract) lays out a hierarchy of levels of dissemination for project deliverables, which are classified as Report, Prototype, Demonstrator or Other. The dissemination levels for each deliverable are indicated in the DOW as follows:

- **PU** = Public
- **PP** = Restricted to other programme participants (including the Commission Services).
- **RE** = Restricted to a group specified by the consortium (including the Commission Services).
- **CO** = Confidential, only for members of the consortium (including the Commission Services).

Since the ultimate aim of our research is to improve the management of flood risks, to the benefit of the citizens of Europe, the Consortium was encouraged during contract negotiation to make as many deliverables as possible available for unrestricted public access. Hence many of our deliverable codes are “PU”. It is particularly important that these deliverables are prefaced with an appropriate disclaimer of liability as in Section 2.5 below.

Project documents are managed electronically through the Document Management System (DMS) in the Partner Area of the project website ([http://www.floodsite.net/html/partner_area/project_docs.asp](http://www.floodsite.net/html/partner_area/project_docs.asp)). Availability within and outside the project team is defined (for project reports) in the “Document Information” box on page ii of each document. Availability can be restricted where necessary to a smaller group to that defined in the document’s “Document Information” box, for instance where a public document is still in draft or awaiting final approval. Availability (for project reports and all other documents and presentations) is controlled by selecting the appropriate access category when uploading a new or revised file to the DMS.
Public documents (dissemination level PU) will be made available for unrestricted download from the public area of the FLOODsite website. It is important the partner submitting the document informs the coordinator (floodsite@hrwallingford.co.uk) directly of any issues on protection of knowledge or copyright which might affect its unrestricted public availability.

### 2.5 Wording for Acknowledgements and Disclaimer

In professional papers it is usual also to acknowledge individuals not named as authors who have nevertheless made a significant contribution to the work (often an intellectual contribution).

It is important that proper acknowledgement is given in all publications of the EC grant to the project budget we have received from DG Research. The following sentence should be included in all papers offered to journals, conferences, magazines etc which are based on FLOODsite research.

#### Wording of acknowledgement of EC financial support:

“*The work described in this publication was supported by the European Community’s Sixth Framework Programme through the grant to the budget of the Integrated Project FLOODsite, Contract GOCE-CT-2004-505420.*”

As required by both our EC contract and the Consortium Agreement, we need to include a disclaimer of liability. The wording below should be included in all reports, papers (journal and conference), guidance documents, software, etc, since we have no control over the circumstances in which our results will be used once in the public domain.

#### Wording for the standard disclaimer of liability:

“This document reflects only the authors’ views and not those of the European Community. This work may rely on data from sources external to the FLOODsite project Consortium. Members of the Consortium do not accept liability for loss or damage suffered by any third party as a result of errors or inaccuracies in such data. The information in this document is provided “as is” and no guarantee or warranty is given that the information is fit for any particular purpose. The user thereof uses the information at its sole risk and neither the European Community nor any member of the FLOODsite Consortium is liable for any use that may be made of the information.”

In some circumstances the editor of a journal or conference organiser may request a shorter disclaimer, in which case the short version below may be offered.

#### Wording for alternative short disclaimer for journal and conference papers

“This paper reflects the authors’ views and not those of the European Community. Neither the European Community nor any member of the FLOODsite Consortium is liable for any use of the information in this paper.”

### 2.6 Formatting and templates

All project reports and presentations must use the agreed FLOODsite templates, which include the FLOODsite logo, standard fonts, styles, language setting, disclaimer, Commission logo and FLOODsite contract number, acknowledgement of Community financial support, and notes on their use. The up-to-date version of the relevant template should be downloaded from the Guidance &
2.7 Version control

Allocating a version number to a document or presentation helps to ensure easy identification and use by multiple users.

The principle adopted for all FLOODsite reports, presentations and other relevant types of file is that the document owner creates the initial draft version (v1_0_p01) and is the only person who may initiate a step increase in version number (ie to v2_0_p01). As part of the version number, the partner number has been incorporated to allow for easy identification of the document source. (eg. v2_0_p01 refers to v2_0 of a document which was last created or edited by Partner 1). Note that an underline (_) rather than a point (.) is to be used in all filenames.

When partners edit or comment on a document and return this to the owner or pass it on to other partners, they should identify their version by changing the point number and the partner number (eg v1_1_p02). If a document is passed sequentially to partners then the version point number will rise and the partner number will change each time. If a document is passed simultaneously to multiple partners for review, then the documents will be returned with identical point numbers, but different partner numbers. This ensures that there should be no confusion in document versions regardless of how the document is developed and provides a clear audit trail.

2.8 Quality control of public documents

Review and approval arrangements for FLOODsite outputs vary according to category. They are set out in the detailed guidance in Sections 3, 4, 5 and 6 of this document. Additional arrangements apply to certain types of documents available to the public.

It is the Task Leader’s responsibility to make sure that the up-to-date template has been used, the acknowledgement and disclaimer has been incorporated, and the content of the report is satisfactory.

Task Leader’s checklist:
The Task Leader is responsible for ensuring that:
1. The latest version of the report is available in the DMS
2. The correct template and version control system have been used
3. The document footer is updated to show the date of last update and the full name of the file
4. The “Document History” box on page ii of the document is up to date
5. The Document Status in the DMS is changed from Draft to Final when appropriate
6. Metadata in the DMS have been entered. These should include: key words, deliverable/milestone/research output numbers, copyright notice, abstract (in English for reports written in another language)
7. Distribution settings in the DMS have been adjusted as necessary to match the distribution as defined in the “Document Information” box on page ii of the document, once the document is no longer in draft. (In the case of major deliverables only, when the Task Leader re-sets the distribution to Public this triggers the online approval system to send an email to the Theme Leader and Administrator requesting approval. Once approval is confirmed by both parties, the document is automatically released into the public area).
8. For major deliverables only, ensuring the Word version is sent to the Administrator who is responsible for making any necessary formatting changes before uploading the final, PDF version

2.8.1 Major deliverables

Major deliverables (identified by a preceding ‘D’ in the deliverable number, eg D1.1, D9.1) must be approved by the Theme Leader, via the online approval system in the DMS. Once approved, the
Theme Leader must then arrange for the report to be passed in Word format (or PDF if initially prepared in Latex) to the Administrator, who is responsible for ensuring the cover pages and formatting are correct and for uploading to the DMS.

2.8.2 Minor deliverables
Where the document intended for public distribution is a ‘minor deliverable’, a milestone or research output, and authored by a Task Leader, it should be approved by the Theme Leader. For documents produced by other Task members, the final sign-off will be the responsibility of the Task Leader. (Minor deliverables are not covered by the online approval system in the DMS).

2.9 Project outputs covered by this guidance
The following sections provide specific additional guidance for the following types of outputs:

- FLOODsite reports
- Journal and conference papers
- Articles
- Theses and dissertations
- Presentations
- Posters

2.9.1 Teaching materials
A further category relates to teaching materials. The guidance for ‘presentations’ and ‘articles’ provides sufficient advice on how such materials should be presented.
3. Procedure for FLOODsite Project Reports

3.1 Types of report
There are several types of report from FLOODsite.
- Major Deliverables as listed in the Description of Work. These are identified by a preceding ‘D’ in the deliverable number, eg D1.1, D9.1.
- Other technical reports as listed in the work package description tables which may be numbered as (secondary) deliverables
- Annual Activity and Management reports to the European Commission
- Research Implementation Plan (RIP) reports on all Tasks and Themes which describe how the research will be done
- Miscellaneous project guidance (e.g. our Gender Action Plan)

3.2 Authorship, review and approval
All reports (other than the institutional annual management reports) will be initiated from within a project Task.

The Task Leader will take the primary responsibility for selecting the appropriate author(s) from the team members engaged on the task.

The Task Leader will be responsible for selecting an appropriate member of the project team to review the report, with the reviewer making comments for the authors to consider in any revision.

The appropriate Theme Leader should approve the following reports before their publication or transmission to the European Commission:
- major deliverables (deliverables identified by a preceding ‘D’ in the deliverable number). These are approved via the online review tool in the website DMS – see Section 3.8 below).
- all task annual Activity Reports. These are approved via the online review tool in the EC Annual Reports area of the website.
- a revision to the RIP
- any report where the Task Leader is the principal author.

The Task Leader shall approve all other reports prepared within the Task.

3.3 Format
All project reports will be prepared as Microsoft WORD (97 or later version) documents (or, when institutional circumstances require, in Latex). The working language of the project is English and WORD documents should have the language set to English (UK). Care should be taken when pasting in material from other documents that the language is not changed to English (US).

The reports should use the correct project report template. Major deliverables (identified by a preceding ‘D’ in the deliverable number, eg D1.1 or D9.1) should use the ‘report-as-deliverable’ template. Other reports should use the ‘report’ template. The up-to-date version of the relevant template should be downloaded from the Guidance & Templates page of the Project website at http://www.floodsite.net/html/partner_area/guidance.asp#1 when the first draft of the report is prepared.

3.4 Title and report number
The Task Leader will register the document in the Document Management System (DMS), whereupon it will be automatically assigned a unique reference number. The report numbers follow the following
format: Tnn-yy-mm, where “nn” is the task number, “yy” are the last two digits of the calendar year when the report number was generated and “mm” is the sequence number of the report in year “yy” from Task Tnn.

Some reports will be authored at a Theme or Project Level, integrating results across several Tasks within a Theme or across themes, particularly in the later stages of the project. These shall be given report numbers from Task 35, i.e. in the form T35-yy-mm.

The title should describe the overall contents of the report and preferably be less than 12 words including any sub-title.

3.5 Document Information, Document History and Page Footers
Space for summary information (document information and document history) is provided inside the front cover for all documents produced using the report or report-as-deliverable template. This information should be updated with each modification.

Details of a report’s date of production and the filename (incorporating updated version number) should also be shown in the footers of reports and updated with each modification.

3.6 Version control
Version control during the drafting process is the responsibility of the task members and the version control system set out in Section 2.7 must be used. This ensures that there should be no confusion in document versions regardless of how the document is developed and provides a clear audit trail.

3.7 Editions and updates
Some reports may be revised after their first publication (such as the Language of Risk, report number T32-04-01). The Task Leader should decide whether the revised report should be an “update” or a new “edition”. Whichever the case, the document always retains its original report number. However, an “update” replaces the existing document in the DMS, whereas a new “edition” allows users to select either the original or the subsequent edition to view or download.

A second (or subsequent) edition should be indicated on the front cover as follows: add ‘(second edition)’ to the Title, and adjust the ‘Date’ to the date of the new edition.

An update should be indicated on the front cover as follows: add ‘(Updated month year)’ to the ‘Date’.

Task Leaders must check with the Administrator that they have the latest, correctly formatted version of the Word document before starting work on an update or new edition.

3.8 Submission of reference version
The Task Leader is responsible for ensuring that:
1. The latest version of the report is available in the DMS
2. The correct template and version control system have been used
3. The document footer is updated to show the date of last update and the full name of the file
4. The “Document History” box on page ii of the document is up to date
5. The Document Status in the DMS is changed from Draft to Final when appropriate
6. Metadata in the DMS have been entered. These should include: key words, deliverable/milestone/research output numbers, copyright notice, abstract (in English for reports written in another language)
7. Distribution settings in the DMS have been adjusted as necessary to match the distribution as defined in the “Document Information” box on page ii of the document, once the document is no longer in draft. (In the case of major deliverables only, when the Task Leader re-sets the
distribution to Public this triggers the online approval system to send an email to the Theme Leader and Administrator requesting approval. Once approval is confirmed by both parties, the document is automatically released into the public area).

8. For major deliverables only, ensuring the Word version is sent to the Administrator who is responsible for making any necessary formatting changes before uploading the final, PDF version

In the case of major deliverables (identified by a preceding “D” in the report number), the Theme Leader (on receiving the automatic email requesting approval of the report) is responsible for checking the following:

1. The scientific content of the report is of the appropriate quality and completeness
2. The key findings match the requirements set out in the DOW
3. The Summary has been provided.
4. The document has been thoroughly edited, including checking for scientific symbols and characters not used in English which have failed to render correctly, and for graphics and scanned-in images which are not of suitable quality
5. The correct version control system has been used
6. The “Document Information” and “Document History” boxes on page ii of the document contain correct and up to date details
7. The Document Status in the DMS has been changed from Draft to Final
8. Metadata in the DMS have been completed. These should include: key words, deliverable/milestone/research output numbers, copyright notice, English abstract.
9. The distribution settings in the DMS match the distribution as defined in the “Document Information” box on page ii of the document.
10. The Administrator has access to the latest Word version of the document, into which to make final formatting adjustments before converting to PDF and uploading to the DMS.

Once the Theme Leader has approved a major deliverable via the online approval system in the DMS, the Administrator is responsible for final formatting and approval, checking the following in particular:

1. The correct template has been used
2. The heading and font styles are consistent and the tables and figures have been labelled in the correct style
3. The filename is in the format agreed for major deliverables, eg T05_07_02_predicting_morphological_change_D5_1_v1_0_p01.
4. The document footer shows the date of last update and the full name of the file
5. The Table of Contents is up to date and complete
6. Converting the file to PDF and uploading to the DMS

Public documents (dissemination level PU) will be made available for unrestricted download from the public area of the FLOODsite website. It is important the partner submitting the document informs the Coordinator (floodsite@hrwallingford.co.uk) directly of any issues on protection of knowledge or copyright which might affect its unrestricted public availability.

3.9 Acknowledgement and disclaimer

The standard acknowledgement and disclaimer in the report template must be used. This wording covers the requirements of the EC contract and our project Consortium Agreement.
3.10 Submission of final project reports

As set out in the revised DOW, the deadline for the majority of deliverables for all scientific tasks is the end of M48 (February 08). In order to allow for timely approval by Theme Leaders, all draft final reports should be made available to Theme Leaders by the start of M47 (January 08).
4. Procedure for papers submitted to journals and conferences

4.1 Overview
The advice of the STAB is that, whereas conference publication should be relatively free of constraints, journal publication should follow a more regulated route as refereed journal articles will form the longer-term set of reference material about the scientific outcomes of the project.

Although the working language of the project is English, publications targetted at national audiences or journals may use any language of the EU.

4.2 Authorship
There should be no “sleeping” authors; all the authors listed on a paper should contribute to, and take joint responsibility for, the contents and accuracy of the publication. The authorship should be appropriate to the “level” of information being communicated from the project. The STAB has recommended the following protocol for selecting the authors of papers.

The authorship is shown as to be agreed from a group of potential authors – this does not mean that all the people listed will always act as the authors. For example, the Coordinator may not necessarily be an author of all papers that communicate project level results, however, there is a need to consult and agree the appropriate authors for the subject of each paper.

Papers that communicate results at a project level
The authorship will be agreed by the Coordinator and the leaders of those Themes whose results are integrated within the paper. The precedence of the authors should be agreed mutually and the first named author will normally be the person who drafts the main portion of the text and communicates with the journal editor or conference organiser.

Papers that communicate results at a theme level
The authorship will be agreed by the Theme Leader and the leaders of those Tasks whose results are integrated within the paper. The precedence of the authors should be agreed mutually and the first named author will normally be the person who drafts the main portion of the text and communicates with the journal editor or conference organiser.

Papers that communicate results at a task level
The authorship will be agreed by the Task Leader and the team members of the task whose work is covered by the paper. The precedence of the authors should be agreed mutually and the first named author will normally be the person who drafts the main portion of the text and communicates with the journal editor or conference organiser.

Technical papers produced within a task
The authorship will be agreed by the team members of the task whose work is covered by the paper, possibly in discussion with the Task Leader. The precedence of the authors should be agreed mutually and the first named author will normally be the person who drafts the main portion of the text and communicates with the journal editor or conference organiser.

4.3 Review and approval of Journal papers
In accordance with the guiding principles from the project Communication and Dissemination Plan (see Section 1.2), all journal papers should be reviewed within the project team before submission. The principal (first named) author will make arrangements for internal review of the text of the paper before submission to the journal.
The normal level for such a review will be as tabulated below; however, the review and approval should not be carried out solely by one of the authors. Where necessary an additional reviewer will be appointed from amongst the project partners.

<table>
<thead>
<tr>
<th>Level of communication</th>
<th>Review and approval</th>
</tr>
</thead>
<tbody>
<tr>
<td>Papers that communicate results at a project level</td>
<td>Coordinator</td>
</tr>
<tr>
<td>Papers that communicate results at a theme level</td>
<td>Theme Leader</td>
</tr>
<tr>
<td>Papers that communicate results at a task level</td>
<td>Task Leader</td>
</tr>
<tr>
<td>Technical papers produced within a task</td>
<td>Head of the institute research team</td>
</tr>
</tbody>
</table>

4.4 **Review and approval of conference papers**

In accordance with the guiding principles from the project communication and dissemination plan (see Section 1.2), all conference papers should be reviewed for content and quality, prior to submission to the conference organiser. However, a conference paper need not be formally approved through the project management hierarchy; it should be passed through any institutional review and approval process of the Partners involved in its authorship.

4.5 **Acknowledgement and disclaimer**

Due acknowledgement should be given to the intellectual contribution of appropriate members of the project team.

As laid out in Section 2.5 above, acknowledgement of the financial support of the EC must be given.

The paper must contain the project disclaimer of liability. Either the standard disclaimer or the short version given in the boxes in Section 2.5 must be used.

Where the paper is not written in English the wording of the acknowledgement and the disclaimer shall be translated by the authors into the language of the publication.

4.6 **Submission of reference version**

**Journal papers**

The principal author is responsible for ensuring that:

1. A copy of the journal paper is uploaded to or linked from the relevant section of the DMS. (A journal paper must first be uploaded to the DMS when it is initially sent to the journal for review, and the distribution set to Partners only. When it is ready for publication, the final version may only be uploaded to the DMS if copyright still resides in the authors. **It is usually the case that the authors are required to sign copyright over to the journal publishers, in which case the published paper must not be uploaded to the DMS. Instead, a pdf of the abstract including title, authors and key words should be uploaded to the DMS and a link provided to the website of the publisher or journal.**)

2. Document status in the DMS changed from Draft to Final when appropriate

3. Metadata in the DMS entered. These should include: key words, copyright notice, title, location, date, citation, abstract (in English for papers in another language)

4. Draft version removed from the DMS, pdf of the abstract and weblink inserted and distribution in the DMS set to Public, once the paper is published.

**Conference papers**

The principal author is responsible for ensuring that:

1. A copy of the conference paper is uploaded to the relevant section of the DMS. (A conference paper need only be uploaded to the DMS once, when it is sent to the conference organiser.)
2. Document status in the DMS changed from Draft to Final when appropriate
3. Metadata in the DMS entered. These should include: key words, copyright notice, title, location, date, citation, abstract (in English for papers in another language).
4. Distribution in the DMS set to Public, once the paper submitted to the conference organisers has been uploaded.

**In the case of conference papers, authors are not usually required to sign over the copyright. If this should happen, then the same procedure should be followed as for journal papers.**

Journal and conference papers will be assigned unrestricted download access from the public area of the FLOODsite website and must not give rise to any issues on protection of knowledge or copyright which would prevent their unrestricted public availability. If the partner submitting a paper is unsure whether this could be an issue, they should contact the Coordinators for further advice.
5. **Procedure for articles**

5.1 **Types**

There are several possible types of article on FLOODsite. It is in our interest to report these to the EC since we have a contractual responsibility to publicise the project. An article might be:

- Institutional public newsletter
- Specialist or general magazine
- Newspaper report
- Text accompanying a radio or TV broadcast
- Information leaflet about a pilot site
- General educational material on flood management referring to FLOODsite as an example
- Text provided as part of teaching material on flood management

In general an article will not give any specific scientific detail of the research output and so will not form the basis of a design or advice by a third party. The role of the article is to raise awareness about the project. Although the working language of the project is English, articles targeted at national media or publications may use any language of the EU.

5.2 **Authorship**

Any team member may prepare an article drawing on public knowledge from the project, within the limitations set by their institutional policies. The article can also cover other knowledge which is specific to the partner preparing the article. Where a broader article is planned, then the content and authorship should be discussed with the relevant Theme Leader.

5.3 **Review and approval**

Review and approval should follow the procedures of the Partner institution.

5.4 **Acknowledgement and disclaimer**

As laid out in Section 2.5 above, acknowledgement of the financial support of the EC must be given.

Due acknowledgement should be given to any intellectual contribution of other members of the project team where appropriate.

An article by its nature need not contain the project disclaimer of liability since no detailed results are being communicated which others may use for design or technical advice.

5.5 **Submission of reference version**

The author is responsible for ensuring that:

1. A copy of the article is uploaded to the News Items section of the DMS.
2. The Document Status in the DMS is changed from Draft to Final when appropriate
3. Metadata in the DMS are entered. These should include: key words, copyright notice, abstract (in English where article is in another language), where article was published, publishing date.
4. Distribution in the DMS is set to Public, once the document is no longer in draft.

Articles are assigned unrestricted download access from the public area of the FLOODsite website and must not give rise to any issues on protection of knowledge or copyright which would prevent their unrestricted public availability. If the partner submitting a paper is unsure whether this could be an issue, they should contact the Coordinators for further advice.
6. Procedure for theses and dissertations

6.1 Overview

The publication of research theses and dissertations should be a natural outcome of the research funded in FLOODsite as an indication of the academic quality of the work which is done and the connection of the project to the education of professionals within the field.

Little restriction is placed on the preparation of theses and dissertations; however, the Consortium Agreement requires that other project partners are consulted before using their knowledge in the publication (see Section 2.2.2 above).

It is recognised that material offered for academic examination may also form the content of a project report or deliverable as set out in Sections 2 and 3 above.

The provision of a significant catalogue of theses or dissertations generated from FLOODsite research is also a good way of demonstrating to the Commission that FLOODsite is engaging the next generation. For this reason, uploading of these to the DMS should be encouraged, and the title and full reference should also be reported in the annual Activity Report from the Task concerned.

6.2 Review and Approval

No formal approval from the project is needed for the publication of a thesis or dissertation, but these may undergo a review by the student’s supervisor or another project team member prior to submission for examination.

6.3 Acknowledgement and disclaimer

As laid out in Section 2.5 above, acknowledgement of the financial support of the EC must be given.

A thesis or dissertation by its nature is the work of the student who submits the work for academic accreditation. Thus it need not contain the project disclaimer of liability since the author and their institution take responsibility for content of the work and this is tested through an academic examination process. The institution concerned may however wish to include a standard institutional disclaimer.

6.4 Submission of reference version

The student is responsible for ensuring that:

1. A copy of the thesis or dissertation is uploaded to the Reports section of the DMS once it has been accepted (with any amendments) after examination.
2. Document status in the DMS changed from Draft to Final when appropriate
3. Metadata in the DMS entered. This should include key words, copyright notice, abstract (in English where the thesis is in another language), date.
4. Distribution in the DMS set to Public, once the document is no longer in draft.

Theses and dissertations are assigned unrestricted download access from the public area of the FLOODsite website and must not give rise to any issues on protection of knowledge or copyright which would prevent their unrestricted public availability. If the partner submitting a thesis or dissertation is unsure whether this could be an issue, they should contact the Coordinators for further advice.
7. **Procedure for presentations**

7.1 **Review and Approval**
No formal approval from the project is needed. The Partner’s institutional policies (if any) should be followed.

7.2 **Acknowledgement and disclaimer**
As laid out in Section 2.5 above, acknowledgement of the financial support of the EC must be given. This requirement is covered by use of the FLOODsite presentation template, which includes the EC contract number.

7.3 **Format**
All presentations (including those for teaching materials) should use the FLOODsite presentation template, which includes the FLOODsite logo. The up-to-date version of the template should be downloaded from the Guidance & Templates page of the Project website at [http://www.floodsite.net/html/partner_area/guidance.asp#1](http://www.floodsite.net/html/partner_area/guidance.asp#1).

7.4 **Submission of reference version**
The author is responsible for ensuring that:
1. The latest copy of the presentation is uploaded to the Presentations section of the DMS.
2. Document status in the DMS changed from Draft to Final when appropriate
3. Metadata in the DMS entered. This should include deliverable/milestone/research output numbers, key words, copyright notice and abstract (in English where the presentation is in another language).
4. Distribution in the DMS reset as appropriate, once the presentation is no longer in draft.

Presentations which are assigned unrestricted download access from the public area of the FLOODsite website must not give rise to any issues on protection of knowledge or copyright which would prevent their unrestricted public availability. If the partner submitting a presentation is unsure whether this could be an issue, they should contact the Coordinators for further advice.
8. **Procedure for posters**

8.1 **Review and Approval**
No formal approval from the project is needed. The Partner’s institutional policies (if any) should be followed.

8.2 **Acknowledgement and disclaimer**
As laid out in Section 2.5 above, acknowledgement of the financial support of the EC must be given.

8.3 **Format**
All posters should be designed according to the FLOODsite brand as far as possible. At minimum, the FLOODsite logo and acknowledgement of the financial support of the EC must be shown, including the EC contract number.

8.4 **Submission of reference version**
The author is responsible for ensuring that:
1. The latest copy of the poster is uploaded to the Presentations section of the DMS
2. Document status in the DMS changed from Draft to Final when appropriate
3. Metadata in the DMS entered. This should include key words, copyright notice and abstract (in English where the poster is in another language).
4. Distribution in the DMS reset as appropriate, once the poster is no longer in draft.

Posters which are assigned unrestricted download access from the public area of the FLOODsite website must not give rise to any issues on protection of knowledge or copyright which would prevent their unrestricted public availability. If the partner submitting a poster is unsure whether this could be an issue, they should contact the Coordinators for further advice.
9. References

BBSRC (2003), *Joint Code of Practice for Research*, Issued by the Biotechnology and Biological Sciences Research Council, Swindon, Wilts, UK


ESF (2000), *European Science Foundation Policy Briefing 10, Good scientific practice in research and scholarship*, European Science Foundation, Strasbourg, ISRN ESF-SPB-00-10-FR+ENG