Handbook on workflow and standard quality procedures

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List of acronyms

Acronym	Description
CA	Consortium Agreement
GA	Grant Agreement
SC	Steering Committee
EC	European Commission
GA	General Assembly
CoP	Community of Practice
RP	Reporting Periods
RD	Reporting Deadlines
KPI	Key Performance Indicators
RV	Reviews by the Agency or the Commission
CMS	Content Management System

List of tables

List of figures

Introduction: operationalizing the partnership

The present handbook on workflow and standard quality procedures is a deliverable (D1.1) of the task 1.1 dedicated to the coordination and monitoring of the implementation of activities, involving all members of the Steering Committee (SC), which is composed by the coordinator and all work packages leaders, as well as task leaders or other partners representatives who are invited to participate according to the issues to be managed.

Therefore, the coordination and monitoring of URBiNAT's activities relies on the definition of **workflow and standard quality procedures** by the SC.

This definition consists in:

- ❏ drafting **rules, procedures and process** flowcharts and appropriate **good practice standards** for documentation, internal and external communication and internal and external cooperation;
- ❏ designing a system for **monitoring** project aims, deliverables and milestones in order to report on progress towards objectives (efficiency and efficacy), including extranet, online collaborative documents, format of reports to general assembly, in line with European Commission (EC) reporting formats;
- ❏ formulating policy for conflict resolution, including **mediation**, corrective actions and **remedies**.

In a preambule, the present document briefly recalls **applicable regulations and commitments** applied to all aspects of the work developed by the partners of the Consortium, according to:

- ❏ the **Grant Agreement** (GA) signed with the EC, including specific provisions which establish rights and obligations, roles and responsibilities, and communication procedures;
- ❏ the **Consortium Agreement** (CA) to be celebrated between all partners, which points out the procedures and commitments negotiated among the partners to develop the project at its best once it has been approved;
- ❏ the **ethical guidelines** that should guide the whole project ́s development and implementation, providing ethical reflection, promoting good scientific practices, and preventing misconduct;
- ❏ the **communication code of conduct**, establishing the ways through which partners will disseminate information within the framework of URBiNAT project;
- ❏ the integration of the **cross-cutting dimensions human rights, gender and international cooperation**, as adopted by URBiNAT in its approach to urban regeneration in order to address properly a complex concentration and combination of societal challenges.

After its preambule, the present handbook firstly further details what are the **standard quality procedures** applied to the management of URBiNAT's project, which relies on a model of governance and organisational structure with the following main characteristics:

- ❏ complex;
- ❏ ambitious;
- ❏ collaborative;
- ❏ participatory;
- ❏ accountable;
- ❏ aware of challenges;
- ❏ originally structured by a comprehensive framework of project management from the EC.

Regarding the **workflow**, the organization of the collaborative work of URBiNAT's partners is addressed in a second section of the present handbook with an emphasis on methods and tools applied to:

- ❏ the **coordination** of the project's implementation;
- ❏ the **planning** of activities;
- ❏ the accountable and practical **reporting** process;
- ❏ the **monitoring** of the activities' development;
- ❏ the **evaluation** of progress and results;
- ❏ the **communication** among partners.

Concerning the **mediation** of conflict resolution, corrective actions and **remedies**, the applicable regulations and commitments, as well as the organizational structure of URBiNAT enable to devise main channels and procedures, which are recalled in the third section of the present handbook.

Finally, still as an introduction to this handbook devised with as much instructions as possible to organize the management and implementation of URBiNAT project, the SC would like to stress the following **partnership fundamentals** of our consortium:

➔ URBiNAT project is based on **collaborative principles** that will also work at the communication level promoting participatory and cooperative processes, where inter and intradisciplinary knowledges and expertises will come together taking advantage of the networking and coworking potentialities that engage all different actors, civil society organizations and inhabitants included.

➔ **Diversity and differences** will be pointed out as positive features and factors to work on intercultural dialogues that will enrich the project, its products and outcomes themselves instead of being viewed as problems to solve.

➔ Throughout the project, a true **commitment to the progress and deadlines of activities** will be pursued, without setting aside the **enthusiasm and energy for the involvement in partnerships and focus on citizens' empowerment**.

➔ As in any collaborative endeavour, co-creation and flexibility will enable us to adapt to challenges in order to achieve our common goals and strengthen our partnership, which will also guide **possible practical updates** of the present handbook and of its corresponding procedures methods and tools.

Preambule: applicable regulations and commitments

Grant agreement, consortium agreement, ethical guidelines, communication, cross-cutting dimensions

→ *Grant agreement - GA*

URBiNAT project was approved under the H2020 financing line of the European Commission (EC), therefore the main regulations are those issued by this financing line and included in the Grant Agreement (GA) submitted in association with the different partners and accepted by the EC itself.

According to this GA and related to the main issues established in this handbook D1.1 on workflow and standard quality procedures, the regulations affecting these issues are summarized in this section.

Many of the obligations resulting from this regulation are focused on the tasks and activities that each partner should assure during the implementation of the project and even some years after, in order to respond adequately to the commitments and requirements towards the EC.

These procedures are especially related to the **chapter 4 "Rights and Obligations of the Parties", section 2 on "Rights and Obligations related to the Grant Administration",** with the following articles involved:

- ❏ **article 18**, on keeping **records** and supporting documentation;
- ❏ **article 22**, on checks, **reviews**, audits and investigations;
- ❏ **article 23**, on the **evaluation** of the impact of the action.

Under the **section 4 on other "Rights and Obligations"** of this same chapter 4, there are two articles of special interest:

- ❏ **article 32**, related to the recruitment and working conditions for **researchers**;
- ❏ **article 33**, on **"Gender Equality"**, which must be taken with a closer and more profound approach by all partners .

The issue comprising article 33 on gender equality is essential not only for the implementation of the project, but also for the fulfillment of the cross-cutting dimensions throughout its development, when gender is one of these three main issues, together with human rights and international cooperation approaches and perspectives. As cited at the Participant Portal H2020 Online Manual [1] the importance of *"integrating the Gender Dimension in research and innovation is an added value in terms of excellence, creativity, and business opportunities. It helps researchers question gender norms and stereotypes, to rethink standards and reference models. It leads to an in-depth understanding of both genders' needs, behaviours and attitudes. It enhances the societal relevance of the knowledge, technologies and innovations produced. It also contributes to the production of goods and services better suited to potential markets"*.

[1] http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/gender_en.htm

Article 41 gives account of **chapter 5 about "Division of Beneficiaries´roles and responsibilities, Relationship with Complementary Beneficiaries and Relationship with Partners of a joint action"**, resembling not only the roles and responsibilities towards the funding agency, but also and most important of the internal arrangements between beneficiaries as stated by the Consortium Agreement (CA).

In the **"Final Provisions" of chapter 7, article 52 on "Communication between the Parties"** summarizes the formal and informal ways of notifications and communications among the partners and the funding agency.

→ *Consortium agreement - CA*

While the GA establishes the regulations that must be followed by every partner involved in the project as approved under the H2020 financing line of the EC, the CA points out the procedures and commitments negotiated among the partners to develop the project at its best, once it has been approved.

The CA of the URBiNAT project is under negotiation with all partners at the moment of writing the present handbook. Some of the procedures and operational issues are being established already by putting into practice the implementation of the tasks and goals pursued by the project.

As to the workflow and standard quality procedures regarding this deliverable D1.1, the section 6 of the CA addresses the **governance structure**, and is the part of the CA that we must review and take into account in a more thoroughly and comprehensive way. The main points of this section 6 are related to:

- ❏ **general structure;**
- ❏ **general operational procedures for all consortium bodies;**
- ❏ **specific operational procedures for all consortium bodies; and**
- ❏ **the role of the coordinator.**

Operational procedures include the definition and general and specific responsibilities of all partners, through their participation at the different levels of organization and communication among them all.

Through specific **meetings** of the different consortium bodies with different degrees of responsibilities and decision-making issues, the implementation of the project itself and the level of participation and commitment of every partner can be accompanied and evaluated throughout the whole process.

As part of the specific operational procedures, five **task forces** have been defined to guarantee the success of the project, corresponding to five tasks of work package 1:

- ❏ task force 1 - coordinating and monitoring the implementation of activities;
- ❏ task force 2 - scientific coordination;
- ❏ task force 3 - innovation, intellectual property rights and data management;
- ❏ task force 4 - ethics analysis;
- ❏ task force 5 - inclusion of cross cutting dimensions: human rights, gender and international cooperation.

Through the implementation of these task forces, the governance ruling the interaction with the consortium bodies, will allow to have and update and detail monitoring of activities and goals' progress , preventing any possible negative impact of the actions involved.

→ *Ethical guidelines and code of conduct*

URBiNAT's **ethical guidelines**[2] focus on a set of principles related with the respect for individuals, the respect for groups and institutions, the research community itself, and the publication and dissemination of project's results.

The **respect for individuals** involves issues such as human dignity, privacy, duty to inform, consent and obligation to notify, storage of personal data, responsibility for avoiding harm, respect for third parties, protection of children (and adolescents), respect for privacy and family life, respect for the values and motives of others, and defining roles and responsibilities.

Respect for groups and institutions concerns the respect for private interests, the respect for vulnerable groups, the preservation of cultural monuments and remains, research on other cultures, and the limits on cultural recognition.

The **research community** set of principles involves issues like co-authorship, good citation practices, plagiarism, scientific integrity, data sharing, impartiality and relations with colleagues.

The **publication and dissemination** of project's results focuses on dissemination as a responsibility, the interdisciplinary discourse and public deliberation, the participation in public debate, accountability in dissemination, and reporting results to participants and validation.

The purpose of these ethical principles guidelines is to provide **guidance and advice** for the project's development, i.e. for the development of all tasks and work packages of URBiNAT. This document should, therefore, be used as a tool for the planning of the project's activities and research. It provides ethical reflection and promotes good scientific practices, preventing misconduct. The ethical principles guidelines are **binding** on both individuals/researchers and partner institutions involved in the project.

Finally, the **URBiNAT's code of conduct** will be developed in the scope of the Ethics Commission's activities and delivered within a deadline agreed with the Steering Committee.

→ *Code of conduct for communication*

The implementation of the URBiNAT project is thoroughly based on the active participation and engagement of all partners involved, but especially of the citizens and their organizations. This active participation and engagement will be informed and promoted by different communication and dissemination issues and elements, some of them mentioned in the **deliverable D1.6 "Preliminary ethical guidelines, and communication and reporting procedures"** and other ones are main object of the and more elaborated in the **deliverable D6.1 "Dissemination and Communication Plan"**. Both deliverables will serve as the principle guidelines to be taken into account during and after the tasks and activities of our project.

The **code of conduct for communication and dissemination of project's activities and results by partners** is included and detailed in URBiNAT's Dissemination and Communication Plan (D6.1), and covers the following issues:

[2] These guidelines were partially inspired in the "Guidelines for Research Ethics in Social Sciences, Humanities, Law and Theology" of the National Committee for Research Ethics in the Social Sciences and the Humanities (The Norwegian National Research Ethics Committees).

- ❏ **prohibited behaviour;**
- ❏ **commitment to the scientific accuracy of messages;**
- ❏ **commitment to political/ideological impartiality;**
- ❏ **commitment to transparency and accountability;**
- ❏ **commitment to the protection of personal data;**
- ❏ **commitment to accessibility.**

All URBiNAT partners will be required to adhere to this code, whenever they engage in "communication and dissemination" activities.

Any partner likely to disseminate information within the framework of the URBiNAT project will impose standards on itself that stem from the obligations to disseminate verified information, collect and disseminate information independently, act loyally and respect people's rights.

Partners respect their deontology whatever the support, including in the professional use of social networks, personal sites and blogs as sources of information and as vectors of information diffusion.

Some **other related orientations from different sources are also currently being taken into consideration and analysed to strengthen the inclusion of cross-cutting dimensions "human rights and gender"**, e.g. some codes of conduct implemented by European and Spanish NGOs, like the code of conduct on images and messages regarding the third world[3] (approved by the general assembly of the liaison committee of European non-governmental organizations before the EC in 1989) and the code of conduct of the Basque Country´s NGOs Platform of 2007[4].

Some of these guidelines could be summarized in the following points:

- ❏ **show absolute respect for the dignity** of those s involved, both citizens and their organizations. Everyone must be presented as a human being and information about their social, cultural and economic environment must be displayed in order to preserve their cultural identity and dignity;
- ❏ **promote the active participation of people** during all the communication process. The testimonies of interested citizens and organizations involved should be used with preference over the interpretations of third parties;
- ❏ messages generated, shared and disseminated should ensure that all types of **discrimination** (racial, sexual, cultural, religious, socioeconomic, among others) are **avoided**. The message must be conceived in a way that **avoids all kind of globalization and generalization in the mind of the public**;
- ❏ **catastrophic, idyllic, generalizing and discriminatory messages and images should be avoided**. Promote **consultation** with the citizens and their organizations regarding the messages to be transmitted about their reality. The dimension of **interdependence** and the notion of **co-responsibility** should be emphasized.

→ *Integration of cross-cutting dimensions*

URBiNAT adopts cross-cutting dimensions in its approach to urban regeneration in order to address properly a complex concentration and combination of societal challenges, which means to

[3] Coordinadora ONG para el Desarrollo España (1989), "Código de Conducta sobre imágenes y mensajes a propósito del Tercer Mundo" https://acpp.com/acpp2/descargas/codigo_conducta_imagenes.pdf

[4] Coordinadora de ONGD Euskadi (2007)[1988], "Código de Conducta Organizaciones No Gubernamentales de Desarrollo" https://www.ongdeuskadi.org/documents_coord/codigo/CodigoConducta2007.pdf

integrate specific issues into all aspects of the project. Complementarily, mainstreaming cross-cutting specific issues means to adopt a **strategy of making these themes integral dimensions of URBiNAT**.

These issues are: **human rights; gender; international cooperation.**

As mentioned above, they cut across all aspects of the project, and URBiNAT needs to ensure that they are **taken into consideration from the analysis applied to research and innovation contents, to the completion of all stages of activities**.

In practical terms, cross-cutting dimensions are **theoretical lenses, guiding principles and methodological frameworks** to be adopted by URBiNAT partners and stakeholders in all activities, across all work packages.

This also implies a **challenging process**, since mainstreaming specific issues may require changes in the established procedures and cultures of partners and stakeholders in order to achieve the effective integration of cross-cutting dimensions in their values and practices.

The **role of social sciences and humanities** is therefore particularly important to support the **adoption and development of new approaches in the field**.

Specifically on **international cooperation**, Non-EU organisations feature strongly in the URBiNAT project, opening for substantive contributions to the project work from around the world, as well as for impetus of the project results on a much greater scale than if the project had been limited to the EU. This is as non-EU organisations have vast historical and practical experience to draw upon, while also faced with massive urban challenges of the kind that URBiNAT has been devised to respond to. In order to fulfil the potential for such contributions, as well as impact, URBiNAT must importantly ensure that the work is framed in such a manner that it opens for effective engagement with non-EU organisations.

The deliverable D1.2 “**Handbook on the theoretical and methodological foundations of the project”** further enters these different dimensions

1. Standard quality procedures: challenges and frameworks

1.1. Management of challenges

The **management of complex organizations**, such as URBiNAT consortium with its 28 institutional partners involved in a collaborative and participatory approach, might be confronted with the paradox of shared responsibility that has the potential to stimulate problems of various natures: practical, but also ethical and, naturally, of control.

In complex organizations, the absence of proper accountability procedures has the potential to make organizational life increasingly precarious (Cummings & Anton, 1990). On the basis of this growing precariousness is what Thompson (1980) called the "problem of many hands". This phenomenon was described in the political context as a consequence of the involvement of many actors in decision making processes generating a "cascade of de-responsibility", result of the dispersion of responsibilities. The multiplication of interdependent relationships and the invisibility of the connections between "events" and "responsible actors" turns almost impossible to identify "who did what" and, therefore, the attribution of responsibilities.

Accountability procedures and tools play here a crucial role in mitigating the possible "cascade of de-responsibility", bridging "events" to "people".

Nevertheless, it's important to highlight that the absence of patent specification of what is understood as accountability procedures and tools in a certain context, might also have negative effects for the organization and trigger the "multiple accountabilities disorder" (Koppell, 2005) that tends to occur when conflicting expectations regarding accountability are present in a certain organization. Schillemans & Bovens (2011) note that the problem of this "disorder" lies in the existing possibility of an actor change audience according to its preferences. That is, the actor is accountable to several "others", which allows him to make strategic choices in the forums where his "causes are well received". This, in our perspective, would lead to a progressive emptying of the existing accountability mechanisms and tools.

URBiNAT's model of governance and organisational structure are intended to cope with these challenges.

1.2. URBiNAT's model of governance and organisational structure

The defined management structure will ensure clarity and responsibilities for participants, providing a framework for reporting and advising within and beyond the consortium. The key management of organs and their functions are described below. The figure below illustrates the organisational structure for URBiNAT project, conceived to ensure its efficient management. It was and designed as a participative and collaborative structure, in line with its vision of inclusion and its mission of co- creation.

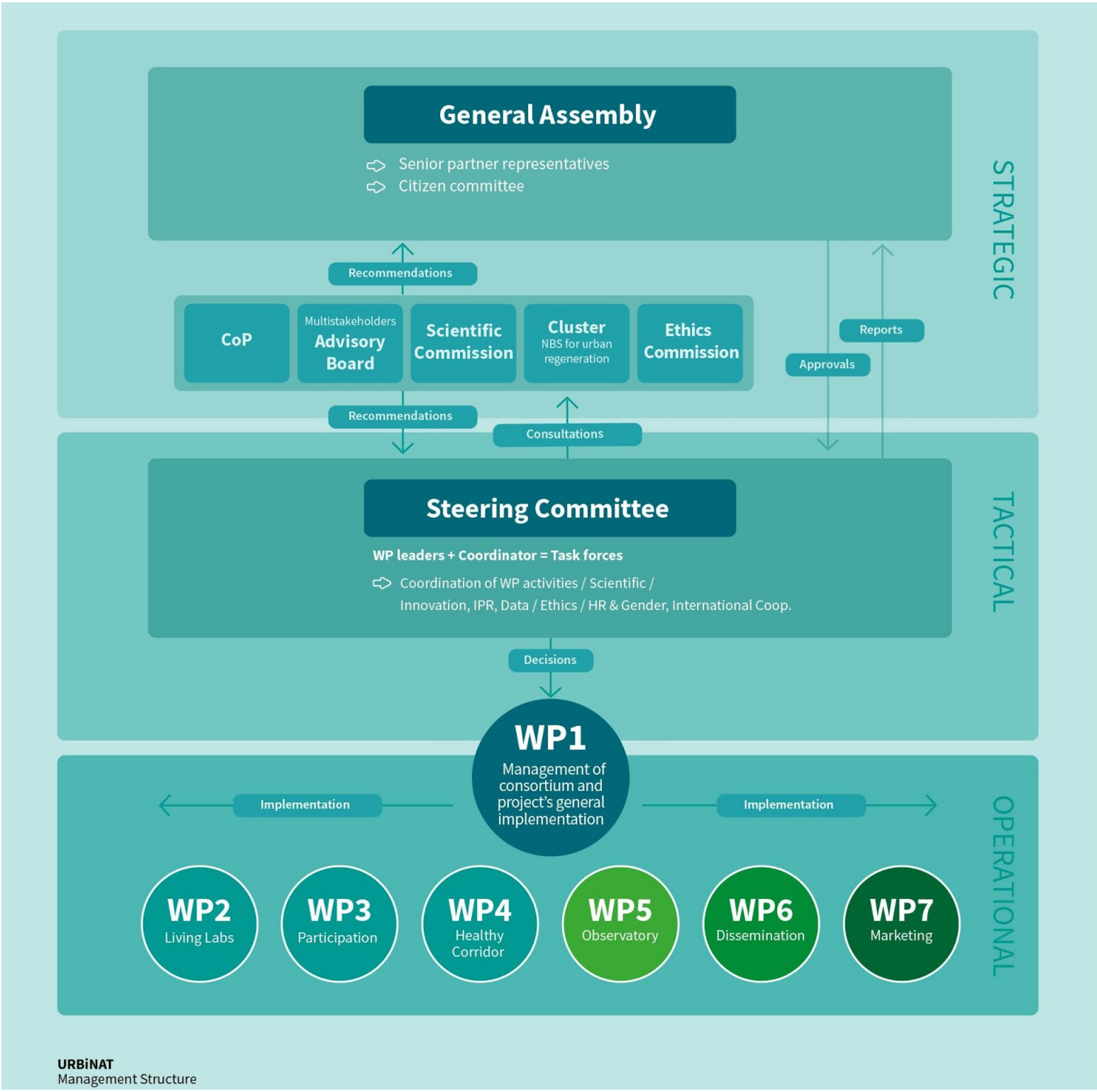

Figure 1 - Diagram: URBiNAT´s Management Structure

The main decision body is the **general assembly**, composed by the partners' representatives, and a citizen committee issued from the CoP. The establishment of such a committee of citizens will be discussed and framed according to the development of participatory processes.

For decision-making processes, the following strategies will be considered: consensus on the matter, requirement for the presence of 2/3 of representatives, each member is entitled to one vote, qualified majority (⅔ or 3⁄5 of votes). The decisions will be executed by the participants of the work packages, under the supervision of the corresponding work package leaders and in collaboration with the steering committee.

As referred under the description of work of WP1, the **steering committee** (SC) is composed of the coordinator and all work packages leaders, as well as task leaders who are invited to participate according to the issues to be managed. The SC reports quarterly to the general assembly on developments, progress and results of activities. It also shares the project's progress and results with the Community of Practice (CoP) in an annual conference to be organized in partnership with Living Labs of WP2 and supported by WP6. Proposals for decision will be submitted by the SC. Issues leading to a contractual change will be forwarded to the EC by the project coordinator.

Specific reporting and consultations procedures enable that at all levels of management the **views and recommendations of partners, stakeholders and citizens** of the concerned areas/neighbourhoods are considered (general assembly composed of partners representatives and citizen; CoP; etc.).

External representatives of different sectors of society, external experts and other NBS actors will be consulted to share knowledge and advice: **multi-stakeholder advisory board, scientific commission, ethics commission and, cluster of successful consortiums of the 2017 round**. These four advisory bodies have consultative roles. They receive consultations from the general assembly and/or the SC and reply with recommendations, which will help in the decision-making process. The members of the multi-stakeholder advisory board, the scientific commission and the ethics commission are a core group of scholars, researchers and professionals, as well as coordinators of the European research projects, as the successful consortiums of the H2020 2016 round on NBS.

The **multi-stakeholder advisory board** focuses high quality participative and collaborative development, considering the interests of all stakeholders and society sectors. URBiNAT will complement its composition with invitations to civil society representatives, such as NGOs, public-interest groups, and private companies.

The **scientific commission** focuses high quality scientific development.

The **ethics commission** focuses compliance of ethical principles (gender equity, best interest of the collective, intellectual freedom, human dignity, transparency), and resolution and intermediation of conflicts. It is composed of external experts from the countries of the cities involved in the project**.**

These advisory bodies meet once a year, each meeting consisting of a one-day discussion. There may also be some follow-up questions/discussions by email, as well as a report at the end of the 5th year of the project.

URBiNAT will also invite the successful consortiums who applied under the same call for proposals of the EC in 2017, to share experience and best practices within a **cluster "NBS for urban regeneration"**. In addition to the communication that may be developed with the general assembly and steering committee on a consultative basis, URBiNAT will also organize an annual meeting with the coordinators of these consortiums.

1.3. European commission standards for project management

As mentioned in the preamble of the present handbook, URBiNAT project was approved under the H2020 financing line of the EC after applying to a call for proposals where partners had to structure the project proposal according to technical annex and administrative forms with specific formats and standards of work planning and budget. Those are now the main framework of URBiNAT's implementation.

Regarding the work planning (work packages, deliverables, milestones), for most types of action the technical annex must give a detailed description of the project idea and the work plan[5], which:

- divides the planned work into **work packages**;
- assigns the related **responsibilities and resources within the consortium**;
- sets out a project **time schedule, main milestones and deliverables**;
- describes the project **management structure**;
- describes the **dissemination and exploitation plan and communication activities**.

Another important aspect of project management, included in the project proposal as required by the EC, is the identification of **critical risks and mitigation actions** (Annex 1 - Part A of the Grant Agreement), that must be considered throughout the implementation of the project, as part of the planning process and review.

Regarding budget, the required table included in the administrative forms of the proposal is specific for the given type of action. The **budget table categories** may vary per type of action. Some of the required budgetary specifications may need to be outlined in more detail in the technical annex of the proposal.

Therefore, these frameworks are core to URBiNAT's project cycle management establishing every phase that the project goes through from beginning to end.

As a matter of definition, the present handbook recalls some basic definitions also provided by the EC[6]:

- **project**: a series of **activities** aimed at bringing about clearly specified **objectives** within a **defined time period** and with a **defined budget** which is specific to the project. A project should have:
  - clearly identified **stakeholders**, including the primary target group and the final beneficiaries;
  - clearly defined **coordination**, **management** and **financing** arrangements;
  - a **monitoring** system to oversee and follow implementation and to support project management.
- **project cycle management**: represents the whole of **management activities** and **decision-making procedures** used during the life cycle of a project. It helps to ensure that projects:
  - are **relevant** to an agreed strategy and to the real problems of target groups/beneficiaries;
  - are **feasible**, meaning that objectives can be realistically achieved within the constraints of the operating environment and capabilities of the implementing agencies; and
  - generate **sustainable benefits**.

In the following sections, we present more in detail the methods and tools applied for URBiNAT's collaborative work and development of its work plan.

[5] As described in the H2020 online manual of the participant portal (http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/applying-for-funding/submit-proposals/get-prepared_en.htm)

[6] As described in https://ec.europa.eu/europeaid/node/1563

2. Workflow: methods and tools for collaborative work

2.1 Overall coordination - Work package 1

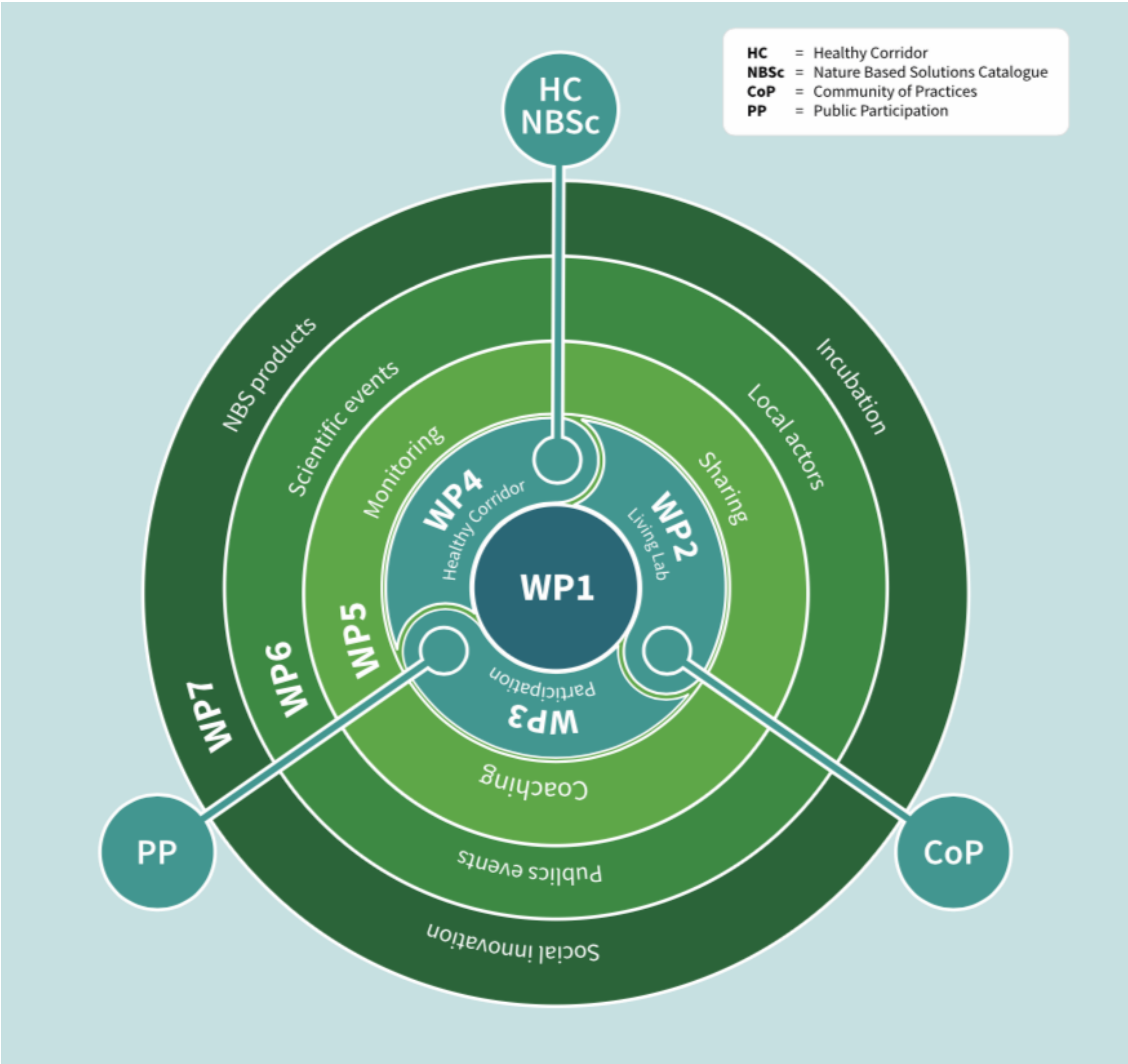

Figure 2 - Diagram: Coordination of WP1

The overall structure of URBiNAT's work plan is organised as a set of concentric circles showing the mutual relationships between the work packages. The above figure clarifies these interactions:

- in the centre, WP1 (management) provides overall coordination of the work;
- the next inner circle is the main driver of the project represented by WPs 2, 3 and 4 as three interactive and interlinked activities forming a more or less continuous process;
- the three other WPs 5, 6, 7 occupy concentric circles, which support the inner circle and orientate outwards beyond the project.

The ambitious goals of URBiNAT will require a continuous and coordinated progress towards its objectives. The coordinator of the consortium will work closely with all work packages leaders within the **steering committee** (SC) to ensure appropriate and effective coordination and monitoring of the activities implementation.

Therefore, **WP1** is central to the project, covering and integrating different dimensions of its functioning and implementation, including administrative, financial and communication management, with the following objectives:

- ❏ to enable participative and collaborative management and decision making;
- ❏ to coordinate technical content and cooperation within and across work packages;
- ❏ to assure implementation of activities, completion of goals and high-quality results;
- ❏ to ensure liaison with EC and corresponding administrative and financial issues;
- ❏ to facilitate communication among partners;
- ❏ to ensure the ethical orientation of the whole project and the protection of researchers, technicals, activists against potential risk in the field work.

The work of the SC is divided into **task forces within WP1:**

- ❏ coordination of WP activities;
- ❏ scientific coordination;
- ❏ management of innovation, intellectual property rights and data;
- ❏ ethics analysis;
- ❏ cross-cutting dimensions (human rights and gender; international cooperation).

Composed of the **coordinator** and all **work packages leaders**, the SC will also **invite task leaders** when relevant, according to the task force.

The steering committee is chaired by the **coordinator** CES, and directly supported by the **project management office** located at CES.

Face-to-face meetings and/or conference calls are organized on a regular basis:

- ❏ bi-weekly with all WP leaders and invited task leaders, as adopted during the first months of the project for its establishment. This frequency may be revised according to the SC assessment of needs;
- ❏ on demand within task forces, and according to any urgent issue requiring immediate solution and decision.

The **project management office** supports the SC in ensuring that the objectives of the project are being achieved on time and to budget.

In case of any deviation from the plan, appropriate corrective actions will be determined by the SC and implemented by the participants of the corresponding WP.

The project management office is also responsible for **administrative and financial coordination**, as well as **communication** with EC, among partners, and as day-to-day point of contact. It will also support the organisation of meetings of the management structure.

2.2. Planning and reporting

The SC oversees the **work planning** of each work package, ensuring that the objectives of the project are being achieved on time and to budget, through the review of planning and monitoring of each WP by peer WP leaders. This process of work planning also enables coordination and cross-work package cooperation.

Both planning and reporting of WP leaders cover periods of 4 months through **monitoring narrative reports**, aimed at guiding:

- ❏ the SC in coordinating and monitoring the activities implementation;
- ❏ the communication team in monitoring dissemination activities;
- ❏ the coordinator and project management office in the task of writing the reports to be delivered to the EC.

This document should be **fulfilled and submitted by WP leaders** through URBiNAT's project management platform (Basecamp), 15 days after the end of each reporting period. This document only includes narrative information.

Its template covers the following contents:

- ❏ Information sheet
- ❏ Overview / General assessment of reporting period
- ❏ Work progress:
- - detailed progress;
- - planning of activities agreed for the ***current*** reporting period;
- - issues and deviations from plan;
- - planning of activities foreseen for the ***next*** reporting period.
- ❏ Leadership / management: key internal and external meetings organised
- ❏ Dissemination: publications, participation in events, organisation of events, online and media dissemination, online activity (website and social media)
- ❏ Cross cutting dimensions
- - human rights and gender;
- - international cooperation.

Still regarding planning, a more **detailed work planning structure form** was prepared by the coordinator CES and completed by its team from WP1, in order to enable the organization and monitoring of activities by the SC. This planning structure was also made available to the WP leaders as a suggestion to organize the planning of each WP.

Regarding **financial information to be provided by all partners**, a separate template was also elaborated to cover **4-month reporting periods** and to be submitted to the project management office 15 days after the end of each reporting period. Financial information to be reported by each partner include: staff-costs; people/month (P/M); travel costs; depreciation costs for equipment and other goods and services valued in euros (€) for every three months period. Partners with building projects, must include information about the building finishing grade.

At the time of writing the present handbook, the templates of the narrative and financial reports were used once by WP leaders and partners, and they may evolve to integrate improvements based on shared lessons learned.

As already referred in the previous section 1.2 on "URBiNAT's model of governance and organisational structure", **other internal reporting procedures** concern:

- ❏ reports on the project progress and results to be submitted by the SC to the **general assembly**, throughout the project;
- ❏ project's progress and results systematized and shared by the SC with the **CoP** in an annual conference to be organized in partnership with Living Labs of WP2 and supported by WP6.

Finally, **reporting obligations to the EC** are to be fulfilled according to the following time-frame:

❏ **Reporting Periods (RP)**. The action is divided into the following 'reporting periods':
- RP1: from month 1 to month 18 (1 June 2018 - 30 November 2019);
- RP2: from month 19 to month 36 (1 December 2019 - 31 May 2021);
- RP3: from month 37 to month 60 (1 June 2021 - 31 May 2023).
  For requests for interim payments, the coordinator must submit a periodic report within 60 days following the end of each reporting period.

❏ **Reporting deadlines for the submission of periodic reports (RD)**. Reports must be submitted **by the coordinator to the EC** within 60 days following the end of each reporting period:
- RD 1: until end of January 2020;
- RD 2: until end of July 2021;
- RD 3: until end of July 2023.

❏ **Final Report**
- In addition to the periodic report for the last reporting period, the coordinator must submit the final report within 60 days following the end of the last reporting period.
- Final Report must be submitted until the end of July 2023.

If the reports submitted do not comply with Article 20 of GA the following measures are applicable:

❏ the Agency may suspend the payment deadline (see Article 47, GA) and apply any of the other measures described in Chapter 6 of the GA, as described above regarding consequences of non compliance;

❏ if the coordinator breaches its obligation to submit the reports and if it fails to comply with this obligation within 30 days following a written reminder, the Agency may terminate the Agreement (see Article 50) or apply any of the other measures described in Chapter 6.

In order to comply with reporting obligations to the EC and avoid any breach, we kindly ask our partners and WP leaders to provide the management team with all information needed on due time, including narrative and financial internal reports.

2.3. Monitoring and evaluation

The management of the consortium includes in task 1.1 to **monitor the implementation of activities**.

Beyond monitoring and evaluation aspects included in methods and tools applied to planning and reporting as described in the previous section, the assessment of URBiNAT's implementation must be **coupled with the the assessment of the project's impact** as designed in WP 5 (i.e. for example the impact of the development of healthy corridors in the well-being of citizens). In fact, **the way partners will develop activities also impact the various results and dimensions of the project.**

A specific tool was developed to monitor and evaluate different dimensions of the project implementation, taking the form of a table available in the Annexes section. These dimensions are based on the definition of URBiNAT's **ethical guidelines presented in deliverable D1.4**, which focuses on a set of principles related with the project's implementation, as well as on the intrinsically related **human rights and gender** issues addressed in URBiNAT as cross-cutting dimensions to be integrated into all aspects of the project.

As mentioned in the preamble of the present handbook, the **ethical principles guidelines** provide guidance and advice for the project's development, and they should, therefore, be used as a tool for the planning of the project's activities and research, as well as **integrated in its monitoring and evaluation**. These principles include:

- ❏ *democraticity*;
- ❏ *solidarity*;
- ❏ *social inclusion*;
- ❏ *territoriality*;
- ❏ *intersectionality*;
- ❏ *interculturality*;
- ❏ *research subject*;
- ❏ *accountability*;
- ❏ *open access*;
- ❏ *social innovation*;
- ❏ *efficiency and effectiveness*;
- ❏ *sustainability*;
- ❏ *responsible and sustainable commercial use*.

Questions related to human rights and gender were already included in the template of the monitoring narrative reports to be submitted by WP leaders in order to apply a **rights-based approach** in the planning, monitoring and assessment of activities. Beyond international and European human rights norms, the implementation of this approach is based on the following preliminary guiding principles, which will also be disseminated and appropriated among partners:

- ❏ *people as citizens*, holders of rights and capable of claiming their rights;
- ❏ *full citizenship* for all, through the empowerment of discriminated groups and persons, including active participation in political, economic, social and cultural life;
- ❏ *applying all rights* as universal and indivisible human rights, encompassing multiple dimensions (civil, political, economic, social, environmental and cultural rights both individually and collectively);
- ❏ *participation and access to the decision making process* as the basis for active citizenship and sustained multi-stakeholder partnership;
- ❏ *non-discrimination and equal access* of all groups and persons, with a focus on their specificities based on age, gender, functionalities, social and citizenship status diversities and vulnerabilities;
- ❏ *inclusivity*, by identifying and addressing multiple discriminations based on ableism, ageism, classism, homophobia, racism, sexism, transphobia, and xenophobia among others;
- ❏ *accountability*, promoting accessible, transparent and effective mechanisms of accountability by rights holders;
- ❏ *transparency and access to information*, with information available in accessible formats for all, including for groups and persons with specificities;
- ❏ *'do no harm'*, analyzing and avoiding unintended negative impact in terms of human rights, including exclusion and stigmatisation.

Beyond formulating dimensions covering and combining both ethics and human rights and gender, this **monitoring and evaluation table** includes **key performance indicators** (KPIs), which purpose is to enable measurement of the project performance. We considered the following attributes[7] for URBiNAT's KPIs on the performance of its management:

1. general indicators of performance that focus on **critical aspects** of outputs or outcomes;
2. only a limited, **manageable** number of KPIs is maintainable for regular use (too many or too complex KPIs can be time and resource consuming);
3. the **systematic use** of KPIs is essential as their value is almost completely derived from their consistent use across projects;
4. data **collection** must be made as **simple** as possible.
5. for performance measurement to be effective, the KPIs must be widely **accepted, understood and owned**.

Indicators and units of measurement have been defined and constructed following these steps:
- revision of the definitions adopted through an analysis concerning the ethical principles and human rights-based approach of the project ;
- selection of the key-issue of each principle excluding repeated elements;
- a unit of measurement was developed for each key-issue allowing an adequate monitoring and evaluation of the project.

Additionally for each indicator were defined the means of verification/data collection, reporting format, and the temporality that will be adopted. For the adequate operationalization of each indicator, the task coordination took into account the following set of criteria:
- the **importance** of the indicator, specially to gather information on the main aspects of the project;
- the conditions for **comparability** among cities, i.e. it is possible to collect the same information in all cities;
- the **simplicity and intelligibility** of the indicators, i.e. simple and clear with an understandable designation.
- if applicable, the **reliability** of the data source and their **representativeness**.

In relation to the attributes and units of measurement, simple and composed indicators were considered , as well as qualitative indicators.

Regarding the latest attribute, URBiNAT's coordinator and the SC members will pay a particular attention in **disseminating and spreading the use of such KPIs**.

The routine and results of monitoring and evaluating the project's implementation will feed the **regular reporting of the SC to the general assembly and CoP on the on developments, progress and results of activities**.

The monitoring and evaluation table and its contents will be disseminated and **appropriated among partners**, in order to cover all these dimensions in the implementation and results of activities. Some **reviews** may be introduced in consultation with partners. This work will be conducted in close collaboration with the steering committee and the partners involved in data collection, generation and management.

Finally, the evaluation of URBiNAT's project is also contemplated in **mandatory reviews by the EC**, as set out under **article 22 of the GA**: *"The Agency or the Commission may — during the implementation of the action or afterwards — carry out reviews on the proper implementation of the*

[7] On the basis of the literature review available in Langston, C. (2013). Development of generic key performance indicators for PMBOK® using a 3D project integration model. Australian Institute of Quality Surveyors. Retrieved from http://dx.doi.org/10.5130/AJCEB.v13i4.3658

action (including assessment of deliverables and reports), compliance with the obligations under the Agreement and continued scientific or technological relevance of the action". A tentative schedule of the project reviews was included under the GA at months 20 (RV1), 40 (RV2) and 60 (RV3).

2.4. Communication among partners

2.4.1. Language

The **partners** will communicate in **English**, according to the practice established by the consortium. Nevertheless, the communication of the partners with the **citizens** and all the **stakeholders** involved in the activities of the project will be **adapted to each specific context** (Portuguese, French, Bulgarian, Danish, Flemish, Italian and Slovenian), in collaboration with the cities and local partners.

2.4.2. Internal communication tools

Regarding **internal communication tools**, at the start of the project ITEMS communication team conducted a survey to consult partners in order to choose the best tools for project management and communication of URBiNAT's actions. This survey was also aimed at gathering best practices that partners might have observed from previous experiences. It enabled ITEMS and CES to get further information about the tools to be used in terms of internal communication, including groups management and remote conference tools, and considering those more and less practical and user friendly. The analysis of the survey results, other feedbacks from the SC members, as well as, exchange of information with partners during the URBiNAT kick-off meeting have shown that the following options are the most suitable:

❑ **Basecamp:** *core channel of communication and exchange for the follow-up and organization of day-to-day work, which allows to organize, and follow the activities and deliverables that each partner has to deliver/do.*

- Basecamp allows to avoid the excess of emails, with notifications settings fully customizable. Therefore, the use of emails should be as restricted as possible. The preferred channel of communication between partners must be through **Basecamp**.

- Basecamp allows also to ensure a memory of all documents and versions that have been created. URBiNAT´s management team will **maintain and inform partners** about updated workflow, standard quality procedures, work plan of work packages through the use of Basecamp.

- Partners were notified by CES research manager to access URBiNAT's account. With the support of ITEMS, specific orientations and training are being made available in order to support the appropriation of this tool.

❑ **Zoom**: *video and audio conferencing for meetings with remote connection of partners.*

- Zoom allows the connection of many partners even those who are located in restricted areas such as Middle East countries, China and so.

- Zoom also allows to chat with the entire group or gather people from smaller groups in a chat room, sharing documents as well as sharing desktop screens during the meeting.

- URBiNAT has an account and meeting room. The link to URBiNAT's meeting room was made available to partners on Basecamp, as well as credentials in order for partners to organize meetings and working sessions whenever deemed necessary. Considering that the consortium only have a Zoom room for all the partners, a booking agenda will be made available on Basecamp, in order to avoid overlapping between different meetings.

- If partners experience any difficulty or have doubts on this tool, they can contact CES' research manager at pmurbinat@ces.uc.pt.

- For "official" online meetings, **Zoom** will be used. For "side" meetings, any tool can be used after partners choice: **Zoom** (account owned by CES), **Skype** (free, account necessary), **Gotomeeting** (not free), **Webex** (not free), **appear.in** (free and not necessary to create an account).

❏ **List of contacts:** a master list of contacts of all partners is maintained and updated on Basecamp by the project management office and the communication team / ITEMS (WP 6 leader), with contact details provided by the partners themselves to be shared with the members of the consortium.

❏ **Internal newsletter "Inside":** the communication with all partners about the project advancement in order to maintain engagement, collaboration and synergies is of extreme relevance for the project coordination. The internal newsletter "Inside" was created with this objective. Partners will receive it every quarter with essential project information.

❏ **Collaborative documents:** URBiNAT is currently using the resources available on **Basecamp** to share working documents elaborated on a collaborative basis, as well as links to other **collaborative resources**, mainly on **Google drive**.

- The subscription to a specific account for URBiNAT on Google Drive / Google Suite is under consideration, together with other collaborative tools (such as OneDrive), clouds/servers, taking into account security standards and accessibility of partners according to their different contexts and specificities, including open source and free alternatives (such as framapad and co, or publishwithme).

- An alternative when collaborative tools are not accessible to partners is to work mostly with successive versions of documents.

- Good practices **guidelines for better protection of project data** include: secure passwords, activate the intrusion alert device, disable third-party applications connected to the account, adjust privacy settings, among other guidelines to be regularly updated.

❏ **Instant messaging apps:** *enable rapid and efficient communication between two people, but are not the most appropriate for the communication between large groups of partners.*

- Basecamp includes the instant messaging tool "Ping".

- The use of the following apps are also referenced and used by partners:

. *WhatsApp:* most commonly used app, but with restrictions in some countries and raising doubts among partners on the use and management of data by company owners;
. *Signal:* same essential features as WhatsApp, with strong encryption, non-profit purpose, dedicated to a non-monetised social media landscape, attending ethical and data management concerns;
. *WeChat:* other most commonly used app in some regions and countries, such as China.

❏ **Alternative tools:** *a benchmark of other tools to be regularly updated in order to overcome limitations of use according to specific access restrictions of partners*, and that:
- should satisfy open source requirements and security standards;
- could be used in countries without access or permit of using the above mentioned tools.

Table 1 - Audio and video conferencing

Name	Free (y/n)	Account required (y/n)	Link
Zoom	no	no	URBiNAT meeting room
Skype	yes	yes	www.skype.com
Gotomeeting	no	no	www.gotomeeting.com
appear.in	yes	no	https://appear.in/
Webex	no	no	www.webex.com
Framatalk	yes	no	https://framatalk.org/accueil/

Table 2 - Collaborative work

Google	Open source/free alternative	Link
Google Doc	Framapad	https://framapad.org/fr/
Google Doc	publishwithme	https://publishwith.me/
Google Sheet	framacalc	https://accueil.framacalc.org
Google form	framaform	https://framaforms.org/
Draw.io	framindmap	https://framindmap.org/c/login
Googles slides	framaslides	https://framaslides.org/login
Google Drive	Framapad team	https://urbinat.publishwith.me/
Doodle	Moreganize	http://moreganize.com/
Doodle	Tooltoplan	http://tooltoplan.com/
Doodle	Framadate	http://framadate.org/

2.4.3. External communication tools

The deliverable D6.1 on URBiNAT's "Communication and Dissemination Plan" covers all complementary issues related to external communication, such as:

❏ **Website** (deliverable D6.2) for communication and dissemination: domain and page www.urbinat.eu. The website serves as a showcase for URBiNAT's communication and visibility. The CMS chosen is **Wordpress** to facilitate ownership by each partner. Taking in consideration the citizen engagement, the website will also develop interaction tools.

- **Social media** for communication and dissemination: **Twitter** account already available, @URBi_NAT. **Facebook**, **LinkedIn, Youtube** to be created. The creation and use of other social media will also take into account the **exploration of alternative internet and network tools** in order to assure a constant and secure access to all partner, even when experiencing connection restrictions for social media tools not accessible in all countries, such as in the case of Facebook.

- An external **newsletter** (deliverable D6.2) will be distributed using MailChimp.

- All **communication materials** to be developed and made available in the **dissemination package** (deliverable D1.7) on Basecamp

- **Database of contacts** for external communication (deliverable D1.7): maintained and updated on Basecamp by the project management office and ITEMS (leader of WP6).

2.4.4. Meetings of the consortium bodies

The management team will support **the organisation of meetings of the management structure** (general assembly, SC and corresponding task forces, CoP annual conference, cluster of 2017 successful applicants, multi stakeholders advisory board, scientific commission and ethics commission), including sending the agenda, invitations and minutes to meetings participants.

Zoom will be used for the connection of remote participants, or the organisation of the meeting itself when not face-to-face.

A. Representation

The partners:

- should be represented by the partner coordinator at any meeting of the corresponding consortium body where its participation is expected;
- may appoint a substitute or a proxy to attend and vote at any meeting with decision-making power;
- shall participate in a cooperative manner in the meetings.

B. Preparation and organisation

Depending on the kind of meetings, different tools will be used:

- **Face-to-face meetings**: when preparing a face-to-face meeting, please consider the travel budget for the whole project period, and adapt the number of team members who would attend accordingly, preferably 1 person;

- **Zoom meetings**: read the agenda beforehand, remain in a silent room during the meeting, keep the micro off, when not speaking.

- **Other alternative communication tools**: when experiencing remote connection problems and restrictions. A compilation of tools, including a preliminary list of alternative tools is available under the previous section "internal communication tools".

A **template** for agenda and minutes is available here. Meeting agendas, minutes and notes will be shared with partners through the Basecamp platform.

Organisation, preparation and coordination of meetings will depend on the team in chair as pointed out in the Consortium Agreement. According to its management structure, URBiNAT's consortium bodies will meet as follows:

Table 3 - URBiNAT´s Consortium Bodies Meeting Structure and Schedule

Project meeting	Frequency (tentative)	Chair	Agenda and minutes sending	Agenda items addings	Decision procedure[8]
General assembly - ordinary meetings	Bi-annual	Coordinator	- 20 calendar days for ordinary meetings	- 10 calendar days for ordinary meetings	Consensus: . presence of at least 2/3 of representatives is required. . qualified majority (two thirds or three fifths of votes).
General assembly - extraordinary meetings	When deemed necessary, at any time upon written request of the SC or 1/3 of the members of the general assembly	Coordinator	- 8 calendar days for extraordinary meetings	- 4 calendar days for extraordinary meetings	Consensus: . presence of at least 2/3 of representatives is required. . qualified majority (two thirds or three fifths of votes).
Steering committee (SC) - ordinary meetings	Every 2 weeks	Coordinator	- 8 calendar days for ordinary meetings	- 2 calendar days for ordinary meetings	Consensus: . presence of at least 2/3 of representatives is required. . qualified majority (two thirds or three fifths of votes).
SC - extraordinary meetings	When deemed necessary, at any time upon written request of any member of the SC	Coordinator	- 2 calendar days for extraordinary meetings	- 1 calendar day for extraordinary meetings	Consensus: . presence of at least 2/3 of representatives is required. . qualified majority (two thirds or three fifths of votes).
External advisers	Annual meeting	SC	20 calendar days	10 calendar days	Consensus: . presence of at least 2/3 of representatives is required. . qualified majority (two thirds or three fifths of votes).
Community of Practice - CoP	Annual conference	SC	40 calendar days	20 calendar days	No voting
Cluster	Annual meeting	SC	40 calendar days	20 calendar days	No voting

NB: at a first stage steering committee meetings will be held every two weeks, and on a monthly basis later on.

A provisional calendar was also agreed among partners for the 5-year period of the project, including meetings of the consortium bodies, taking into account when front-runner and follower cities could host a general assembly of partners.

[8] 6.3.1.2 Decisions on Consortium Agreement and 6.2.3 Voting Rules and Quorum

Table 4 - Provisional calendar of meetings, events and visits of the project

Meetings - Events - Visits	1st year - 2018 / 19				2nd year - 2019 / 20				3rd year - 2020 / 21				4th year - 2021 / 22				5th year - 2022 / 23			
	T1	T2	T3	T4	T1	T2	T3	T4	T1	T2	T3	T4	T1	T2	T3	T4	T1	T2	T3	T4
GA	Coi - Po		Sof		Nan		Sie		Bru		NG		HT		Nan		Sof		Po Coi	
SC	Coi	zoom	Sof	zoom	Nan	zoom	Sie	zoom	Bru	zoom	NG	zoom	HT	zoom	Nan	zoom	Sof	zoom	Po Coi	zoom
CoP	Coi				Nan				Bru				HT				Sof			
Cluster 2017	Cor				Nan				Bru				HT				Sof			
Multistak. Adv. Board	Coi				Nan				Bru				HT				Sof			
Scient. Com. & Eth.Com.	Coi				Nan				Bru				HT				Sof			
Technical visits	Coi Po		Sof		Nan		Sie		Bru		NG		HT		Nan		Sof		Po Coi	
Thematic meetings																				

Bru – Brussels / Coi – Coimbra / Cor - La Coruña / HT - Høje-Taastrup / Nan - Nantes /NG - Nova Gorica / Po - Porto / Sie - Siena / Sof - Sofia

NB: at a first stage SC meetings will be held every two weeks, and on a monthly basis later on.

3. Mediation and remedies: channels and procedures

As already stressed in the introduction of the present handbook the partnership fundamentals of URBiNAT's consortium are as follows:

- ❏ URBiNAT project is based on **collaborative principles** that will also work at the communication level promoting participatory and cooperative processes, where inter and intradisciplinary knowledges and expertises will come together taking advantage of the networking and coworking potentialities that engage all different actors, civil society organizations and inhabitants included.

- ❏ **Diversity and differences** will be pointed out as positive features and factors to work on intercultural dialogues that will enrich the project, its products and outcomes themselves instead of being viewed as problems to solve.

- ❏ Throughout the project, a true **commitment to the progress and deadlines of activities** will be pursued, without setting aside the **enthusiasm and energy for the involvement in partnerships and focus on citizens' empowerment**.

- ❏ As in any collaborative endeavour, **co-creation and flexibility** will enable us to **adapt to challenges** in order to achieve our common goals and strengthen our partnership.

However, a partnership carries many challenges and difficulties throughout the implementation of a project. The **management of the consortium** and the **SC functioning** were designed to maintain a regular flow of communication and collaboration among partners, which will enable to anticipate and exchange on any difficulty faced for the implementation of specific activities or by any partner, as well as to find together solutions and corrective measures to overcome these difficulties.

Specific reporting and consultations procedures also enable that at all levels of management the views and recommendations of partners, stakeholders and citizens of the concerned areas/neighbourhoods are considered (general assembly composed of partners representatives and citizen; CoP; invitation of representatives of the EC on the occasion the general assembly's meetings).

Regarding URBiNAT's **ethics commission:**
- ❏ the objectives of the ethics commission shall be to maintain ethical conduct by URBiNAT's partners and researchers at the highest professional level;
- ❏ this advisory body supports the SC activities, focusing compliance of ethical principles (gender equity, the best interest of the collective, intellectual freedom, human dignity, transparency, among others), intermediation and resolution of conflicts or where necessary, to support project local teams to activate local protection systems.

Additionally, as discussed during the elaboration of the deliverable D1.2 "Handbook on the theoretical and methodological foundations of the project", the **establishment of a complaint mechanism was recommended** in the framework of URBiNAT's rights-based approach, in order to enable citizens to voice and find remedies for any negative effect or undesirable situation that may arise from the project's implementation.

Moreover, as set out under **article 35 of the GA on "Conflict of interests"**:

35.1 Obligation to avoid a conflict of interests

The beneficiaries must take all measures to prevent any situation where the impartial and objective implementation of the action is compromised for reasons involving economic interest, political or national affinity, family or emotional ties or any other shared interest ('conflict of interests').

They must formally notify to the Agency without delay any situation constituting or likely to lead to a conflict of interests and immediately take all the necessary steps to rectify this situation.

The Agency may verify that the measures taken are appropriate and may require additional measures to be taken by a specified deadline.

35.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43) and the Agreement or participation of the beneficiary may be terminated (see Article 50).

Such breaches may also lead to any of the other measures described in Chapter 6.

Finally, URBiNAT's **consortium agreement**, which is under negotiation at the moment of writing the present handbook, will also rule:

- the cases of **defaulting party**, i.e. a party which the general assembly has identified to be in breach of the consortium agreement and/or the GA. In the event that a responsible consortium body identifies a breach by a party of its obligations under the consortium agreement or the GA (e.g. improper implementation of the project), the coordinator or, if the coordinator is in breach of its obligations, the party appointed by the general assembly, will give formal notice to such party requiring that such breach will be remedied within 30 calendar days from the date of receipt of the written notice by the party. If such breach is substantial and is not remedied within that period or is not capable of remedy, the general assembly may decide to declare the party to be a defaulting party and to decide on the consequences thereof which may include termination of its participation;

- the **settlement of disputes**, setting out that the parties shall reasonably endeavour to settle their disputes amicably. If, however, no settlement of any dispute under the consortium agreement has been possible to achieve, after the parties' reasonable endeavours to settle such dispute(s) amicably, it shall be subject to the jurisdiction of a competent court.

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Annexes

1. Template - monitoring narrative report *only by work package leaders to the steering committee*

2. Template - financial information *by all partners to the project management office*

3. Monitoring and evaluation table

4. Example of detailed work planning structure form - work package 1

5. Template - periodic and final reports *by the coordinator to the European Commission*

6. Basecamp - overview

7. Zoom - overview

8. Internal newsletter - Inside

Document type:	Internal URBiNAT report
Created by:	Denise Esteves, CES (WP1)
Date:	11 July 2018

Monitoring narrative report

Template for work package leaders

Contents

1. Information sheet

Project	Healthy corridor as drivers of social housing neighbourhoods for the co-creation of social, environmental and marketable NBS
Acronym	URBiNAT
Grant agreement number	776783
Type of document	Internal
Title	Monitoring narrative report n. [number]
Period covered by report	[start - end]
Work package	[number]
Leading partner	[organisation]
Partners involved	[organisation]
Person responsible for this report	[name] [contact: email / telephone / Skype / other?]
Date of submission	[date]
Dissemination level	PP

➔ Please submit this document through URBiNAT's project management platform/Basecamp by uploading your file.

➔ The monitoring narrative report is going to guide:

- the steering committee in coordinating and monitoring the activities implementation;
- the communication team in monitoring dissemination activities;
- the coordinator and project management office in the task of writing the reports to be delivered to the European Commission.

➔ An instruction and FAQs sheet is available at the end of this document. We kindly ask you to revise your report according to these instructions and clarifications.

➔ If you have doubt or difficulties with this report and its submission, please contact the project manager at pmurbinat@ces.uc.pt

2. Overview / General assessment of reporting period

- Overview of the main progress activities performed - [Task] - [Activity description]
  1. [description]
  2. [description]
  3. [description]
  4. [description]

- Overview of the main outputs, results and achievements - [Task] - [Outputs/Results/Achievements description]
  1. [description]
  2. [description]
  3. [description]
  4. [description]

- General assessment of collaborative work: best practices, difficulties, suggestions for possible improvements (specify if your comment is related to a specific task or in relation to other WPs)
  1. [description]
  2. [description]
  3. [description]
  4. [description]

- Any additional input, lesson learned or key reference/document/information you would like to share
  1. [description]
  2. [description]
  3. [description]
  4. [description]

3. Work progress

- Explanation of the work carried out by the participants of the WP
- Overview of the progress in line with work package and task descriptions, outputs, budget and timelines (annex 1 of Grant Agreement)
- Review and update of WP planning and monitoring

3.1. Detailed progress

- Detailed progress of tasks and deliverables assigned to the work package (as described in annex 1 of Grant Agreement)

Table 1 - Tasks

T. number	Work description	Period
[number]	- [description] - [description] - [description]	- [from month x to month x] - [from month x to month x] - [from month x to month x]

[number]	- [description] - [description] - [description]	- [from month x to month x] - [from month x to month x] - [from month x to month x]
[number]	- [description] - [description] - [description]	- [from month x to month x] - [from month x to month x] - [from month x to month x]

Table 2 - Deliverables

D. Code	D. Name	Leader	Status of deliverable	Due date **OR** forecast delivery date	Comments
[code]	[name]	[organisation] [name]	[- complete - in progress - late]	[date]	[comment]
[code]	[name]	[organisation] [name]	[- complete - in progress - late]	[date]	[comment]

3.2. Planning of activities agreed with task leaders and participants for the current reporting period

- Work planning of each work package
- Planning and monitoring to be reviewed by peer WP leaders
- Objectives:
  - ensure that the objectives of the project are achieved on time and fitting on the budget
  - enables coordination of cross work package cooperation

Table 3 – Work planning agreed

Action items	Person responsible	Deadline	Status	Additional details	Follow-up
[description]	[organisation] [name]	[date]	[- complete - in progress - late]	[comment]	[description]
[description]	[organisation] [name]	[date]	[- complete - in progress - late]	[comment]	[description]
[description]	[organisation] [name]	[date]	[- complete - in progress - late]	[comment]	[description]
[description]	[organisation] [name]	[date]	[- complete - in progress - late]	[comment]	[description]

3.3. Issues and deviations from plan

- Main issues identified (and their impact/alert level: high, medium, low), how they are being/were addressed (action), and the deviations from the plan

Table 4 – Issues and deviations

Alert level	Issue	Action	Deviation	Additional details
[- low - medium - high]	[description]	[description]	[description]	[comment]
[- low - medium - high]	[description]	[description]	[description]	[comment]
[- low - medium	[description]	[description]	[description]	[comment]

- high]				

3.4. Planning of activities foreseen for the next reporting period

Table 5 – Work planning foreseen for the next period

Action items / Follow-up	Person responsible	Deadline	Additional details
[description]	[organisation] [name]	[date]	[comment]
[description]	[organisation] [name]	[date]	[comment]
[description]	[organisation] [name]	[date]	[comment]
[description]	[organisation] [name]	[date]	[comment]

4. Leadership / management

- Management work carried out by the WP and task leaders and participants during the reporting period

Table 6 – Key <u>internal</u> meetings organised

Date	Purpose and organiser	Type of meeting	Attendees	Additional details / Basecamp links (Ex.: agenda/minutes, pictures)
[date]	[description] + [organisation] [name]	[face-to-face/ Location; online; conf. call; other]	[organisation] [name] [organisation] [name] [organisation] [name]	[comment]
[date]	[description] + [organisation] [name]	[face-to-face/ Location; online; conf. call; other]	[organisation] [name] [organisation] [name] [organisation] [name]	[comment]
[date]	[description] + [organisation] [name]	[face-to-face/ Location; online; conf. call; other]	[organisation] [name] [organisation] [name] [organisation] [name]	[comment]
[date]	[description] + [organisation] [name]	[face-to-face/ Location; online; conf. call; other]	[organisation] [name] [organisation] [name] [organisation] [name]	[comment]

Table 7 – Key <u>external</u> meetings organised

Date	Purpose and organiser	Type of meeting	Attendees	Additional details / Basecamp links (Ex.: agenda/minutes, pictures)
[date]	[description] + [organisation] [name]	[face-to-face/ Location; online; conf. call; other]	[organisation] [name] [organisation] [name] [organisation] [name]	[comment]
[date]	[description] + [organisation] [name]	[face-to-face/ Location; online; conf. call; other]	[organisation] [name] [organisation] [name] [organisation] [name]	[comment]
[date]	[description] + [organisation] [name]	[face-to-face/ Location; online; conf. call; other]	[organisation] [name] [organisation] [name] [organisation] [name]	[comment]
[date]	[description] + [organisation] [name]	[face-to-face/ Location; online; conf. call; other]	[organisation] [name] [organisation] [name] [organisation] [name]	[comment]

5. Dissemination

- Dissemination activities performed by WP and task leaders and participants over the reporting period

Table 8 – Publications

Title	Type of publication	Academic /non academic	Author(s)	Reference and link
[title]	[journal; book; book's chapter; poster; other]	[description]	[name] [organisation]	[description]
[title]	[journal; book; book's chapter; poster; other]	[description]	[name] [organisation]	[description]
[title]	[journal; book; book's chapter; poster; other]	[description]	[name] [organisation]	[description]

Table 9 – Participation in events by partners

Date and location	Partner's attendee	Event title, purpose, organiser and relevance	Type of event	Additional details / Basecamp links (Ex.: report, agenda/minutes, pictures, presentation, certificate of participation)
[date] [location]	[name] [organisation]	[title] + [description - purpose] + [organisation] [description - relevance]	[national/international; seminar; conference; workshop; other]	[description] [annexes] [links]
[date] [location]	[name] [organisation]	[title] + [description - purpose] + [organisation] [description - relevance]	[national/international; seminar; conference; workshop; other]	[description] [annexes] [links]
[date] [location]	[name] [organisation]	[title] + [description - purpose] + [organisation] [description - relevance]	[national/international; seminar; conference; workshop; other]	[description] [annexes] [links]

Table 10 – Organisation of events by partners

Date and location	Event title, purpose, organiser and relevance	Type of event	Attendees	Additional details / Basecamp links (Ex.: report,agenda/minutes, pictures, presentation, working docs)
[date] [location]	[title] + [description - purpose] + [organisation] [description - relevance]	[national/international; seminar; conference; workshop; other]	[number] [countries] [annex of/ link to list of participants]	[description] [annexes] [links]
[date] [location]	[title] + [description - purpose] + [organisation] [description - relevance]	[national/international; seminar; conference; workshop; other]	[number] [countries] [annex of/ link to list of participants]	[description] [annexes] [links]
[date] [location]	[title] + [description - purpose] + [organisation] [description - relevance]	[national/international; seminar; conference; workshop; other]	[number] [countries] [annex of/ link to list of participants]	[description] [annexes] [links]

Table 11 – Online activity and media dissemination during reporting period (website and social media)

Channel	Types of publications	Total	Links
Websites			
Project website	[news; event; other]	[number] [number] [number]	- [link] - [link] - [link] - [link]
Other websites (blog, partners' websites, external websites, scientific online journals)	[news; event; other]	[number]	- [link] - [link] - [link] - [link]
Wikipedia	[creation ; modification ; correction ; translation]	[number]	- [link] - [link] - [link] - [link]
Social media			
Twitter	[news; event; other]	[number]	- [link] - [link] - [link] - [link]
Facebook	[news; event; other]	[number]	- [link] - [link] - [link] - [link]
YouTube	[news; event; other]	[number]	- [link] - [link] - [link] - [link]
LinkedIn	[news; event; other]	[number]	- [link] - [link] - [link] - [link]
[other]	[news; event; other]	[number]	- [link] - [link] - [link] - [link]

6. Cross-cutting dimensions

6.1. Human rights and gender

- URBiNAT partners commit to a rights-based approach, with specific actions to integrate human rights and gender dimensions in activities, including planning, implementation and evaluation of activities

Table 12 – Rights-based approach in the planning, monitoring and assessment of activities

Guiding principles	Questions	Yes / No	Comments / Additional details
Citizenship	Are participants to WP aware of or sensitive to rights claims by populations of social housing neighborhoods?		[comment] [description]

		[yes / no]	
Applying all rights	Are inequality and discrimination issues taken into account by WP participants in planning and implementing activities?	[yes / no]	[comment] [description]
Participation	Does the implementation process of the WP take into account the relations between citizen participants and all stakeholders?	[yes / no]	[comment] [description]
Non-discrimination & equal access	Have WP participants identified problems or violations of rights and gender discrimination within the project?	[yes / no]	[comment] [description]
Inclusivity	Do the sources of information used and data collected by WP participants include disaggregated data, qualitative and quantitative information on the participants' specificities?	[yes / no]	[comment] [description]
Accountability	Does the implementation of activities of the WP take into account the provision of high-quality, timely and reliable data and information to citizen participants?	[yes / no]	[comment] [description]
Transparency & information	Have WP participants produced reports and information on the project? - If yes, in which format and for which audience? - If no, what materials do they use to report and inform about the project?	[yes / no]	[comment] [description]
'Do no harm'	Have WP participants identified any potential development negative trend potentially leading to human rights violations and gender discrimination?	[yes / no]	[comment] [description]

6.2. International cooperation

- Are WP participants directly involved with non-European partners? If yes, which?

[yes / no] [comment] [description]

- Have WP participants identified any limitation or barrier to networking with non-European partners? If yes, which?

[yes / no] [comment] [description]

- Which activities do WP participants plan to develop with non-European partners?

- [description]
- [description]
- [description]

ANNEX - Instructions and FAQs

Monitoring narrative report
Work package leaders

Please find below a compilation of instructions, as well as clarifications issued from the internal review of this template, in order to guiding and helping in filling out your report.

We will update this document with other issues raised throughout the project monitoring and implementation.

Please submit your report through URBiNAT's project management platform / Basecamp by uploading your file.

If you still have doubt or difficulties with this report and its submission, after reading the instructions and FAQs sheet, please contact the project manager at pmurbinat@ces.uc.pt.

3. Work progress

- Each work package leader must clearly specify and describe the work performed during the reporting period.
- Each work package leader must fill in the light grey area within the tables.
- Avoid any kind of vague statements and define exactly what participants have done or contributed to the project.
- In case of some deviations of the previous working plan, please indicate the motivation or the reason for missed compliances with established deadlines.
- Please, be concise as much as possible.

4. Leadership / management

- State key <u>internal</u> meetings organised for the WP management or the collaboration with other WPs (planning, monitoring, evaluation, implementation of tasks and activities).
- State key <u>external</u> meetings organised with organisations/institutions/persons not directly involved in URBiNAT's activities.

5. Dissemination

This information should be in accordance with the information edited on Basecamp about the events organized by each partner, participation in events, conferences and official meetings.

Events:

- Report events participation upon a report document through Basecamp (event program; certificate of participation, etc)
- Refer the number of attendees at events where you/a WP participant participated, quoting the source (if possible) where you based your findings.
- Mention the country where the event took place.
- Refer the number of attendees at events organised and apply for a reliable source (attendance sheet, website, paper registrations form and online or news, etc), whenever is possible.

Online and media dissemination:
- Detail the news, blogs or external communication reported from third entities about URBiNAT.
- Detail your and the WP participants' dissemination activities such as in institutional webpage of partners, other URBiNAT related websites or institutional facebook/Twitter account where you/WP participants may be publishing and editing news about URBiNAT.

6. Cross cutting dimensions

Human rights and gender

Questions related to human rights and gender are included in the template of the monitoring narrative report to be submitted by WP leaders in order to apply a rights-based approach in the planning, monitoring and assessment of activities.

This approach will also be applied to the elaboration of URBiNAT's handbook on workflow and standard quality procedures (D 1.1), where partners will have the opportunity to review the template of the monitoring narrative report.

Beyond international and European human rights norms, the implementation of this approach is based on the following preliminary guiding principles, which will also be reviewed among partners for URBiNAT's handbook on the theoretical and methodological foundations of the project (D 1.2, under elaboration), namely considering its cross-cutting dimensions:

- ➔ *People as citizens*, holders of rights and capable of claiming their rights
- ➔ *Full citizenship* for all, through the empowerment of discriminated groups and persons, including active participation in political, economic, social and cultural life
- ➔ *Applying all rights* as universal and indivisible human rights, encompassing multiple dimensions (civil, political, economic, social, environmental and cultural rights both individually and collectively)
- ➔ *Participation and access to the decision making process* as the basis for active citizenship and sustained multi-stakeholder partnership
- ➔ *Non-discrimination and equal access* of all groups and persons, with a focus on their specificities based on age, gender, functionalities, social and citizenship status diversities and vulnerabilities
- ➔ *Inclusivity*, by identifying and addressing multiple discriminations based on ableism, ageism, classism, homophobia, racism, sexism, transphobia, and xenophobia among others
- ➔ *Accountability*, promoting accessible, transparent and effective mechanisms of accountability by rights holders
- ➔ *Transparency and access to information*, with information available in accessible formats for all, including for groups and persons with specificities
- ➔ *'Do no harm'*, analyzing and avoiding unintended negative impact in terms of human rights, including exclusion and stigmatisation

International cooperation

URBINAT will promote international cooperation for the further adaptation and application replication of NBS in non-EU countries with partners involved in the project. The collaboration with non-European partners, including China and Iran, as well as with NBS observers based in

Brazil, Japan, Oman and the vibrant cities of Shenyang in China and Khorramabad in Iran brings international experiences and dimension to the project

URBiNAT establishes a Community of Practice in order to:

i) feed international networks for cross pollination;
ii) develop mentoring processes on good practices;
iii) promote exchange and twinning between frontrunner and follower cities.

Document type:	Internal URBiNAT Consortium document
Created by:	Denise Esteves and Begoña Dorronsoro (CES Team)
Creation:	19 June 2018
Reviews :	

Quarterly (4 month) financial monitoring report

Template for partners

1. People/month allocated to this task during the reporting period

Partner/ Third Linked Party	Reporting period	Person months	Associated WP

2. Costs incurred during the quarter directly linked to URBiNAT (salaries; business travels; etc.) per partner

Personnel Costs	Travel Costs	Equipment	Other goods and services	TOTAL direct Costs

3. Partners with building projects, must include information about the construction work progress (%).

TABLE 1. D1.1. - MONITORING AND EVALUATION

Dimensions	Indicators / attributes		Key performance indicators (KPIs)			Methods and tools for data collection/means of verification	Target group	Methods for report the information for CES (general coordinator)	Temporality (evidences collection)
			Process and outcome indicators	Unit/Attributes of measurement					
DEMOCRATICYTY	Indicator 1	ACCESS	→ All participants of each WP are involved in the planning, monitoring, evaluation and implementation of activities → Potential limitations for the participation of any partner are identified by the coordinator, the steering committee or the ethics commission → Access to knowledge and resources for co-creation, and to the public space and to use of goods and services	i.1.1.	Communication strategies for social mobilization which be diversified and contextualized (widespread disclousure)	Narrative reporting / images	Community residents and users of the public space	Systematization documents Narrative reporting	On going
				i.1.2.	Proportion of citizen participants in each WP activity	Attendance lists	Participans mobilized	Narrative reporting	On going
				i.1.3.	Proportion of citizen participants in each activity (planning , monitoring, evaluation and implementation)	Attendance lists	Internal monitoring: CES External articulation with WP5 Internal articulation with CES	Systematization documents Narrative reporting	On going
				i.1.4.	Frequency of meetings involving citizens as participants	Attendance lists	Participants	Systematization documents Narrative reporting	On going
				i.1.5.	Corrective measures taken to mitigate any technical or institutional limitation faced by partners	Narrative reporting	Partners	Narrative reporting	Ex-post
				i.1.6.	Existence of materials translated in local language	Narrative reporting/file of materials	Participants and local partners (local team)	Keep on file materials (basecamp) Narrative reporting	Ex-post
				i.1.7.	Existence of materials available on friendly language	Narrative reporting/file of materials /storage	All participants	Keep on file materials (basecamp) Narrative reporting	Ex-post
				i.1.8.	Existence of materials available in print and online versions	Narrative reporting (description) and copy of materials	General participants / co-creation practioners	Keep on file materials (basecamp) Narrative reporting	Ex-post
				i.1.9.	Communication strategies that facilitate the understanding of all (e.g. inphographic, visual communication, space ambiance).	Narrative reporting / images	All groups of participants	Keep on file materials (basecamp) Narrative reporting	On going
				i.1.10.	Flexibility of participation processes schedule, taking into account professional and personal obligations of participants	Narrative reporting / evidence in the evaluation by the participants	All participants, particularly parents and elderly	Narrative reporting	On going
	Indicator 2	EQUITY	→ Reduction of barriers and inequalities and contributes to the equality substantive → Adoption of organizational practices and interpersonal relationships based on the logic of reciprocity and mutual benefit,	i.2.1.	Proportion of women, gender diversity and children as participants for each activity	Attendance lists	Participants	Narrative reporting	On going
				i.2.2.	Proportion of migrants, religion diversity and elderly as participants for each activity	Attendance lists	Participants	Narrative reporting	On going
				i.2.3.	Initial assessment of the main individual difficulties / barriers/inequalities of citizens in participatory processes	Questionnaires	Participants	Narrative reporting (including results and questionnaires forms)	Ex-ante
				i.2.4.	Corrective measures taken to mitigate the individual difficulties and barriers (i.2.3)	Narrative reporting / comparison between dificulties and measures	Local partners/local team	Narrative reporting	Ex-post
				i.2.5.	Nominal indicator: list of diversity/ethnic/representation of minorities	Attendance lists	Participants	Narrative reporting	On going
				i.2.6.	Availability of babysitting/caretakers, transportation and catering to ensure appropriate participation processes with community / inhabitants	Narrative reporting / evidence in the evaluation by the participants	Participants	Narrative reporting Whenever possible images	On going
SOCIAL INCLUSION INCLUSIVITY INTERSECTIONALITY	Indicator 3	INCLUSION	→The sources of information used and data collected by WP participants include disaggregated data, qualitative and quantitative information on the participants' specificities → inclusion of priority groups, under more vulnerable conditions → Measures taken multiple discriminations → integration of cross-cutting dimensions with the other considered principles and categories	i.3.1.	At least 10 indicators about education, health and income disaggregated per gender, race-ethnic and citizenship status.	Statiscal source/ Local diagnostics	Participants	Baseline in the technical report	Ex-ante
				i.3.2.	Priority groups identified in each city, based on analysis of local diagnostics results.	Local diagnostics reports Systematization documents Narrative reporting	Participants	Narrative reporting	Ex-ante
				i.3.3.	Proportion of priority group members involved on co-creation activities	Attendance lists	Participants and co-creation practioners	Narrative reporting	On going
				i.3.4.	Existence of participation protocol for each local community	File of participation protocol	Local team and WP3 leaders and partners	Keep on file materials (basecamp) Narrative reporting	Ex-ante
				i.3.5.	Existence of materials adapted in sign language or audiodescription (whenever necessary)	Materials description in narrative report and files storage (project cloud)	Participants	Keep on file materials (basecamp) Narrative reporting	On going
				i.3.6.	Existence of infrastructure adapted for adequate accessibility.	Technical evaluation and Images, if adequate	Local team and participants	Keep on file materials (basecamp) Narrative reporting	Ex-ante

TABLE 1. D1.1. - MONITORING AND EVALUATION

Dimensions	Indicators / attributes		Key performance indicators (KPIs)			Methods and tools for data collection/means of verification	Target group	Methods for report the information for CES (general coordinator)	Temporality (evidences collection)
			Process and outcome indicators	Unit/Attributes of measurement					
TERRITORIALITY INTERCULTURALITY	Indicator 4	TERRITORIALITY	→ The Living Labs increase the diversity of participants throughout the project implementation → The Community of Practices increases the diversity of participants throughout the project implementation → Integration of the diversity of social and cultural contexts → Intercultural dialogue across the different countries, partners, institutions and civil society involved	i.4.1.	Living labs implemented in each city.	Narrative reporting Systematization documents Analytical reports	Participants/citizens/organizations	Narrative reporting Systematization documents	Ex-ante
				i.4.2.	Diversity of civil society involved in Living Labs	Attendance lists	Organizations	Narrative reporting	Ex-post
				i.4.3.	Activities for interculturality with participants on living labs	Attendance lists and activity log	Participant and co-creation practioners	Narrative reporting Systematization documents	On going
				i.4.4.	Frequency of the meetings and attendance on the living labs activities.	Attendance lists	All members	Narrative reporting Systematization documents	Ex-post
				i.4.5.	Activation of the community of practices in each of the cities.	Compromise agreement/protocol of activation	Organizations	Narrative reporting Systematization documents	Ex-ante
				i.4.6.	Number of the countries and actors as a CoP members and type/per segment (enterprises, public sector, social sector, private organizations etc etc)	Members list	Organizations	Narrative reporting Systematization documents	Ex-post
				i.4.7.	Activities carried out in partnership with non-European partners	Activity log	Partners	Narrative reporting Systematization documents	On going
				i.4.8.	Activities carried out in non-European territory.	Activity log	Partners	Narrative reporting Systematization documents	On going
	Indicator 5	SEGREGATION	→ Effects of spatial organisation on persons	i.5.1.	Cultural mapping	Action research	Community residents and users of the public space	Systematization documents	On going
				i.5.2	Spatial analysis.Diagnostic and monitoring on how is the public space used, for what and by whom	Interviews/Observation/Questionnaires	Public sectors /residents	Report	Ex-ante
				i.5.3.	Assessment / analysis on spatial segregation on study area.	Interviews/Observation/Questionnaires	Public sectors /residents	Report	Ex-ante
RESEARCH SUBJECT - CITIZENSHIP - CITIZENS - APPLYING RIGHTS	Indicator 6	PARTICIPATION	→ Citizens from URBiNAT's neighborhoods are engaged at a strategic level and in the decision-making processes of the consortium → URBiNAT recognises the condition of subjects of rights → Holders of rights and capable of claiming their rights → Active participation in political, economic, social and cultural life → Universal and indivisible human rights. Participants satisfaction helps in their appropriation of the project, its outputs and outcomes.	i.6.1.	Number of citizens involved at the strategic levels and active in the general assembly of the project	List of participants	Participants	Narrative reporting and Systematization documents	Ex-ante
				i.6.2.	Number of the actions between researchers, citizens and practioners.	Action research	Researchers and participants	Analytical and scientific results	On-going
				i.6.3.	Number of the actions developed by the citizens or number of the actions	Activity log	Participants	Narrative reporting and Systematization documents	Ex-post
				i.6.4.	Recognition of citizens as co-creation practitioners or the active participantion	Self-evaluation	Participants	Narrative reporting including questionnarires results	Ex-post
				i.6.5.	Number of initiatives, activities, events, organizations born by irruption and by invitation during the lifetime of the project	Description in the narrative reporting and attendance lists	Participants	Narrative reporting and Systematization documents	On-going
				i.6.6.	Continuous identification and corresponding adjustments of produced exclusions during the participatory processes	Narrative reporting	Participants	Narrative reporting	On-going
				i.6.7.	Type and frequency of interactions between citizen participants and public authorities	Description in the narrative reporting and attendance lists	Participants	Narrative reporting and Systematization documents	On-going
				i.6.8.	Collaborative practices satisfaction response	Interview/Questionnaire Data Analysis.	Participants	Narrative reporting	On-going
				i.6.9.	Procedures and criteria that was used to identify/recruit the participants.	Description	Participants and local team	Narrative reporting	Ex-ante
	Indicator 7	RIGHTS	→ WP participants are aware of or sensitive to rights claims by populations of social housing neighborhoods → Inequality and discrimination issues are taken into account by WP participants in planning and implementing activities	i.7.1.	Proportion, type and frequency of claims by populations of URBiNAT's neighborhoods	Action research	Participants and local team	Analytical and scientific results	On-going
				i.7.2.	Proportion, type and frequency of discriminations complaints	Ethical forms	Ethical focal point/Ethical commission/Local team	Ethical reports / Analytical reports	On-going
				i.7.3.	Type and frequency of non-discriminatory news by local media	Content analysis	Local media	Analytical and scientific results	On-going
				i.7.4.	Capacity building and training workshops on rights and ethical issues.	Attendance lists	Participants	Narrative reporting including photograph registration.	On-going

TABLE 1. D1.1. - MONITORING AND EVALUATION

Dimensions	Indicators / attributes		Key performance indicators (KPIs)			Methods and tools for data collection/means of verification	Target group	Methods for report the information for CES (general coordinator)	Temporality (evidences collection)
			Process and outcome indicators	Unit/Attributes of measurement					
ACCOUNTABILITY - TRANSPARENCY - OPEN ACCESS	Indicator 8	ACCOUNTABILITY	→ Transparency - adoption of mechanisms and instruments and practices The steering committee receives complaints about the project implementation and takes resulting actions → The implementation of activities of the WPs takes into account the provision of high-quality, timely and reliable data and information to citizen participants → WP participants produce reports and information on the project in specific formats for different audiences, as well as other materials to report and inform about the project	i.8.1.	Reports available and accessible to the public in a timely manner.	Description in the narrative reporting	Participants and community residents	Narrative reporting	On-going
				i.8.2.	Internal monitoting process including ombudspersons and external bodies.	Description in the narrative reporting	Partners and local team	Narrative reporting	On-going
				i.8.3.	Participation in public accountability events.	Attendance list	Participants and community residents	Narrative reporting	On-going
				i.8.4.	Citizens-led social accountability mechanisms (social audits, scorecards and	Narrative reporting	Participants	Narrative reporting	On-going
				i.8.5.	Budget analysis and monitoring based on longitudinal results	Financial report	Partners and local team	Financial report	On-going
	Indicator 9	OPEN ACCESS	→ The steering committee identifies limitations to open access of specific datasets → Research data of the project are available in open access repository → Scientific publications relating to the projects' results are available in open access repository → adoption of open access principles → Dissemination through appropriate means	i.9.1.	Type of deposits in open access repository for research data generated in the	Narrative reporting	Researchers and participants	Narrative reporting	On-going
				i.9.2.	Peer-reviewed scientific publications relating to the projects' results	List of publication with peer-review	Researchers and participants	Narrative reporting	On-going
				i.9.3.	Type of deposits in open access repository for scientific publications relating	Narrative reporting	Researchers and participants	Narrative reporting	On-going
SUSTAINABILITY- SOCIAL INNOVATION	Indicator 10	INNOVATION	→ Methodologies, artefacts and/or services are being developed, specially dedicated to strengthening people's capacities, needs satisfaction and access to rights → Channels are in place for the lasting development of a comprehensive approach and management of natural and human resources, combining human dignity, ecological responsibility, sound business practice and driving forces for innovation	i.10.1.	Type of methodologies, artefacts and/or services	Systematization documents	Researchers and participants	Analytical reports	Ex-ante
				i.10.2.	Type and frequency of channels	Systematization documents	Researchers and participants	Narrative reporting	On going
				i.10.3	Number of new products, patents, methodologies	Systematization documents	Researchers and participants	Narrative reporting	Ex-ante
	Indicator 11	SUSTAINABILITY	→ NBS solutions and results of the project are used by associations, public institutions, governments, social economy organisations, social enterprises, corporations or other for-profit businesses, according to social economy principles → The steering committee identifies cases for the limitation to open access of the project's results, such as where protection is required to ensure the marketability of specific solutions	i.11.1.	Type, frequency of users	Systematization documents	Local team	Narrative reporting	On-going
				i.11.2.	Adoption of eco-environmental practices	Systematization documents	Local team	Narrative reporting	On-going
				i.11.3.	Type and frequency of limitations	Systematization documents	Local team	Narrative reporting	On-going

TABLE 1. D1.1. - MONITORING AND EVALUATION

Dimensions	Indicators / attributes		Key performance indicators (KPIs)			Methods and tools for data collection/means of verification	Target group	Methods for report the information for CES (general coordinator)	Temporality (evidences collection)
			Process and outcome indicators	Unit/Attributes of measurement					
EFFEICIENCY - EFFECTIVENESS	Indicator 12	EFFICIENCY	→ Workflow and procedures are clear to all participants → All partners comply with their responsibilities in the project implementation → Measures and/or solutions are applied to activate and improve exchange of resources and knowledge, collaboration and synergies	i.12.1.	Comparison between actions taken and planned actions	Documentary analysis	Local team and partners	Analytical reports and systematization documents	On-going and ex-post
				i.12.2.	Responsive and participatory approach for the monitoring and evaluation	Attendance list and narrative reporting	Local team and partners	Analytical reports and systematization documents	On-going and ex-post
				i.12.3.	Comparison between objectives achieved and planned objectives	Documentary analysis	Local team and partners	Analytical reports and systematization documents	On-going and ex-post
				i.12.4.	Comparison of target audience involved and target audience planned	Documentary analysis	Local team and partners	Analytical reports and systematization documents	On-going and ex-post
				i.12.5.	Type and frequency of training, meetings, information and materials provided to participants	Attendance list and narrative reporting	Local team and partners	Analytical reports and systematization documents	On-going and ex-post
				i.12.6.	Type and frequency of non-compliance	Systematization documents	Local team	Narrative reporting	On-going
				i.12.7.	Type and frequency of measures and/or solutions	Systematization documents	Local team	Narrative reporting	On-going
				i.12.8.	Type and frequency of exchange of resources and knowledge, collaboration and synergies	Systematization documents	Local team	Narrative reporting	On-going
	Indicator 13	EFFECTIVENESS	→ The budget meets the project's needs, and activities are all sufficiently covered → Expenses which could have been avoided or made at a lower amount are identified, and corrective measures are adopted for current and/or future expenses → The viability of activities, outputs or outcomes is foreseen beyond the project's implementation period → Value for money	i.13.1.	Type and frequency of activities not sufficiently covered	Documentary analysis	Local team and partners	Financial reporting and narrative reporting	On-going and ex-post
				i.13.2.	Comparison of perfomed activities versus resources used	Documentary analysis	Local team and partners	Financial reporting and narrative reporting	On-going and ex-post
				i.13.3.	Comparison of planned resources versus resources used	Documentary analysis	Local team and partners	Financial reporting and narrative reporting	On-going and ex-post
				i.13.4.	Comparison of objectives achieved versus resources used	Documentary analysis	Local team and partners	→ Analytical reports → Systematization documents → Action research	On-going and ex-post
				i.13.5.	Total cost versus number of individuals covered by the action	Financial reporting	Local team and partners	Financial reporting and narrative reporting	On-going and ex-post
				i.13.6.	Measures adopted regarding these activities	Systematization documents	Local team	Narrative reporting	On-going
				i.13.7.	Type and frequency of expenses	Systematization documents	Local team	Narrative reporting	On-going
				i.13.8.	Reasons for the resulting expenses	Systematization documents	Local team	Narrative reporting	On-going
				i.13.9.	Type and frequency of corrective measures adopted	Systematization documents	Local team	Narrative reporting	On-going
				i.13.10.	Type and perspectives for these activities, outputs or outcomes	Systematization documents	Local team	Narrative reporting	On-going

WP 1			Corresponding deliverables	Link with other WP/Task/Deliverable	**PLANNING** *Two examples of operationalization of the planning to be inserted in Basecamp in the following tabs*		CES team *(see Copy tab Task management WP1)*				SC team members		Partners team members		Reviewers of outputs and deliverables	NOTES / Preliminary considerations
Task #		Responsibilities / areas of work			Definition of steps, activities and outputs	Corresponding deadlines / schedule	Leader	Co-leader	Participants	Extended CES team	Leader / Co-leader	Participants	Leader / Co-leader	Participants		
1.1	**Coordinate and monitor the implementation of activities**	**1.** Steering Committee: definition of workflow and standard quality procedures, including regulations, documentation, methods and tools that will ensure activity coordination and monitoring	**D 1.1** - Handbook on workflow and standard quality procedures ***M6*** = *Nov. 2018*				Gonçalo -	Denise/Begoña	Nathalie Sandra						Sheila	Check with CES and SC members their existing templates and infos. Include technical derscription of basecamp tool, monitoring of various WP activities, procedures for WP leaders reporting to WP1 and sc of activities. Periodic reports, quarterly receiving reports.
		2. Steering Committee: - oversees work planning of each WP - quarterly reports GA - results to CoP in annual conference with Living Labs of WP2 and WP6		**WP2** **WP6**												
		3.1. Plans and tools developed under WP6, discussed within Steering Committee **3.2.** Follow-up through a communication panel of WP leaders mobilized by WP6		**WP6 / D 6.1** Dissemination and communication plan **/ D 6.2** Website and newsletter ***M6 =*** *Nov. 2018*												
		4. Tools designed under WP5 for data collection and management, monitoring and evaluation, and research production will be discussed within the Steering Committee, and finalized accordingly		**WP 2 / T 2.1 -** Local diagnostics in cities ***M1-M18 =*** *in frontrunner* ***M24-M36 =*** *in follower* **WP 5**												
		5. Steering Committee: ensure that all members of the consortium adopt the ethical measures to protect the researchers and technicians involved in fieldwork activities and vulnerable populations **= under supervision of task 1.4**		**WP 8 / D 8.1-4** Ethical requirements ***M6 =*** *Nov. 2018*												
1.2	**Scientific coordination**	**1.** Steering Committee: ensures the quality of the involvement of social sciences and humanities	**D 1.2 -** Handbook on the theoretical and methodological foundations of the project ***M6*** = *Nov. 2018*				Gonçalo, Isabel, Nathalie, Beatriz		Sheila, Sandra							
		2. Steering Committee: discusses and harmonizes concepts and methodologies														
		3. Steering Committee: be advised by a scientific commission														
		4. Steering Committee: annual, mid and final reviews (support from WP5 and inputs from cluster 2017)		**WP 5** **WP 6**											Urbinat Scientific Commission (CES) Silvia, Nancy, Giovanni or and Advisory Board?	Set the scientific commission in motion, involving the advisory board members of the committee, including the multistakeholder.
1.3	**Innovation, IPR and data management**	**1.** Steering Committee: Data Management activities will follow the plan to be delivered by the steering committee in the first 6 months of the project	**D 1.3 -** Data Management Plan ***M6 =*** *Nov. 2018*				Nathalie	Sheila	Sandra						Nathalie	
		2. Steering Committee: part of annual, mid and final reviews of task 1.2 = innovative features will be compiled and analysed on the basis of consultations to the scientific commission and to the multi-stakeholders' advisory board														
		3. Steering Committee: reports to the GA on the cases which would require IPR protection and derogation to open access principles														
1.4	**Ethics analysis**	**1.** Steering Committee: provides social, ethics and legal guidelines, recommendations, methods and procedures to be adopted throughout the project and for future reference, including those related to the participation of vulnerable groups and children in activities, guidelines for dealing with risks in field work, as well as incidental findings	**D 1.4 -** Report with: - the composition of the ethics commission, - submission of additional requirements/approvals, and ethical principles guidelines ***M6 =*** *Nov. 2018*	**WP 8 / D 8.1-4** Ethical requirements ***M6*** = *Nov. 2018*			Beatriz -	Sandra	Sheila, Gonçalo						Sandra	Set the scientific commission in motion, involving the advisory board members of the committee, including the multistakeholder.
		Steering Committee: **2.1.** continuously monitor all aspects of the project and identify issues that may require additional attention **2.2.** reports on ethics issues to the GA in its quarterly reports, and to the EC in its progress and final reports **2.3.** analyses and reports on ethics issues if required by any partner of the project														
		Steering Committee: **3.1.** supported and advised by an ethics commission, CES' s ethics committee and an interdisciplinary one at the University of Coimbra **3.2.** advising bodies will also support resolution and mediation of conflicts														
1.5	**Inclusion of cross cutting dimensions: HR & gender, international cooperation**	**1. Steering Committee: human rights and gender are dimensions that will be applied to planning, implementation and evaluation of activities**	**D 1.6 -** Guide/manual on preliminary ethical guidelines, and communication and reporting procedures ***M2 =*** *July 2018* **D 1.1 -** Handbook on workflow and standard quality procedures ***M6 =*** *Nov. 2018*				Nathalie	Beatriz	Sheila, Gonçalo						Isabel	
		2. Steering Committee: compiles and analyses human rights and gender issues on the basis of consultations to the scientific commission and to the multi- stakeholders' advisory board	**D 1.5 -** Compilation and analysis of human rights and gender issues ***M12*** = *May 2019* ***(+ M24, M36, M48, M60)***	**WP 8 / D 8.1-4** Ethical requirements ***M6*** = *Nov. 2018*												
		3. Steering Committee: promotes and addresses international cooperation, with a specific emphasis on non-EU partners, namely within the CoP (annual conference) and the cluster of 2017 successful applicants (annual meeting)		**WP 2** **WP 6**												
1.6	**Administrative and financial coordination**	**1.** Project management office: liaises between the EC and the consortium's partners = submit documents + manage the reporting process and timetable	**D 1.6** - Guide/manual on preliminary ethical guidelines, and communication and reporting procedures ***M2 =*** *July 2018*				Gonçalo	Denise/Begoña	Beatriz							Map manual, guide and others at CES and UC and other existing models. Direct articulation with GAGEP for administrative and financial matters.
		Project management office: **2.1.** monitors compliance by the parties with their obligations and corresponding legal issues **2.2.** provides, upon request, the parties with official copies or originals of documents which are in the sole possession of the coordinator														
		3. Project management office: administers the financial contribution of the funding authority and fulfil the corresponding financial tasks														
1.7	**Communication with EC, among partners, and day-to-day point of contact**	Project management office: **1.1.** ensures regular and relevant information of the EC about the consortium and the project developments and progress **1.2.** as well as communication between the EC and URBiNAT's partners					Gonçalo	Denise/Begoña	Nathalie		ITEMS				GAGEP?	GAGEP and ITEMS
		2. Project management office: maintains the communication flow with the Consortium	**D 1.6** - Guide/manual on preliminary ethical guidelines, and communication and reporting procedures ***M2 =*** *July 2018*													
		Project management office = day-to-day point of contact: **3.1.** dissemination package **3.2.** quarterly newsletter **3.3.** web tools	**D 1.7 -** Dissemination package: basic set of dissemination material for the project ***M6 =*** *Nov. 2018*	**WP6 / D 6.1** Dissemination and communication plan **/ D 6.2** Website and newsletter ***M6 =*** *Nov. 2018*												

WP1

Management of consortium and projects´s general implementation

CES

Description of TASK 1.1

Coordinate and monitor the implementation of activities

M01 - M60

The steering committee will be responsible for the definition of workflow and standard quality procedures, including regulations, documentation, methods and tools that will ensure activity coordination and monitoring.

The steering committee will also be responsible for ensuring that all members of the consortium adopt the ethical measures to protect the researchers and technicians involved in fieldwork activities and vulnerable populations, including measures to minimise the risk of stigmatisation, appropriate guidelines and training. — under supervision of task 1.4

The guidelines and procedures drafted, and the tools designed under WP5 for data collection and management, monitoring and evaluation, and research production will be discussed within the steering committee, and finalized accordingly. — under supervision of task 1.3

The same applies to plans and tools developed under WP6 for dissemination and communication, including follow-up through a communication panel of WP leaders mobilized by the communication team of WP6. — under supervision of task 1.7

The steering committee will also oversee the work planning of each work package, and will report on results to the general assembly, throughout the project. The project's progress and results will be systematized and shared by the steering committee with the Community of Practices in an annual conference to be organized in partnership with Living Labs of WP2 and supported by WP6. — linked to QMNR = task 1.6 and 1.7 / D.1.6

Participants: CES, WP leaders (ICETA-CIBIO, UNG, DTI, IULM, ITEMS, CF), and IKED (as task leader of the Non- european partners participation)

- CES team:
  - leader: Gonçalo
  - co-leader: Begoña/Denise
  - participant: Nathalie, Sandra
- **SC members:**
  - *leader/co-leader:*
  - *participant:*
- **Partners:**
  - *leader/co-leader:*
  - *participant:*

	STEPS		ACTIVITIES	OUTPUTS	Responsible of step / activity	Schedule *completion of activities - weekly*																		Schedule *overall completion of activities*			
						30/7 3/8	6/8 10/8	13/8 17/8	20/8 24/8	27/8 31/8	3/9 7/9	10/9 14/9	17/9 21/9	24/9 28/9	1/10 4/10	8/10 12/10	15/10 19/10	22/10 26/10	29/10 2/11	5/11 9/11	12/11 16/11	19/11 23/11	26/11 30/11	Start week	Start month	End week	End month
1	**Definition and update of workflow**	**1.1.**	**Mapping** of requirements, information, procedures and documents already available Basecamp: *https://3.basecamp.com/4025779/buckets/8912555/google_documents/1280182595* Google drive: *https://docs.google.com/document/d/1jcpIeTXUSyUC8hC0p6tNSHdkmme2mlsvGQCUaSOjM-w/edit?usp=sharing*	D1.1 : Handbook on workflow and standard quality procedures The publication will include the definition of the project's workflow and standard quality procedures, including regulations, documentation, methods and tools that will ensure activity coordination and monitoring.																							
		1.2.	List of resource persons and **contributors**																								
		1.3.	Draft **structure** (elaboration and review)																								
		1.4.	Collaborative **elaboration** of D.1.1																								
		1.5.	Review and **finalization** of D.1.1																								
2	**Steering Committee dynamics**	**2.1.**	**Meetings** for planning, monitoring, assessment and decision making (regular or extraordinary). The steering committee will oversee the work planning of each work package, ensuring that the objectives of the project are achieved on time and to budget, through the review of planning and monitoring of each work package by peer WP leaders (quarterly monitoring narrative reports of WPLs). This process of work planning also enables coordination of cross work package cooperation. In case of any deviation from the plan, appropriate corrective actions will be determined by the steering committee and implemented by the participants of the corresponding work package.	Minutes of meetings including assessment of QMNR and corresponding corrective actions																							
		2.2.	**Communication panel:** the communication team will establish a clear agenda for the communication and dissemination plan, expected to be reviewed during monthly meetings of the communication panel composed with WP leaders.	Communication and dissemination plan monthly reviewed and updated																							
		2.3.	**Supervision of data management and research production:** the guidelines and procedures drafted, and the tools designed under WP5 for data collection and management, monitoring and evaluation, and research production will be discussed within the steering committee, and finalized accordingly.	Assessment by SC and implementation of corresponding adjustements																							
		2.4.	**Supervision of ethical compliance:** The steering committee is responsible for ensuring that all members of the consortium adopt the ethical measures to protect the researchers and technicians involved in fieldwork activities and vulnerable populations, including measures to minimise the risk of stigmatisation, appropriate guidelines and training.	Assessment by SC and implementation of corresponding adjustements																							
3	**Reporting**	**3.1.**	**QMNR:** for each Work Package (WP), a Work Package Leader (WPL) has been appointed to coordinate the activities taken within their respective WP. The WPLs are responsible for planning, monitoring and assessing the progress of the work package to ensure that output performance, budget and timelines are met. Internal reporting will be done every three months by WPLs through the Quarterly Monitoring Narrative Report. This document should be fulfilled and submitted by WPLs through URBiNAT's project management platform (Basecamp) 10 days before the end of each reporting period. This document only includes narrative information.	7 QMNR of the different WPLs submitted until end of September																							
		3.2.	**Report to the GA**: - The steering committee reports quarterly to the GA on developments, progress and results of activities - format of reports to be designed, in line with EC reporting formats - the Quarterly Monitoring Narrative Reports will be used to elaborate this report on progress and results	1 report for meeting in Sofia (January 2019) + report of kick-off meeting																							
		3.3.	**Update of partners:** internal newsletter and informs	1 inform (August) + 1 internal newsletter (Nov.-Dec.?)																							
		3.4.	**Report to CoP:** the project's progress and results will be systematized and shared by the steering committee with the Community of Practices in an annual conference to be organized in partnership with Living Labs of WP2 and supported by WP6	1 report for meeting in Nantes (June 2019)																							

WP1

Management of consortium and projects´s general implementation

CES

Description of task

The steering committee will ensure the quality of the involvement of social sciences and humanities. Prior to the implementation of all work packages, the steering committee will discuss and harmonize concepts and methodologies to be applied to the project as a whole and specifically to each work package. Throughout the project, the steering committee will have the opportunity to be advised by a scientific commission composed of renowned external experts, and will organize an annual meeting with its members. This consultation will provide the steering committee with inputs for annual, mid and final reviews, supported by WP5. This analysis will be complemented by the exchange of experience and best practices within a cluster of 2017 successful applicants on the invitation of URBiNAT, to take place at the annual meeting.
Participants: CES, WP leaders, and task leaders according to issues (ICETA-CIBIO, UNG, DTI, IULM, ITEMS, CF), and IKED (as task leader of the non-European partners participation)

Activities underway with preliminary structure of D1.2 + webinars
To be sistematized here

Task 1.2. Participants:

						Schedule			
	STEPS		**ACTIVITIES**	**OUTPUTS**	**Responsible of step / activity**	**Start week**	**Start month**	**End week**	**End month**
1	Quality of the involvement of social sciences and humanities	**1.1.**							
		1.2.							
		1.3.							
		1.4.							

Total tasks: 7

WP1 Management of consortium and projects´s general implementation

Description of TASK 1.3

Innovation, IPR and data management

M01 - M60

The annual, mid and final reviews conducted by the steering committee will pay special attention to **innovation**. Innovative features will be compiled and analysed on the basis of consultations to the scientific commission and to the multi-stakeholders' advisory board. The latter will have an annual meeting to discuss and complement the results of the review.

The steering committee will report to the general assembly on the cases which would require **IPR protection and derogation to open access principles**.

Data Management activities will follow the plan to be delivered by the steering committee in the first 6 months of the project.

Participants: CES, WP leader, and task leaders according to issues (ICETA-CIBIO, UNG, DTI, IULM, ITEMS, CF), and IKED (as task leader of the Non-european partners participation)

→ **CES team:**
- *leader*: Nathalie
- *co-leader*: Sheila
- *participant*: Sandra

→ **SC members:**
- *leader/co-leader:*
- *participant:*

→ **Partners:**
- *leader/co-leader:*
- *participant:*

						Schedule *completion of activities - weekly*																		**Schedule** *overall completion of activities*			
	STEPS		**ACTIVITIES**	**OUTPUTS**	**Responsible of step / activity**	30/7 3/8	6/8 10/8	13/8 17/8	20/8 24/8	27/8 31/8	3/9 7/9	10/9 14/9	17/9 21/9	24/9 28/9	1/10 4/10	8/10 12/10	15/10 19/10	22/10 26/10	29/10 2/11	5/11 9/11	12/11 16/11	19/11 23/11	26/11 30/11	**Start week**	**Start month**	**End week**	**End month**
1	**Stocktaking**	1.1.	Mapping Data management, Innovation and IPR in resource documents: - H2020 Online Manual - AGA - Grant Agreement - DoA (part A and B) - D1.6 submitted in July	1.1.1. Reference table "where we find what" in resource docs	Nathalie																						
				1.1.2. Compilation doc: all contents taken from resource docs in a single doc + analysis	Sheila, Sandra, Nathalie																						
2	**Elaboration of deliverable D1.3**	2.1.	Compilation of DMPs	2.1.1. Compilation file: DMPs of other projects organized by categories - DM and template forms - addressing data security - addressing data transfer - addressing IPR issues - similar to 2017 EU DM questions - addressing open access	Sheila e Sandra																						
				2.1.2. Draft structure for URBiNAT's DMP	Sheila, Sandra e Nathalie																						
		2.2.	Compilation of EU questions to be answered	2.2.1. Form to be answered by WP leaders and participants (email sent on 9 August)	Sheila e Sandra																						
				2.2.2. All answers compiled in draft structure of URBiNAT's DMP	Sheila, Sandra e Nathalie																						
		2.3.	Action plan for collaborative work with SC members and partners	2.3.1. Elaboration of action plan	Sheila, Sandra e Nathalie																						
				2.3.2. Action plan submitted to and reviewed by SC	Nathalie																						
				2.3.3. Involvement of SC members and partners through elaboration of specific contents and/or review	Sheila, Sandra e Nathalie							elab.	elab.	elab.	1st draft	review	review	v1.0	review	Final version	English review						
3	**Inclusion of innovation within deliverable D1.2**	3.1.	Definition of activities		Sheila e Nathalie																						
4	**Inclusion of IPR within D1.2**	4.1.	Definition of activities		Sheila e Nathalie																						
5	**Definition and agreement on principles and rules to be applied to the use and responsible commercialization of the project's results**		*1. What kind of commercialization of results involve the business cases,* *2. what results can be marketed,* *3. who can benefit from profits generated from the project.*																								

WP1

Management of consortium and projects´s general implementation

CES

Description of task 1.4

Participants: CES, WP leader, and task leaders according to issues (CIBIO, UNG, DTI, IULM, ITEMS, CF), and IKED (as task leader of the Non-european partners participation)

M01 - M60

Task 1.4 - Ethics analysis

Social, ethics and legal problems are expected to arise. The steering committee will continuously monitor all aspects of the project and identify issues that may require additional attention. It will provide social, ethics and legal guidelines, recommendations, methods and procedures to be adopted throughout the project and for future reference, including those related to the participation of vulnerable groups and children in activities, guidelines for dealing with risks in field work, as well as incidental findings. The steering committee will have the opportunity to be supported and advised by CES's ethics committee and an ethics commission composed of external experts from the countries of the cities involved in the project. Both advising bodies will also support resolution and mediation of conflicts.
Participants: CES, WP leader, and task leaders according to issues (CIBIO, UNG, DTI, IULM, ITEMS, CF), and IKED (as task leader of the Non-european partners participation)

D1.4 Report with the final composition of the ethics commission, submission of additional requirements/approvals, and ethical principles guidelines. (R, PU, M6)

WP - 8 - Ethics requirements
D8.1 H - Requirement No. 1 [6] - sheila
- The procedures and criteria that will be used to identify/recruit research participants must be kept on file (ver 1.6 e confirmar se está satisfatório). - In case children are involved, details on how the consent of the legal representatives (and assent, when applicable) will be acquired must be kept on file. - The applicant must provide the measures to protect vulnerable populations involved in the proposed research and minimise the risk of their stigmatisation. - Copies of opinions/approvals by ethics committees and/or competent authorities for the research with humans [municipal or regional ethics advisory board from FRCs and FCs] must be kept on file.

D8.2 : POPD - Requirement No. 2 [6] - Rita/Bia
- The applicant must check if a declaration on compliance and/or authorisation is required under national law for collecting and processing personal data as described in the proposal. If yes, the declaration on co or authorisation must be kept on file . - If no declaration on compliance or authorisation is required under the applicable national law, a statement from the designated Data Protection Officer that all personal da

D8.3 : EPQ - Requirement No. 4 [6] - Sandra
- Further information about the possible harm to the research participants caused by the research and the measures that will be taken to mitigate the risks must be submitted. Relevant information must address Section 7 (Environment, health and safety).

D8.4 : H - POPD - Requirement No. 5 [6] - sheila
- Templates of the informed consent/assent forms and information sheets (in language and terms intelligible to the participants) must be kept on file.

Task 1.4.

CES team:
- *leader*: Beatriz
- *co-leader*: Sandra
- *participant*: Sheila

SC members:
- leader/co-leader:
- participant:

Partners:
- *leader/co-leader:*
- *participant:*

Schedule

	STEPS		ACTIVITIES	OUTPUTS	Responsible of step / activity	Deadline			
1	Planning URBiNAT´s Ethics commission	**1.1.**	To discuss with SC: Prepare base document with following items: Definition of criteria for URBiNAT´s Ethics comission composition a) Number of members, b) Diversity (gender, race, ethnicity, origin and region EU balance), c) Social, moral, academic, experience with ethics issues criteria for selection the individuals, e) Guidelines with letter invitation (Urbinat summary and principles, general goals, functioning and responsabilities of the ethics comission,) f) Letter of aceptance (with the principles and compromise with the project), c) Letter invitation Functioning: - SC member will be responsible of ethics issues (to be choosen), - Training in ethics issues specific for URBiNAT procedures in each city (possible to include in one GA URBiNAT bi-annual in Nantes). This workshop will be develop by the Ethics Comission. - To be choosen in each team city a person as ethics focal point responsible for reporting any events which involve ethics issues to the SC. The focal point will be receive of guidelines, templates for communication with SC. - Ethics commission will make decision by consensus.	01. preliminary document to discuss with SC	Sheila Sandra Beatriz	Until 07/09/2018			
			First version of the document		Beatriz	Until 06/09			
		1.2.	First version of "Regulamento para constituição da comissão" (CES model)	01. preliminary document to discuss with SC	Sheila	Start - 11/09 Until - 10/10			
		1.3.	Ethics code (further development by the commission)						
		1.4.	Contact with CES Ethics Comission: A. follow up review D1.6 B. guidance for URBiNAT Ethics Comission		Beatriz				
		1.5.	SC - model procedures						
2.	Review D1.6	**2.1.**	Review D1.6 about what is necessary development in 1.4 What is necessary upgrade		Sheila Sandra Beatriz				
			First version of D1.6 review		Sandra	Until 11/09			
3.	Articulation with task 1.5	**3.1.**	"Review of table 12 QMNR of D1.6 with task 1.1, and elaborationf of indicators together with task 1.4 (rights based approach social indicators, and ethics) 2.1. continuously monitor all aspects of the project and identify issues that may require additional attention (Ethics indicator for monitoring and evaluation (TASK 1.1.)"		Sheila Sandra Beatriz				
4.	Reports on ethics issues to the GA in its quarterly reports, and to the EC in its progress and final reports	**4.1**	- To elaborate of reports on ethics template (to include periodical narratives report) - SC member responsible for ethics issues also will responsible for analyses and reports (based on reports from city focal point), to be submitted to the SC which will approve.	- 01 Template report	Sandra e Sheila				
5.	Analyses and reports on ethics issues if required by any partner of the project	**5.1**	- SC member responsible for ethics issues also will responsible for analyses and reports (based on reports from city focal point), to be submitted to the SC which will approve.						
6.	SC: Supported and advised by an ethics commission, CES's ethics committee and an interdisciplinary one at the University of Coimbra								
7.	SC: advising bodies will also support resolution and mediation of conflicts								
	Requirements		**Informed consent**	children adults	Sheila				
	Requirements task 8					10-out			
	Carta convite \ aceitação				Beatriz				
	template 1.4 + sumário								
	Profile								

WP1

Management of consortium and projects´s general implementation

Description of TASK 1.5

Inclusion of cross cutting dimensions: human rights and gender, international cooperation

Human rights and gender are dimensions that will be applied to **planning, implementation and evaluation of activities** .

Beyond this cross-cutting approach for the coordination and monitoring activities, the steering committee will **compile and analyse human rights and gender issues on the basis of consultations to the scientific commission and to the multi-stakeholders' advisory board.**

It will also promote and address **international cooperation** , with a specific emphasis on non-EU partners, namely within the CoP (annual conference) and the cluster of 2017 successful applicants (annual meeting). Both interactions will contribute to the international dissemination of the project and its results.

M01 - M60

→ **CES team:**
- *leader*: Nathalie
- *co-leader*: Beatriz
- *participant*: Sheila Gonçalo

Participants: CES, WP leader, and task leaders according to issues (ICETA-CIBIO, UNG, DTI, IULM, ITEMS, CF), and IKED (as task leader of the Non-european partners participation)

→ **SC members:**
- *leader/co-leader:*
- *participant:*

→ **Partners:**
- *leader/co-leader:*
- *participant:*

	STEPS		ACTIVITIES	OUTPUTS	Responsible of step / activity	**Schedule** *completion of activities - weekly*																		**Schedule** *overall completion of activities*			
						30/7 3/8	6/8 10/8	13/8 17/8	20/8 24/8	27/8 31/8	3/9 7/9	10/9 14/9	17/9 21/9	24/9 28/9	1/10 4/10	8/10 12/10	15/10 19/10	22/10 26/10	29/10 2/11	5/11 9/11	12/11 16/11	19/11 23/11	26/11 30/11	**Start week**	**Start month**	**End week**	**End month**
1	human rights and gender are dimensions that will be applied to **planning, implementation and evaluation of activities**		-review of table 12 QMNR of **D1.6** with **task 1.1**, and elaborationf of indicators together with **task 1.4** (rights based approach social indicators, and ethics) -review of indicators together with **D.1.2** -focus on gender mainstreaming (cf. Finnish publication) -apply rights-based approach to data management plan D1. 3																								
2	compile and analyse human rights and gender issues on the basis of consultations to the scientific commission and to the multi- stakeholders' advisory board.		-The observartory provides disagregated data by specificities, as well as other information collected in the local diagnostics related to rights -Design the format and content of yearly reports (e.g. qualitative/thematic, co-created, alternative and accessible formats, personalized narratives)	-report of year 1 = general farmework of rights-based approach applied to the project = specificities in the first person -reports 2,3,4,5 = thematic?																							
3	international cooperation: promotes and addresses international cooperation, with a specific emphasis on non-EU partners, namely within the CoP (annual conference) and the cluster of 2017 successful applicants (annual meeting)		**Task 1.2** **Task 2.3** **Task 6.4**																								

WP1

Management of consortium and projects´s general implementation

CES

Description of Task 1.6

Administrative and financial coordination

The project management will liaise between the EC and the consortium's partners.

It will provide the EC with specific requested documents, which requires to manage the reporting process and timetable, prepare and submit periodic and final reports, collect and review consistency of information provided by partners, as well as other deliverables including financial statements and related certifications.

The project management office will also administer the financial contribution of the funding authority and fulfil the corresponding financial tasks: justification of costs, accounts, advising of EC payment schedules, distribution of funds, and financial obligations, such as audit reports.

More specifically related to the grant agreement, the project management office will monitor compliance by the parties with their obligations and corresponding legal issues, and will provide, upon request, the parties with official copies or originals of documents which are in the sole possession of the coordinator.

M01 - M60

Participants: CES

→ CES team:
- leader: Gonçalo
- co-leader: Begoña/Denise, Rita
- participant: Beatriz

	STEPS		ACTIVITIES	OUTPUTS	Responsible of step / activity	**Schedule** *completion of activities - weekly*																		**Schedule** *overall completion of activities*			
						30/7 3/8	6/8 10/8	13/8 17/8	20/8 24/8	27/8 31/8	3/9 7/9	10/9 14/9	17/9 21/9	24/9 28/9	1/10 4/10	8/10 12/10	15/10 19/10	22/10 26/10	29/10 2/11	5/11 9/11	12/11 16/11	19/11 23/11	26/11 30/11	**Start week**	**Start month**	**End week**	**End month**
1	**Provide the EC specific requested documents**	**1.1.**	**Manage** the reporting process and timetable	Schedule of Reports on Basecamp																							
		1.2.	**Prepare and Submit** periodic and final reports	Periodic and Final Reports sent to the EC																							
		1.3.	**Collect and Review** consistency of information provided by partners	- QMNRs collected and reviewed - Periodic and Final Reports sent to the EC																							
		1.4.	**Other Deliverables** including: - Related Certifications	- Related Certifications																							
2	**Administration of financial contribution and financial tasks**	**2.1.**	**Justification of Costs**	Financial management updated																							
		2.2.	**(Bank) Accounts**	(Bank) Accounts List Record updated																							
		2.3.	**Advising of EC payment schedules**	Payment Schedule on Basecamp																							
		2.4.	**Distribution of funds**	Payment orders sent to partners																							
		2.5.	**Financial obligations:** - Audit Reports	Audit Reports																							
3	**In relation to the Grant Agreement**	**3.1.**	**Monitor Compliance by the parties with their obligations and corresponding legal issues** **Ethical issues (D1.6; T1.1; D1.1; T1.4):** - Request of some more concrete authorization to a partner. - Articulation to Ethics Commission at CES, Standard Research Compliance of the project. Legislation in other countries WP2 (living labs), WP4, (e.g. France) when data collection is made by a university, this one should have a Data Protection Officer. WP leaders must provide this information.	- Amendments to GA done and sent - Consortium Agreement signed - QMNRs																							
		3.2.	**Provide, upon request, the parties** with official copies or originals of documents which are in the sole possession of the coordinator	Documents sent																							

WP1

Management of consortium and projects´s general implementation

CES

Description of TASK 1.7

Communication with EC, among partners, and day-to-day point of contact

M01 - M60

In addition to administrative and financial issues, the project office management will ensure regular and relevant information of the EC about the consortium and the project developments and progress, as well as communication between the EC and URBiNAT's partners.

Concerning the communication among partners, it will maintain the communication flow within the consortium:
- maintaining a guide/manual on procedures and the contacts of all members;
- keeping partners updated about work plans of work packages;
- supporting the organisation of meetings of the management structure.

As day-to-day point of contact, the project management officer will be responsible for the organization of the dissemination package, collecting all public documents generated by the project and maintaining a dissemination database.
It will ensure that dissemination materials are timely update, at least annually.
It will prepare the quarterly newsletter of the project, based on the quarterly report of the steering committee to the the general assembly, and will distribute it to a directory of contacts and subscribers with the support of WP6.

Finally, it will ensure that web tools are maintained and supported by the project partners: institutional website, extranet, social media.

Participants: CES, ITEMS

→ CES team:
- leader: Gonçalo
- co-leader: Begoña/Denise
- participant: Nathalie

→ **SC members:**
- leader/co-leader: ITEMS
- *participant:*

→ **Partners:**
- leader/co-leader:
- participant:

	STEPS		ACTIVITIES	OUTPUTS	Responsible of step / activity	Schedule *completion of activities - weekly*																		Schedule *overall completion of activities*			
						30/7 3/8	6/8 10/8	13/8 17/8	20/8 24/8	27/8 31/8	3/9 7/9	10/9 14/9	17/9 21/9	24/9 28/9	1/10 4/10	8/10 12/10	15/10 19/10	22/10 26/10	29/10 2/11	5/11 9/11	12/11 16/11	19/11 23/11	26/11 30/11	Start week	Start month	End week	End month
1	EC	1.1.	Ensure regular and relevant information of the EC about the consortium and the project developments and progress. *Ex.: inform about important events and news, relevant materials produced (other than deliverables, and administrative and financial issues)*	emails and other contacts when necessary																							
		1.2.	Communication between the EC and URBiNAT's partners. *Ex.: funding opportunities, international conferences (other than administrative and financial issues)*	emails and other contacts when necessary																							
2	Partners	2.1.	**Maintaining a guide/manual on procedures and the contacts of all members =** update and make available on Basecamp (or send to partners when required): *-D1.1 Handbook on workflow and standard quality procedures* -list of contacts (format? Excel or different directory)	Basecamp section Directory																							
		2.2.	**Keeping partners updated about work plans of work packages = support WP leaders in making work plans and QMNR updated and available on Basecamp**	Timely updated relevant Basecamp sections																							
		2.3.	**Supporting the organisation of meetings of the management structure =** -update of calendar of meetings -support for invitations (EC, advisory board members, other participants outside the Consortium) -support the SC in the elaboration of the agenda and other working documents	Meeting organization and attendance, and corresponding materials																							
3	Dissemination	3.1.	**Dissemination package:** organization in Basecamp - D1.7 Dissemination package = basic set of dissemination material for the project *= definition of which materials to be included with WP6* *See task 6.2 "development of material and tools" together with ITEMS and GUDA, including website and newsletter (to be delivered until end of Nov. D. 6.2)*	D 1.7 Dissemination package = basic set of dissemination material for the project (ITEMS) Basecamp section Timely updated relevant Basecamp section *D 6.1 Dissemination and Communication Plan (ITEMS, GUDA)*																							
		3.2.	**Dissemination database:** elaboration and maintenance	Database + updates																							
		3.3.	**Update of dissemination materials** (at least annually)	Timely updated dissemination materials																							
		3.4.	**Collection of all public documents generated by the project's teams**	Requests to partners Documents received Timely updated relevant Basecamp section																							
		3.5.	**Quarterly newsletter:** preparation and distribution	*D 6.2 Website and Newsletter (ITEMS, GUDA)* 1st newsletter submitted with D6.2 Dissemnitaion of 1st newsletter after EC's assessment of D6.2																							
4	Webtools	4.1.	**Website:** maintenance and update (with the support of project partners)	Requests to partners Information received/and or posted Timely updated website																							
		4.2.	**Basecamp:** organization, maintenace, training of users and update	Basecamp account Basecamp structure tailored for URBiNAT Training materials and sessions Timely updated sections of Basecamp																							
		4.3.	**Social media:** maintenance and update (with the support of project partners)	Requests to partners Information received/and or posted Regular posts Timely updated social media accounts																							

European Commission

H2020 Programme

Periodic Report Template
(RIA, IA, CSA, SME instrument, MSCA)

Periodic Technical Report (parts A and B)
Periodic Financial Report

Version 2.1
19 December 2017

Disclaimer
This document is aimed at informing potential applicants for Horizon 2020 funding. It serves only as an example. The actual Web forms and templates, provided in the online reporting system under the Participant Portal, might differ from this example. Periodic and final reports must be prepared and submitted via the online reporting system under the Participant Portal.

Research and Innovation

Structure of the Periodic Report

The periodic report must be submitted by the coordinator within 60 days following the end of each reporting period. It contains the periodic technical and financial reports.

The **periodic technical report** consists of two parts:

- **Part A** of the periodic technical report contains the cover page, a publishable summary and the answers to the questionnaire covering issues related to the project implementation and the economic and social impact, notably in the context of the Horizon 2020 key performance indicators and the Horizon 2020 monitoring requirements. **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 B** of the periodic technical report 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.

The **periodic financial report** consists of:

- Individual financial statements (Annex 4 to the GA) for each beneficiary;
- Explanation of the use of resources and the information on subcontracting and in-kind contributions provided by third parties from each beneficiary for the reporting period concerned;
- A periodic summary financial statement including the request for interim payment.

Preparation and submission of periodic report

- **Continuous reporting functionality** in the participant portal: it is activated at the time the project starts and it is continuously open for the beneficiaries to submit deliverables, to report on progress in achieving milestones, to follow up of critical risks, ethics issues, publications, communications activities, and the answers to the questionnaire on horizontal issues.

- **Periodic reporting functionality in the participant portal**: following the end of each reporting period the functionality of periodic reporting in the Participant Portal will be activated. While the periodic reporting session is open in the electronic exchange system:

- each participant will be able to complete on-line their own Financial Statement (and the financial report of their Third Parties, if any) including the explanations on the use of resources;
- coordinator will be able to upload the Part B of the periodic technical report as a pdf document.

When the coordinator submits the periodic report, the IT tool will capture the information from the continuous reporting module in order to generate the Part A of the periodic technical report. The IT tool will consolidate the individual financial statements and it will generate automatically the report with explanations of the use of resources and the periodic summary financial statements, which corresponds to the request for payment.

⚠ The periodic technical report will be 'locked for review' by the coordinator before its submission. Make sure the information in the continuous reporting module is up-to-date before the periodic report is 'locked for review'. Updates entered after this step will be included in the periodic report of the following period.

- Instructions and footnotes in blue will not appear in the text generated by the IT system.
- For options *[*in square brackets*]*: the option that applies must be chosen in the IT system. Options not chosen will automatically either not appear or appear as 'not applicable'.
- For fields in [grey in square brackets] (even if they are part of an option as specified in the previous item): enter the appropriate data in the IT system.
- Data in coloured fields will be prefilled by the IT tool.

PERIODIC REPORT

Grant Agreement number:	[insert Grant Agreement number]
Project[1] Acronym:	[insert acronym]
Project title:	[insert project title]
Start date of the project:	[insert dd/mm/yyyy]
Duration of the project:	[insert duration in months]
[Option for MSCA **Supervisor name:**	[insert name] *]*
[Option for MSCA **Researcher name:**	[insert name] *]*
Period covered by the report:	from [insert dd/mm/yyyy] to [insert dd/mm/yyyy]
Periodic report:	*[*1st*] [*2nd*] [*3rd*] [*4rd*]*
Date of submission of the periodic report:	[insert dd/mm/yyyy]
Version:	[insert number]
Project website[2] address:	[insert website address]
The report is elaborated on the basis of the:	- Original Grant agreement - Amended Grant Agreement through amendment n° [insert number]

(*)Table is completed automatically

[1] The term 'project' used in this template equates to an 'action' in certain other Horizon 2020 documentation
[2] The home page of the website should contain the European flag which are available in electronic format at the Europa website (European flag: http://europa.eu/abc/symbols/emblem/index_en.htm) and the Horizon 2020 programme name.

1. Summary for publication

1.1 Summary of the context and overall objectives of the project

This section must be completed on-line with suitable quality to enable direct publication by the Commission/Agency. It should be easy to read i.e. written in a language easily understandable by a broader public, thereby promoting the dissemination and supporting the exploitation of EU funded results. It should preferably not exceed 7480 characters (equivalent to two pages of a text document). This part must not contain any confidential data.

The summary for publication must be drafted as a "stand-alone" text. No references should be made to other parts of the report. References can be made only to publicly available information.

Beside the summary filled within the tool, diagrams or photographs illustrating and promoting the work of the project can be provided (only as images)[3].

1.2 Work performed from the beginning of the project to the end of the period covered by the report and main results achieved so far

This section must be completed on-line (see above).

1.3 Progress beyond the state of the art, expected results until the end of the project and potential impacts (including the socio-economic impact and the wider societal implications of the project so far)

This section must be completed on-line (see above) .

[3] Any rights of third parties must be cleared in advance in accordance with the GA.

2. Deliverables

Del. no.	Deliverable name	WP no.	Lead beneficiary	Type	Dissemin. level	Delivery date from Annex 1	Actual delivery date	If deliverable not submitted on time: Forecast delivery date if appropriate	Status	Comments
[insert deliverable number]	[insert deliverable name]	[insert WP number]	[insert beneficiary short name]	[R] [DEM] [DEC] [OTHER]	[PU] [CO] [CI]	[insert month number]	[insert dd/mm/yyyy]	[insert dd/mm/yyyy]	[Not submitted] [Request for revision] [Not assessed yet] [Not valid] [Accepted]	[insert comments]

(*) Data in coloured fields will be prefilled by the IT tool.

3. Milestones

Milest. no.	Milestone title	Related WP(s) no.	Lead beneficiary	Delivery date from Annex 1	Means of verification	Achieved	If not achieved Forecast achievement date	Comments
[insert MS number]	[insert milestone name]	[insert WP number]	[insert beneficiary short name]	[insert dd/mm/yyyy]	[insert means of verification as in Annex 1]	[YES] [NO]	[insert dd/mm/yyyy]	[insert comment if needed]

(*) Data in coloured fields will be prefilled by the IT tool.

4. Ethical Issues (if applicable)

Ethic deliverables	Due date of the compliance of the ethic deliverables	Report of the independent ethics advisor/ advisory board if applicable	Comments
[insert requirement as in Annex 1]	[insert dd/mm/yyyy]	[Not submitted] [Submitted]	[insert comment

(*) Data in coloured fields will be prefilled by the IT tool.

5. Critical implementation risks and mitigation actions

At the end of each period beneficiaries should give the state of play of every risk identified in Annex 1 and if necessary give new mitigation measures.

Foreseen Risks

The following table lists the Risks identified in Annex 1. The table is read-only and it is provided as a reference for the State of Play table below.

Risk Number	Description of Risk	Work Packages Concerned	Proposed risk-mitigation measures
[insert risk number as in Annex 1]	[insert risk description as in Annex 1]	[insert WP number]	[insert mitigation measure as in Annex 1]

(*) Data in coloured fields will be prefilled by the IT tool.

Unforeseen Risks

.

Risk Number	Description of Risk	Work Packages Concerned	Proposed risk-mitigation measures
[insert unforeseen risk number]	[insert risk description]	[insert WP number]	[insert mitigation measure]

States of the Play for Risk Mitigation

Risk Number	Period	Did you apply risk mitigation measures?	Did your risk materialise?	Comments
[risk number]	[period number]	*[*YES*]* *[*NO*]*	*[*YES*]* *[*NO*]*	[insert comment if needed; mandatory if the risk mitigation measures have not been applied]

6. Dissemination and exploitation of results

6.1 Scientific publications

Publications accessible via OpenAIRE will be displayed automatically. Beneficiaries will only need to check if the publications are linked to the project.

In case of publications not registered via OpenAIRE, the beneficiary encodes the Digital Object Identifier (DOI) and all the rest of information is complete automatically.

Type of scientific publication	**Title of the scientific publication**	**DOI**	**ISSN or eSSN**	**Authors**	**Title of the journal or equivalent**	**Number, date**	**Publisher**	**Place of publication**	**Year of publication**	**Relevant pages**	**Public & private publication**[4]	**Peer-review**	**Is/Will open access provided to this publication**
[Article in journal] [Publication in conference proceeding/workshop] [Books/Monographs] [Chapters in books] [Thesis/dissertation]	[insert title of the publication]	[insert DOI reference]	[insert ISSN or eSSN number]	[insert authors' name(s)]	[insert title of the journal]	[insert number of the journal] [insert month of the publication] [insert year of the publication]	[insert name of the publisher]	[insert place of publication]	[insert year of the publication]	[insert first page of the publication] - [insert last page of the publication]	[YES] [NO]	[YES] [NO]	[Yes - Green OA [insert the length of embargo if any]] [Yes - Gold OA [insert the amount of processing charges in EUR if any]] [NO]

(*) Data to be completed only if DOI not available.

[4] Both the joint publications coming from academic and corporate project participants as well as joint publications of project participants with academic/corporate organisations outside the consortium (as long as they are related to the funded project) should be reported.

6.2 Dissemination and communication activities

List only activities directly linked to the project.

Type of dissemination and communication activities	Number
[Organisation of a Conference] [Organisation of a workshop] [Press release] [Non-scientific and non-peer reviewed publications (popularised publications)] [Exhibition] [Flyers] [Training] [Social media] [Web-site] [Communication campaign (e.g radio, TV)] [Participation to a conference] [Participation to a workshop] [Participation to an event other than a conference or workshop] [Video/film] [Brokerage event] [Pitch event] [Trade fair] [Participation in activities organised jointly with other H2020 project(s)] [Other]	[insert number of activities]
Total funding amount	[insert amount in EUR]

(*) One row per type of activity selected from the drop-down menu in the IT tool.

Type of audience reached **In the context of all dissemination & communication activities** ('multiple choices' is possible)	**Estimated Number of persons reached**
[Scientific Community (higher education, Research)] [Industry] [Civil Society] [General Public] [Policy makers] [Medias] [Investors] [Customers] [Other]	[insert number]

(*) One row per type of activity selected from the drop-down menu in the IT tool.

6.3 Intellectual property rights resulting from the project

Type of IP Rights	Application reference	Date of the application	Official title of the application	Applicant(s)	Has the IPR protection been awarded?	If available, official publication number of award of protection
[Patent] [Trademark] [Registered design] [Utility model] [Other]	*[Option for international applications of patents* [insert IP international organisation code] [insert serial number]] *[Option for national applications of patents* [insert country code (two letters)] [insert serial number]] *[Option for other registered IPR* [insert application reference country code (two letters) or organisation code)] [insert alfa numeric identifier]]	[insert dd/mm/yyyy]	[insert title of the application]	[insert beneficiary(ies) name]	[YES] [NO] [No applicable]	*[Option for patents* [insert code (two letters referring to a country or organisation)] [insert serial number]] *Option for rest* [insert official publication number]]

(*) By encoding the application reference part of the data will be automatically completed.

6.4 Innovation

Explanation on the terminology used can be found in the Online Manual.

[Option for LEIT, and societal challenges, including FTI, JUs and SME Instrument Does the project include the following activities and if so how many of each?

Activities developed within the project	Number
Prototypes	[insert number]
Testing activities (feasibility/demo)	[insert number]
Clinical trials	[insert number]

Will the project lead to launching one of the following into the market (several possible):

New product (good or service)	*[*YES*]* *[*NO*]*
New process	*[*YES*]* *[*NO*]*
New method	*[*YES*]* *[*NO*]*

]

[Option for LEIT and societal challenges, including FTI, JUs and SME Instrument How many private companies in your project have introduced or are planning to introduce innovations (within the project lifetime or 3 years thereafter):

	Total Number of companies	Number of SMEs
Companies introducing innovation(s) new to the market	[insert number]	[insert number of SMEs]
Companies introducing innovation(s) only new to the company	[insert number]	[insert number of SMEs]

]

7. Impact on SMEs

[Option for all projects with an SME

SME Name	Turnover of the company at the beginning of the project/most recent accountability period from the beginning of the project	Number of employees at the beginning of the project/ most recent accountability period from the beginning of the project	Turnover of the company at the most recent accountability period	Number of employees at the most recent accountability period
[insert name of SME]	[insert amount from database (pre-filled if information is available, otherwise the user will need to enter the information manually]	[insert amount from database (pre-filled if information is available, otherwise the user will need to enter the information manually]	[insert amount]	[insert number]

(*) Data in coloured fields will be prefilled by the IT tool.

]

[Option for SME Instrument only

Please fill in the table with your estimated forecasts for turnover and employment for the next 3 years (for the multi-beneficiaries project the coordinator should provide figures for the whole project consortium).

	1 year after project completion	2 years after project completion	3 years after project completion
Turnover (€)	[insert amount]	[insert amount]	[insert amount]
Employment (Headcounts)	[insert number]	[insert number]	[insert number]

]

[Option mandatory for all projects not opting out of the extended 'Open research data pilot' (now covering all of Horizon 2020)

8. Open Research Data

More information on Data Management Plans (DMPs) in the Online Manual.

Digital Object Identifier, DOI (if available)	Title/Identifier (if no DOI available)	Is this dataset Openly accessible[5]?	Is this dataset re-usable[6]	If the dataset is linked to a publication, specify the DOI of the publication
[insert DOI reference]	[insert title or identifier]	*[*YES*]* *[*NO*]*	*[*YES*]* *[*NO*]*	[insert DOI reference of the publication]

]

[5] Accessible means Open Access defined as free of charge access for anyone via Internet. Answer "yes" if the open access to the data is already established or if it will be established after an embargo period.

[6] Re-usability has 2 aspects: 1) technical: the technical standards used are compatible 2) legal: the necessary rights are in place for other users to use the dataset.

9. Gender

Gender of researchers and other workforce[7] involved in the project

Beneficiaries	Number Women researchers[8] (all levels, incl. postdocs and PhD students)	Number Men researchers[8] (all levels, incl. postdocs and PhD students)	Number Women in the workforce other than researchers	Number Men in the workforce other than researchers
[insert name of beneficiary]	[insert number]	[insert number]	[insert number]	[insert number]

(*) Data in coloured fields will be prefilled by the IT tool.

Gender dimension in the project

Does the project include a gender dimension in research content[9]? *[*YES*][*NO*]*

[7] Figures must be provided in Head Count.

[8] Researchers are professionals engaged in the conception or creation of new knowledge. They conduct research and improve or develop concepts, theories, models, techniques instrumentation, software or operational methods. (Frascati Manual (2015): §5.35).

[9] Gender dimension in research content means taking into account as relevant the biological characteristics and the social and cultural features of women and men in the content of the research itself. It does not refer to the gender balance in research team participating to the research project.

[Option only available for projects under "Science with and for Society" (SWAFS)

10. Science with and for Society

More information on definition of "institutional change" and responsible research and innovation (RRI) approach in the Online Manual.

Institutional changes	Intended target of the project (multiple answers possible)	Beneficiaries
[Develop Gender Equality Plans / measures] [Develop material for integration of science and society in curricula (e.g. covering STEM, public engagement, ethics, gender)] [Help uphold human rights and high general ethical standards, by adoption, development and/or implementation of codes of conduct, ethical review, etc.] [Develop activities to anticipate the potential social, environmental, and economic impacts of research (e.g. risk assessment, TA, foresight, Impact assessment, gender analysis)] [Develop a Social Corporate Responsibility dimension to foster responsible innovation] [Help develop R&I standards that enhance social responsibility, inclusiveness, sustainability of R&I processes and products] [Enlarge the scope of R&I activities by fostering informal science education (museums, science centres), promoting citizen science, engaging civil society actors and citizens] [Engage with multiple stakeholders for R&I decision making at local, national, regional EU or global level] [Foster open science and open access to scientific results and data (e.g. on-line open notebooks, open educational resources, open data, etc.)] [Other [insert specification]]	[The project itself / the project's host] [Universities overall] [Research performing organisation] [Public authorities] [International organisations] [Researchers] [Businesses and Industry R&D] [Citizens and NGOs] [Other]	[insert name of beneficiary]

(*) One row per type of institutional change selected from the drop-down menu in the IT tool.

]

[Option for Projects under societal challenge 3"Secure, clean and efficient energy"

11. Energy

Indicators	*Calls under Societal challenge 3 "Secure, clean and efficient energy"*	Results
[Option for projects under the calls "Energy efficiency" and "Smart cities and communities" only 1- Primary energy savings triggered by the project funded.*]*	*For projects under the call "Energy efficiency" and the call "Smart cities and communities" only.*	[insert amount (quantification (GWh/year per million €)]
[Option for projects under the calls "Energy efficiency" and "Competitive low-carbon energy 2- Total additional investments in sustainable energy triggered by the project within its duration. *]*	*Investments triggered by projects under the call "Energy efficiency" and investments triggered by projects under the call "Competitive low-carbon energy".*	[insert amount in Mio €]
[Option for projects under the call "Smart cities and communities" only 3- City investments - Total additional investment for prototypes or roll-out of innovative SCC concepts, business models, technologies and infrastructures (specifically in Follower Cities) triggered by the project.*]*	*For projects under the call "Smart cities and communities" only.*	[insert amount in Mio €]

]

[Option for Projects on Infrastructures

12. Infrastructures

List of users

Researchers who have trans-national access to research infrastructures through Union support

Researcher			Employing organisation/Home institution			User-project acronym	Activity Domain (Discipline)	Installations used by the researcher (*)		
Name	**Gender**	**Nationality**	**Name**	**Legal Status**	**Country**			**Infrastructure Short Name**	**Installation ID**	**Installation Short Name**
[insert first name] [insert last name]	*[*M*]* *[*F*]*	[insert nationality]	[insert name of organisation]	*[*UNI *University and other higher education organisations]* [RES *Public research organisation (including international research organisation as well as private research organisation controlled by a public authority)]* *[*SME*]* *[*PRV *Other Industrial and/or profit Private organisation]* *[*OTH*]*	[insert country]	[insert acronym]	*[*Physics*]* *[*Chemistry*]* *[*Life Sciences & Biotech*]* *[*Earth Sciences & Environment*]* *[*Engineering & Technology*]* *[*Mathematics*]* *[*Information & Communication Technologies*]* *[*Material Sciences*]* *[*Energy*]* *[*Social Sciences*]* *[*Humanities*]*	[insert Short Name of the infrastructure (as in Annex I) to which the first installation used by the researcher belongs]	[insert ID of the first installation used by the researcher (as in Annex I)]	[insert Short Name of the first installation used by the researcher (as in Annex I)]
								(*) add as many rows as installations		

Research infrastructures made accessible to all researchers in Europe and beyond through EU support and summary of trans-national access provision per installation per reporting period (RP)

Participant number	Organisation short name	Short name of infrastructure	Installation		Unit of access	Min. quantity of access to be provided in Annex I (A)	Access provided in RP1	Access provided in RP2	Access provided in RP3	Access provided in RP4	Total access provided (B)	Difference (B-A)
			Number	Short name								
[insert participant name]	[insert organisation short name]	[insert infrastructure short name as in Annex 1]	[insert installation number as in Annex 1]	[insert installation short name as in Annex 1]	[insert unit of access as in Annex 1]	[insert number as in Annex 1]	[insert number]	[insert number]	[insert number]	[insert number]	[insert TOTAL number]	[insert number]

(*) Data in coloured fields will be prefilled by the IT tool.

Researchers who have access to research e-infrastructures through Union support

e-infrastructure name	e-infrastructure service	Activity Domain (Discipline)	Maximum possible number of users	Nr of actual users by max possible number in P1 (%)	Nr of actual users by max possible number in P2 (%)	Nr of actual users by max possible number in P3 (%)	Nr of actual users by max possible number in P4 (%)
[insert e-infrastructure name]	[insert e-infrastructure service]	[Physics] [Chemistry] [Life Sciences & Biotech] [Earth Sciences & Environment] [Engineering & Technology] [Mathematics] [Information & Communication Technologies] [Material Sciences] [Energy] [Social Sciences] [Humanities]	[insert number]	[insert percentage]	insert percentage]	insert percentage]	insert percentage]

]

Project[10] Number: [insert project reference number]

Project Acronym: [insert acronym]

Project title: [insert project title]

Periodic Technical Report

Part B

Period covered by the report: from [insert dd/mm/yyyy] to [insert dd/mm/yyyy]

Periodic report: *[*1st*]* *[*2nd*]* *[*3rd*]* *[*4rd*]*

[10] The term 'project' used in this template equates to an 'action' in certain other Horizon 2020 documentation

1. Explanation of the work carried out by the beneficiaries and Overview of the progress

- Explain the work carried out during the reporting period in line with the Annex 1 to the Grant Agreement.
- Include an overview of the project results towards the objective of the action in line with the structure of the Annex 1 to the Grant Agreement including summary of deliverables and milestones, and a summary of exploitable results and an explanation about how they can/will be exploited[11].

  (No page limit per workpackage but report shall be concise and readable. Any duplication should be avoided).

1.1 Objectives

List the specific objectives for the project as described in section 1.1 of the DoA and described the work carried out during the reporting period towards the achievement of each listed objective. Provide clear and measurable details.

1.2 Explanation of the work carried per WP

1.2.1 Work Package 1

Explain the work carried out in WP1 during the reporting period giving details of te work carried out by each beneficiary involved.

1.2.2 Work package 2

Etc.

1.3 Impact

Include in this section whether the information on section 2.1 of the DoA (how your project will contribute to the expected impacts) is still relevant or needs to be updated. Include further details in the latter case.

[Option for Projects on Access to Research Infrastructures

1.4. Access provisions to Research Infrastructures

If access to research infrastructures has been provided under the grant please include access provision activities.

Trans-national Access Activities (TA)

[11] Beneficiaries that have received Union funding, and that plan to exploit the results generated with such funding primarily in third countries not associated with Horizon 2020, should indicate how the Union funding will benefit Europe's overall competitiveness (reciprocity principle), as set out in the grant agreement.

Provide for the set of TA Work Packages, the integrated information described below.

Description of the publicity concerning the new opportunities for access

In the first periodic report describe the measures taken to publicise to research teams throughout Europe the opportunities for access open to them under the Grant Agreement. In the following periodic reports indicate only additional measures and changes.

Description of the selection procedure

In the first periodic report, describe the procedure used to select users: organisation of the Selection Panel, any additional selection criteria[12] employed by the Selection Panel, measures to promote equal opportunities, etc. Specify if feedback is given to rejected applicants and in which form. In the following periodic reports indicate only changes to the existing procedure.

The list of the Selection Panel members should be maintained and update when necessary in order to prove that the panel is composed following the conditions indicated in Article 16.1 of the GA[13]. The Commission reserves the right to request this list at any time.

Indicate number, date and venue (if not carried out remotely) of the meetings of the Selection panel during the reporting period.

Provide integrated information on the selection of user projects and on the scientific output of supported users. In particular indicate the number of eligible User projects submitted in the reporting period and the number of the selected ones taking into account only calls for which the selection has been completed in the reporting period. Indicate also the number of user projects, started and supported in the reporting period, which have a majority of users not working in an EU or associated country

Description of the Trans-national Access activity

Give an overview of the user-projects[14] and users supported in the reporting period indicating their number, their scientific fields and other relevant information you may want to highlight. You should maintain the list of the user-projects for which costs have been incurred in the reporting period. A user-project can run over more than one reporting period. In this case it should be inserted in the list of each concerned reporting period.

The list of user-projects must include, for each user-project, the acronym, objectives, as well as the amount of access granted to it on each installation used by the user-project in the reporting period. When the user-project is completed in the reporting period the list should also include a short description of the work carried out. The Commission reserves the right to request this list at any time.

In addition you must fill the following tables (in Part A to be filled in the IT tool):

- List of users: Researchers who have access to research infrastructures/installations (one or more) through Union support under the grant either in person (through visit) or through remote access;

[12] See article 16.1 of the Grant Agreement.

[13] The selection panel must be composed of international experts in the field, at least half of them independent from the beneficiaries, unless otherwise specified in Annex 1.

[14] A user-project is a proposal for access submitted by a user group to the consortium to be evaluated by the Selection Panel.

- Research infrastructures made accessible to all researchers in Europe and beyond through EU support and summary of trans-national access provision per installation per reporting period indicate for each installation providing trans-national access under the project the quantity of access actually provided in the Reporting Period (expressed in the unit of access defined in Annex 1 for that specific installation).

Scientific output of the users at the facilities

Give highlights of important research results from the user-projects supported under the grant agreement. Indicate the number and the type of publications derived by user-projects supported under the grant taking into account only publications that acknowledge the support of this EU grant.

You should maintain a list of publications that have appeared in journals (or conference proceedings) during the reporting period and are resulting from work carried out under the Trans-national Access activity. List only publications that acknowledge the support of the European Community. For each publication indicate: the acronyms of the user-projects that have led to the publication itself, the authors, the title, the year of publication, the type of publication (Article in journal, Publication in conference proceeding/workshop, Book/Monograph, Chapters in book, Thesis/dissertation, whether it has been peer-reviewed or not, the DoI (Digital Object Identifier), the publication references, and whether the publication is available under Open Access or not. The Commission reserves the right to request this list at any time.

User meetings

If any user meetings have been organised in the reporting period, indicate for each of them the date, the venue, the number of users attending the meeting and the overall number of attendees.

Virtual Access Activities (VA)

Provide for the set of VA Work Packages, the integrated information described below..

Provide statistics on the virtual access in the period by each installation, including quantity, geographical distribution of users and, whenever possible, information/statistics on scientific outcomes (publications, patents, etc.) acknowledging the use of the infrastructure.

As indicated in Art. 16.2, the access providers must have the virtual access services assessed periodically by a board composed of international experts in the field, at least half of whom must be independent from the beneficiaries. In the first periodic report, describe how the virtual access providers will comply with this obligation. In the following periodic reports indicate only changes to the existing procedure.

When an assessment is scheduled under the reporting period, the assessment report must be submitted as deliverable.

1.5 Resources used to provide access to Research Infrastructures

For virtual or trans-national access costs reported as actual costs include, for each access provider, information on how many of the Person Months (PM) reported in the use of resources linked to the financial statements have been used to provide access and explain for which task (e.g. scientific support to users, …).

Beneficiary/Linked Third Party short name	Installation(s)	PM	Explanations of tasks

Information on individual subcontracts must be reported in the use of resources linked to the financial statements in the IT tool. Please mention in the comments field of each subcontract whether it is related to virtual or trans-national access. In addition, all other direct costs items related to virtual or trans-national access must be detailed in the use of resources linked to the financial statements in the IT tool, even if they do not exceed 15% of personnel costs.

]

2. Update of the plan for exploitation and dissemination of result (if applicable)

Include in this section whether the plan for exploitation and dissemination of results as described in the DoA needs to be updated and give details.

3. Update of the data management plan (if applicable)

Include in this section whether the data management plan as described in the DoA needs to be updated and give details.

4. Follow-up of recommendations and comments from previous review(s) (if applicable)

Include in this section the list of recommendations and comments from previous reviews and give information on how they have been followed up.

5. Deviations from Annex 1 and Annex 2 (if applicable)

Explain the reasons for deviations from the DoA, the consequences and the proposed corrective actions.

5.1 Tasks

Include explanations for tasks not fully implemented, critical objectives not fully achieved and/or not being on schedule. Explain also the impact on other tasks on the available resources and the planning.

5.2 Use of resources (not applicable for MCSA)

Include explanations on deviations of the use of resources between actual and planned use of resources in Annex 1, especially related to person-months per work package.

Include explanations on transfer of costs categories (if applicable).

Include explanations on adjustments to previous financial statements (if applicable).

5.2.1 Unforeseen subcontracting (if applicable) (not applicable for MCSA)

Specify in this section:

a) the work (the tasks) performed by a subcontractor which may cover only a limited part of the project;
b) explanation of the circumstances which caused the need for a subcontract, taking into account the specific characteristics of the project;
c) the confirmation that the subcontractor has been selected ensuring the best value for money or, if appropriate, the lowest price and avoiding any conflict of interests.

5.2.2 Unforeseen use of in kind contribution from third party against payment or free of charges (if applicable) (not applicable for MCSA)

Specify in this section:

d) the identity of the third party;
e) the resources made available by the third party respectively against payment or free of charges
f) explanation of the circumstances which caused the need for using these resources for carrying out the work.

Periodic Financial Report

Individual financial statements (Annex 4 to the GA). More information in the Online Manual. The IT tool will show the applicable financial statement to your type of action.

Ⓘ print format A4 landscape

MODEL ANNEX 4 FOR H2020 GENERAL MGA — MULTI

FINANCIAL STATEMENT FOR *[BENEFICIARY [name]/ LINKED THIRD PARTY [name]]* FOR REPORTING PERIOD [reporting period]

	Eligible[1] costs (per budget category)														Receipts					Additional information
	A. Direct personnel costs				B. Direct costs of subcontracting	*[C. Direct costs of fin. support]*	D. Other direct costs			E. Indirect costs[2]	*[F. Costs of ...]*			Total costs	Receipts	Reimbursement rate %	Maximum EU contribution[3]	Requested EU contribution		Information for indirect costs :
	A.1 Employees (or equivalent) A.2 Natural persons under direct contract A.3 Seconded persons *[A.6 Personnel for providing access to research infrastructure]*		A.4 SME owners without salary A.5 Beneficiaries that are natural persons without salary			*[C.1 Financial support]* *[C.2 Prizes]*	D.1 Travel D.2 Equipment D.3 Other goods and services	*[D.4 Costs of large research infrastructure]*	D.5 Costs of internally invoiced goods and services		*[F.1 Costs of ...]*		*[F.2 Costs of ...]*		Receipts of the action, to be reported in the last reporting period, according to Article 5.3.3					Costs of in-kind contributions not used on premises
Form of costs[4]	Actual	Unit	Unit		Actual	Actual	Actual	Actual	Unit	Flat-rate[5] 25%	Unit		*[Unit][Lump sum]*							
	a	Total b	No hours	Total c	d	*[e]*	f	*[g]*	Total h	i=0,25 x (a+b+c+f+[g] + h+ [j1][6] +[j2][6] -p)	No units	Total *[j1]*	Total *[j2]*	k = a+b+c+d+*[e]* +f +*[g]* +h+ i + *[j1]* +*[j2]*	l	m	n	o		p
[short name beneficiary/linked third party]																				

The beneficiary/linked third party hereby confirms that:
The information provided is complete, reliable and true.
The costs declared are eligible (see Article 6).
The costs can be substantiated by adequate records and supporting documentation that will be produced upon request or in the context of checks, reviews, audits and investigations (see Articles 17, 18 and 22).
For the last reporting period: that all the receipts have been declared (see Article 5.3.3).

Ⓘ Please declare all eligible costs, even if they exceed the amounts indicated in the estimated budget (see Annex 2). Only amounts that were declared in your individual financial statements can be taken into account lateron, in order to replace other costs that are found to be ineligible.

[1] See Article 6 for the eligibility conditions

[2] The indirect costs claimed must be free of any amounts covered by an operating grant (received under any EU or Euratom funding programme; see Article 6.2.E). If you have received an operating grant during this reporting period, you cannot claim indirect costs unless you can demonstrate that the operating grant does not cover any costs of the action.

[3] This is the *theoretical* amount of EU contribution that the system calculates automatically (by multiplying the reimbursement rate by the total costs declared). The amount you request (in the column 'requested EU contribution') may be less,

[4] See Article 5 for the form of costs

[5] Flat rate : 25% of eligible direct costs, from which are excluded: direct costs of subcontracting, costs of in-kind contributions not used on premises, direct costs of financial support, and unit costs declared under budget category F if they include indirect costs (see Article 6.2.E)

[6] Only specific unit costs that do not include indirect costs

Report on Explanations on the use of resources (not applicable for MCSA)

A report on explanations on the use of resources per beneficiary. The report is generated automatically with the information inserted by the beneficiary at the time the financial statements are completed in the IT tool.

Project Number	[project number]
Acronym	[acronym]
Period Number	[1st] [2nd] [3rd] [4rd]
Period covered	From [dd/mm/yyyy] to [dd/mm/yyyy]

Beneficiary Number	[beneficiary number]
Beneficiary Short Name	[beneficiary short name]

Direct personnel costs

1. Direct personnel costs declared as actual costs (When direct personnel costs are reported in the financial statement, a pop-up window will appear in the IT tool requesting to give information of the amount on person months per WP).

Person months	**Associated WP**
[insert number pm]	WP1
[insert number pm]	WP2
[insert number pm]	WP3
[insert number pm]	(etc.)

2. Direct personnel costs declared as unit costs (When direct personnel costs are reported as unit costs, including unit costs for SME owners without a salary and beneficiaries that are natural persons without a salary, in the financial statement, a pop-up window will appear in the IT tool requesting to give information on the amount of person months per WP).

Person months	**Associated WP**
[insert number pm]	WP1
[insert number pm]	WP2
[insert number pm]	WP3
[insert number pm]	(etc.)

3. Use of in kind contribution from third party (When direct personnel costs are reported – as actual or unit costs - in the financial statement, the pop-up window used to give information on the amount of person months per WP will also request details about the use of in kind contribution from third party: the costs, the name and type of the third party and whether the costs were foreseen in Annex 1 or not. Further explanations are mandatory if costs were not foreseen in Annex 1).

.

Third Party name	Type	Foreseen in Annex 1	Explanations (if not foreseen in Annex 1)	Costs
[insert name]	[Free of charge] [Against payment]	[YES] [NO]	[insert comment]	[insert amount in EUR]
One row per third party				
TOTAL				[insert amount in EUR]

Direct costs of subcontracting

(When subcontracting costs are reported in the financial statement, a pop-up window will appear in the IT tool requesting to give information on the costs, description of the subcontract and if the subcontract was foreseen in Annex 1 or not. Further explanations are mandatory if subcontract not foreseen in Annex 1).

Description	Foreseen in Annex 1	Explanations (if not foreseen in Annex 1)	Costs
[insert comment]	[YES] [NO]	[insert comment]	[insert amount in EUR]
One row per subcontract			
TOTAL			[insert amount in EUR]

Direct costs of providing financial support to third parties

(When direct costs of financial support to third parties (cascade funding) are reported in the financial statement, a pop-up window will appear in the IT tool requesting to give information on the costs and their description).

Description	Costs
[insert comment]	[insert amount in EUR]
One row per item.	
TOTAL	[insert amount in EUR]

Other direct costs: 1. explanation of major actual cost items if the amount exceeds 15% of personnel costs; 2. Unit costs for internal invoicing

1. Other direct costs declared as actual costs: If actual costs declared under "other direct costs" are equal or less than 15% of claimed personnel costs for the beneficiary in each reporting period, no need to give any detail.

If actual costs declared under "other direct costs" are higher than 15% of claimed personnel costs for the beneficiary in each reporting period, major direct costs items need to be recorded in the pop-up window within the IT tool. The record of items must be up to the level that the remaining costs are below 15% of personnel costs, starting from the cost items of highest value in terms of cost amount. If costs were foreseen in the Annex 1 no further explanation is needed. If costs were not foreseen in Annex 1, further explanations are needed.

Short description	Category	Associated WP	Foreseen in Annex 1	Explanation (if not included in Annex 1)	Costs
[insert comment]	[Travel] [Equipment] [Other goods & services]	[insert WP number]	[YES] [NO]	[insert comment]	[insert amount in EUR]
One row per item					
TOTAL					[insert amount in EUR]

2. Other direct costs declared as unit costs (When unit costs for internally invoiced goods and services are reported in the financial statement, a pop-up window will appear in the IT tool requesting to give information on the costs and their description)..

Short description	Associated WP	Foreseen in Annex 1	Explanation (if not included in Annex 1)	Costs
[insert comment]	[insert WP number]	[YES] [NO]	[insert comment]	[insert amount in EUR]
One row per item				
TOTAL				[insert amount in EUR]

Other direct costs reported as use of in kind contribution from third party

Third Party name	Type	Category	Associated WP	Foreseen in Annex 1	Explanations (if not foreseen in Annex 1)	Costs
[insert name]	[Free of charge] [Against payment]	[Travel] [Equipment] [Other goods & services] [Internal invoicing]	[insert WP number]	[YES] [NO]	[insert comment]	[insert amount in EUR]
One row per item						

TOTAL	[insert amount in EUR]

HISTORY OF CHANGES		
VERSION	PUBLICATION DATE	CHANGE
1.0	15.07.2015	Initial version
1.1	14.09.2015	Table on section 12 on Research infrastructures has been corrected.
1.2	08.08.2016	Simplification of the question on energy. Question on gender: distinction between researchers and other work force. Corrections for MSCA.
1.3	27.03.2017	Modification of Part B for Research Infrastructures (RI) actions to include a table with the resources used to provide access to RI.
2.0	19.09.2017	Revision to include the new cost category in MGA v4.0 (other direct costs declared as units costs for internally invoiced goods and services)
2.1	19.12.2017	Update of part B of the template to include explanations on adjustments to financial statements declared on previous periods.

European Commission

H2020 Programme

Periodic and Final Reports Template (ERA-NET Cofund, PCP, PPI)

Version 2.1
19 December 2017

Disclaimer
This document is aimed at informing potential applicants for Horizon 2020 funding. It serves only as an example. The actual Web forms and templates, provided in the online reporting system under the Participant Portal, might differ from this example. Periodic and final reports must be prepared and submitted via the online reporting system under the Participant Portal.

Research and Innovation

Structure of the Periodic and Final Reports

The periodic report must be submitted by the coordinator within 60 days following the end of each reporting period.

ERA-NET Cofund

The first periodic report includes:

a) a periodic technical report
b) the ranking list(s) of the projects
c) the observers' report on the evaluation
d) the join selection list of the projects to be funded
e) from each beneficiary participating in the joint call, a formal and duly signed commitment on availability of funds (Annex 7 to the Grant Agreement (GA))
f) a statement on the use of the first pre-financing payment (Annex 8 to the GA), including the request for a second pre-financing payment.

In case of three pre-financing payments, the second periodic report includes:

a) a periodic technical report
b) a statement on the use of the second pre-financing payment (Annex 8 to the GA), including the request for a third pre-financing payment.

The final report includes:

a) a final technical report
b) a final financial report

PCP/PPI

The first periodic report includes:

a) a periodic technical report
b) call for tender documents
c) report of the outcome of the preparatory phase
d) from each beneficiary participating in the joint procurement, a formal and duly signed commitment on availability of resources (Annex 7 to the Grant Agreement (GA))
e) a statement on the use of the first pre-financing payment (Annex 8 to the GA), including the request for a second pre-financing payment.

In case of three pre-financing payments, the second periodic report includes:

a) a periodic technical report
b) a statement on the use of the second pre-financing payment (Annex 8 to the GA), including the request for a third pre-financing payment.

The final report includes:

a) a final technical report
b) a final financial report

The **periodic technical report** consists of two parts:

- **Part A** of the periodic technical report contains the cover page, a publishable summary and the answers to the questionnaire covering issues related to the project implementation and the economic and social impact, notably in the context of the Horizon 2020 key performance indicators and the Horizon 2020 monitoring requirements. 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 B** of the periodic technical report is the narrative part that includes explanations of the work carried out by the beneficiaries and an overview of the progress towards the objectives of the project. Part B needs to be uploaded as a PDF document following the template of Part B Periodic Technical report.

The **final technical report** consists of a publishable summary and it is **generated by the IT system based on the information entered by the participants through the continuous reporting module of the electronic exchange system in the Participant Portal**.

The **final financial report** consists of:

- Individual financial statements (Annex 4 to the GA) for each beneficiary;
- Explanation of the use of resources and the information on subcontracting and in-kind contributions provided by third parties from each beneficiary;
- A summary financial statement including the request for payment of the balance.
- A certificate on the financial statements (CFS) for each beneficiary (and linked third parties) if it requests a total contribution of EUR 325 000 or more, as reimbursement of actual costs and unit costs.

All the parts of the final financial report, with the exception of the CFS, are **generated by the IT system based on the information entered by the participants through the periodic reporting module of the electronic exchange system in the Participant Portal**. The CFS must be uploaded in this module as a PDF document.

Preparation and submission of periodic and final reports

- **Continuous reporting functionality** in the participant portal: it is activated at the time the project starts and it is continuously open for the beneficiaries to submit deliverables, to report on progress in achieving milestones, to follow up of critical risks, ethics issues, publications, communications activities, and the answers to the questionnaire on horizontal issues.

For ERA-NET Cofund the parts b, c and d of the periodic report:

b) the ranking list(s) of the projects
c) the observers' report on the evaluation
d) the join selection list of the projects to be funded

are submitted as deliverables through the continuous reporting module.

- **Periodic reporting functionality** in the participant portal: following the end of each reporting period the functionality of periodic reporting in the Participant Portal will be activated. While the periodic reporting session is open in the electronic exchange system:

- coordinator will be able to upload the **Part B of the periodic technical report** as a pdf document.
- each beneficiary participating in the joint call or procurement will be able to complete on-line a commitment on availability of funds (Annex 7 to the Grant Agreement (GA));
- coordinator will be able to complete on-line a statement on the use of the first (second) pre-financing payment (Annex 8 to the GA);
- For PCP/PPI coordinator will be able to upload the t as a pdf documents, parts b and c of the periodic report:
  b) call for tender documents
  c) report of the outcome of the preparatory phase
- For the final period: each participant will be able to complete on-line their own financial statement (and the financial report of their third parties, if any) including the explanations on the use of resources;

When the coordinator submits the periodic report, the IT tool will capture the information from the continuous reporting module in order to generate **the Part A of the periodic technical report**. The IT tool will consolidate the individual financial statements and it will generate automatically the report with explanations of the use of resources and the summary financial statements, which corresponds to the request for payment.

⚠ The periodic technical report will be 'locked for review' by the coordinator before its submission. Make sure the information in the continuous reporting module is up-to-date before the periodic report is 'locked for review'. Updates entered after this step will be included in the periodic report of the following period.

- **Instructions and footnotes in blue will not appear in the text generated by the IT system.**
- **For options *[*in square brackets*]*: the option that applies must be chosen in the IT system. Options not chosen will automatically either not appear or appear as 'not applicable'.**
- **For fields in [grey in square brackets] (even if they are part of an option as specified in the previous item): enter the appropriate data in the IT system.**
- **Data in coloured fields will be prefilled by the IT tool.**

PERIODIC REPORT

Grant Agreement number:	[insert Grant Agreement number]
Project[1] Acronym:	[insert acronym]
Project title:	[insert project title]
Start date of the project:	[insert dd/mm/yyyy]
Duration of the project:	[insert duration in months]
Period covered by the report:	from [insert dd/mm/yyyy] to [insert dd/mm/yyyy]
Periodic report:	*[*1st*] [*2nd*] [*3rd*]*
Date of submission of the periodic report:	[insert dd/mm/yyyy]
Version:	[insert number]
Project website[2] address:	[insert website address]
The report is elaborated on the basis of the:	- Original Grant agreement - Amended Grant Agreement through amendment n° [insert number]

(*)Table is completed automatically

[1] The term 'project' used in this template equates to an 'action' in certain other Horizon 2020 documentation

[2] The home page of the website should contain the European flag which are available in electronic format at the Europa website (European flag: http://europa.eu/abc/symbols/emblem/index_en.htm) and the Horizon 2020 programme name.

1. Summary for publication

1.1 Summary of the context and overall objectives of the project (for the final period, include the conclusions of the action)

This section must be completed on-line with suitable quality to enable direct publication by the Commission/Agency. It should be easy to read i.e. written in a language easily understandable by a broader public, thereby promoting the dissemination and supporting the exploitation of EU funded results. It should preferably not exceed 7480 characters (equivalent to two pages of a text document). This part must not contain any confidential data.

The summary for publication must be drafted as a "stand-alone" text. No references should be made to other parts of the report. References can be made only to publicly available information.

Beside the summary filled within the tool, diagrams or photographs illustrating and promoting the work of the project can be provided (only as images)[3].

1.2 Work performed from the beginning of the project to the end of the period covered by the report and main results achieved so far (for the final period please include an overview of the results and their exploitation and dissemination)

This section must be completed on-line (see above).

1.3 Progress beyond the state of the art and expected potential impact (including the socio-economic impact and the wider societal implications of the project so far)

This section must be completed on-line (see above) .

[3] Any rights of third parties must be cleared in advance in accordance with the GA.

2. Deliverables

Del. no.	Deliverable name	WP no.	Lead beneficiary	Type	Dissemin. level	Delivery date from Annex 1	Actual delivery date	If deliverable not submitted on time: Forecast delivery date if appropriate	Status	Comments
[insert deliverable number]	[insert deliverable name]	[insert WP number]	[insert beneficiary short name]	[R] [DEM] [DEC] [OTHER]	[PU] [CO] [CI]	[insert month number]	[insert dd/mm/yyyy]	[insert dd/mm/yyyy]	[Not submitted] [Request for revision] [Not assessed yet] [Not valid] [Accepted]	[insert comments]

(*) Data in coloured fields will be prefilled by the IT tool.

3. Milestones

Milest. no.	Milestone title	Related WP(s) no.	Lead beneficiary	Delivery date from Annex 1	Means of verification	Achieved	If not achieved Forecast achievement date	Comments
[insert MS number]	[insert milestone name]	[insert WP number]	[insert beneficiary short name]	[insert dd/mm/yyyy]	[insert means of verification as in Annex 1]	[YES] [NO]	[insert dd/mm/yyyy]	[insert comment if needed]

(*) Data in coloured fields will be prefilled by the IT tool.

4. Ethical Issues (if applicable)

Ethic deliverables	Due date of the compliance of the ethic deliverables	Report of the independent ethics advisor/ advisory board if applicable	Comments
[insert requirement as in Annex 1]	[insert dd/mm/yyyy]	[Not submitted] [Submitted]	[insert comment

(*) Data in coloured fields will be prefilled by the IT tool.

5. Critical implementation risks and mitigation actions

At the end of each period beneficiaries should give the state of play of every risk identified in Annex 1 and if necessary give new mitigation measures.

Foreseen Risks

The following table lists the Risks identified in Annex 1. The table is read-only and it is provided as a reference for the State of Play table below.

Risk Number	Description of Risk	Work Packages Concerned	Proposed risk-mitigation measures
[insert risk number as in Annex 1]	[insert risk description as in Annex 1]	[insert WP number]	[insert mitigation measure as in Annex 1]

(*) Data in coloured fields will be prefilled by the IT tool.

Unforeseen Risks

.

Risk Number	Description of Risk	Work Packages Concerned	Proposed risk-mitigation measures
[insert unforeseen risk number]	[insert risk description]	[insert WP number]	[insert mitigation measure]

States of the Play for Risk Mitigation

Risk Number	Period	Did you apply risk mitigation measures?	Did your risk materialise?	Comments
[risk number]	[period number]	[YES] [NO]	[YES] [NO]	[insert comment if needed; mandatory if the risk mitigation measures have not been applied]

6. Dissemination and exploitation of results

6.1 Scientific publications

Publications accessible via OpenAIRE will be displayed automatically. Beneficiaries will only need to check if the publications are linked to the project.

In case of publications not registered via OpenAIRE, the beneficiary encodes the Digital Object Identifier (DOI) and all the rest of information is complete automatically.

Type of scientific publication	Title of the scientific publication	DOI	ISSN or eSSN	Authors	Title of the journal or equivalent	Number, date	Publisher	Place of publication	Year of publication	Relevant pages	Public & private publication[4]	Peer-review	Is/Will open access provided to this publication
[Article in journal] [Publication in conference proceeding/workshop] [Books/Monographs] [Chapters in books] [Thesis/dissertation]	[insert title of the publication]	[insert DOI reference]	[insert ISSN or eSSN number]	[insert authors' name(s)]	[insert title of the journal]	[insert number of the journal] [insert month of the publication] [insert year of the publication]	[insert name of the publisher]	[insert place of publication]	[insert year of the publication]	[insert first page of the publication] - [insert last page of the publication]	[YES] [NO]	[YES] [NO]	[Yes - Green OA [insert the length of embargo if any]] [Yes - Gold OA [insert the amount of processing charges in EUR if any]] [NO]

(*) Data to be completed only if DOI not available.

[4] Both the joint publications coming from academic and corporate project participants as well as joint publications of project participants with academic/corporate organisations outside the consortium (as long as they are related to the funded project) should be reported.

6.2 Dissemination and communication activities

List only activities directly linked to the project.

Type of dissemination and communication activities	Number
[Organisation of a Conference] [Organisation of a workshop] [Press release] [Non-scientific and non-peer reviewed publications (popularised publications)] [Exhibition] [Flyers] [Training] [Social media] [Web-site] [Communication campaign (e.g radio, TV)] [Participation to a conference] [Participation to a workshop] [Participation to an event other than a conference or workshop] [Video/film] [Brokerage event] [Pitch event] [Trade fair] [Participation in activities organised jointly with other H2020 project(s)] [Other]	[insert number of activities]
Total funding amount	[insert amount in EUR]

(*) One row per type of activity selected from the drop-down menu in the IT tool.

Type of audience reached In the context of all dissemination & communication activities ('multiple choices' is possible)	Estimated Number of persons reached
[Scientific Community (higher education, Research)] [Industry] [Civil Society] [General Public] [Policy makers] [Medias] [Investors] [Customers] [Other]	[insert number]

(*) One row per type of activity selected from the drop-down menu in the IT tool.

6.3 Intellectual property rights resulting from the project

Type of IP Rights	Application reference	Date of the application	Official title of the application	Applicant(s)	Has the IPR protection been awarded?	If available, official publication number of award of protection
[Patent] [Trademark] [Registered design] [Utility model] [Other]	[Option for international applications of patents [insert IP international organisation code] [insert serial number]] [Option for national applications of patents [insert country code (two letters)] [insert serial number]] [Option for other registered IPR [insert application reference country code (two letters) or organisation code)] [insert alfa numeric identifier]]	[insert dd/mm/yyyy]	[insert title of the application]	[insert beneficiary(ies) name]	[YES] [NO] [No applicable]	[Option for patents [insert code (two letters referring to a country or organisation)] [insert serial number]] Option for rest [insert official publication number]]

(*) By encoding the application reference part of the data will be automatically completed.

6.4 Innovation

Explanation on the terminology used can be found in the Online Manual.

[Option for LEIT, and societal challenges Does the project include the following activities and if so how many of each?

Activities developed within the project	Number
Prototypes	[insert number]
Testing activities (feasibility/demo)	[insert number]
Clinical trials	[insert number]

Will the project lead to launching one of the following into the market (several possible):

New product (good or service)	*[*YES*]* *[*NO*]*
New process	*[*YES*]* *[*NO*]*
New method	*[*YES*]* *[*NO*]*

]

[Option for LEIT and societal challenges How many private companies in your project have introduced or are planning to introduce innovations (within the project lifetime or 3 years thereafter):

	Total Number of companies	Number of SMEs
Companies introducing innovation(s) new to the market	[insert number]	[insert number of SMEs]
Companies introducing innovation(s) only new to the company	[insert number]	[insert number of SMEs]

]

7. Impact on SMEs

[Option for all projects with an SME

SME Name	Turnover of the company at the beginning of the project/most recent accountability period from the beginning of the project	Number of employees at the beginning of the project/ most recent accountability period from the beginning of the project	Turnover of the company at the most recent accountability period	Number of employees at the most recent accountability period
[insert name of SME]	[insert amount from database (pre-filled if information is available, otherwise the user will need to enter the information manually]	[insert amount from database (pre-filled if information is available, otherwise the user will need to enter the information manually]	[insert amount]	[insert number]

(*) Data in coloured fields will be prefilled by the IT tool.

]

[Option mandatory for all projects not opting out of the extended 'Open research data pilot' (now covering all of Horizon 2020)

8. Open Research Data

More information on Data Management Plans (DMPs) in the Online Manual.

Digital Object Identifier, DOI (if available)	Title/Identifier (if no DOI available)	Is this dataset Openly accessible[5]?	Is this dataset re-usable[6]	If the dataset is linked to a publication, specify the DOI of the publication
[insert DOI reference]	[insert title or identifier]	*[*YES*]* *[*NO*]*	*[*YES*]* *[*NO*]*	[insert DOI reference of the publication]

]

[5] Accessible means Open Access defined as free of charge access for anyone via Internet. Answer "yes" if the open access to the data is already established or if it will be established after an embargo period.
[6] Re-usability has 2 aspects: 1) technical: the technical standards used are compatible 2) legal: the necessary rights are in place for other users to use the dataset.

9. Gender

Gender of researchers and other workforce[7] involved in the project

Beneficiaries	Number Women researchers[8] (all levels, incl. postdocs and PhD students)	Number Men researchers[8] (all levels, incl. postdocs and PhD students)	Number Women in the workforce other than researchers	Number Men in the workforce other than researchers
[insert name of beneficiary]	[insert number]	[insert number]	[insert number]	[insert number]

(*) Data in coloured fields will be prefilled by the IT tool.

Gender dimension in the project

Does the project include a gender dimension in research content[9]? [YES]/[NO]

[7] Figures must be provided in Head Count.

[8] Researchers are professionals engaged in the conception or creation of new knowledge. They conduct research and improve or develop concepts, theories, models, techniques instrumentation, software or operational methods. (Frascati Manual (2015): §5.35).

[9] Gender dimension in research content means taking into account as relevant the biological characteristics and the social and cultural features of women and men in the content of the research itself. It does not refer to the gender balance in research team participating to the research project.

[Option only available for projects under "Science with and for Society" (SWAFS)

10. Science with and for Society

More information on definition of "institutional change" and responsible research and innovation (RRI) approach in the Online Manual.

Institutional changes	Intended target of the project (multiple answers possible)	Beneficiaries
[Develop Gender Equality Plans / measures] [Develop material for integration of science and society in curricula (e.g. covering STEM, public engagement, ethics, gender)] [Help uphold human rights and high general ethical standards, by adoption, development and/or implementation of codes of conduct, ethical review, etc.] [Develop activities to anticipate the potential social, environmental, and economic impacts of research (e.g. risk assessment, TA, foresight, Impact assessment, gender analysis)] [Develop a Social Corporate Responsibility dimension to foster responsible innovation] [Help develop R&I standards that enhance social responsibility, inclusiveness, sustainability of R&I processes and products] [Enlarge the scope of R&I activities by fostering informal science education (museums, science centres), promoting citizen science, engaging civil society actors and citizens] [Engage with multiple stakeholders for R&I decision making at local, national, regional EU or global level] [Foster open science and open access to scientific results and data (e.g. on-line open notebooks, open educational resources, open data, etc.)] [Other [insert specification]]	[The project itself / the project's host] [Universities overall] [Research performing organisation] [Public authorities] [International organisations] [Researchers] [Businesses and Industry R&D] [Citizens and NGOs] [Other]	[insert name of beneficiary]

(*) One row per type of institutional change selected from the drop-down menu in the IT tool.

]

[Option for Projects under societal challenge 3"Secure, clean and efficient energy"

11. Energy

Indicators	*Calls under Societal challenge 3 "Secure, clean and efficient energy"*	Results
[Option for projects under the calls "Energy efficiency" and "Smart cities and communities" only 1- Primary energy savings triggered by the project funded.*]*	*For projects under the call "Energy efficiency" and the call "Smart cities and communities" only.*	[insert amount (quantification (GWh/year per million €)]
[Option for projects under the calls "Energy efficiency" and "Competitive low-carbon energy 2- Total additional investments in sustainable energy triggered by the project within its duration. *]*	*Investments triggered by projects under the call "Energy efficiency" and investments triggered by projects under the call "Competitive low-carbon energy".*	[insert amount in Mio €]
[Option for projects under the call "Smart cities and communities" only 3- City investments - Total additional investment for prototypes or roll-out of innovative SCC concepts, business models, technologies and infrastructures (specifically in Follower Cities) triggered by the project.*]*	*For projects under the call "Smart cities and communities" only.*	[insert amount in Mio €]

]

[Option for Projects on Infrastructures

12. Infrastructures

List of users

Researchers who have trans-national access to research infrastructures through Union support

Researcher			Employing organisation/Home institution			User-project acronym	Activity Domain (Discipline)	Installations used by the researcher (*)		
Name	Gender	Nationality	Name	Legal Status	Country			Infrastructure Short Name	Installation ID	Installation Short Name
[insert first name] [insert last name]	*[*M*]* *[*F*]*	[insert nationality]	[insert name of organisation]	*[*UNI *University and other higher education organisations]* *[*RES *Public research organisation (including international research organisation as well as private research organisation controlled by a public authority)]* *[*SME*]* *[*PRV *Other Industrial and/or profit Private organisation]* *[*OTH*]*	[insert country]	[insert acronym]	*[*Physics*]* *[*Chemistry*]* *[*Life Sciences & Biotech*]* *[*Earth Sciences & Environment*]* *[*Engineering & Technology*]* *[*Mathematics*]* *[*Information & Communication Technologies*]* *[*Material Sciences*]* *[*Energy*]* *[*Social Sciences*]* *[*Humanities*]*	[insert Short Name of the infrastructure (as in Annex I) to which the first installation used by the researcher belongs]	[insert ID of the first installation used by the researcher (as in Annex I)]	[insert Short Name of the first installation used by the researcher (as in Annex I)]
								(*) add as many rows as installations		

Research infrastructures made accessible to all researchers in Europe and beyond through EU support and summary of trans-national access provision per installation per reporting period (RP)

Participant number	Organisation short name	Short name of infrastructure	Installation		Unit of access	Min. quantity of access to be provided in Annex I (A)	Access provided in RP1	Access provided in RP2	Access provided in RP3	Access provided in RP4	Total access provided (B)	Difference (B-A)
			Number	Short name								
[insert participant name]	[insert organisation short name]	[insert infrastructure short name as in Annex 1]	[insert installation number as in Annex 1]	[insert installation short name as in Annex 1]	[insert unit of access as in Annex 1]	[insert number as in Annex 1]	[insert number]	[insert number]	[insert number]	[insert number]	[insert TOTAL number]	[insert number]

(*) Data in coloured fields will be prefilled by the IT tool.

Researchers who have access to research e-infrastructures through Union support

e-infrastructure name	e-infrastructure service	Activity Domain (Discipline)	Maximum possible number of users	Nr of actual users by max possible number in P1 (%)	Nr of actual users by max possible number in P2 (%)	Nr of actual users by max possible number in P3 (%)	Nr of actual users by max possible number in P4 (%)
[insert e-infrastructure name]	[insert e-infrastructure service]	[Physics] [Chemistry] [Life Sciences & Biotech] [Earth Sciences & Environment] [Engineering & Technology] [Mathematics] [Information & Communication Technologies] [Material Sciences] [Energy] [Social Sciences] [Humanities]	[insert number]	[insert percentage]	insert percentage]	insert percentage]	insert percentage]

]

European Commission

Project[10] Number: [insert project reference number]

Project Acronym: [insert acronym]

Project title: [insert project title]

Periodic Technical Report

Part B

Period covered by the report: from [insert dd/mm/yyyy] to [insert dd/mm/yyyy]

Periodic report: *[*1st*] [*2nd*] [*3rd*]*

[10] The term 'project' used in this template equates to an 'action' in certain other Horizon 2020 documentation

1. Explanation of the work carried out by the beneficiaries and Overview of the progress

- Explain the work carried out during the reporting period in line with the Annex 1 to the Grant Agreement.

- Include an overview of the project results towards the objective of the action in line with the structure of the Annex 1 to the Grant Agreement including summary of deliverables and milestones, and a summary of exploitable results and an explanation about how they can/will be exploited[11].

- *[Option only for PCP/PPI actions*: Include in particular also the results that were achieved by the subcontractors that were awarded PCP/PPI contracts in the project (in particular new technical improvements achieved by suppliers and quality/efficiency improvements in public services that the subcontractors' innovations deliver to the procurers). This is not applicable for the first periodic report.*]*

- *[Option only for ERA-NET Cofund actions*: For the cofunded call, include the list of proposals selected for funding and the total amount of public funding per project (including the amount of the EC contribution). *]*

  (No page limit per workpackage but report shall be concise and readable. Any duplication should be avoided).

1.1 Objectives

List the specific objectives for the project as described in Annex 1 to the Grant Agreement and described the work carried out during the reporting period towards the achievement of each listed objective. Provide clear and measurable details.

1.2 Explanation of the work carried per WP

1.2.1 Work Package 1

Explain the work carried out in WP1 during the reporting period giving details of the work carried out by each beneficiary involved.

1.2.2 Work package 2

Etc.

[Option only for PCP/PPI actions: In the dissemination/communication work package, explain in particular the work carried out for the following activities:

- Activities to raise awareness about the Open Market Consultation for the PCP/PPI to potential tenderers across the EU Member States and Associated Countries.
- Activities to raise awareness about the PCP/PPI call for tender to potential tenderers across the EU Member States and Associated Countries.

[11] Beneficiaries that have received Union funding, and that plan to exploit the results generated with such funding primarily in third countries not associated with Horizon 2020, should indicate how the Union funding will benefit Europe's overall competitiveness (reciprocity principle), as set out in the grant agreement.

- Activities to disseminate the results and benefits of PCP/PPI to other public procurers, policy makers and companies across the EU Member States and Associated Countries.
- Activities to disseminate the project results through standardisation and certification. Include both dissemination and communication activities implemented by project beneficiaries and by subcontractors that were awarded PCP/PPI in the project.*]*

1.3 Impact

Include in this section whether the information on section 2.1 of the DoA (how your project will contribute to the expected impacts) is still relevant or needs to be updated. Include further details in the latter case.

[Option only for PCP/PPI actions: To evaluate the innovation impact of the project, include the PCP/PPI innovation impact evaluation form completed by each subcontractor that was awarded a PCP/PPI contract. This is not applicable for the first periodic report.

Innovation Impact evaluation form

OBJECTIVE

This form aims to collect information from innovators that participate(d) in Horizon 2020 funded PCP or PPI procurement contracts about how far they have advanced in commercialising their innovations and what remaining obstacles they still face. Filling in the questions below enables the EC to provide you – innovators - with further targeted information about additional European funding, support and assistance that can help you reach wider markets and grow your business.

EU support to innovators includes for example:
- Grants that finance activities to bring the innovation to the market that were not financed by the PCP/PPI procurement (e.g. SME phase 2 instrument and fast track to innovation grants)
- Equity financing through the European Investment Fund
- Risk financing loans or guarantees through the European Investment Bank
- Introductions to investors - pitching (e.g. to business angels, VCs, corporate VCs, banks)
- Introductions to potential customers (e.g. at meet the buyer events)
- Opportunities to network with other companies to create go-to-market partnerships
- Legal advice (e.g. on IPR issues via the EU IPR helpdesk)
- Opportunities to discuss barriers to market (e.g. standardisation, certification, competition, regulatory issues) with EC officials
- Incubation and start-up accelerator support (e.g. via Start-up and Scale-up Europe)
- Coaching (e.g. biz plan development), mentoring, investor readiness training opportunities (e.g. via Invest Horizon)
- Support to expand your business to other markets across the EU/international (e.g. the Enterprise Europe Network and Chambers of commerce)
- Opportunities to showcase your innovation in the EC booth at major trade fairs around Europe / the world or other large international events in your specific sector of activity
- Opportunities to promote your innovation via EC audio-visual / web promotion channels
- Opportunities to qualify for European prizes / awards (e.g. the Innovation Radar prize)

HOW TO PARTICIPATE

This form should not be completed as initial but only at interim and final reviews of the PCP/PPI project.

In order to be able to provide targeted information about available support/assistance to individual innovators, the objective is that this form is completed individually by each economic operator that was awarded a PCP or PPI contract under a Horizon 2020 funded project. If a PCP or PPI contract was not awarded to a single economic operator but to a consortium of economic operators, then each economic operator in the consortium should complete individually a separate form.

The lead contractor of each PCP or PPI contract will collect the completed forms from all economic operators in his contract and submit them to the lead procurer of the PCP or PPI. The project coordinator of the PCP or PPI will integrate the forms in the narrative part (part B) of the periodic report.

The project reviewers will use the forms for completing the innovation radar questionnaire, if applicable. The innovation radar identifies each year high potential innovators in Horizon 2020 projects, and can provide them with additional support and assistance to bring their innovations to the market. Each year the top innovations are promoted widely across Europe and rewarded with the innovation radar prize.

CONFIDENTIALITY

All information that you provide will be treated confidentially. In case the EC publishes information about the impact of PCP/PPI procurements on companies, the EC will only make public anonymised, aggregate conclusions about general trends observed from large populations of economic operators that submitted these forms.

INNOVATION IMPACT EVALUATION FORM FOR ECONOMIC OPERATORS IN HORIZON 2020 FUNDED PCP AND PPI PROCUREMENTS

Contact details

Acronym EU funded project: [insert project acronym]

Name of your organisation: [insert organisation name]

URL of your organisation: [insert URL]

Name contact person: : [insert name]

E-mail contact person: [insert e-mail address]

Telephone number contact person: [insert phone number]

Position of contact person in the organisation: [insert position]

1. Stimulating technological innovation

1.1 Type of innovation

Tick the most relevant box to characterise the type of innovation (tick only one box).

- ☐ Totally new product, process or service
- ☐ Improvement to existing product, process or service
- ☐ Combination of products, processes or services
- ☐ New use for existing products, processes or services

1.2 Current status of the innovation

Tick the most relevant box to indicate the current status of the innovation (tick only one box).

- ☐ Under development
- ☐ Already developed but not yet being commercialised
- ☐ In the commercialisation stage (being commercialised)
- ☐ Already deployed but not yet being used by the ultimate end-users
- ☐ In use by end-users
- ☐ Discontinued

1.3 Level of awareness raising and recognition

Specify the number of publications, conference presentations, awards / prizes or other meritorious achievements that have already taken place and those for which the innovation has been selected / nominated but that have not taken place yet.

	Already happened	Selected/nominated but not happened yet
Publications in press or journals	[insert number]	[insert number]
Conference presentations	[insert number]	[insert number]
Awards / prizes	[insert number]	[insert number]
Other meritorious achievements	[insert number]	[insert number]

1.4 Level of IPR protection

Specify the number of IPRs pursued for the innovation for different types of IPRs and the status of the IPR protection.

Registered IPRs	Amount of pending ones	Amount of awarded ones
Patent	[insert number]	[insert number]
Registered Design	[insert number]	[insert number]

Utility Model	[insert number]	[insert number]
Trademark	[insert number]	[insert number]

Note: Pending IPRs are those for which an application has been filed with the appropriate designated body, but the IPR protection is not awarded yet by that body.

Non-registered IPRs	Planned but not implemented yet	Implemented on the innovation
Copyright	[insert number]	[insert number]
Non-Registered Design	[insert number]	[insert number]
Other	[insert number]	[insert number]

2. Increasing commercialization of the Innovation

2.1 Commercialisation potential

Tick most appropriate box per question about the commercialisation potential of the innovation.

Market maturity: The market for the innovation is:
- ☐ Not yet existing: customers are not buying such solutions yet (or are not yet ready to buy such solutions)
- ☐ Emerging: There is a growing demand and few offerings are available
- ☐ Mature: The market is already supplied with many products of the type proposed

Market dynamics: The market for the innovation is:
- ☐ In decline
- ☐ Holding steady
- ☐ Growing

Level of innovation: The level of innovation that the solution offers to customers is:
- ☐ No innovation – other factors contribute to commercialisation viability
- ☐ Some distinct, probably minor, improvements over existing products
- ☐ Innovative but could be difficult to convert customers
- ☐ Obviously innovative and easily appreciated advantages to customers
- ☐ Very innovative, satisfies a well-known market need

Market competition: How strong is the competition is in the target market:
- ☐ Patchy, no major players
- ☐ Established competition but none with a proposition like the one under investigation
- ☐ Several major players with competencies, infrastructure and offering

Time to market: By when do you expect that the innovation could be commercialised:
- ☐ Is already commercialised
- ☐ Less than 1 year

☐ Between 1 and 3 years
☐ Between 3 and 5 years
☐ More than 5 years
☐ There is no commercialisation potential

2.2 Sales

For this section, sales include direct sales (sales made directly by your own organisation), indirect sales (e.g. sales generated through reseller agreements) and sales from licensing. This includes sales and licensing agreements for the innovation itself, parts or derived solutions from the innovation, and IPRs attached to the innovation.

Tick the box that indicates the range of cumulative sales resulting from the innovation (in euros). Include sales to both private and public markets.

	0	0 - 50K	50K-100K	100K-500K	500K-1M	1M-5M	5M-50M	> 50M
Realised sales								
Expected sales								

Note: Realised sales concerns sales that have already generated incoming cash flow for your business. Expected sales concerns contracts that have been signed but that have not generated incoming cash flow yet for your business (sales that are in the pipeline).

Tick the box to indicate the type of sales resulting from the innovation.

	Yes	No
Successfully sold the innovation (or parts of it or solutions derived from it)		
Successfully executed a license agreement for the innovation		

2.3 Approvals or proofs of compliance for commercial deployment and/or use

Tick the boxes that specify the current status of achieving compliance with standards or obtaining approvals from designated bodies that are required to commercially deploy and / or use the innovation on the market (or on a certain part of the market).

	Not needed	Needed but cannot start yet (e.g. no standardisation WG exists yet for my innovation)	Needed, possible to start but I did not take action yet	Needed and ongoing	Needed and completed	Needed but rejected
Standardisation						
Labelling						
Certification						
CE marking						

Official permit/ approval						
Other proofs of compliance						

Note: Examples of official approval from authorities include obtaining approval from a national ethics committee for testing with persons/animals etc., obtaining permission to sell the solution on a certain market based for example on results of clinical trials etc.

2.4 Marketing and sales activities

Tick the appropriate boxes that indicate the current status of different types of marketing and sales activities undertaken for the innovation.

	Completed or ongoing	Planned	Not planned yet but needed	Not applicable
Preparation of marketing plan				
Hiring of marketing staff				
Establishing sales / distribution channels				
Publicity and advertising				
Test marketing				

2.5 Trade or commercial names

Specify trade name(s), commercial name(s), generic name(s) and / or model number(s) used for the innovation (or for parts of derived solutions from the innovation that are commercialised).

Not existing yet	Trade name(s)	Commercial name(s)	Generic name(s)	Model number(s)
(tick box if applicable)	*(specify, if applicable)*	*(specify, if applicable)*	*(specify, if applicable)*	*(specify, if applicable)*

2.6 Additional funding and capital from other sources

Tick the appropriate box(es) to indicate which type of source(s) of additional funding or capital you are currently applying for or you have already raised to bring the innovation to the market.

Sources of additional funding and capital	*Currently negotiating or applying for*	*Already secured / raised*
Your own personal funds		

Your family / friends		
Your own company		
Other company		
Private individual investor (e.g. business angel)		
European Venture Capitalist		
Non-European Venture Capitalist		
European funds		
National or regional funds		
Bank (e.g. loan / debt financing)		
Foundation		
College or university		
Other		

If Other, please specify:

3. Business growth

3.1 Mapping the innovation on the timeline of the business

Indicate the founding year of the business and the year in which you were awarded the contract for this innovation.

	Enter number
Founding year of the business	
Year in which you were awarded the contract for this innovation	

3.2 Growth in market share and turnover

Market size: Tick the box that indicates the approximate size of the market for the innovation

- ☐ < €25M
- ☐ €25M - €100M
- ☐ €100M - €250M
- ☐ €250M - €500M
- ☐ >€500M
- ☐ Not known

Note: € amounts are for global markets and per year

Indicate the growth in market share and turnover that your business has already been realised since you were awarded the contract to work on this innovation. Indicate also the increase in market share and turnover that your business expects to generate in the future as a result of the innovation.

	Market Share (enter percentage)	Turnover (enter number)
At the time of the start of the contract for this innovation		
Current status		
Expected in 3 years from now		

3.3 Growth in number of full-time employees

Indicate if the contract for this innovation has allowed you to hire additional personnel. Specify how the total number of full-time employees or full-time equivalents in your business has already evolved since the year in which the contract for the innovation was awarded and how it is expected to evolve over the next 3 years (realised and expected personnel increase).

	Total number of full-time employees / equivalents (enter number)
At the time of the start of the contract for this innovation	
Current status	
Expected in 3 years from now	

3.4 Other business growth related activities experienced

Indicate which of the following other growth related activities have resulted from the innovation.

	Completed or ongoing	Planned	Not planned but needed	Not applicable
Setting up a strategic partnership or alliance with another entity				
Executing a licensing agreement				
Setting up one or more spin-off companies				
Setting up a joint venture (academic or commercial)				
Selling the business				
Merging the business				
IPO (initial public offering of the stock of your business)				

Other				

If Other, please specify:

4. Bottlenecks

Are there remaining barriers for commercialising the innovation?
Tick the appropriate box(es), if applicable, and/or specify other barriers that you experience.

- ☐ Finding investors
- ☐ Finding customers
- ☐ Expanding to other markets
- ☐ Certification or other forms of official approval from authorities needed
- ☐ Regulatory barriers
- ☐ Competition issues on the market
- ☐ Other types of barriers
- ☐ No specific barriers

If Other, please specify:

5. Assistance or support needed

Do you need assistance or support to achieve your market potential and commercialise the innovation? Tick the appropriate box(es) to indicate types of assistance / support needed.

- ☐ Promotion of the innovation (e.g. gaining exposure on big trade fairs)
- ☐ Investor readiness training
- ☐ Investor introductions
- ☐ Connecting with potential customers
- ☐ Coaching on how to bid for public procurement sales opportunities in other markets
- ☐ Biz plan development
- ☐ Setting up marketing / sales / distribution channels
- ☐ Expanding to other markets (e.g. across the EU / international)
- ☐ Legal advice (IPR, competition, regulatory issues or other)
- ☐ Mentoring
- ☐ Partnership with other entities/companies (technology or other type of partnership)
- ☐ Incubation
- ☐ Startup accelerator

☐ Standardization
☐ Certification
☐ Other

If Other, please specify:

<u>6. Feedback about your participation in the innovation procurement</u>

Tick the appropriate box to express the level of satisfaction with the usefulness of the financing you received through the innovation procurement.

Would you still have pursued the innovation if the innovation procurement had not taken place?
☐ Yes
☐ No

How important was the financing that you received through the innovation procurement for pursuing your innovation?
☐ Very important
☐ Important
☐ Somewhat important
☐ Not important

Which of your activities were affected by the financing that you received through the innovation procurement?
☐ Pursuing a high-risk idea or action
☐ Hiring additional personnel
☐ Raising additional capital
☐ Credibility or visibility for finding partners
☐ First customer reference that helped find additional customers
☐ Other

If Other, please specify:

]

[Option for Projects on Access to Research Infrastructures

1.4. Access provisions to Research Infrastructures

If access to research infrastructures has been provided under the grant please include access provision activities.

Trans-national Access Activities (TA)

Provide for the set of TA Work Packages, the integrated information described below.

Description of the publicity concerning the new opportunities for access

In the first periodic report describe the measures taken to publicise to research teams throughout Europe the opportunities for access open to them under the Grant Agreement. In the following periodic reports indicate only additional measures and changes.

Description of the selection procedure

In the first periodic report, describe the procedure used to select users: organisation of the Selection Panel, any additional selection criteria[12] employed by the Selection Panel, measures to promote equal opportunities, etc. Specify if feedback is given to rejected applicants and in which form. In the following periodic reports indicate only changes to the existing procedure.

The list of the Selection Panel members should be maintained and update when necessary in order to prove that the panel is composed following the conditions indicated in Article 16.1 of the GA[13]. The Commission reserves the right to request this list at any time.

Indicate number, date and venue (if not carried out remotely) of the meetings of the Selection panel during the reporting period.

Provide integrated information on the selection of user projects and on the scientific output of supported users. In particular indicate the number of eligible User projects submitted in the reporting period and the number of the selected ones taking into account only calls for which the selection has been completed in the reporting period. Indicate also the number of user projects, started and supported in the reporting period, which have a majority of users not working in an EU or associated country

Description of the Trans-national Access activity

Give an overview of the user-projects[14] and users supported in the reporting period indicating their number, their scientific fields and other relevant information you may want to highlight. You should maintain the list of the user-projects for which costs have been incurred in the reporting period. A user-project can run over more than one reporting period. In this case it should be inserted in the list of each concerned reporting period.

The list of user-projects must include, for each user-project, the acronym, objectives, as well as the amount of access granted to it on each installation used by the user-project in the reporting period. When the user-project is completed in the reporting period the list should also include a short description of the work carried out. The Commission reserves the right to request this list at any time.

[12] See article 16.1 of the Grant Agreement.

[13] The selection panel must be composed of international experts in the field, at least half of them independent from the beneficiaries, unless otherwise specified in Annex 1.

[14] A user-project is a proposal for access submitted by a user group to the consortium to be evaluated by the Selection Panel.

In addition you must fill the following tables (in Part A to be filled in the IT tool):

- List of users: Researchers who have access to research infrastructures/installations (one or more) through Union support under the grant either in person (through visit) or through remote access;
- Research infrastructures made accessible to all researchers in Europe and beyond through EU support and summary of trans-national access provision per installation per reporting period indicate for each installation providing trans-national access under the project the quantity of access actually provided in the Reporting Period (expressed in the unit of access defined in Annex 1 for that specific installation).

Scientific output of the users at the facilities

Give highlights of important research results from the user-projects supported under the grant agreement. Indicate the number and the type of publications derived by user-projects supported under the grant taking into account only publications that acknowledge the support of this EU grant.

You should maintain a list of publications that have appeared in journals (or conference proceedings) during the reporting period and are resulting from work carried out under the Trans-national Access activity. List only publications that acknowledge the support of the European Community. For each publication indicate: the acronyms of the user-projects that have led to the publication itself, the authors, the title, the year of publication, the type of publication (Article in journal, Publication in conference proceeding/workshop, Book/Monograph, Chapters in book, Thesis/dissertation, whether it has been peer-reviewed or not, the DoI (Digital Object Identifier), the publication references, and whether the publication is available under Open Access or not. The Commission reserves the right to request this list at any time.

User meetings

If any user meetings have been organised in the reporting period, indicate for each of them the date, the venue, the number of users attending the meeting and the overall number of attendees.

Virtual Access Activities (VA)

Provide for the set of VA Work Packages, the integrated information described below..

Provide statistics on the virtual access in the period by each installation, including quantity, geographical distribution of users and, whenever possible, information/statistics on scientific outcomes (publications, patents, etc.) acknowledging the use of the infrastructure.

As indicated in Art. 16.2, the access providers must have the virtual access services assessed periodically by a board composed of international experts in the field, at least half of whom must be independent from the beneficiaries. In the first periodic report, describe how the virtual access providers will comply with this obligation. In the following periodic reports indicate only changes to the existing procedure.

When an assessment is scheduled under the reporting period, the assessment report must be submitted as deliverable.

]

2. Update of the plan for exploitation and dissemination of result (if applicable)

Include in this section whether the plan for exploitation and dissemination of results as described in the DoA needs to be updated and give details.

3. Update of the data management plan (if applicable)

Include in this section whether the data management plan as described in the DoA needs to be updated and give details.

4. Follow-up of recommendations and comments from previous review(s) (if applicable)

Include in this section the list of recommendations and comments from previous reviews and give information on how they have been followed up.

5. Deviations from Annex 1 and Annex 2 (if applicable)

Explain the reasons for deviations from the DoA, the consequences and the proposed corrective actions.

5.1 Tasks

Include explanations for tasks not fully implemented, critical objectives not fully achieved and/or not being on schedule. Explain also the impact on other tasks on the available resources and the planning.

5.2 Use of resources

Include explanations on deviations of the use of resources between actual and planned use of resources in Annex 1, especially related to person-months per work package.

Include explanations on transfer of costs categories (if applicable).

Include explanations on adjustments to previous financial statements (if applicable).

5.2.1 Unforeseen subcontracting (if applicable)

Specify in this section:

a) the work (the tasks) performed by a subcontractor which may cover only a limited part of the project;
b) explanation of the circumstances which caused the need for a subcontract, taking into account the specific characteristics of the project;

c) the confirmation that the subcontractor has been selected ensuring the best value for money or, if appropriate, the lowest price and avoiding any conflict of interests.

5.2.2 Unforeseen use of in kind contribution from third party against payment or free of charges (if applicable)

Specify in this section:

d) the identity of the third party;
e) the resources made available by the third party respectively against payment or free of charges
f) explanation of the circumstances which caused the need for using these resources for carrying out the work.

[Option for ERA-NET Cofund

COMMITMENT ON AVAILABILITY OF FUNDS

Grant Agreement: [grant agreement number and acronym]

(To be filled out by each beneficiary and linked third party participating in the co-funded call)

The undersigned:

- declares that [name of beneficiary or linked third party] can commit and make available national/regional contributions totalling EUR [insert amount] to fund its assigned share of the transnational projects of the joint selection list, based on the indicated amounts of planned funding.

SIGNATURE

For the beneficiary:

[electronic signature]
Done on [electronic time stamp]

For the linked third party:

[Name and signature] [Date and stamp]

]

[Option for PCP/PPI

COMMITMENT ON AVAILABILITY OF RESOURCES

Grant Agreement: [grant agreement number and acronym]

(To be filled out by each beneficiary of the buyers group and each linked third party that is providing _financial_ *commitments that are needed to carry out the PCP or PPI call for tender)*

The undersigned declares that [name of beneficiary or linked third party] can commit and **make available financial resources** totalling EUR […] to finance its share of the *[R&D services] [innovative solutions]* to be procured, based on the estimated value of planned *[PCP][PPI]* procurement.

The undersigned declares that [name of beneficiary or linked third party] authorizes [names of the beneficiary that is the lead procurer] to **act in his name and on his behalf** as lead procurer for the planned *[PCP][PPI]* procurement.

SIGNATURE

For the beneficiary:

[electronic signature]
Done on [electronic time stamp]

For the linked third party:

[Name and signature] [Date and stamp]

(To be filled out by linked third parties that provide _in-kind_ *contributions necessary to carry out the call for tender)*

The undersigned [name of the authorised representative] declares that [name of linked third party] can commit and make **available resources** by means of contributions in kind totalling EUR […] to the [name of beneficiary/ies] for carrying out the *[PCP] [PPI]* procurement, based on the indicated amounts of planned contributions.

For the linked third party:

[Name and signature] [Date and stamp] *]*

STATEMENT ON THE USE OF THE *[FIRST][SECOND]* PRE-FINANCING PAYMENT

(To be filled out by the coordinator)

The undersigned:

- declares that […] % of the *[first][second]* pre-financing payment of EUR [insert amount] paid for Grant Agreement [insert grant agreement reference: number, title of the action and acronym] have been used,

- declares that this is based on substantiated data (bank slip/treasury account) provided by each beneficiary,

- certifies that the information contained in the periodic report is full, reliable and true, and is substantiated by adequate supporting documentation that will be produced upon or in the context of checks, reviews, audits and investigations,

- requests a *[second][third]* pre-financing payment of EUR [insert amount] for [insert grant agreement reference: number, title of the action and acronym].

SIGNATURE

For the coordinator:

[electronic signature]
Done on [electronic time stamp]

Financial Report

Individual financial statements (Annex 4 to the GA). More information in the Online Manual. The IT tool will show the applicable financial statement to your type of action.

ERA-NET Cofund:

Ⓘ print format A4

MODEL ANNEX 4 FOR H2020 MGA ERA-NET COFUND — MULTI

FINANCIAL STATEMENT FOR *[BENEFICIARY [name]/LINKED THIRD PARTY [name]]* FOR REPORTING PERIOD [reporting period]

	Eligible[1] costs (per budget category)											Receipts	EU contribution			Additional information
	A. Costs related to trans-national projects							B. Direct coordination costs of additional activities		C. Indirect costs[2]	Total costs	Receipts	Reimbursement rate %	Maximum EU contribution[3]	Requested EU contribution	Information for indirect costs :
	A.1 Direct costs of providing financial support to third parties	A.2 Direct costs for the implementation of trans-national projects by the beneficiaries										Receipts of the action, to be reported in the last reporting period, according to Article 5.3.3				Costs of in-kind contributions not used on premises
		A.2.1 Direct personnel costs		A.2.2 Direct costs of subcontracting	A.2.3 Other direct costs											
		A.2.1.1. Employees (or A.2.1.2. Natural persons under A.2.1.3. Seconded persons			A.2.3.1 Travel A.2.3.2 Equipment A.2.3.3 Other goods and services	*[A.2.3.4.Costs of large research*	A.2.3.5 Costs of internally invoiced goods and services									
Form of costs[4]	Actual	Actual	Unit	Actual	Actual		Unit	Unit 29000 EUR/year		Flat-rate[5] 25%						
	a	b	Total c	d	e	*[f]*	Total g	No units	Total h	i = 0,25x(b+c +e+*[f]* + g+h -o)	j = a+b+c+d+e+*[f]*+ g +h+i	k	l	m	n	o
[short name beneficiary/linked third party]																

The beneficiary/linked third party hereby confirms that:
The information provided is complete, reliable and true.
The costs declared are eligible (see Article 6).
The costs can be substantiated by adequate records and supporting documentation that will be produced upon request or in the context of checks, reviews, audits and investigations (see Articles 17, 18 and 22).
For the last reporting period: that all the receipts have been declared (see Article 5.3.3).

Ⓘ Please declare all eligible costs, even if they exceed the amounts indicated in the estimated budget (see Annex 2). Only amounts that were declared in your individual financial statements can be taken into account lateron, in order to replace other costs that are found to be ineligible.

[1] See Article 6 for the eligibility conditions
[2] The indirect costs claimed must be free of any amounts covered by an operating grant (received under any EU or Euratom funding programme; see Article 6.2.C). If you have received an operating grant during this reporting period, you cannot claim indirect costs, unless you can demonstrate that the operating grant does not cover any costs of the action. .
[3] This is the *theoretical* amount of EU contribution that the system calculates automatically (by multiplying the reimbursement rate by the total costs declared). The amount you request (in the column 'requested EU contribution') may be less.
[4] See Article 5 for the forms of costs
[5] Flat rate : 25% of eligible direct costs, from which are excluded: direct costs of subcontracting for the implementation of trans-national projects by the beneficiaries, costs of in-kind contributions not used on premises and direct costs of financial support to third parties implementing trans-national projects (see Article 6.2.C)

PCP/PPI

ⓘ print format A4 landscape

MODEL ANNEX 4 FOR H2020 MGA PCP/PPI — MULTI

FINANCIAL STATEMENT FOR *[BENEFICIARY [name]/LINKED THIRD PARTY [name]]* FOR REPORTING PERIOD [reporting period]

	Eligible[1] costs (per budget category)														Receipts	EU contribution			Additional information
	A. Direct costs of *[PCP][PPI]* subcontracting	B. Costs for related additional coordination and networking activities												Total costs	Receipts	Reimbursement rate %	Maximum EU contribution[3]	Requested EU contribution	Information for indirect costs :
		B.1 Direct personnel costs				B.2 Direct costs of subcontracting	B.3 Other direct costs			B.4 Indirect costs[2]	*[B.5 Costs of …]*				Receipts of the action, to be reported in the last reporting period, according to Article 5.3.3				Costs of in-kind contributions not used on premises
		B.1.1. Employees (or equivalent) B.1.2 Natural persons under direct contract B.2.3. Seconded persons *[B.1.6. Personnel for providing access*		B.1.4 SME owners without salary B.1.5 Beneficiaries that are natural			B.3.1 Travel B.3.2 Equipment B.3.3 Other goods and services	*[B.3.4.Costs of large research infrastructure]*	B.3.5 Costs of internally invoiced goods and services		*[B.5.1 Costs of …]*[6]		*[B.5.2 Costs of …]*[6]						
Form of costs[4]	Actual	Actual	Unit	Unit		Actual	Actual	Actual	Unit	Flat-rate[5] 25%	Unit		Unit						
	a	b	Total c	No units	Total d	e	f	*[g]*	Total h	i=0,25x(a+b+c+f+*[g]*+h+*[j1]*[6]+*[j2]*[6]-p)	No units	Total *[j1]*	Total *[j2]*	k= a+b+c+d+e+f+*[g]*+h+i+*[j1]*+*[j2]*	l	m	n	o	p
[short name beneficiary/linked third party]																			

The beneficiary/linked third party hereby confirms that:
The information provided is complete, reliable and true.
The costs declared are eligible (see Article 6).
The costs can be substantiated by adequate records and supporting documentation that will be produced upon request or in the context of checks, reviews, audits and investigations (see Articles 17, 18 and 22).
For the last reporting period: that all the receipts have been declared (see Article 5.3.3).

ⓘ Please declare all eligible costs, even if they exceed the amounts indicated in the estimated budget (see Annex 2). Only amounts that were declared in your individual financial statements can be taken into account lateron, in order to replace other costs that are found to be ineligible.

[1] See Article 6 for the eligibility conditions

[2] The indirect costs claimed must be free of any amounts covered by an operating grant (received under any EU or Euratom funding programme; see Article 6.2.E.4). If you have received an operating grant during this reporting period, you cannot claim indirect costs, unless you can demonstrate that the operating grant does not cover any costs of the action.

[3] This is the *theoretical* amount of EU contribution that the system calculates automatically (by multiplying the reimbursement rate by the total costs declared). The amount you request (in the column 'requested EU contribution') may be less.

[4] See Article 5 for the forms of costs

[5] Flat rate : 25% of eligible direct costs, from which are excluded: direct costs of subcontracting, costs of in-kind contributions not used on premises, and unit costs declared under budget category F if they include indirect costs (see Article 6.2.E.4)

[6] Only specific unit costs that do not include indirect costs

Report on Explanations on the use of resources

A report on explanations on the use of resources per beneficiary. The report is generated automatically with the information inserted by the beneficiary at the time the financial statements are completed in the IT tool.

Project Number	[project number]
Acronym	[acronym]
Period Number	*[1st] [2nd] [3rd]*
Period covered	From [dd/mm/yyyy] to [dd/mm/yyyy]

Beneficiary Number	[beneficiary number]
Beneficiary Short Name	[beneficiary short name]

Direct personnel costs

1. Direct personnel costs declared as actual costs (When direct personnel costs are reported in the financial statement, a pop-up window will appear in the IT tool requesting to give information of the amount on person months per WP).

Person months	**Associated WP**
[insert number pm]	WP1
[insert number pm]	WP2
[insert number pm]	WP3
[insert number pm]	(etc.)

2. Direct personnel costs declared as unit costs (When direct personnel costs are reported as unit costs, including unit costs for SME owners without a salary and beneficiaries that are natural persons without a salary, in the financial statement, a pop-up window will appear in the IT tool requesting to give information on the amount of person months per WP).

Person months	**Associated WP**
[insert number pm]	WP1
[insert number pm]	WP2
[insert number pm]	WP3
[insert number pm]	(etc.)

3. Use of in kind contribution from third party (When direct personnel costs are reported – as actual or unit costs - in the financial statement, the pop-up window used to give information on the amount of person months per WP will also request details about the use of in kind contribution from third party: the costs, the name and type of the third party and whether the costs were foreseen in Annex 1 or not. Further explanations are mandatory if costs were not foreseen in Annex 1).

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Third Party name	Type	Foreseen in Annex 1	Explanations (if not foreseen in Annex 1)	Costs
[insert name]	[Free of charge] [Against payment]	[YES] [NO]	[insert comment]	[insert amount in EUR]
One row per third party				
TOTAL				[insert amount in EUR]

Direct costs of subcontracting

(When subcontracting costs are reported in the financial statement, a pop-up window will appear in the IT tool requesting to give information on the costs, description of the subcontract and if the subcontract was foreseen in Annex 1 or not. Further explanations are mandatory if subcontract not foreseen in Annex 1).

Description	Foreseen in Annex 1	Explanations (if not foreseen in Annex 1)	Costs
[insert comment]	[YES] [NO]	[insert comment]	[insert amount in EUR]
One row per subcontract			
TOTAL			[insert amount in EUR]

Direct costs of providing financial support to third parties (not applicable for PCP/PPI actions)

(When direct costs of financial support to third parties (cascade funding) are reported in the financial statement, a pop-up window will appear in the IT tool requesting to give information on the costs and their description).

Description	Costs
[insert comment]	[insert amount in EUR]
One row per item.	
TOTAL	[insert amount in EUR]

Other direct costs: 1. explanation of major actual cost items if the amount exceeds 15% of personnel costs; 2. Unit costs for internal invoicing

1. Other direct costs declared as actual costs: If actual costs declared under "other direct costs" are equal or less than 15% of claimed personnel costs for the beneficiary in each reporting period, no need to give any detail.

If actual costs declared under "other direct costs" are higher than 15% of claimed personnel costs for the beneficiary in each reporting period, major direct costs items[15] need to be recorded in the pop-up window within the IT tool. The record of items must be up to the level that the remaining costs are below 15% of personnel costs, starting from the cost items of highest value in terms of cost amount. If costs were foreseen in the Annex 1 no further explanation is needed. If costs were not foreseen in Annex 1, further explanations are needed.

Short description	Category	Associated WP	Foreseen in Annex 1	Explanation (if not included in Annex 1)	Costs
[insert comment]	[Travel] [Equipment] [Other goods & services]	[insert WP number]	[YES] [NO]	[insert comment]	[insert amount in EUR]
One row per item					
TOTAL					[insert amount in EUR]

2. Other direct costs declared as unit costs (When unit costs for internally invoiced goods and services are reported in the financial statement, a pop-up window will appear in the IT tool requesting to give information on the costs and their description)..

Short description	Associated WP	Foreseen in Annex 1	Explanation (if not included in Annex 1)	Costs
[insert comment]	[insert WP number]	[YES] [NO]	[insert comment]	[insert amount in EUR]
One row per item				
TOTAL				[insert amount in EUR]

Other direct costs reported as use of in kind contribution from third party

Third Party name	Type	Category	Associated WP	Foreseen in Annex 1	Explanations (if not foreseen in Annex 1)	Costs
[insert name]	[Free of charge] [Against payment]	[Travel] [Equipment] [Other goods & services] [Internal invoicing]	[insert WP number]	[YES] [NO]	[insert comment]	[insert amount in EUR]

[15] An item is considered as a cost declared in the accountability book of each beneficiary according to their internal accountancy practices.

One row per item						
TOTAL						[insert amount in EUR]

HISTORY OF CHANGES		
VERSION	PUBLICATION DATE	CHANGE
1.0	11.04.2017	Initial version
2.0	19.09.2017	Revision to include the new cost category in MGA v4.0 (other direct costs declared as units costs for internally invoiced goods and services) Inclusion of innovation impact evaluation form in the part B of the periodic report for PCP/PPI.
2.1	19.12.2017	Update of part B of the template to include explanations on adjustments to financial statements declared on previous periods.

Annex 6 - Basecamp

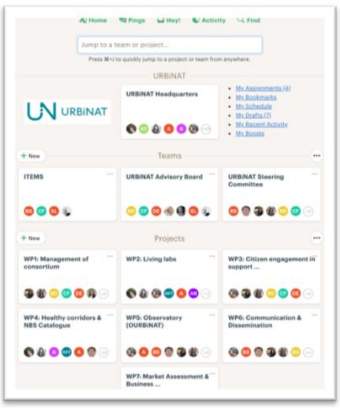
The Basecamp project management and team communications software was adopted during the start-up phase of the project after a consultation process to evaluate different solutions. This platform provides a powerful and intuitive way to coordinate all activities in connection with the project, archive documents, schedule events and set up reminders regarding the production of deliverables and other outputs.

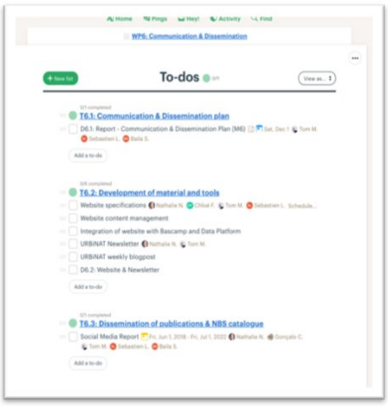
Currently over 140 individuals from 27 partner organisations have a variable degree of access to the platform.

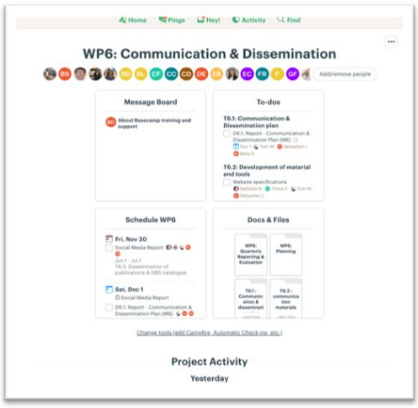
The Homepage is organised with a Headquarters Team which is accessible to everyone with a connection to the project. The Headquarters Team folder contains essential information about the project, a message board, and a schedule with key events regarding the project.

The Homepage also includes Team folders for each WP. These folders are managed by WP leaders who control who has access to corresponding working documents and files. Each WP folder is organised in four main parts with a Message Board, a To-Do List, a Schedule and a Docs and Files sub-file.

In the first six months of the project consortium members have familiarised themselves with the organisation and operations of the platform. The Communication and Dissemination team, in conjunction with the CES, is developing a set of archiving principles and rules of use, and will provide continuous support during the project.



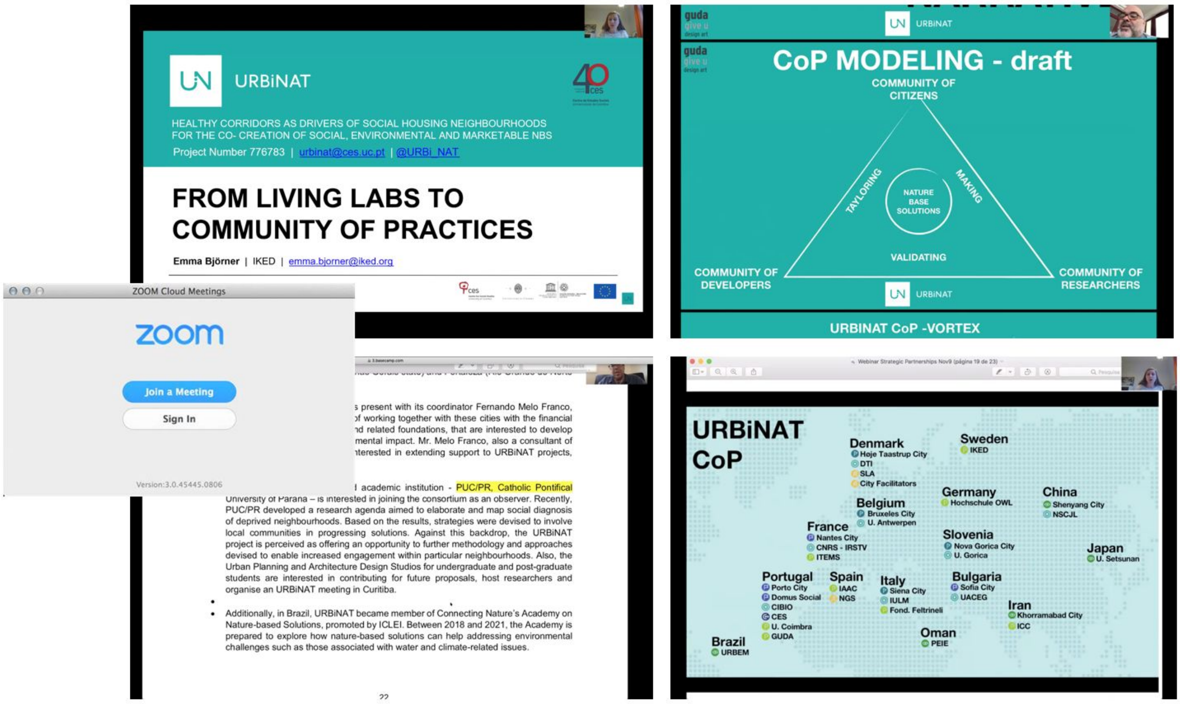




Annex 7 - Zoom

The Zoom video conferencing platform has been adopted for all group meetings, discussions, and webinars in connection with the URBiNAT project. This stable and versatile platform, accessible across all types of device - fixed and mobile - and operating systems, allows consortium members to meet on a regular basis and benefit from a clearer sound and video quality than competing platforms.

The URBiNAT Zoom meeting room has been used dozens of time since the start of the project, for the fortnightly meetings of the Steering Committee, ad hoc meetings between partners, and recorded webinars.



Annex 8 - Internal Newsletter

A quarterly internal newsletter will be produced aimed at all partners of the URBiNAT consortium. The aim of this newsletter is to recap achievements and announce upcoming project milestones and events. The content of the newsletter will be based on the quarterly report of the steering committee to the general assembly, but all dissemination partners will also be responsible for at least one newsletter with the technical support of ITEMS (leader of WP6) and the other WP6 participants, in order to ensure a strong commitment in dissemination activities of all. A first edition of newsletter was produced in September 2018. The URBiNAT newsletter will be circulated to all interested parties using MailChimp. It is intended as a means of reinforcing the sense of identity and common purpose of the URBiNAT community[1].

[1] For more information about the URBiNAT Newsletter see D1.6 (July 2018), *Preliminary Ethical Guidelines and Communication and Reporting Procedures*