

Project Handbook

D.1.1

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1. Introduction

1.1 Purpose of this document

This Project Handbook and quality manual has mainly two functions.

Firstly, it is a reference source for all consortium members covering many day-to-day activities. Secondly, it intends to standardise various elements of the project e.g. project reports, deliverables, etc. through the use of agreed procedures and templates where relevant.

It will be a dynamic document and will be updated as required throughout the project.

1.2 Precedence

The general principles for the project execution are defined in the EU Grant Agreement (GA), the Description of the action (DoA) and the Consortium Agreement (CA). The Project Handbook does not replace any of these established agreements, nor does it replace any of the EU guidelines for project implementation and documentation.

Where there are any inconsistencies between these documents, the following order of precedence should be applied:

1. EU Grant Agreement including Description of the action, also referred to as the Grant Agreement (EU GA) Annex 1;
2. Consortium Agreement (CA);
3. Project Handbook (present document).

2. General Project Information

Title	BRIdges the Gap for Innovations in Disaster resilience
Acronym	BRIGAID
Grant Agreement No.	700699
Funding Programme	Horizon 2020
Instrument	IA (Innovation Action)
Project Start Date	01-05-2016
Duration of the project	48 months

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No	Partner name	Partner short name	Country
1	Technische Universiteit Delft	TU Delft	Netherlands
2	HKV Lijn in Water B.V.	HKV	Netherlands
3	Future Water SL	FW	Spain
4	Katholieke Universiteit Leuven	KUL	Belgium
5	Ecologic Institut	ECO	Germany
6	L'Orangerie Studio	LOR	Spain
7	Alma Mater Studiorum - Universita di Bologna	UNIBO	Italy
8	D'Appolonia Spa	DAPP	Italy
9	Thetis Spa	THETIS	Italy
10	International Centre for Research on the Environment and the Economy	ICRE8	Greece
11	MIGAL – Galilee Research Institute Ltd.	MIGAL	Israel
12	Aquaproiect SA	AQUA	Romania
13	I-Catalist SL	ICA	Spain

14	Agjencia Kombetare e Planifikimit te Territorit	AKPT	Albania
15	Geometrics research & development SRL	GRED	Italy
16	Spectrum Construct SRL	SPEC	Romania
17	Université Catholique de Louvain	UCL	Belgium
18	Instituto Superior de Agronomia (ISA)	ISA	Portugal
19	Gestao Integrada de Fogos Florestais SA	GIFF	Portugal
20	The Chancellors, Masters and Scholars of the University of Oxford	UOXF	United Kingdom
21	National Administration Apele Romane	NAAR	Romania
22	Universitatea Technica de Constructii Bucuresti	UTBC	Romania
23	The Funding Company	TFC	Netherlands
24	Consus Carbon Engineering	CCE	Poland

3. Legal Aspects

3.1 Grant Agreement

The Grant Agreement forms the legal basis for the implementation of the project. It consists of:

- Terms and Conditions (this is the core contract);
- Annex 1 Description of the action (DoA);
- Annex 2 Estimated budget for the action;
- Annex 3 Accession Forms;
- Annex 4 Model for the financial statements;
- Annex 5 Model for the certificate on the financial statements;
- Annex 6 Model for the certificate on the methodology.

Although the core contract is signed between the EU and the Coordinator of the project, all partners have become individual contract partners with the commission by signing the Accession Forms.

The Grant Agreement must be kept by all partners and should be provided to the auditor in case of an audit. It is downloadable in the participant portal; in document library of the BRIGAIID project.

3.2 Consortium Agreement

Whereas the Grant Agreement is signed between the EU and the partners, the Consortium Agreement is signed between the partners themselves. It arranges in more detail the provisions of the Grant Agreement, such as but not limited to: financial issues, payments, management, decision making, conflict resolution, intellectual property rights and liability.

The Consortium Agreement must also be kept by the partners and must be shown in case of audits.

3.3 Amendments

During the project, circumstances may arise to call for a request to the EU for an amendment of the Grant Agreement. Reasons may vary, but could be:

- Change of partner(s);
- Change of legal entity;
- Changes in the Budget (*EU GA: Annex 2*);
- Changes in the DoA (*EU GA: Annex 1*).

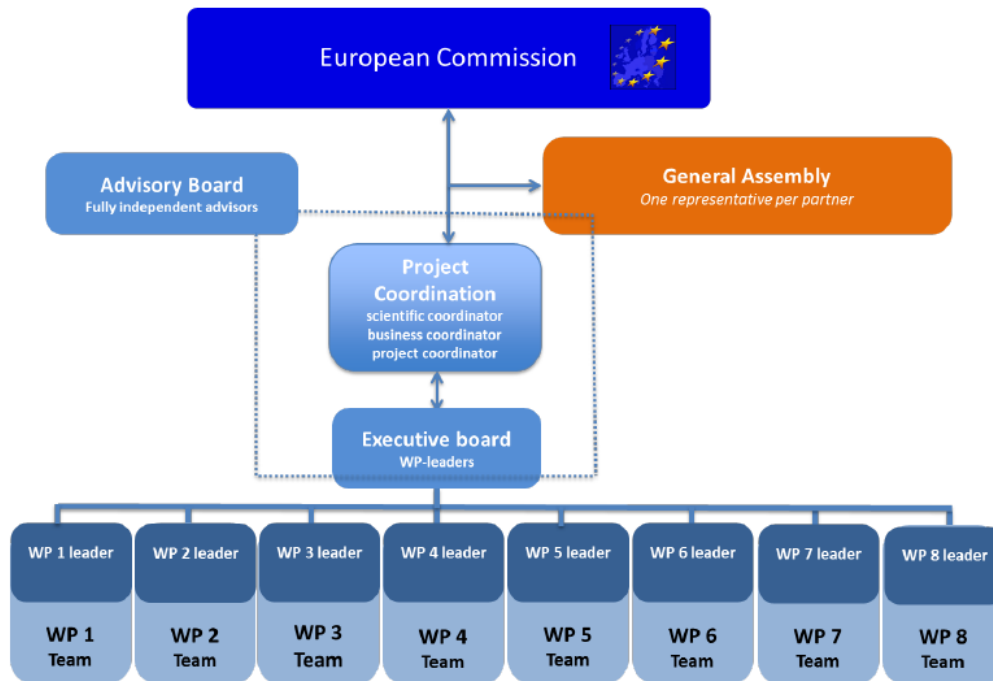
In case an amendment is needed the coordinator shall submit such a request after an autonomous decision by all partners in the General Assembly. After approval the Coordinator shall distribute the revised Grant Agreement to the partners, replacing former versions.

Budget changes that do not affect the content of DoA can be taken care by the consortium itself; decision through the General Assembly and inform the Project Officer. Amendments may be requested by any of the project partners.

4. Management Structure and Procedures

4.1 Project Organizational Structure

The project organizational structure is represented in the following diagram:



The project organizational structure has multiple layers of decision-making:

Advisory Board (AB)

The Advisory Board gives general advice to the project to facilitate a quick market uptake.

General Assembly (GA)

The General Assembly deals with partner enrollment and exit, budget changes, (IPR) issues and conflicts.

Project Coordination

The Project Coordination is responsible for efficient management of the project and individual activities with respect of time, budget and quality. It also functions as the intermediary for all communication between co-beneficiaries and the European Commission.

Executive Board (EB)

The Executive Board is the supervisor for the execution of the project. Moreover, it is responsible for proper execution and implementation of the decisions of the General Assembly.

Work Package Leaders (WPL)

Work Package Leaders are responsible for workflow, coordination and progress within their WPs and other WPs. They ensure that the coordinator is informed about WP developments. Adjustment to work must be agreed by coordinator

4.2 Roles

4.2.1 General Assembly (GA)

The GA is ultimately responsible for the management of the project and consists of one representative from each partner in the consortium. It is chaired by the WP 1 leader(s).

The GA shall be free to act on its own initiative to formulate proposals and take decisions. In addition, all proposals made by the Executive Board shall also be considered and decided upon by the GA.

Table 1. General Assembly Members

Partner Nr	Organisation	Name	E-mail
1	DUT	Bas Jonkman	S.N.Jonkman@tudelft.nl
2	HKV	Teun Terpstra	t.terpstra@hkv.nl
3	FW	Sergio Contreras	s.contreras@futurewater.es
4	KUL	Patrick Willems	patrick.willems@kuleuven.be
5	ECO	Gerardo Anzaldua	gerardo.anzaldua@ecologic.eu
6	LOR	Maria Pascual Cerdán	maria@lorangeriestudio.com
7	UNIBO	Barbara Zanuttigh	barbara.zanuttigh@unibo.it
8	DAPP	Clemente Fuggini	clemente.fuggini@dappolonia.it
9	THETIS	Francesco Lanza	francesco.lanza@thetis.it
10	ICRE8	Phoebe Kontouri	pkoundouri@aueb.gr
11	MIGAL	Iggy Litaor	litaori@telhai.ac.il
12	AQUA	Corina Nastase	licitatii@aquaproiect.ro
13	ICA	Elena Lopez Gunn	elopezgunn@gmail.com
14	AKPT	Bledi Dimo	bledidimo@gmail.com
15	GRED	Eugenio Realini	eugenio.realini@g-red.eu
16	SPEC	Daniel Soiman	daniel@spectrum-construct.ro
17	UCL	Joris van Loenhout	joris.vanloenhout@uclouvain.be
18	ISA	Leónia Nunes	leonianunes@gmail.com
19	GIFF	Carlos Loureiro	carlos.loureiro@giff.pt
20	UOXF	Steve Rayner	steve.rayner@insis.ox.ac.uk
21	NAAR	Dan Constantin	dan.constantin@rowater.ro
22	UTBC	Ioan Bica	bica@utcb.ro
23	TFC	Dennis van der Ham	dennis@wecreateconsulting.com
24	CCE	Justyna Wysocka	justyna.wysocka@carbonengineering.pl

The following decisions shall be taken by the GA:

- Content, finance and intellectual property rights;
- Evolution of the consortium (e.g.: entry of a new partner, withdrawal of a partner).

All decisions of the GA are taken with 2/3 majority votes, though the objective is unanimity. The quorum of the GA meetings is 2/3 of its members. On a regular basis, the GA members will communicate via telephone, Skype conferences and e-mail.

4.2.2 Project Coordination

The BRIGAIID project is coordinated by TU Delft and acts as the intermediary between the partners and the European Commission (Funding Authority).

The coordination of the project is performed at three levels:

Scientific coordination

Professor Bas Jonkman and Roelof Moll (both DUT) are the scientific coordinators. They take care of the scientific development of the project. The main responsibility is to ensure that the main goals of the project are pursued and to verify the quality of all deliverables resulting from the project. If necessary, they also function as general project coordinators.

Business coordination

Marco Hartman (HKV) is the business coordinator. He ensures project developments are in line with the needs of the end users.

Project coordination

Dunja Swierstra (DUT) is the project coordinator. She assists the scientific coordinator and the consortium on financial, legal, administrative as well as on organizational matters.

The scientific coordinator, business coordinator and project coordinator work closely together to guarantee a smooth project communication internally (within the project) and externally (with the EU and the public at large).

4.2.3 Executive Board (EB)

The EB is the supervisory body responsible for the proper execution and implementation of the decisions of the GA. The EB is responsible for: 1) Assessing the compliance of the project with the Consortium Plan and, if necessary, propose modifications of the Consortium Plan to the GA; 2) Support the coordinator in preparing meetings with the Funding Authority and in preparing related data and deliverables; 3) Prepare the content and timing of press releases and joint publications by the consortium or proposed by the Funding Authority.

Table 2. Executive Board Members

Topic	WP	Code	Name(s)	E-mails
Project Management	WP 1	DUT	Bas Jonkman, Roelof Moll	s.n.jonkman@tudelft.nl j.r.moll@tudelft.nl
Floods	WP 2	HKV	Teun Terpstra	t.terpstra@hkv.nl
Drought	WP 3	FW	Sergio Contreras	s.contreras@futurewater.es
Extreme Weather	WP 4	KUL	Patrick Willems	patrick.willems@kuleuven.be
Test and Implementation Framework (TIF)	WP 5	DUT	Roelof Moll	j.r.moll@tudelft.nl
Business Development	WP 6	ECO	Gerardo Anzaldúa	gerardo.anzaldua@ecologic.eu
Market Outreach and Dissemination	WP 7	ICA	Elena Lopez - Gunn	elopezgunn@gmail.com
Ethics	WP 8	DUT	Neelke Doorn	n.doorn@tudelft.nl

The leader(s) of WP1 (Project Management) shall chair all meetings of the EB, unless decided otherwise by a majority of two-thirds.

4.2.4 Advisory Board (AB)

The Advisory Board is represented by:

Table 3. Advisory Board Members

Name	Function	Organisation	Region	E-mail
Michiel van Haersma Buma (Chairman AB)	Chairman	Delfland Water Board	The Netherlands	mvanhaersmabuma@hhdelfland.nl
Fabio Riva	Chief Engineer	Venice Water Authority	Italy	fabio.riva@mit.gov.it
Daniela Radulescu	Director	National Institute of Hydrology and Water Management	Romania	daniela.radulescu@hidro.ro
Gerard van Buurt	Biologist (former Department Head)	Department of Agriculture and Fisheries (Curacao)	Antilles	gvanbuurt@gmail.com
Hantin Bonat	Secretary	National Water Council	Albania	hantin.bonati@gmail.com
Teodoro Estrela Monreal	Director	Confederacion Hidrografica del Jucar	Spain	Teodoro.Estrela@chj.es
Randolf Mock	Senior Principal Engineer	Siemens AG	Germany	randolf.mock@siemens.com

The roles of the AB are the following: 1) to provide guidance to BRIGAIID; 2) to facilitate quick market uptake; and 3) to represent government and industry.

The AB meets annually as part of the project meeting. Project information will be communicated by TU Delft. The members of the AB have a possible role in stocktaking and evaluation of innovations. They possibly participate in mid-term and final review. Travel and lodging costs of the AB members are compensated through TU Delft.

4.2.4 Work Package Leaders and Task Leaders

The WP Leaders (WPLs) and the Task Leaders (TLs) will be responsible for the detailed implementation of the work packages and tasks and preparation of the corresponding deliverables and milestones. The WPLs perform operative management at the level of their work package and are responsible for the following activities:

- Reporting progress at project meetings and in management reports;
- Immediately reporting major decisions related to any deviation to the work plan;
- Coordinating the activities of the task leaders;
- Highlighting any partners whose contributions are of insufficient or of unacceptable quality.

The WPLs report to the EB and to the GA (if the latter requires more detailed information on some issue). The TLs assist the WPLs in planning, managing and performing their respective tasks in the WP context.

Table 4. Work Package Leaders

Topic	WP	Code	Name(s)	E-mail
Project Management	1	DUT	Bas Jonkman and Dunja Swierstra	s.n.jonkman@tudelft.nl d.a.m.swierstra@tudelft.nl
Floods	2	HKV	Teun Terpstra	t.terpstra@hkv.nl
Drought	3	FW	Sergio Contreras	s.contreras@futurewater.es
Extreme Weather	4	KUL	Patrick Willems	patrick.willems@kuleuven.be
Test and Implementation Framework (TIF)	5	DUT	Roelof Moll	j.r.moll@tudelft.nl
Business Development	6	ECO	Gerardo Anzaldúa	gerardo.anzaldua@ecologic.eu
Market Outreach and Dissemination	7	ICA	Elena Lopez - Gunn	elopezgunn@gmail.com
Ethics	8	DUT	Neelke Doorn	n.doorn@tudelft

4.2.5 Meetings

Project meetings are plenary meetings and parallel sessions combining technical progress. They will take place twice a year. They include a General Assembly meeting and an Executive Board meeting. The minutes of the meetings will be submitted to the PO (if required).

Technical meetings may be called for by the Work Package leaders within a work package or between technical work packages in order to coordinate progress on WP level. A shortlist of progress made and follow-up actions should be sent to the coordinator.

Meetings of each project partner may also be held by teleconference or other telecommunication means.

Costs for travel and accommodation to participate in these meetings have to be covered by each partners own budget.

For every meeting taken place, **minutes** should be sent to the coordinator.

5. Communication

5.1. Internal communication

Internal communication is considered the communication within the consortium.

5.1.1 E-mail

Many people may be working on a number of different projects and are likely to receive numerous emails every day, therefore, a standard subject title is proposed. This helps to quickly recognise the project related emails.

Project related e-mails should include in the subject title: 'BRIGAIID' and WP number (if applicable) followed by a more specific description of the subject, deadline for feedback or reply, see below an example:

[Subject: BRIGAIID: Kick off meeting minutes, till May 11th 2016]

Furthermore it is required to copy the coordinator (D.A.M.Swierstra@tudelft.nl) in most important e-mail communications.

There will be different mailing lists, which can be found on the [SharePoint](#) together with the contact list. Required changes can be sent to D.A.M.Swierstra@tudelft.nl.

5.1.2 SharePoint/Internal Communication Platform

A project SharePoint was set up to act as repository for all working documents, minutes and reports. The address of the SharePoint is:

<https://teams.connect.tudelft.nl/projects/vc/brigaid/SitePages/Home.aspx>

Every member of the consortium has access to the SharePoint. In case of problems/need for a new account, please contact: D.A.M.Swierstra@tudelft.nl.

Permission levels

There are different permission levels. WP leaders and project coordinators can use the SharePoint site to read/download/edit/ upload (final) documents.

Other partners can use this SharePoint to read and download project documentation. In case they want to upload a final document, they can contact their WP leader or the project coordinators.

5.2 External communication

External communication is considered towards parties outside the consortium, target groups of the project, stakeholders and the EU Project Officer.

The external communication is part of **WP7 Market outreach and dissemination** for which one of the partners (I-Catalist) is responsible (Elena Lopez-Gunn, elopezgunn@gmail.com).

Communication of project results is an important part of a H2020 project. You will find more information in deliverable '*D7.1 Communication and Dissemination Plan*', due in August 2016 (M4).

5.2.1 Project website

The project website is set up for external communication purposes. It can be found at <http://www.brigaid.eu/>. The project website is created with information about the project, its objectives, results, partners and events.

5.2.2 General Requirements

You are requested to indicate at all times that the project has received funding from the European Union. Using the following:

- (a) display the [EU emblem](#) (When displayed together with another logo, the EU emblem must have appropriate prominence.):



- (b) include the following text (Disclaimer):

'This project (BRIGAIID) has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 700699'.

'The opinions expressed in this document reflect only the author's view and reflects in no way the European Commission's opinions. The European Commission is not responsible for any use that may be made of the information it contains.'

- (c) include the project logo

You can find the logo on the [SharePoint Page](#) once finished. It is recommended to always place the project logo on the front page of the document and the EU logo at the left side of the footer of the first page in the document.

5.2.3 Specific Project Presentation

On SharePoint you can find the standard BRIGAIID PowerPoint presentation that can be used in external communication. You can find it on [SharePoint](#).

5.3 Document standard/Templates

All public documentation needs to conform the document standards provided by the Project Coordinator. The document standard could be used for:

- Official EU reports (such as Periodic, Final);
- Public documents by the consortium;
- Project deliverables (in a report format); and
- any documents that are declared as public by the consortium.

All project templates (deliverables, presentations, document standard): are saved on [SharePoint](#).

The preview of a template for a document standard can be found in **Appendix 2**.

For internal project documents, it is also advised to apply this standard, such as WP meeting agenda and minutes.

5.3.1 Document Titles

	Deliverables	Meetings	Conferences
First letters	BRIGAIID	BRIGAIID	BRIGAIID
Underscore	_	_	_
Next letters	Deliverable number [Dx.y] [x=WP number, y=deliverable number]	Type of document (i.e. Agenda, Minutes, Presentation) In case of presentation, include WP number.	Event title
Underscore	_	_	_
Next letters	Short explanatory title for the document.	Date and location of the meeting	Date and location of the meeting
Underscore	_	_	_
Next letters (for presentations only)		Short name of organisation and Initials of presenter	Short name of organisation and Initials of presenter
Underscore	_	_	_
Next letters	"v" and number of revision of this specific report [v0.1=draft version, v1.0=final version]	"v" and number of revision of this specific report [v0.1=draft version, v1.0=final version]	"v" and number of revision of this specific report [v0.1=draft version, v1.0=final version]

Deliverable documents:

[BRIGAIID_Dx.y_Title_v0.1]

example: BRIGAIID_D1.1_Project Handbook_v0.1

Meeting documents:

[BRIGAIID_Type of Doc_Location_YYYYMMDD_Organisation_Initials)_v0.1]

example: BRIGAIID_Agenda_Delft_20160512_v0.1

example: BRIGAIID_Minutes_Delft_20160512_v0.1

example: BRIGAIID_(WPx_)Presentation_Delft_2010512_SvdB/TUD_v0.3

Conference presentations:

[BRIGAIID_Event_Location_YYYYMMDD_Initials/Organisation_v0.1]

example: BRIGAIID_KickOff2016_Delft_20160512_SvdB/TUD_v1.0

6. Reporting

Throughout the lifetime of the project there are:

- (Internal) progress report(s) (financial & technical progress);
- Periodic report(s) to the EU (financial & technical progress);

6.1 Reporting Calendar

To ensure timely submission the partners should respect the following deadlines:

Table 5. Reporting Calendar

Kind of report	Period covered	Template ready and uploaded to SharePoint by project coordinator	Deadline to send to project coordinator	By whom?	Finalised & submitted to EC by project coordinator
Internal Progress Report 1	May 2016 - Oct. 2016 (M01 - M06)	Oct. 2016 (M06)	Nov 2016 (M07)	All consortium partners	n/a
Internal Progress Report 2	Nov 2016 - Apr 2017 (M07 - M12)	Apr 2017 (M12)	May 2017 (M13)	All consortium partners	n/a
Periodic Report 1	May 2016 - Oct. 2017 (M01-M18)	Oct. 2017 (M18)	Nov 2017 (M19)	WPL	Dec 20th 2017 (M20)
Internal Progress Report 3	Nov 2017 - Apr 2018 (M19 - M24)	Apr 2018 (M24)	May 2018 (M25)	All consortium partners	n/a
Internal Progress Report 4	May 2018 - Oct. 2018 (M25 - M30)	Oct. 2018 (M30)	Nov 2018 (M31)	All consortium partners	n/a
Periodic Report 2	Nov 2017 - Apr 2019 (M19 - M36)	Apr 2019 (M36)	May 2019 (M37)	WPL	June 2019 (M38)
Internal Progress Report 5	May 2019 - Okt 2019 (M37 - M42)	Oct. 2019 (M42)	Nov 2019 (M43)	All consortium partners	n/a
Periodic Report 3	May 2019 - Apr 2020 (M37 - M48)	Apr 2020 (M48)	May 2020	WPL	June 2020 (M50)
Final Report	May 2016 - Apr 2020 (M01 - M48)	n/a	n/a	Project coordinator	June 2020 (M50)

Furthermore, every three months a short report on the project progress will be sent to the EU Project Officer by the scientific coordinator(s).

6.2 Internal Progress Reports

Internal progress reports are compiled every six months. A progress report is an internal project document, meaning that it is not sent to the EU. The objective of this internal report is to monitor project expenditure and technical progress. It should be a brief summary of the technical work completed as well as a brief explanation for any deviations (budget and content!) from the DoA (*EU GA: Annex 1*).

An internal progress report includes:

- A description of the **technical progress**, per work package:

WPL's are responsible to gather all information about the technical progress in their WP from their task leaders and compile a WP report before sending it to the coordinator.

- And a **financial overview** from each partner:

The process of handing in the financial overview goes as follows: 1) The project coordinator provides an Excel template, a preview can be found on [SharePoint](#) a month before the deadline; 2) This template should be filled out by all the consortium partners. This excel sheet provides the coordinator with valuable information needed for monitoring purposes and management reporting; 3) The coordinator consolidates the provided information and sends the complete report to the consortium for review. Again it will not be sent to the Commission.

6.3 Periodic Report

The periodic report (*EU GA: Article 20.3*) must be submitted by the project coordinator **within 60 days** following the end of each reporting period. This report must include explanations for any deviations (budget and content!) from the DoA (*EU GA: Annex 1*). Just like the internal progress report, the periodic technical report consists of a technical report and a financial report.

The '**periodic technical report**' consists of two parts; Part A and Part B:

- A) Part A** is generated by the IT system. It is based on the information entered by the participants through the periodic report and continuous reporting modules of the electronic exchange system in the Participant Portal. The participants can update the information in the continuous reporting module at any time during the life of the project. Part A contains:

- the cover page,
- a summary which can be used for publications by the EC, and
- the answers to the questionnaire (covering issues related to the project implementation and the economic and social impact).

The project coordinator is responsible for part A.

- B) Part B** is the narrative part that includes explanations of the work carried out by the beneficiaries during the reporting period. Part B needs to be uploaded as a PDF document following the template of Part B Periodic Technical report.

WPL's compile a report on their WP together with their TLs (Part B) and send it to the project coordinator one month before the deadline for uploading it in the participant portal. The project coordinator consolidates the provided information and sends the complete periodic technical report to the consortium for review. The final approved version will be uploaded in to the Participant Portal by the project coordinator.

The Periodic Report Template can be found on the EC website under H2020 reference documents:

http://ec.europa.eu/research/participants/data/ref/h2020/gm/reporting/h2020-tmpl-periodic-rep_en.pdf

The '**periodic financial report**' consists of:

1. **Individual financial statement** (*EU GA: Annex 4*) for each partner, for the reporting period concerned. This financial statement must detail the eligible costs for each budget category. Each partner *and linked third parties* must declare all eligible costs, even if costs exceed the amounts indicated in the estimated budget.
2. An **explanation of the use of resources** and information on subcontracting and in-kind contributions provided by third parties from each partner for the reporting period concerned;

3. a **'periodic summary financial statement'** will be created automatically by the electronic exchange system, consolidating the individual financial statements of the partners, including the request for interim payment.

The F-Sign of each partner will be able to complete online their own Financial Statement including the explanations on the use of resources, (also for their third parties). The project coordinator will have a final check on the statements and submit electronically to the EC.

6.4 Final Report

In addition to the periodic report for the last reporting period, the coordinator must submit the final report **within 60 calendar days** following the end of the last reporting period.

The Final Report Template should be soon available on the EC website under H2020 reference documents:

https://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html

The **final report** will most probably include the following:

1. 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 and
 - the socio-economic impact of the action.

The project coordinator compiles this final technical report in consultation with the partners.

2. a **'final financial report'** containing:
 - **'final summary financial statement'** will be created automatically by the electronic exchange system, consolidating the individual financial statements of the partners for all reporting periods;
 - a **'certificate on the financial statements'** for each partner (*and for each linked third party*), if it requests a total contribution of EUR 325 000 (or more) reimbursement of actual costs and unit costs.

6.5 Financial Reporting in Detail ¹

6.5.1 Budget

The budget contains the estimated eligible costs, broken down by Partner (and linked third party) and budget category (*EU GA: Articles 5, 6, and 14*).

The budget is based on estimated costs and person months. Frequent internal reporting assures that these budgets are monitored well and that under- and over spending is noticed at an early stage. Please note that in reporting, actual costs must be reported and not budgeted ones. The budget is presented on [SharePoint](#).

¹ All amounts must be specified in Euros. Beneficiaries and linked third parties with accounting established in a currency other than the euro must convert the costs recorded in their accounts into euro. Use the average of the daily exchange rates published in [the Official Journal of the European Union](#), calculated over the corresponding reporting period. If no daily euro exchange rate is published, the costs must be converted at the average of the monthly accounting rates published on the [Commission's website](#), calculated over the corresponding reporting period. Beneficiaries and linked third parties with accounting established in euro must convert costs incurred in another currency into euro according to their usual accounting practices.

The budget categories are listed in the EU GA: Article 6.2, these are:

A. Direct personnel costs:

- costs for employees (or equivalent);
- costs for natural persons working under a direct contract;
- costs of personnel seconded by a third party against payment;
- costs for SME owners without salary;
- costs for beneficiaries that are natural persons without salary;
- personnel costs for providing trans-national access to research infrastructure.

B. Other direct costs:

- Travel costs and related subsistence allowances;
- Equipment costs;
- Costs of other goods and services;
- Capitalised and operating costs of large research infrastructure.

C. Direct costs of subcontracting

If necessary to implement the action, the partner may award subcontracts covering the implementation of certain action tasks described in the GA. The partner must award the subcontracts ensuring the best value for money or, if appropriate, the lowest price. In doing so, it must avoid any conflict of interests (*EU GA: Article 35*).

D. Direct costs of providing financial support to third parties (if option applies)

E. Costs of in-kind contributions not used on partner's premises (if option applies)

F. Indirect costs. Indirect costs should be calculated like as: $0,25 \cdot (\text{direct personnel costs (A)} + \text{other direct costs (B)} - \text{Costs of in kind contributions not used on the partner's premises (E)})$. Note that costs of subcontracting are excluded from this 25% flat-rate.

G. Specific cost categories (if option applies): The budget category 'specific cost categories' only applies where specific activities are reimbursed by unit costs or lump sum costs. For the General MGA, this is currently the case for 'access costs for providing trans-national access to research infrastructure', 'costs for y measures in buildings' and 'costs for clinical studies'.

6.5.2 Individual Financial Statement – Declaration of Eligible Costs

The individual financial statement needs to be submitted electronically by each partner to the EU through the Participant Portal (*EU GA: Annex 4*).

The procedure below needs to be updated once this process is available in the EU Participant Portal of the Project.

1. Login to the Participant Portal

- a. To be able to login to the Participant Portal you need to have an ECAS (European Commission Authentication Service) password

- b. Go to the sign-up page and create your ECAS account. Make sure you selected the right domain: External
2. Choose the tab 'my Projects'. If BRIGAIID is not listed, contact the project coordinator of the TU Delft, add name project coordinator.
3. Click in the column 'Actions' on 'PR' (=Periodic Reporting).
4. Click under your organisation on the 'Financial statement'. Fill in the requested information with explanations.
5. Once everything is filled in press "save".
6. Then click on the button "inform F-sign", the F-sign will be asked by e-mail to sign the financial statement electronically. If an organisation has not yet added a F-sign to the project (the PF-sign), the LEAR needs to be contacted. The LEAR needs to nominate a F-sign for the organisation and then the participant contact needs to add the F-sign to the project.
7. The PF-sign then needs to submit the financial statement to the coordinator.
8. The coordinator will make a final check and then submit the financial statements including all reports to the EU through the Participant Portal.

6.5.3 Audit – Certificate on the Financial Statements

A Certificate on the Financial Statements (CFS) is requested for each partner in case of total contribution of EUR 325 000 or more, as reimbursement of actual costs and unit costs. This means excluding the reimbursement of indirect costs (25%).

Partners submit:

- either one certificate per reporting period. Note: choose this option, only when you expect to exceed the threshold of EUR 325.000 at the end of the project;
- or a single CFS for the whole project.

In both cases, the certificate and related costs may only be submitted with the final financial report.

Please note that you have to keep the financial records of the expenses in this project, for a minimum of 5 years after the final payment has been received – digital or hardcopy.

The [template](#) is available in EU GA *Annex 5* and on the EC website under [H2020 reference documents](#). It can also be found on the [Sharepoint](#).

6.6 Keeping records- supporting documentation

Each partner must — for a period of five years after the payment of the balance keep records and other supporting documentation in order to prove the proper implementation of the action and the declared costs to be eligible. The documents need to be the original documents. Digital and digitalised documents are accepted if national law accepts these documents as originals.

The partners must keep the records and documentation according to their usual cost accounting practices and internal control procedures. There must be a track between the amounts declared, the amounts recorded in accounts and the amounts stated in the supporting documentation (audit trail).

For the different cost categories, consider the following documents:

Direct personnel costs:

- monthly signed time sheets (*6.6.1 Time recording*);
- calculation of hourly rate (*EU GA: Article 6.2*);
- proof of paid salary;
- labour contracts.

Other direct costs (travel costs and related subsistence allowances, equipment costs, costs of other goods and services):

- quotations (sub)contracts;
- all receipts of expenditure;
- meeting docs: signed presence lists, minutes, agenda;
- calculations of depreciation costs charged to the project.

Direct costs of subcontracting:

- quotations (sub)contracts;
- signed (sub)contracts.

6.6.1 Time recording

For personnel costs (declared as actual costs or on the basis of unit costs), the partners must keep time records for the number of hours declared. The time records must be in writing and approved by the persons working on the action and their supervisors, at least monthly (*EU GA article 18.1*).

The time recording can be done by using a timesheet on paper or in a computer-based system. A template for time-sheets is available on the Participant Portal:

http://ec.europa.eu/research/participants/data/ref/h2020/other/legal/templ/tmpl_time-records_en.pdf

This template is not mandatory; beneficiaries may use their own model, provided that it fulfils the minimum conditions and it contains at least the information detailed below.

Time records should include:

- the title and number of the project, as specified in the EU GA;
- the partners full name, as specified in the EU GA;
- the full name, date and signature of the person working for the project;
- the number of hours worked for the action in the period covered by the time record; for reasons of assurance and legal certainty it is highly recommended that the number of hours is detailed per day (hours worked for the action in each day);
- the supervisor's full name and signature;
- a reference to the work package described in the DoA (*EU GA: Annex 1*), to easily verify that the work carried out matches the work assigned and the person-months reported to the action.

Information included in timesheets must match records of annual and sick leave taken, and work-related travel.

6.7 Budget transfers

With the consent of the Project Executive Board a re-distribution of person-months between partners may be considered. This re-distribution is allowed without requesting an amendment (*EU GA: Article 55*) provided that it does not imply a substantial change to the action as described in the EU GA. All other re-allocations of budget items need to be discussed in order to decide whether to apply for an amendment to the EU GA.

The maximum grant amount (*EU GA: Article 5*) can however NEVER be increased.

7. Payments

The following types of payments are foreseen:

1. Pre-financing at the start of the project:
Pre-financing funds remain EU property until they are 'cleared' against eligible costs accepted by the European Commission.

2. Interim payment following the approval of the periodic reports:
After approval of the formal periodic reports an interim payment will be issued.
First Periodic Report: 2016 May (M01) - 2017 Oct (M18)
Second Periodic Report: 2017 Nov (M19) - 2019 Apr (M36)
Third Periodic Report: 2019 May (M37) – 2020 Apr (M48)

3. Final payment following the approval of the final report:
The final payment will be transferred after the approval of the final report and consists of the difference between the calculated EU contribution (on the basis of the eligible costs) minus the amounts already paid.

8. Deliverables

8.1 List of Deliverables & Milestones in chronological order

Nr	Title	WP	Lead beneficiary	Delivery Date to EC
D1.1	Project Handbook	1	DUT	Jun 2016
D7.1	Communication and Dissemination Plan	7	ICA	Aug 2016
D7.2	Project Website	7	LOR	Oct 2016
D2.1	Stocktaking Report WP2	2	HKV	Apr 2017
D3.1	Stocktaking Report WP3	3	FW	Apr 2017
D4.1	Stocktaking Report WP4	4	KUL	Apr 2017
D5.1	Initial version of the TIF	5	DUT	Apr 2017
D6.1	Market Scoping Report	6	ICA	Apr 2017
D7.3	Innovation Sharing Platform	7	LOR	Apr 2017
D8.1	GEN – EPQ – Requirement No. 2	8	DUT	Apr 2017
MS1	Start of first test phase	2,3,4,5	DUT	May 2017
D5.2	Full Version of TIF	5	DUT	Oct 2017
D6.2	MAF+ and business plans	6	ECO	Oct 2017
D6.3	PPIF and funding applications	6	TFC	Oct 2017
D7.4	Report on Communities of Innovation	7	ICA	Oct 2017
MS2	Start of first business development phase	6	ECO	Nov 2017
D2.2	Development Report WP2	2	HKV	Jan 2018
D3.2	Development Report WP3	3	FW	Jan 2018
D4.2	Development Report WP4	4	KUL	Jan 2018
D8.3	EPQ – GEN – Requirement No. 4	8	DUT	Feb 2018
MS3	Start of second test phase	2,3,4	DUT	March 2018
D5.3	Clusters of innovations	5	DUT	Apr 2018
D7.5	Policy Briefs on the TIFF, MAF+ and PPIF	7	ICA	Apr 2018
D8.2	GEN – EPQ Requirement No. 5	8	DUT	Dec 2018
MS4	Start of third test phase	2,3,4	DUT	Feb 2019
D1.2	Societal Impact Report	1	DUT	Apr 2020
D1.3	Public Final Activity Report	1	DUT	Apr 2020
MS5	Delivering TIF, MAF+, PPIF, ISP	5,6,7	DUT	Apr 2020

8.2 Approval process of deliverables

WPL's are responsible for their WP deliverables. Before the month of the deliverable deadline, the WPL and the author discuss which internal expert will review the first final draft version at the same time the WPL reviews it. The WPL approaches the internal expert for confirmation.

On the first day of the month of the deliverable deadline, the author sends the first final draft version of the deliverable to their WPL, the appointed internal expert and the project coordinator (D.A.M.Swierstra@tudelft.nl). Within the following two weeks, the WPL and the appointed internal expert review the first final draft version of the deliverable. On the 14th of the month of the deliverable deadline, they must send their comments to the author. Then the author has one week to adjust the document where necessary.

On the 21st of the deadline of the month of the deliverable deadline, the author sends the second final draft version to the project coordinator and scientific coordinators. They have one week to do a final check. On the last working day of the month, the project coordinator will upload the document to the Participant Portal and place a copy on the SharePoint site.

Members of the Advisory Board can be consulted by the WPL during this whole process.

8.3 Timetable of quality review process:

Submit date	Action
Before the month of the deadline	the author discusses with the WPL which internal expert will be asked to review the first final draft of the deliverable. Commitment from this will need to be confirmed.
1 st of the month of deadline deliverable	Author sends the first final draft version of the deliverable to the WP leader, the appointed internal expert and the project coordinator (D.A.M.Swierstra@tudelft.nl).
2 weeks:	The WPL (first reader) as well as the appointed internal expert review the deliverable separately and provide it with comments.
14 th of the month of deliverable deadline	WPL and internal expert send their comments to the author.
1 week:	Author adjusts the deliverable where necessary.
21 st of the month of deliverable deadline	Author sends the second final draft version of the deliverable to the project coordinator and scientific coordinators.
1 week:	Coordinators do a final check.
Last working day of the month	Project coordinator uploads the final document to the Participant Portal and places a copy on the SharePoint site.

9. Dissemination of results and Open access

The partners must - as soon as possible (but not before a decision on their possible protection) — disseminate their results (i.e. make them public). Some of the classic forms of dissemination are:

- Website;
- Peer reviewed publication (open access);
- Presentation at a scientific conference.

The dissemination measures should however be consistent with the 'Communication and Dissemination Plan' (D7.1) and proportionate to the impact expected from the action. Deliverable 7.1 'Communication and Dissemination Plan' will be ready in August 2016 Nov (M04). This document will provide with more guidelines.

When deciding on dissemination, the partners must also consider the other partners' legitimate interests.

9.1 Open access to scientific publications

Each partner must ensure open access (free of charge online access for any user) to all peer reviewed scientific publications relating to its results.

In particular, it must:

- As soon as possible and at the latest on publication, deposit a machine-readable electronic copy of the published version or final peer-reviewed manuscript accepted for publication in a repository for scientific publications;
Moreover, the partner must aim to deposit at the same time the research data needed to validate the results presented in the deposited scientific publications.
- Ensure open access to the deposited publication — via the repository — at the latest:
 - (i) on publication, if an electronic version is available for free via the publisher, or
 - (ii) within six months of publication (twelve months for publications in the social sciences and humanities) in any other case.
- Ensure open access — via the repository — to the bibliographic metadata that identify the deposited publication.

The bibliographic metadata must be in a standard format and must include all of the following:

- the terms "European Union (EU)" and "Horizon 2020";
- the name of the action, acronym and grant number;
- the publication date, and length of embargo period if applicable, and
- a persistent identifier.

9.2 Dissemination rules

The complete rules for dissemination are covered in Section 8.3 of the CA and Article 29 of the EU GA.

More concrete, the partner wishing to publish, present or disclose information about the project must follow the following procedure:

- Send an email at least **45 calendar days** before publication / disclosure of information to the whole consortium. Provide the foreseen title, list of contributing authors, abstract of the content and the purpose of the publication;
- Any objections to the planned publication can be made within **30 calendar days** after receipt of the notice; if no objection is made within the time limit stated above, the publication is permitted.
- An objection is justified if:
 - a. the objecting party's legitimate academic or commercial interests in relation to the results or background would be significantly harmed;
 - b. the projection of the objecting party's results or background is adversely affected.
- The objection has to include a precise request for necessary modifications.
- The objecting partner can request a publication delay of not more than 45 calendar days from the time it raises such an objection. After 45 calendar days the publication is permitted, provided that Confidential information has been removed from the publication as indicated by the objecting partner.

A partner shall not include in any dissemination activity another partner's results or background without obtaining written approval, unless they are already published.

The author informs the project coordinator when the planned publication has been accepted for publishing (for monitoring proposes).

9.2.1 General requirements

Unless the EC requests or agrees otherwise or unless it is impossible, any dissemination of results (in any form, including electronic) must:

- (a) display the [EU emblem](#) (When displayed together with another logo, the EU emblem must have appropriate prominence.):



- (b) include the following text (Disclaimer):

'This project (BRIGAIID) has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 700699'.

'The opinions expressed in this document reflect only the author's view and reflects in no way the European Commission's opinions. The European Commission is not responsible for any use that may be made of the information it contains.'

10. Appendices

10.1 Appendix 1 – Abbreviations and acronyms

<i>AB</i>	Advisory Board
<i>AGA</i>	Annotated Model Grant Agreement
<i>BRIGAIID</i>	BRIdges the Gap for Innovations in Disaster resilience
<i>CA</i>	Consortium Agreement
<i>CFS</i>	Certificate on the Finance Statement
<i>DoA</i>	Description of the action
<i>EB</i>	Executive Board
<i>EC</i>	European Commission
<i>ECAS</i>	European Commission Authentication Service
<i>EU</i>	The European Union
<i>EU GA</i>	EU Grant Agreement project specific
<i>GA</i>	General Assembly
<i>IA</i>	Innovation Action
<i>PO</i>	Project Officer from the European Commission
<i>TL</i>	Task Leader
<i>WP</i>	Work Package
<i>WPL</i>	Work Package Leader

10.2 Appendix 2 – Template for a document standard

[SharePoint link](#)

10.3 Appendix 3 – Excel Template for internal financial progress report

[SharePoint Link](#)

10.4 BRIGRID Budget

[SharePoint Link](#)

10.5 Appendix 5 – Timesheet by EC

TIME RECORDING		Month:	Year:																														
Beneficiary's name (organisation):																																	
Name & function of the person working:																																	
Reference	DAY	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	Total
EU Project '1' <i>(acronym & GA no)</i>	WP1																															0	
	WP2																															0	
	WP'n'																														0		
EU Project '2' <i>(acronym & GA no)</i>	WP1																														0		
	WP2																														0		
	WP'n'																														0		
EU Project 'n' <i>(acronym & GA no)</i>	WP1																														0		
	WP2																														0		
	WP'n'																														0		
Other working hours																															0		
Sick leave																															0		
Public holidays																															0		
Holiday leave																															0		
Other absences																															0		
Total hours		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0		
Total hours EU Project '1'																															0		
Total hours EU Project '2'																															0		
Total hours EU Project '3'																															0		

<p>Signed by (name of the person working on the action):</p> <p>Date:</p> <p>Signature:</p>	<p>Signed by (name of the supervisor):</p> <p>Date:</p> <p>Signature:</p>
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[SharePoint link](#)