LAMASUS
Land Management for Sustainability

D10.1 Project management plan including risk register and quality assurance procedures

Funded by the European Union

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D10.1

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Abstract

This Deliverable presents the standardised rules and procedures for the LAMASUS consortium, with a particular focus on decision-making, roles, communication, reporting, and publications.

Keywords

Project Management, meetings, deliverables, dissemination, communication, quality assurance, contractual framework

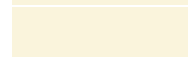| Internal Technical Auditor	Name (Beneficiary short name)	Date of approval
Task leader	Michael Hagn (ARTTIC)	23/02/2023
WP leader	Petr Havlík (IIASA)	23/02/2023
Coordinator	Petr Havlík (IIASA)	23/02/2023
Project Management Office	Elija Wiedemann (ARTTIC)	23/02/2023

Dissemination level

PU	Public, will be published on CORDIS	✔
SEN	Sensitive, limited under the conditions of the ECGA	

Nature of the deliverable   R

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Abbreviations

CA   Consortium Agreement

DoA   Description of Action

SC   Steering Committee

EC   European Commission

ECAS   European Commission Authentication Service

ECGA   Grant Agreement

EU   European Union

GA   General Assembly

HE   Horizon Europe

SEDIA   EC Portal (Single Electronic Data Interchange Area)

SP   Microsoft SharePoint (collaborative workspace)

IPR   Intellectual Property Right

LEAR   Legal Entity Authorised Representative

OA   Open Access

PI   Principal Investigator

PM   Person Month

PMO   Project Management Office

PR   Press Release

RDI   Research, Development & Innovation

WP   Work Package

1. Introduction

This document describes the project management and collaboration plans within the LAMASUS project and provides information on the tools to be used. It has been created as a support to the consortium with the main goal to facilitate collaboration between partners and ensure that EC requirements are respected. In particular, these guidelines provide practical information regarding:

- Management structure and decision-making guidelines
- Project monitoring activities
- Document, Deliverable and Dissemination guidelines
- Project communication, meeting guidelines
- Introduction to the EC Participant Portal, Contractual Rules and Management

The terms and provisions of the EC Grant Agreement (ECGA and its annexes) and the LAMASUS Consortium Agreement will prevail in the event of any inconsistency with the recommendations and guidelines defined in the present document.

2. Project schedule of the LAMASUS project

2.1. PROJECT DURATION AND DEADLINES

The project has a duration of 48 months starting from September 1st, 2022. All project events are linked to the 48-month timeline by an "Mx" (M1, M2 etc.) number. For a deadline, this means that delivery is expected no later than the last working day of that month (deadline EC, internal deadlines see 0). Table 1 provides an overview of the project months of the three contractual reporting periods that are fixed by the LAMASUS ECGA.

Table 1: Project months, calendar months per reporting period

Reporting period 1		Reporting period 2		Reporting period 3	
Project month	Date	Project month	Date	Project month	Date
1	Sep–22	19	Mar–24	37	Sep–25
2	Oct–22	20	Apr–24	38	Oct–25
3	Nov–22	21	May–24	39	Nov–25
4	Dec–22	22	Jun–24	40	Dec–25
5	Jan–23	23	Jul–24	41	Jan–26
6	Feb–23	24	Aug–24	42	Feb–26
7	Mar–23	25	Sep–24	43	Mar–26
8	Apr–23	26	Oct–24	44	Apr–26
9	May–23	27	Nov–24	45	May–26
10	Jun–23	28	Dec–24	46	Jun–26
11	Jul–23	29	Jan–25	47	Jul–26
12	Aug–23	30	Feb–25	48	Aug–26
13	Sep–23	31	Mar–25		
14	Oct–23	32	Apr–25		
15	Nov–23	33	May–25		
16	Dec–23	34	Jun–25		
17	Jan–24	35	Jul–25		
18	Feb–24	36	Aug–25		

2.2. REVIEWS AND AUDITS

During the LAMASUS Project, the EC will carry out reviews on the proper implementation of the action (including assessment of Deliverables and reports), compliance with the obligations under the ECGA, and continued scientific or technological relevance of the project. Reviews normally refer to the technical implementation of the project (i.e. its scientific and technological relevance), but may also cover financial and budgetary aspects or compliance with other obligations under the ECGA. Reviews may be started up to two years after the payment of the balance and may include on-the-spot visits or review meetings (on Commission premises or anywhere relevant to the project). A review report will be prepared based on the review findings.

The EC may also carry out audits on the proper implementation of the action, up to two years after the payment of the balance by formally notifying the Coordinator or the concerned beneficiary. It can be a direct audit (with the Commission's own staff) or an indirect audit (with external, appointed persons or bodies). The audit generally covers financial aspects. Further details regarding reviews and audits are found in Article 25 of the ECGA.

Beneficiaries must — at least for a period of 5 years after the payment of the balance — keep records and other supporting documentation to prove the proper implementation of the action and the costs they declare as eligible (Article 20 of the ECGA, Data Sheet Point 6).

3. Management structure and decision-making guidelines

Figure 1 presents the LAMASUS organisational structure, the accountability between the different bodies and the link with the EC.
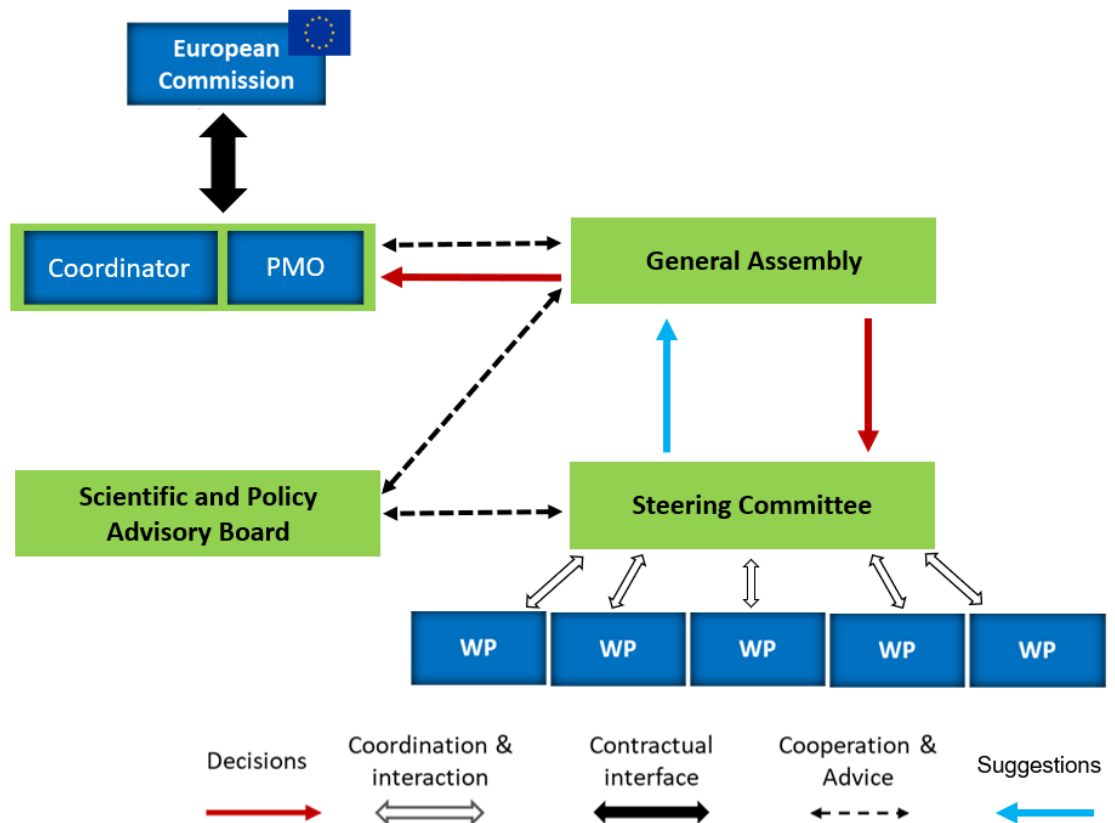
Figure 1: LAMASUS Governance and management structure

The members and role of each of the entities that have a decision-making or management function in LAMASUS are described in detail in the following sections.

3.1. OPERATIONAL ENTITIES

3.1.1. LAMASUS Coordinator
The LAMASUS Coordinator acts as the single interface between the Consortium and the European Commission. The Coordinator will perform all tasks as described in the ECGA and the CA, and, shall work with the support of the PMO (ARTTIC) to ensure that the research will be performed in a timely manner. The Coordinator will:

- Maintain the interface with the PMO;
- Handle and distribute the funds according to the rules agreed within the LAMASUS Consortium, keeping a record of the accounts of the project;

- Maintain and manage possible updates of contractual documents, such as the EC Grant and the Consortium Agreements;
- Maintain regular contact with the partner organisations;
- Ensure global project coordination to meet the project schedule and objectives;
- Organise and chair the GA and STC meetings;
- Perform risk analysis and quality management in line with the management plans.
- Appoint a Principal Coordinator Contact, Tamás KRISZTIN.

Petr Havlík and Tamás KRISZTIN oversee the scientific, technical, and strategic management, and overall supervision and representation of the project.

3.1.2. LAMASUS PMO

The PMO supports the Coordinator and all partners by taking care of the operational management, various day-to-day administrative and coordination tasks. The PMO provides additional guidance and advice to the LAMASUS team where necessary. The PMO comprises ARTTIC Innovation staff, namely an experienced Consultant supervised by a Senior Consultant. Tasks of the PMO include:

- Producing periodic report templates and documents;
- Organising and implementing the project internal and contractual reporting procedures;
- Assisting individual project partners on specific administrative issues including amendments to the ECGA and to the Consortium Agreement;
- Providing the logistical support for major project meetings, including preparation of agendas, invitations, distribution of material, logistics for the meetings, preparation of action lists, follow-up of answers to reviewers' comments from review meetings, etc.;
- Assisting the Coordinator and partners in the financial management with the collection of information from the partners, the consolidation of management reports, and the monitoring of expenses against budget allocations.

The PMO together with the Coordinator forms the Coordination Team.

3.1.3. LAMASUS Work Package (WP) Leads: Steering Committee (STC)

Each WP has been appointed a WP Lead and Task Leaders who are responsible for coordinating the technical activities within their WP and tasks. The LAMASUS STC is composed of the WP Leads. Virtual STC meetings are organized every month (as of Jan 2023, every second Monday, 13:00). Decisions within the STC will be taken upon simple majority but, in practice, the STC will always aim to agree on a consensus basis.

The WP Leads are responsible for:

- Coordinating activities and continuously monitoring the progress of the task participants in her/his WP;
- Implementing the strategic orientations and decisions made by the GA or STC;
- Ensuring that Milestones and Deliverables of the WP tasks are fulfilled;
- Generating LAMASUS WP progress reports;

- Finding solutions and resolving problems encountered and risks identified, as well as, assessing compliance with the project Workplan and proposing modifications if needed;
- Participating in the Consortium Meetings and at the regular meetings of the STC;
- Coordinating and collaborating proactively with other WPs in particular to validate input from or provide contributions to the other WPs;
- Arranging, if needed, special meetings within or with other WPs to determine suitable measures to be taken;
- Supporting the Coordinator with preparations for EC review meetings or other EC inquiries.

The WP Leads will be assisted in their role by the Task Leads who will monitor and report on the technical activities and difficulties that may arise in their tasks. A list with all WP Leads and deputies is included in the LAMASUS_Partner Contacts.xlsx available in the SharePoint workspace in the folder "\7. Administration + Contacts".

3.2.   DECISION MAKING

The LAMASUS General Assembly (GA) is the sole decision-making body of the project and is composed of one representative per partner (and a deputy), who can vote at any GA meeting and provide a decision for any dissemination approval request on behalf of his/her organisation. The Coordinator Contact, Tamás Krisztin (IIASA), chairs all GA meetings. A list of all GA members and deputies is included also in the LAMASUS_Partner Contacts.xlsx, stored in the collaborative SharePoint workspace stored in the folder "7. Administration + Contacts".

The GA will make decisions regarding:

Content, finances, and intellectual property rights:

- Proposals for changes to Annexes 1 and 2 of the ECGA to be agreed upon by the Granting
  Authority
- Changes to the Consortium Plan
- Modifications or withdrawal of Background in Attachment 1 of the CA (Background Included)
- Additions to Attachment 3 of the CA (List of Third Parties for simplified transfer according to Section 8.3.2, CA)

Evolution of the consortium:

- Entry of a new Party to the Project and approval of the settlement on the conditions of the accession of such a new Party

- Withdrawal of a Party from the Project and the approval of the settlement on the conditions of the withdrawal
- Identification of a breach by a Party of its obligations under this Consortium Agreement or the ECGA
- Declaration of a Party to be a Defaulting Party
- Remedies to be performed by a Defaulting Party
- Termination of a Defaulting Party's participation in the Project and measures relating thereto
- Proposal to the Granting Authority for a change of the Coordinator
- Proposal to the Granting Authority for suspension of all or part of the Project
- Proposal to the Granting Authority for termination of the Project and the Consortium Agreement

3.2.1. Meeting notifications and minutes

The chair of the meeting shall invite, in writing (e-mail) with a meeting agenda, each participant to the meeting: 21 calendar days before the GA meeting.

The chairperson of the Consortium Body (Tamás KRISZTIN, with the assistance of the LAMASUS PMO at ARTTIC) shall produce written minutes of each meeting, which shall be the formal record of all decisions taken and send to all Members within 10 calendar days of the meeting. The minutes shall be considered as accepted if, within 15 calendar days from receipt, no Member has sent an objection in writing to the chairperson with respect to the accuracy of the draft of the minutes.

3.2.2. Votes

Each GA member has one vote. Decisions shall be taken by a two-thirds (2/3) majority of the votes cast. The voting quorum is respected when two-thirds (2/3) of the GA members or their proxy are present or represented. Written evidence is necessary (minutes). Electronic votes will be used when decisions are to be made outside of regular meetings.

The electronic voting process is as follows:

1. On behalf of the Coordinator, the LAMASUS PMO (provided by ARTTIC Innovation) notifies all General Assembly members by e-mail about the following:
   a. the subject on which a decision is required;
   b. the date until which the decision needs to be taken (according to CA at least 10 calendar days);
   c. the e-mail address to which the vote should be sent.
2. The decision is agreed by 2/3 of all Parties. Missing votes will be counted as "not agreed".
3. The LAMASUS PMO will inform partners about the result immediately following the voting period on behalf of the Coordinator.

3.3.   CONFLICT RESOLUTION AND ADVICE

3.3.1.   *Conflict resolution*

Conflicts may occur at any time in the project and can be of different nature: e.g. strategic disagreements, technical disagreements, disagreements with respect to contractual issues, problems with the quality of project deliverables, personal conflicts. Some conflicts concern a small number of partners, others the consortium as a whole or at least a major part of it.

Conflicts should be resolved at the appropriate level within the project structure. The escalation of issues is only expected when a suitable solution cannot be found among the partners concerned at a given level or when the implications of the conflict potentially impact the project objectives, schedule or budget at a higher level.

The proposed resolution will be as follows:

- Conflicts will first be addressed by the search of consensual solutions directly by the parties concerned. Many conflicts can be resolved at the interpersonal and/or the inter-organisational level, by getting the right persons talking to each other and finding acceptable solutions.
- Should that fail, the matter will be brought to the GA, which will make a recommendation to the conflicting parties. This recommendation can include the nomination of a mediator, or an arbitration process, which can then be decided upon by the governing body, i.e. the GA.
- Should this second level of conflict resolution equally fail, the GA will proceed to the resolution of the matter by strictly applying the clauses of the Consortium Agreement, which includes provisions for dealing with the matters that cannot be resolved by mutual agreement.

For technical issues:

- Conflicts within a Task should be resolved by the Task Leader or escalated to the WP Leader.
- Conflicts between or within Work Packages should be resolved by the WP Leads or escalated to the Coordinating Team.

For contractual issues:

- Partner difficulties or conflicts between partners should be raised to the Project Coordinator.
- The LAMASUS Principal Coordinator Contact, in consultation with the PMO and GA, may raise the issue to the EC depending on its severity and the implications for the project.

For intellectual property (IP) related issues:

- Unanimous decision on IP related issues will be sought; In case no amicable solution can be reached, the GA will take a decision according to the decision making and voting rules described in the CA.

- Access rights to LAMASUS results for performing RDI work or for use should be first discussed and clarified in the STC. The Coordinator and the PMO will act as a mediator and advisor to the consortium.
- Disagreement on IP issues between two project partners, e.g. regarding ownership shares, should be resolved by consulting the STC via the Coordinator.
- Severe conflict related to Access Rights or IP will be escalated to the GA if unresolved within a reasonable timeframe.

Except if the Coordinating Teamor the Coordinator is party to the conflict, the Coordinating Teamwill manage the conflict resolution process at the aforementioned levels under the authority of the coordinating partner. Otherwise, the GA will nominate a third party to manage the conflict resolution process.

If a conflict cannot be resolved within the project, the arbitration procedures described in the CA will be applied.

4. Project Monitoring & Meetings

4.1. WORKPLAN

One of the objective of the Coordinating Teamis to successfully deliver Deliverables and Milestones on time. To help plan for the implementation and achievement of the LAMASUS research, we have set up an internal Workplan document (Figure 2), stored in the folder "\8. Work Packages\10. WP10\Project Management" on our SharedWorkfolder. Amongst its aims are to determine whether the project timeline is realistic and adequately factors in task dependencies. It should be ensured that partners are involved in the Work Package(s) of their relative strength and gives team members across the LAMASUS consortium a clear expectation when they can expect their input. The Workplan includes all Deliverables and Milestones, and, we will use the Workplan to visibly monitor progress for EC project requirements. All partners have been asked to provide their timeline and continuously update the file, whenever necessary.

Figure 2: LAMASUS Workplan

Besides the timeline the Workplan includes the Deliverable and Milestone status, the Risk monitoring, decisions, publication list, upcoming events, and potential amendments.

4.2. MEETING ORGANISATION

Figure 3 gives an overview of the most important LAMASUS events as they are currently planned.
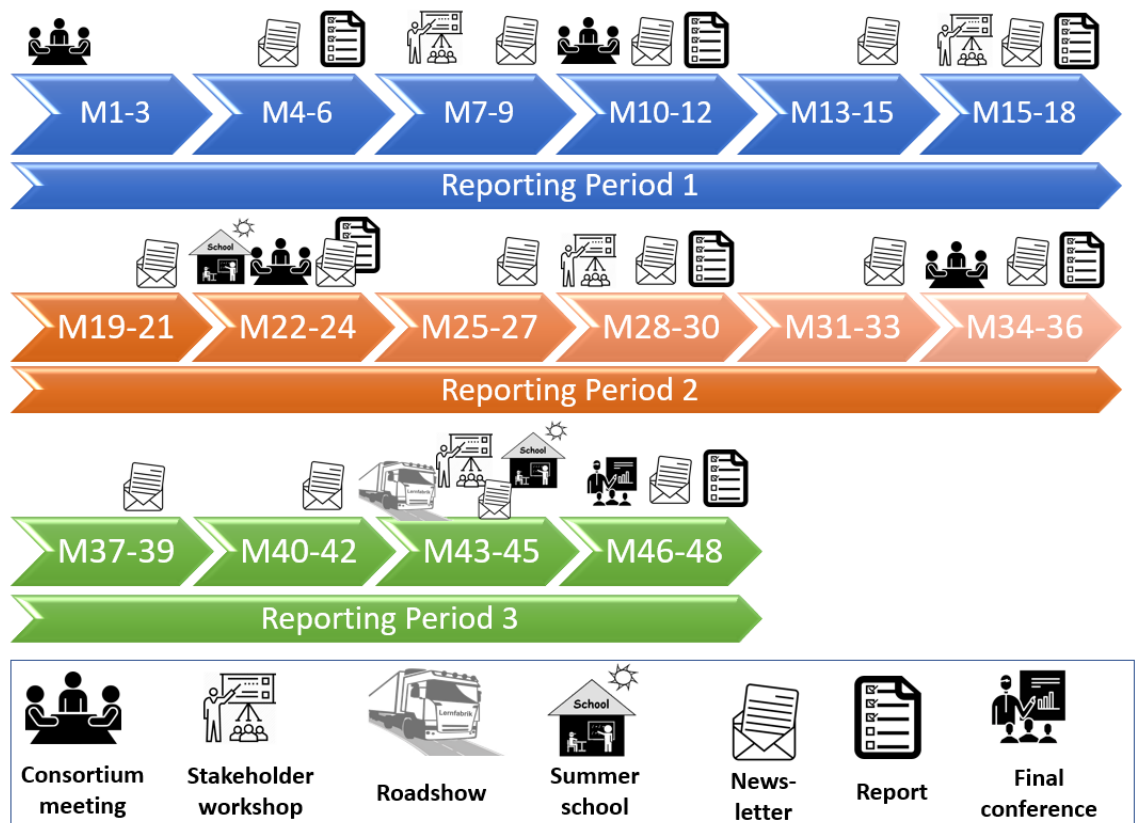
Figure 3: Overview of important LAMASUS events, meetings, and reports

4.2.1. Meeting preparation, Agenda and Minutes

The meeting organiser is responsible for preparing the agenda and the minutes, using the project templates for public project meetings with Stakeholders, the Scientific and Policy Advisory Board, or the EC. The agenda should be distributed in advance to inform the participants about the topics to be discussed and to give them the possibility to suggest changes to the agenda. If specific documents or reports will be discussed in the meeting, the draft material should be made available sufficiently in advance to ensure participants have time to read and prepare comments. Agenda and minutes should be posted on the Collaborative Workspace in the relevant meetings folder "\5. Meetings".

4.2.2. Participation of non-LAMASUS beneficiaries in Meetings and Workshops

When other participants (for example Stakeholder or the Policy Advisory Board) are invited to attend meetings (or parts of), in which information that is voted as 'sensitive' by the General Assembly is discussed, the necessary measures should be taken to ensure that there are no conflicts of interests with beneficiaries (seeking of prior approval of other meeting participants and if deemed necessary other project beneficiaries) and that the 'sensitive' information communicated during the meeting is sufficiently protected (e.g. through the signature of a Non-Disclosure Agreement).

4.2.3. Internal progress reporting

The project including the effective use of its resources are monitored closely by the EC. The project time is divided into three reporting periods (contractual reporting). These cover

relatively long periods (up to 18 months). In addition, six-month short progress reports will be delivered to the EC, which will give a brief update on:

- Recent achievements, planned key activities, and challenges by WP
- Upcoming events and key dissemination activities
- LAMASUS Policy Advisory Board meeting summaries

The STC will be asked by the PMO 30 days before deadline to share their inputs.

4.3.   BUDGET CONSUMPTION

The PMO will monitor the use of resources of each partner organisation in terms of used budget (EUR) and the person months (PM) regularly, at least at the end of each reporting period. These financial reports will enable the project partners to have an overview of the expenses and stay in line with the initial budget planning of the project.

In addition, an internal reporting is helpful to monitor project progress towards major assessments. This facilitates the compilation of the reports at the end of the reporting period. The internal reporting comprehends from the beneficiaries a breakdown of their spending in the months since the last budget reporting in concerns of their personal and other costs (Subcontracting, Travel and subsistence, Equipment, Other goods works and services; see Figure 4). We aim completing this report twice per reporting period in this schedule:

- M12 (internal), M18 (RP1), M30 (internal), M36 (RP2), M48 (RP3).

COSTS SPENT in first M1-M12			25.0%
	Activities	**Cost**	**Percentage**
Cost categories	Personnel costs	30,000.00 €	18%
	Person Months	5.00	21%
	Subcontracting		0%
	Travel and subsistence	450.00 €	1%
	Equipment		0%
	Other goods works and services		0%
Sub-total of direct costs		30,455.00 €	11%
Indirect costs (EXCL. subcontracting)		7,613.75 €	11%
Total Costs (direct+indirect)		38,068.75 €	11%
Total EU contribution planned		38,068.75 €	11%

Figure 4: Template for internal financial reporting (fictive example)

4.3.1.   Monthly WP Leader Link Calls (STC Meeting)

Every month, the WP Leads convene through online meetings. During these, each WP leader will report on WP progress by summarizing the work done, main achievements during the period and problems met. Deliverables, Milestones, and risks indicators are reviewed for this occasion. The calls are open for all GA members and mandatory for the WP Leads.

The Coordinating Team provides short minutes of these meetings and information collected will serve to update the project indicators, action list and Workplan. These minutes are available in the under LAMASUS STC Minutes in the Collaborative Workspace in the folder "\5. Meetings\Steering Committee Meetings".

4.3.2. Yearly internal review: Annual Consortium Meeting

The internal review will take place during a physical or virtual meeting, most likely during the annual Consortium Meeting. Four in-person Consortium Meetings – combined with the yearly GA Meeting – will be organised in the form of a one or two-day meeting. During these Meetings, WP Leads will be asked to provide the yearly progress presentation integrating the individual task progress reports, which will serve to perform an internal review of the project against objectives, keep track of potential delays and anticipate risks or problems.

This internal report will include:

- Main highlights during the period;
- Assessment of deviations, if there are;
- Deliverables and Milestones delivery/achievement forecast vs. initial planning;
- Major risks and proposed mitigation actions;
- Major next steps.

All input will be consolidated at project level and indicators for progress monitoring at WP and project level will be updated. When necessary, a DoA Amendment can be generated.

4.3.3. Project indicators

The LAMASUS project indicators are set-up to monitor the project's work progress. They are used and updated at least at every internal or contractual reporting to have the most accurate view of the project achievements and spending. Several indicators are made available in the detailed Workplan in the Collaborative Workspace:

- Tasks Status per WP
- Deliverables Status Table
- Milestones Status Table
- Risk register

In addition, the PMO will support the LAMASUS Consortium to monitor staff effort (in person months) and global budget expenditure (financial monitoring).

4.4. RISK MANAGEMENT PROCESS

Despite careful planning of the work, critical risks for the implementation of LAMASUS may arise. To identify risks at the earliest possible stage and to minimize the impact on the project, a risk management process has been developed (Figure 5). The process will have four main steps and make use of a dedicated tool, the risk register, which is included in the Workplan:

- Identification of risks
- Analysis and assessment of risks
- Risk mitigation
- Monitoring of risks
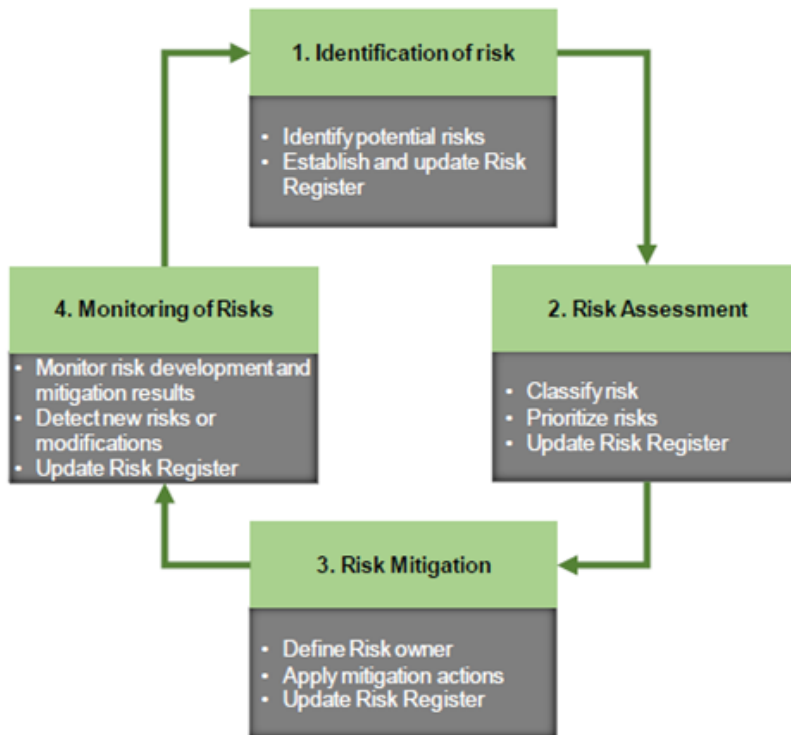
Figure 5: Risk Management Process

5. Document management guidelines

5.1. DOCUMENT MANAGEMENT

Many documents will be produced during the lifetime of the LAMASUS project. Some simple rules should be followed to facilitate the document management and ensure consistency across the LAMASUS project. Several types of commonly used documents have been identified:

- Presentations
- Deliverables
- Project EC Reporting
- Meeting agendas
- Meeting minutes

A template for each type of document is available on the LAMASUS collaborative workspace SharePoint in the folder "\2. Templates and Logos" (except for periodic reporting, which will be circulated before the end of the first period).

5.1.1. Document Leads

The document leader leads the production of the document among the partners within the timeframe established, specifying the content, obtaining commitments for the required contributions, and getting agreement on the draft to be approved.

The leader is defined as follows:

- Deliverables: The Deliverable Lead will be a representative of the Partner identified as responsible in the DoA (Part A, List of Deliverables) and is responsible for the successful completion of the Deliverable.
- Meeting agendas / minutes: the Lead of the WP/Task through which the document is issued.

The production of official documents (e.g. project reports) for the EC is coordinated by the PMO. The WP Lead and Coordinator are the responsibility for Deliverable peer review. These documents require contributions from many partners and the commitment to firm deadlines. To produce such documents, a Deliverable outline (named: LAMASUS_D{num}_name_v0.1, see section "Document Coding" for details) should be circulated by the Deliverable Lead For each section, the names of expected contributors are given who will work on the section until completion.

To avoid jeopardising the timely accomplishment of the project Workplan, it is crucial that all contributors respect the deadlines indicated. For a detailed Deliverable writing and submission process, see the section 6. Deliverable guidelines.

5.1.2. Language to be used

The contractual language of the project is English. All exchanges of information and documentation must be provided in English to other partners and the EC.

The document leader is expected to perform a careful check of the document to make sure the style and vocabulary of the final document is heterogeneous. This is particularly important for Deliverables and reports which will be submitted to the EC, and for documents which will have a wide dissemination.

5.1.3. Level of confidentiality and dissemination

By default, and if not contractually defined otherwise (e.g. Public Deliverables and scientific publications), each document created within LAMASUS is considered confidential.

In the DoA, the Deliverables listed in Part A are defined with a specific dissemination level. This dissemination level shall be mentioned in the document (on the cover page of the LAMASUS Deliverable template). Two levels of dissemination have been defined by the EC: PU, SEN (Table 2):

Table 2: LAMASUS Deliverables dissemination levels

Dissemination Level	Meaning
PU	Public
SEN	Sensitive, limited under the conditions of the ECGA

5.1.4. Document coding

Filing code

Unique filing code, in addition to the document title, will help find file names and referencing conventions that each partner might use in local archives.

For Deliverables, start the file name with 'LAMASUS' and contain the following elements:

LAMASUS_Dnumber_Short-Title_versionNumber

Example: LAMASUS_D10.1_Project_Management_v1.0.pdf

Where:

- v: the version number (e.g. v0, v1, v2, v3) associated with the Deliverable stage 0 – outline, 1 – first draft, 2 – second draft, 3 – final draft.
- Review stage applicable to Deliverables only: add _review to the document name to indicate a Deliverable has been reviewed and includes feedback from the WP Lead / Coordinator

For all other project documents, the file name must start with 'LAMASUS' and contain the following elements as a minimum:

LAMASUS_Type_Title_versionNumber

Example: LAMASUS_AGD_KOM_v1.0.doc

Where:

- AGD: Type of document. In this case it is the agenda (see document types further down)
- KOM: title of the document. In this case, it is to specify that the agenda is related to the Kick-Off Meeting

Document type

For each type of document, the use of the following codes will facilitate the identification of the document type:

- AGD   Agenda
- D*number*   Deliverable number (e.g. D10.1)
- DEC   Dissemination, exploitation, communication document
- MOM   Minutes of the meeting
- MS   Milestone

5.2. EXCHANGE OF INFORMATION

5.2.1. *LAMASUS Collaborative Workspace – SharePoint*

The LAMASUS project uses SharePoint, a secure collaborative workspace, to facilitate the cooperation between the partners and coordinate tasks. All the consortium members identified through the contact list at project launch are granted with access with a username (e-mail address) and password. Additional credentials can be provided by the Coordinator.

The project documents are visible and downloadable only by partners which are part of the project consortium. The collaborative workspace SharePoint contains (Figure 6):

Figure 6: LAMASUS SharePoint Workspace

Document archives

The Collaborative Workspace serves as the project archive by storing copies of all officially distributed documents:

- Contracts
- Deliverables
- Technical working documents
- Meeting documents
- Periodic reports
- Financial statements

The Coordinator archives and keeps track of all official releases of documents produced by the partners. The partners are responsible for uploading documents directly on SharePoint or sending electronic copies of the documents to the PMO/Coordinator.

Considering that partners may be subject to a review or an audit by the European Commission up to two years after the payment of the balance (see Point 6, Data Sheet of the ECGA), beneficiaries must — at least for a period of 5 years after the payment of the balance — keep records and other supporting documentation to prove the proper implementation of the action and the costs they declare as eligible (Article 20 of the ECGA, Data Sheet Point 6). Typically, copies of Deliverables and minutes of meetings are needed to justify effort spent and travel costs.

5.2.2. LAMASUS Mailing lists

To facilitate the communication within the consortium an excel file containing all persons working on the LAMASUS project and relevant data like institution and related WP is included in the LAMASUS_Partner Contacts.xlsx and is stored on the SharePoint in the folder "\7. Administration + Contacts". By filtering, a mailing list for the desired WP can be created. A list with all LAMASUS members WP Leads and deputies, as well as GA members is included in the LAMASUS_Nominations_for_GA_STC.xlsx.

A LAMASUS consortium mailing list is also available for member use.

Emails

To facilitate efficient communication and avoid unnecessary proliferation of email, the following rules shall be observed:

- Start the subject of all project-related email by the word "LAMASUS";
- Send emails only to the people who are directly concerned with the subject of the email to avoid overloading mailboxes with unnecessary information;
- If receipt of the email needs to be acknowledged, this must be specifically requested in the e-mail;
- If an action is requested, ensure that the deadline for response is provided;
- Email should contain the sender's contact details, especially their telephone number.

5.3. TEMPLATES

Project templates (stored in the folder "\2. Templates and Logos") for Deliverables, Milestone Memos, and Presentations with self-contained instructions have been created to facilitate readability, provides a common identity to the project, and ensures that confidentiality (where appropriate), funding acknowledgement and use of disclaimers are included in all project Deliverables. These need to be used for formal Deliverables rather than partners' own internal templates.

Templates for meeting agendas and minutes are also provided to help support the partners keep track of next steps and decisions. The templates are updated as needed by the PMO.

For details on the provided templates, see D9.2 "LAMASUS communication toolkit".

6. Deliverable guidelines

This section describes the Deliverable management procedures to ensure Deliverables are of high quality, on time, and in the required format. These procedures should prevent that the EC rejects Deliverables or EC payments get delayed.

6.1. DEFINITIONS

The LAMASUS Consortium is contractually bound to submit the Deliverables listed in section *Deliverables list* of the DoA to the EC within the specified timeframe. The DoA indicates the following information for each Deliverable (Table 3):

Table 3: LAMASUS Deliverable information

Deliverable information	Description
Deliverable Number	A reference number, e.g., D10.1
Deliverable Title	Name of the Deliverable
WP N°	Work Package in which the Deliverable is produced
Lead Beneficiary	Assigned leader of the Deliverable production
Nature	Type of Deliverable: R, O, DEC[1]
Dissemination level	Level of confidentiality: PU, SEN[2]
Delivery date	Date due to the EC

If a planned Deliverable needs to be re-defined, suppressed or merged with another Deliverable, the Coordinator should send an explanation to the Project Officer. And, once approved by the Project Officer, the change should be reported in the DoA and included in a ECGA amendment. For the ECGA amendment process see 9.3.1.

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[1] R: Document, report (excluding the periodic and final reports); DEM: Demonstrator, pilot, prototype, plan designs; DEC: Websites, patents filing, press & media actions, videos, etc.; DATA: Data sets, microdata, etc.; DMP: Data management plan ETHICS: Deliverables related to ethics issues; SECURITY: Deliverables related to security issues; OTHER: Software, technical diagram, algorithms, models, etc.

Note: If the actual deliverable is not a report (Nature = R), but a website, etc. (Nature = Other or DEC), the deliverable still must be documented in a report (consisting of a user manual, photos and description of location, specifications, test scenario or any other appropriate information) and submitted in the PDF format. The report should include sufficient documentation to demonstrate compliance with the expectations of the end user(s) of the deliverable and with a sufficient level of detail and in a format/representation which allows the end users to perform their follow-on activities correctly.

[2] PU = Public / SEN = Sensitive, limited under the conditions of the Grant Agreement

The Deliverable Template contains the basic structure and self-explanatory notes on how to complete each section.

6.2. DELIVERABLE QUALITY

Deliverables should have an agreed purpose and reflect the allocated PMs of the activities and results being described. Both the content and the form of the Deliverable will be reviewed before being sent to the EC sufficiently in advance to allow for proof reading, feedback, and updates.

Content: The purpose is to check that the technical/scientific content is of professional quality, reflects precisely the work done and meets the expectations. Criteria will relate to the completeness of the description, levels of details, technical correctness, references, etc.

6.2.1. Memo

In the Deliverable planning phase WP, Task and Deliverable Leads generate Analytic Memos to describe the exact objective and research questions of the work and provide a detailed understanding of how they propose to achieve the task or Deliverable.

- This memo should be generated by the WP / Task lead within three months from the start of a Task.
  This short memo (2-3 pager) will form the basis for the Methods section (or Appendix) of a Deliverable or could be used for the Methods in a paper.
- The memos are stored on the shared Workspare in the folder "\8. Work Packages\4. WP4\Memos"

Memo details and contents will be discussed with WP / Task Leads. The memos will be for internal use in the consortium only. The memos in addition to the exact research question(s), should include the main data used /generated, and provide sufficient detail on methods used to critically assess the quality of the work, and for the contributing partners to understand their role in the task.

The memo can provide the basis for rigorous discussions to resolve analytic problems and trade-offs. It improves collaboration across the different pillars and WP's and brings people up to speed when they enter the project cycle at different stages. If there is critical input required from other WPs this should be highlighted so that these other partners can review the memo and can judge whether they can timely provide this input.

No pre-identified memo structure is requested given that tasks across the consortium vary widely from literature review, database processing, econometric modelling, and baseline modelling. The Deliverable template stored in the template folder "\2. Templates and Logos" can be used to write up the memo to avoid duplicating work, given our anticipation the memo content will be included in future Deliverables.

6.3. DELIVERABLE PRODUCTION AND VALIDATION PROCESS

All Deliverables should be produced in a professional manner with a technical and scientific quality at least equal to material otherwise produced by each partner organisation.

The Deliverable template shall be used for all Deliverables based on this structure:

- Cover page, glossary, table of contents
- Executive summary
- Core part
- Conclusion
- Bibliography (if required)
- Possible annex(es)

When feasible, 'Other' material should be presented with at least the Deliverable template cover pages. The 'other' material should be accompanied with sufficient detail and documentation to demonstrate compliance with the expectations and allow the end user to perform their follow-on activities.

All Deliverables should be produced in accordance with the Deliverable Process described in Figure 7 and Figure 8. The review process will be initiated by the author of a Deliverable, and consecutively reviewed by the Task Leader (if not the author), then by the WP Leader and finally, the Coordinator and PMO. Formal acceptance of a Deliverable by the EC corresponds to the terms of the ECGA within 60 days after submission pending a final approval at a project review or audit. Information related to the level of confidentiality and dissemination is already mentioned in document management guidelines. The status of the Deliverables will be updated online on the Collaborative Workspace, where they will be stored.

Figure 7: Schematic deliverable writing process

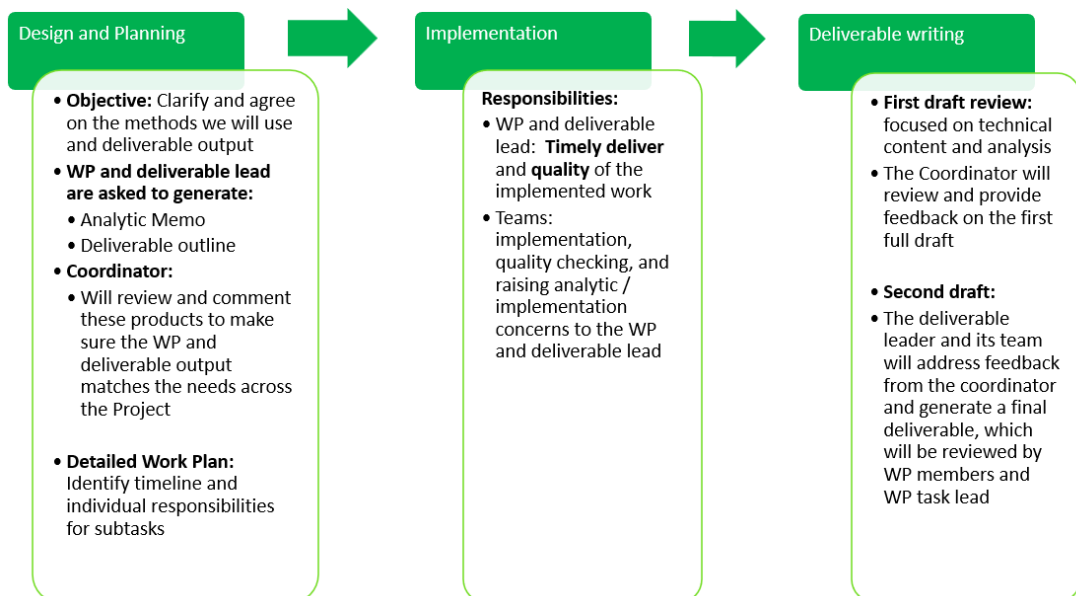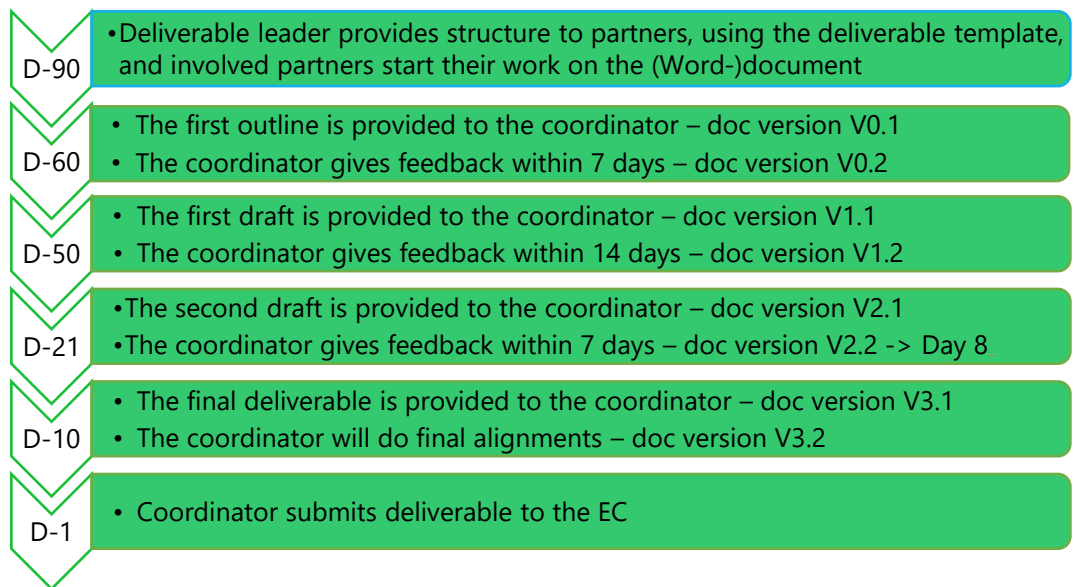| D-90 | • Deliverable leader provides structure to partners, using the deliverable template, and involved partners start their work on the (Word-)document |
D-60	• The first outline is provided to the coordinator – doc version V0.1 • The coordinator gives feedback within 7 days – doc version V0.2
D-50	• The first draft is provided to the coordinator – doc version V1.1 • The coordinator gives feedback within 14 days – doc version V1.2
D-21	• The second draft is provided to the coordinator – doc version V2.1 • The coordinator gives feedback within 7 days – doc version V2.2 -> Day 8
D-10	• The final deliverable is provided to the coordinator – doc version V3.1 • The coordinator will do final alignments – doc version V3.2
D-1	• Coordinator submits deliverable to the EC

Figure 8: Timeline for the deliverable review process (time in days).

7. Dissemination guidelines

All partners shall, throughout the duration of the project, take appropriate measures to engage with the public and the media about the project and to highlight the financial support of the European Union. LAMASUS communication activities shall be organised to use communication channels tailored to the target audiences. This will maximise the impact of the project and create awareness for European collaborative research in general, and in the specific field of civil protection including the progress provided by LAMASUS.

Dissemination activities shall be detailed in the Strategy and Planning of Communication Activities (see Deliverable D9.1 "Dissemination and Communication Strategy Plan"), which will include sufficient details/references to enable the Commission to trace the activity. This Deliverable will be prepared in the first months of the project and will be followed-up and updated regularly.

The main aim will be to raise awareness, create interest, attract practitioner members interested in innovation and motivate them to engage and collaborate with each other through:

- LAMASUS Stakeholder dialogue and Scientific and Policy Advisory Board;
- LAMASUS events and collaborative workshops (e.g. WS and Summer School);
- LAMASUS public website and social media;
- scientific publications;
- the general press.

Before initiating dissemination actions (e.g. publishing of a paper, press release, participating to a conference), partners should inform the Coordinating Teamto ensure their action aligns the Communication Plan.

7.1. SIMPLIFIED LAMASUS DISSEMINATION APPROVAL

According to the ECGA (Annex 5, ECGA), a beneficiary that intends to disseminate its results must give advance notice to the other beneficiaries on the results it will disseminate. Any other beneficiary may object, if it can show that its legitimate interests in relation to the results or background would be significantly harmed. In such cases, the dissemination may not take place unless appropriate steps are taken to safeguard these legitimate interests.

LAMASUS is planning to establish simplified approval procedures with regards to dissemination, deviating from the CA, for the following means:

7.1.1. *Press release*
For press reports or general articles that are based on already existing material (e.g. Deliverables, other publications) following procedure will be used:

- First Agreement / decision within the Coordination Team, final decision to be taken by the Steering Committee

- Consortium members will be notified of the upcoming release prior to publication
- Planned publications in languages other than English require a conclusive English summary, as well as a brief statement of the publication (what journal/readership, intention)

7.1.2. Scientific Results

For papers, articles in journals, abstracts for conferences, presentations, any 'Products' resulting from LAMASUS, following procedure is used:

- First Agreement / decision within Coordinating Team(a partner who is planning to publish results should send the manuscript/abstract at least **5 working days** via email to the Coordination Team:).
- Planned publications in languages other than English would require a conclusive English summary, as well as a brief statement of the publication (what journal/readership, intention).
- The LAMASUS PMO will send the publication to all partners, who can send their objections **within 2 working days** (an objection is only possible if the partner can clearly show that the legitimate interests of the organisation are impeded by this publication).
- Without an objection received within 2 working days the publication is automatically approved.
- The PMO will make available the approved manuscript in a dedicated folder on SharePoint in the folder "\6. Dissemination + Communication\Manuscripts GA approved" and highlighted on the LAMASUS website.

7.1.3. Dissemination Material

A flyer is developed by the Coordinating Team. For additional dissemination material, poster, etc. the following procedure is used :

- Suggestions are sent to the Coordinating Team
- Visual identity cross check by ARTTIC and alignment with general Visual Identity
- GA vote won't be necessary

7.2. ACKNOWLEDGEMENT AND DISCLAIMER

All publications or any other dissemination relating to foreground shall display the EU emblem with the funding acknowledgement. For promotional material and publicity, the same acknowledgement of EC support (European emblem and disclaimer) must be included (ECGA Article 17):

"Funded by the European Union. Views and opinions expressed are however those of the author(s) only and do not necessarily reflect those of the European Union or the European Research Executive Agency. Neither the European Union nor the granting authority can be held responsible for them."

We strongly advise to include the Grant Agreement number and the funding acknowledgement by using this disclaimer (for details see D9.1 "Dissemination and Communication Strategy Plan"):

With regards to scientific publications related to foreground published before or after the final report, such details/references and an abstract of the publication must be provided to the Commission within two months following publication.

7.2.1. *Open access to scientific publications*

Any LAMASUS beneficiary who intends to disseminate its results in peer reviewed scientific publications must ensure public open access (Annex 5, ECGA). In general, open access (OA) should be online, free of charge and re-usable to any user, including the right to read, download and print as well as to copy, distribute, search, link, crawl and mine.

There are two ways to ensure immediate open access:

1. Deposit the publication in a repository for scientific publications and ensure open access
2. Publish the research results in an open access journal

In both cases the publications must be deposited in a repository, even when publishing in an open access journal. For more details, please refer to D9.1 *Plan for dissemination and communication*.

7.3. PARTICIPATION TO CONFERENCES

Beneficiaries who intend to participate in conferences and thereby charge the costs to LAMASUS should first contact the PMO (except for foreseen Workshops and Roadshows as mentioned in the DoA for the following reasons:

- To ensure that the dissemination action is in line with the Communication Plan.
- To coordinate LAMASUS actions if several beneficiaries intend to participate in the same conference.
- To inform the EC of the dissemination action – through the Coordinator – (especially for conferences held outside of Europe) to ensure that the action is accepted as eligible for funding.

8. EC Participant Portal

The Participant Portal (SyGMa) is the European Commission online tool for administration of EU-funded research and innovation projects and hosts the services for managing HE proposals and projects throughout their lifecycle. The portal also contains information about the beneficiary, that only can be changed by the beneficiary and not from the coordinator. Therefore:

- Each organisation's Legal Entity Authorised Representative (LEAR) is responsible for keeping his/her organisation's legal and financial data up to date in the Participant Portal.
- If an organisation changes legal name, address, ownership, etc., this information must be updated directly in the Participant Portal by the LEAR. See the Online Manual for details.

Please notify the PMO of any legal changes at your organisation as soon as possible because such changes can impact contractual reporting and/or contract amendments.

Access to the Participant Portal is controlled by the European Commission Authentication Service (ECAS). Click *login* to request a password. The main contact of each Beneficiary (assigned during the proposal phase) can nominate additional persons within their organisation who can then access LAMASUS project information, including Deliverables and periodic reports. Please see Figure 9 for the different roles in the EC Portal SEDIA. For more details please see the EU Funding & Tenders Online Manual or contact the PMO.
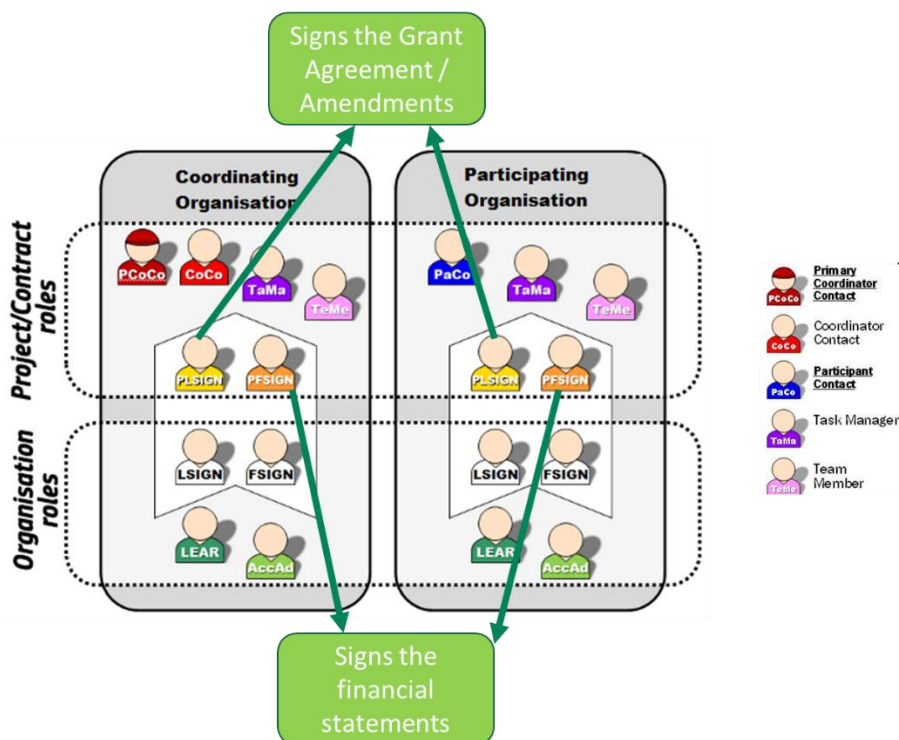

Figure 9: Roles in the EC Participant Portal (SEDIA)

9. Contractual rules & Management

9.1. PERIODIC PROGRESS REPORTING TO EC AND PAYMENTS

At the end of every reporting period, each partner (and their third party) is obliged to report on the activities of the period, using the EC online service and provide a Form C (Financial Statement, FS) and sufficient explanations of the use of the resources. A Certificate of Financial Statement (CFS) is required when a total contribution of 430K€ or more is requested.

The final version of the Periodic Report, as well as the financial statements (with certificates), must be submitted to the EC within 60 days following the end of the respective reporting period.

The project has three Periodic Reports:

- Reporting period 1 from M01 till M18: Report due by M20
- Reporting period 2 from M19 till M36: Report due by M38
- Reporting period 3 from M37 till M48: Report due by M50

The periodic report consists of a technical report Part A and Part B and the financial report from each beneficiary. Not every participant has to contribute to every part.

Part A and the financial report have to be prepared and submitted in the Participant Portal (SEDIA). Part B needs to be prepared as a single document and uploaded as PDF before submission.

The submission is a single step submission process. Financial statements that have not been submitted by the beneficiary in the online tool before the single-step submission of the periodic report will not be considered and the beneficiary will not be able to obtain a payment for the next project period.

An exception to the single-step submission are Deliverables, which need to be submitted independent of the periodic report at their due date. Any delay in submission of a Deliverable needs to be justified at the time of submission and in the periodic report (see Deliverables guidelines).

The EC payment modalities are described in Article 22 of the ECGA. Payments are made to the Coordinator, which are then transferred to partners. One single pre-financing was made at the project's start, which will be followed by an interim payment following each reporting period. A final payment is made following the last reporting period.

9.1.1. Eligible costs
Eligible costs for the project are described in the Article 6 of the ECGA.

9.1.2. Budget per partner

Each partner has been allocated a budget and corresponding maximum EC funding contribution. Partners must remain within this budget and ensure that all their activities as described in the DoA are performed with this budget. If a partner realises that they will not spend their entire budget, they should make this information known as soon as possible so that it may be eventually reallocated to other partners.

9.1.3. Subcontracting

Only subcontracting activities which have been agreed with the EC prior to the start of the project and described in the DoA are authorised and eligible to be claimed as eligible costs for the project. At the stage of proposal submission and Grant preparation, there is no subcontract foreseen for LAMASUS. If the need for subcontracting arises during the project execution (with no other solution available to partners)[3], it must be strongly argued and approved by the EC prior to its start. Requests for additional subcontracting should be addressed to the Coordinator via the PO mentioning:

- The technical justification for this additional subcontracting;
- The proof that this activity is not a part of the project's core research;
- The process to be used for the award of subcontractors[4];
- The budget estimation for this subcontracting.

If the Coordinator sees no objection to the request, he will forward it to the EC for approval.

Once approved by the EC, the corresponding sub-contract should be documented in the DoA and included in a ECGA amendment.

9.2. CONFIDENTIALITY

Confidentiality clauses as defined in Article 13 of the ECGA apply to this project.

9.3. PLANNED MODIFICATIONS OR DEVIATIONS FROM THE DOA & CA

Any important planned modifications or deviations to the technical work described in the applicable version of the DoA must be declared at the appropriate level within the project. Depending on its importance and nature, prior approval from the EC may be required, as well as a revision of the DoA via contract amendment.

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[3] Partners are not authorised to subcontract to other partners (including third-party and affiliate) of the Consortium.

[4] Any subcontract must be awarded according to the principles of best value for money (best price-quality ratio), transparency and equal treatment.

9.3.1. Amendments of the Grant Agreement

Beneficiaries wishing to request an amendment should contact the Coordinator and PMO with details of their request. The Coordinator/PMO will discuss the proposed amendment initially with the participant requesting the amendment and make suggestions to the GA for the formal amendment request, including changes to the Description of Action (DoA), drafting of the amendment request letter, and required supporting documents. When agreed on an amendment request, a GA voting on the amendment will be carried out. The Coordinator/PMO will lead any communication with the EC to implement these changes.

When required, amendment changes will be grouped. Amendments should also be avoided towards the end of the project.

Further guidelines can be found on the on the [EC funding and tenders portal](#) and PMO can be contacted.

9.3.2. Amendments of the Consortium Agreement

Amendments to the Consortium Agreement, other than for the purpose of implementing an amendment to the ECGA, require the approval and signature by an authorised signatory of each of the participants. A request for a Consortium Agreement amendment should be addressed in writing to the Coordinator and PMO.

9.4. IPR DUE DILIGENCE

Beneficiaries must be aware that Intellectual Property Right (IPR) rules are defined in the Grant and Consortium Agreements. Technical workers are advised to seek advice from their Main Contact person before communicating 'proprietary information' or 'their' LAMASUS results to others.

9.5. CONTRACTUAL DOCUMENTS

All contractual documents will be available on the Collaborative workspace during the entire course of the project.