

Certificate of completion (The contractor)		
Number: 34395-H-DT-2-1		Date: 28.09.2020
1	Name of the administration	İZMİR METROPOLITAN MUNICIPALITY
2	Name of the work and the tender registration number, if any	İzmir Transportation Master Plan (UPI 2030) Proposals Preparation of Action Plans
3	Work description	<p>For Entire İzmir Province;</p> <p>l) Preparation of Tire Wheeled Public Transport Rehabilitation Action Plan</p> <p>a) Collection of Existing and New Data, Conducting Analytical Studies</p> <p>b) Conducting Public Transport Passenger Counts</p> <p>c) Developing Proposals with Analysis for Increasing the Operational Performance and Institutional Capacity of Public Transport Systems,</p> <p>d) Developing Economic and Financial Analysis of Public Transport Operators and Evaluating the Applicability of the Proposals</p> <p>e) Proposals and Development of Strategies for Public Transport Operators</p> <p>1. Optimization Plan with Network Planning and Line Routes</p> <p>2. Fleet Renewing Plan and Evaluation of Alternative Sustainable Energy Sources</p> <p>3. Integration and E-Ticket Applications</p> <p>4. E-Ticket Tariff Proposals</p> <p>5. Developing the Institutional Structure and Capacity and Establishing the Institutional Transformation Program</p> <p>6. Development of Institutional Business Models (Creating and Developing Public and Private Partnership Proposals)</p> <p>f) Bicycle Sharing System Analysis</p>

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- g) Development of Legal and Institutional Infrastructure
- h) Benchmarking Studies with International (EU SUMP) Application Examples
- i) Development of Bicycle and Pedestrian Access Implementation Strategies
- j) Development of Bicycle Transportation Action Plans
- 1. Establishment and Assignment of Bicycle Transportation Demand Forecast Model
- 2. Proposal for Bicycle Transportation Network and Planning
- 3. Bicycle Tourism and EuroVelo Network Plan
- 4. Proposals for Energy Efficiency and Environmental Factors
- 5. Development of the E-Mobility Proposal such as Smart Cycling and Bicycle Sharing System
- 6. Bicycle Parking Area and Technical Infrastructure Facility Proposals
- 7. Proposals for Improving the Institutional Structure
- k) Preparation of Pedestrian Transportation Action Plans
- l) Creating Spatial Development Strategies
- m) Pedestrian Transportation Network Development Plan
- n) Preparation of 56 km Priority Bicycle Lane Arrangement Projects
- o) Preparation of Projects of 25 km Pedestrian Arrangements Priority Areas
- p) Preparation of Integration and Regulation Projects with Other Transportation Systems
- r) Development of Incentive and Monitoring and Evaluation Policies Regarding Bicycle and



Pedestrian Access

- s) Technological Infrastructure and Integration Studies for Intelligent Transportation Systems
- t) Establishing Design and Implementation Standards and Ensuring Compliance with International Standards (EU)
- u) Evaluation of Pedestrian and Bicyclist Types in Terms of Safety and Establishing Security Design and Control Standards
- v) Establishing Business, Management and Audit Institutional Structure
- y) Evaluation and Planning of Participation Processes
- 4) Preparation of Urban Vehicle Parking Areas Strategic Management Action Plan
 - a) Conducting Studies for Determining the Current Situation
 - b) Determining Vehicle Parking Zones by Carrying Out Analysis and Synthesis Studies Regarding the Current Situation,
 - c) Determination of Vehicle Parking Area Operation Plans and Organization,
 - d) Creating the City-wide Vehicle Parking Area Model and Determining the Needs
 - e) Development of City-wide Vehicle Parking Area Spatial Planning Decisions
 - f) Development of the Institutional Structure
 - g) Examination of National and European Union Legislation Regarding Vehicle Parking Areas and Preparation of Regulations
 - h) Preparation of Vehicle Parking Areas Design and Implementation Standards Manual
- 5) Organizing Training and Technical Trips
- 6) Developing Institutional Capacity and Establishing Legal Structuring



4	Contractor's name and surname or trade name	BOĞAZIÇI PROJE MÜHENDİSLİK ANONİM ŞİRKETİ
5	Turkish Identity Number	
6	Tax identification number	1790648133
7	If the contractor is a joint venture, partners and partnership rates; if the contractor is a consortium, the partners and the parts of work carried out by these partners and the amount of these parts.	
8	Contract date and date of tender, if any	Date of Contract: 13.03.2018 Date of Tender: 19.02.2018
9	Initial Contract price	7.189.000,00 TRY
	The amount of work performed	7.189.000,00 TRY
	Total contract amount	7.189.000,00 TRY
10	Acceptance date	15.06.2020
11	If the contract has been transferred	
	Contract transfer date	
	The amount of work on the contract transfer date	
	The amount and rate of work performed by the contractor for whom a document is issued	
12	Certificate Amount	7.189.000,00 TRY
EXPLANATION:		
<p>This is to certify that above translation from <u>Turkish</u> in to <u>English</u> is correct and autentic with the original Translation Officially Sworn by Public Notaries and Courts.</p> <p>İşbu belgenin aslı/fotokopisi tarafımdan görülmüş olup, <u>Türkçe</u> 'den <u>İngilizce</u> 'ye çevirisi tarafımdan yapılmıştır.</p> <p>İşbu belge yeminli tercümanımız <u>Relih Başakçılı</u> tarafından tercüme edilmiştir.</p>		



**Certificate of Experience
(The contractor-Work Completion)**

Number: 7050-D-IST-I-I		Date: 08.02.2020
1	Name of the administration	BURULAŞ BURSA ULAŞIM TOPLU TAŞIM İŞLETMECİLİĞİ TURİZM SANAYİ VE TİCARET A.Ş.
2	Name of the work and the tender registration number, if any	Transportation Master Plan Revision and Emergency Action Projects Consultancy Service
3	Place of Work	BURSA
4	Consultancy work description	<p>Within the scope of Transportation Master Plan Works for Target Year 2035 and Total Population Projection of 4.055.000 for Entire Bursa City;</p> <p>1) - Conducting Analytical Studies</p> <p>Data Collection of Land Use, Transportation Infrastructure, Public Transport System, Demographic Structure for Population of 2.936.803, Employment Status, Development of Transportation Network Geographical Database and Inventory (GIS) and Transportation Information System Studies, Conducting Household Transportation and Passenger-User-Pedestrian Surveys, Conducting Parking and Driver Surveys</p> <p>2) - Transport and Traffic Study</p> <p>Intersection Traffic Counts, Optimization and Simulations regarding Transportation Network, Screen lines and Cordon Lines Studies, Speed and Queuing Studies, Micro Traffic Simulations, Traffic and Geometrical Design Projects of Intersections and Highway Corridor, Preparation of Traffic Circulation Plans and Projects, Micro Simulations, Traffic Studies and Evaluation Report</p> <p>3) -Development and Calibration of Transportation Master Plan Demand Model and Testing of Alternatives</p> <p>Development of Transportation - Travel Demand Forecasting Model, Trip Production, Trip Distribution, Mode Choice, Trip Assignments, Highway Traffic Assignment and Preparation of Calibration Report.</p> <p>4) - Development of Transportation Master Plan</p> <p>Zoning Plan Analysis, Calculation of Economic and Demographic Projections, Development of</p>

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		<p>Alternatives and Testing in the Model (3 Scenario), Preparation of Bus and Rail Public Transport Plans, Efficiency Analysis, Development of Bus Operation Plans, Rail System Network and Station Planning, Public Transport Strategies and Solutions, Preparation of Smart City and Intelligent Transportation System Proposals, Preparation of Parking Lot and City Center Plans, Bicycle Planning Studies, Traffic Management Center Planning and Development of Transportation Master Plan Final Report Preparation, Obtaining AYGM (General Directorate of Infrastructure Investments) Approval.</p> <p>5) - State Highway and Urban Road Intersection Projects (43 km Highways and 66 Intersections in Total (56 Ground Level + 10 Interchanges)</p> <p>Approximately 43 km across the city of Bursa Preparation of State Highway (Izmir-Ankara Road Bursa Crossing) Projects, Preparation of Ground Level (Signalized) Intersection and Interchange Projects, Preparation of Geometric Design Project, Testing with Micro Traffic Simulations, Traffic Studies and Optimization, Preparation of Reports, Development 25 km. Urban Center Traffic Circulation Plans</p> <p>6-) Preparation of 10 km Bicycle Lane Design Projects</p> <p>Preparation of priority 10 km bicycle lane projects within the framework of the Bicycle Plan.</p> <p>7-) Providing Traffic Engineering and Traffic Micro and Macro Simulation Trainings (Domestic - International)</p> <p>8-) Institutional Capacity Building and Development of Organization Chart</p> <p>Structuring Proposals for Increasing Institutional Capacity, Proposals for Development of Institutional Scheme.</p>
5	Contractor's name and surname or trade name	BOĞAZİÇİ PROJE MÜHENDİSLİK ANONİM ŞİRKETİ

6	Turkish Identity Number/Tax identification number	1790648133
7	If the contractor is a joint venture, partners and partnership rates; if the contractor is a consortium, the partners and the parts of work carried out by these partners and the amount of these parts.	
8	Initial Contract price	5.500.000,00 TRY
9	Total contract price	5.956.000,00 TRY
10	The amount of work performed	5.956.000,00 TRY
11	Contract date and date of tender, if any	Date of Contract: 13.08.2018
12	If the contract has been transferred	
	a. Contract transfer date	-
	b. The amount of work on the contract transfer date	-
	c. The amount and rate of work performed by the contractor for whom a document is issued	-
13	Date of Acceptance of Work	04.02.2020
14	Certificate Amount	5.956.000,00 TRY
<div style="display: flex; justify-content: space-between;"> <div> <p>Turhan Bülent Atak</p> <p>Purchase Manager</p> </div> <div> <p>Mehmet Kürşat Çapar</p> <p>General Manager</p> </div> </div>		

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Turkish in to English
 is correct and autentic with the original Translation
 Officially Sworn by Public Notaries and Courts.



İşbu belgenin aslı/fotokopisi tarafımdan görülmüş
 olup, Türkçe 'den
İngilizce 'ye
 çevirisi tarafımdan yapılmıştır.

İşbu belge yeminli tercümanımız
Fatih Becerikli
 tarafından tercüme edilmiştir.

PROJECT REALIZATION INFORMATION FORM

Information about the projects conducted by our company is shared below

Administration Name	Name of The Work and Tender Registration Number	Contract Price	The Amount Paid of Satisfactorily Completed During the Reference Period	Remaining Amount
KAHRAMANMARAS METROPOLITAN MUNICIPALITY	KAHRAMANMARAS TRANSPORTATION MAIN PLAN, SERVICE PROCUREMENT WORK	₺4,997,750.00 (€ 786,192.96)	₺4,997,750.00 (€ 786,192.96)	-

Prepared
Accounting Manager <i>Turgut ÖZALAN</i> <i>[Signature]</i>

Approving
Sworn-In Certified Public Accountant <i>Nesih ÇAM</i> <i>15/10/2021</i>





EUROPEAN COMMISSION

EUROPEAN CLIMATE, INFRASTRUCTURE AND ENVIRONMENT EXECUTIVE AGENCY

CINEA.C – Green research and innovation
C.03 – Horizon Europe Transport

Karen VANCLUYSEN

POLIS

rue du Trône 98
1050 BRUXELLES
BELGIUM

Subject: Horizon 2020 Framework Programme
Project: 713813 — CIVITAS SATELLITE
Project review (Article 22)
Draft project review report

Dear Madam/Sir,


I am writing in connection with the above-mentioned review procedure for your grant.

Please find enclosed the draft review report.

In our view, the project has been completed.

To improve the implementation, we would recommend the following changes:

Not applicable.

 Please also note that a positive assessment of the technical work does NOT automatically guarantee that the costs will be accepted. This will depend on a number of other factors (such as compliance with cost eligibility rules, which will be assessed separately, on the basis of your financial statements and financial audits, if any).

Please submit **observations** — within **30 days** of receiving this letter — as formal notification via your [Funding & Tenders Portal account](#).

I would be grateful if you could inform the other members of your consortium (if any) of this letter.

For any questions, please contact us via your [Funding & Tenders Portal account](#).

Yours faithfully,

Authorising Officer

Enclosures: Review report

FINANCIAL STATEMENT ASSESSMENT SHEET (H2020 GENERAL)

Project: 713813 - CIVITAS SATELLITE

Participant: 2 - BEN - 999482666 - RUPPRECHT CONSULT-FORSCHUNG & BERATUNG GMBH (RUPPRECHT)

Reimbursement rate: 100 %

Reporting Period: 2 (from: 01/01/2018 to 30/06/2019)

Adjustment to previous period: NO

Certificate LRI: N/A

Certificate on financial statements (CFS): N/A

Call ID: H2020-MG-2014-2015

Assessment CFS: N/A

	FINANCIAL STATEMENT ASSESSMENT														Additional information
	Eligible costs (per budget category)										Receipts	EU contribution			
	A. Direct personnel costs				B. Direct costs of subcontracting	[C. Direct costs of fin. support]	D. Other direct costs		E. Indirect costs	Total costs (RP)	Receipts (RP)	Reimbursement rate %	Maximum EU contribution (RP)	Requested EU contribution (RP)	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.5 Cost of internally invoiced goods and services			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	Actual	Unit	Unit		Actual	Actual	Actual	Unit	Flat-rate						
									25%						
	a	Total b	No hours	Total c	d	[e]	f	Total h	i = 0,25 x (a + b + c + f + h - p)	k = a + b +c + d + [e] + f + h + i	l	m	n	o	p
Declared	156,224.65	-	-	-	-	-	27,101.69	-	45,831.59	229,157.93	-	100%	229,157.93	229,157.93	-
Rejected	-	-	-	-	-	-	-	-	-	-	-	100%	-	-	-
CFS capping	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	-	N/A
Total Accepted	156,224.65	-	-	-	-	-	27,101.69	-	45,831.59	229,157.93	-	100%	229,157.93	229,157.93	-

REMARKS:

FINANCIAL STATEMENT ASSESSMENT SHEET (H2020 GENERAL)

Project: 713813 - CIVITAS SATELLITE

Participant: 2 - BEN - 999482666 - RUPPRECHT CONSULT-FORSCHUNG & BERATUNG GMBH (RUPPRECHT)

Reimbursement rate: 100 %

Reporting Period: 3 (from: 01/07/2019 to 31/12/2020)

Adjustment to previous period: NO

Certificate LRI: N/A

Certificate on financial statements (CFS): YES

Call ID: H2020-MG-2014-2015

Assessment CFS: Approved

	FINANCIAL STATEMENT ASSESSMENT														Additional information
	Eligible costs (per budget category)										Receipts	EU contribution			Information for indirect costs
	A. Direct personnel costs		B. Direct costs of subcontracting	[C. Direct costs of fin. support]	D. Other direct costs		E. Indirect costs	Total costs (RP)	Receipts (RP)	Reimbursement rate %	Maximum EU contribution (RP)	Requested EU contribution (RP)			
	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.5 Cost of internally invoiced goods and services		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	Actual	Unit	Unit		Actual	Actual	Actual	Unit		Flat-rate					
										25%					
	a	Total b	No hours	Total c	d	[e]	f	Total h	i = 0.25 x (a + b + c + f + h - p)	k = a + b + c + d + [e] + f + h + i	l	m	n	o	p
Declared	225,938.29	-	-	-	142,410.45	-	56,893.21	-	70,707.88	495,949.83	-	100%	495,949.83	495,949.83	-
Rejected	-	-	-	-	-	-	-	-	-	-	-	100%	-	-	-
CFS capping	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	-	N/A
Total Accepted	225,938.29	-	-	-	142,410.45	-	56,893.21	-	70,707.88	495,949.83	-	100%	495,949.83	495,949.83	-

REMARKS:

FINANCIAL STATEMENT ASSESSMENT SHEET (H2020 GENERAL)

Project: 713813 - CIVITAS SATELLITE

Call ID: H2020-MG-2014-2015

Participant: 2 - BEN - 999482666 - RUPPRECHT CONSULT-FORSCHUNG & BERATUNG GMBH (RUPPRECHT)

Reimbursement rate: 100 %

Reporting Period: 3 (from: 01/07/2019 to 31/12/2020)

Adjustment to previous period: YES

If yes, adjustment to RP: 2 (from: 01/01/2018 to 30/06/2019)

Certificate LRI: N/A

Certificate on financial statements (CFS): N/A

Assessment CFS: Approved

	FINANCIAL STATEMENT ASSESSMENT														Additional information
	Eligible costs (per budget category)										Receipts	EU contribution			
	A. Direct personnel costs				B. Direct costs of subcontracting	[C. Direct costs of fin. support]	D. Other direct costs		E. Indirect costs	Total costs (RP)	Receipts (RP)	Reimbursement rate %	Maximum EU contribution (RP)	Requested EU contribution (RP)	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.5 Cost of internally invoiced goods and services			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	Actual	Unit	Unit		Actual	Actual	Actual	Unit	Flat-rate						
	a	Total b	No hours	Total c	d	[e]	f	Total h	i = 0.25 x (a + b + c + f + h - p)	k = a + b + c + d + [e] + f + h + i		l	m	n	
Declared	1,909.53	-	-	-	-	-	-4,469.63	-	-640.03	-3,200.13	-	100%	-3,200.13	-3,200.13	-
Rejected	-	-	-	-	-	-	-	-	-	-	-	100%	-	-	-
Total Accepted	1,909.53	-	-	-	-	-	-4,469.63	-	-640.03	-3,200.13	-	100%	-3,200.13	-3,200.13	-

REMARKS:

MODEL FOR THE CERTIFICATE ON THE FINANCIAL STATEMENTS

Terms of Reference for an Independent Report of Factual Findings on costs declared under a Grant Agreement financed under the Horizon 2020 Research and Innovation Framework Programme

This document sets out the ‘**Terms of Reference (ToR)**’ under which

Rupprecht Consult Forschung & Beratung GmbH (*‘the Beneficiary’*)]

agrees to engage

SP Treuhand GmbH Wirtschaftsprüfungsgesellschaft (*‘the Auditor’*)

to produce an independent report of factual findings (*‘the Report’*) concerning the Financial Statement(s) drawn up by the *[Beneficiary]* for the Horizon 2020 grant agreement **number 713813 – Support Action Towards Evaluation, Learning, Local Innovation, Transfer and Excellence – CIVITAS SATELLITE** (*‘the Agreement’*), and

to issue a Certificate on the Financial Statements’ (*‘CFS’*) referred to in Article 20.4 of the Agreement based on the compulsory reporting template stipulated by the Commission.

The Agreement has been concluded under the Horizon 2020 Research and Innovation Framework Programme (H2020) between the Beneficiary and Innovation and Networks Executive Agency (INEA) (*‘the Agency’*), under the powers delegated by the European Commission (*‘the Commission’*).]

The Innovation and Networks Executive Agency is mentioned as a signatory of the Agreement with the Beneficiary only. The European Union is not a party to this engagement.

1.1 Subject of the engagement

The coordinator must submit to the Innovation and Networks Executive Agency the final report within 60 days following the end of the last reporting period which should include, amongst other documents, a CFS for each beneficiary and for each linked third party that requests a total contribution of EUR 325,000.00 or more, as reimbursement of actual costs and unit costs calculated on the basis of its usual cost accounting practices (see Article 20.4 of the Agreement). The CFS must cover all reporting periods of the beneficiary or linked third party indicated above.

The Beneficiary must submit to the coordinator the CFS for itself and for its linked third party(ies), if the CFS must be included in the final report according to Article 20.4 of the Agreement.

The CFS is composed of two separate documents:

- The Terms of Reference (*‘the ToR’*) to be signed by the beneficiary and the Auditor;
- The Auditor’s Independent Report of Factual Findings (*‘the Report’*) to be issued on the Auditor’s letterhead, dated, stamped and signed by the Auditor (or the competent public officer)

which includes the agreed-upon procedures ('the Procedures') to be performed by the Auditor, and the standard factual findings ('the Findings') to be confirmed by the Auditor.

If the CFS must be included in the final report according to Article 20.4 of the Agreement, the request for payment of the balance relating to the Agreement cannot be made without the CFS. However, the payment for reimbursement of costs covered by the CFS does not preclude the Commission [*Agency*,] the European Anti-Fraud Office and the European Court of Auditors from carrying out checks, reviews, audits and investigations in accordance with Article 22 of the Agreement.

1.2 Responsibilities

The Beneficiary

- must draw up the Financial Statement(s) for the action financed by the Agreement in compliance with the obligations under the Agreement. The Financial Statement(s) must be drawn up according to the Beneficiary's accounting and book-keeping system and the underlying accounts and records;
- must send the Financial Statement(s) to the Auditor;
- is responsible and liable for the accuracy of the Financial Statement(s);
- is responsible for the completeness and accuracy of the information provided to enable the Auditor to carry out the Procedures. It must provide the Auditor with a written representation letter supporting these statements. The written representation letter must state the period covered by the statements and must be dated;
- accepts that the Auditor cannot carry out the Procedures unless it is given full access to the Beneficiary's staff and accounting as well as any other relevant records and documentation.

The Auditor:

- is qualified to carry out statutory audits of accounting documents in accordance with Directive 2006/43/EC of the European Parliament and of the Council of 17 May 2006 on statutory audits of annual accounts and consolidated accounts, amending Council Directives 78/660/EEC and 83/349/EEC and repealing Council Directive 84/253/EEC or similar national regulations/.

The Auditor:

- must be independent from the Beneficiary in particular, it must not have been involved in preparing the Beneficiary's Financial Statement(s);
- must plan work so that the Procedures may be carried out and the Findings may be assessed;
- must adhere to the Procedures laid down and the compulsory report format;
- must carry out the engagement in accordance with this ToR;
- must document matters which are important to support the Report;
- must base its Report on the evidence gathered;
- must submit the Report to the Beneficiary.

The Commission sets out the Procedures to be carried out by the Auditor. The Auditor is not responsible for their suitability or pertinence. As this engagement is not an assurance engagement, the Auditor does not provide an audit opinion or a statement of assurance.

1.3 Applicable Standards

The Auditor must comply with these Terms of Reference and with:

- the International Standard on Related Services ('ISRS') 4400 *Engagements to perform Agreed-upon Procedures regarding Financial Information* as issued by the International Auditing and Assurance Standards Board (IAASB);
- the *Code of Ethics for Professional Accountants* issued by the International Ethics Standards Board for Accountants (IESBA). Although ISRS 4400 states that independence is not a requirement for engagements to carry out agreed-upon procedures, the Agency requires that the Auditor also complies with the Code's independence requirements.

The Auditor's Report must state that there is no conflict of interests in establishing this Report between the Auditor and the Beneficiary and must specify - if the service is invoiced - the total fee paid to the Auditor for providing the Report.

1.4 Reporting

The Report must be written in the language of the Agreement (see Article 20.7).

Under Article 22 of the Agreement, the Commission, the Agency, the European Anti-Fraud Office and the Court of Auditors have the right to audit any work that is carried out under the action and for which costs are declared from the European Union budget. This includes work related to this engagement. The Auditor must provide access to all working papers (e.g. recalculation of hourly rates, verification of the time declared for the action) related to this assignment if the Commission, the Agency, the European Anti-Fraud Office or the European Court of Auditors requests them.

1.5 Timing

The Report must be provided by 26th February 2021.

1.6 Other terms

The execution of the order and our responsibility – also in the relationship to third parties – are subject to the “General terms of order for tax consultants and tax consulting companies”, in the version of 1st January 2017, attached as annex 3. As far as no maximum amount of liability is specified in the statutory provisions valid for the order, this amount is determined by No. 5 of the General terms of order and – as far as agreed – the amendment of 1st January 2017.

Joachim Specht, Wirtschaftsprüfer
Senior Partner
29th January 2021
Signature of the Auditor

Rupprecht Consult Forschung & Beratung GmbH
Siegfried Rupprecht, Director
29th January 2021
Signature of the Beneficiary

**Independent Report of Factual Findings on costs declared
under Horizon 2020 Research and Innovation Framework Programme –
Grant agreement number 713813 – CIVITAS SATELLITE**

To
Siegfried Rupprecht, Director
Rupprecht Consult – Forschung & Beratung GmbH
Clever Straße 13-15, 50668 Köln
26th February 2021

Dear Mr. Rupprecht,

As agreed under the terms of reference dated 29th January 2021

with Rupprecht Consult – Forschung & Beratung GmbH (*‘the Beneficiary’*),

we

SP Treuhand GmbH Wirtschaftsprüfungsgesellschaft
Joachim Specht, Wirtschaftsprüfer (*‘the Auditor’*),

established at

Karl-Zucker-Str. 1, 91052 Erlangen,

represented by

Joachim Specht, Wirtschaftsprüfer,

have carried out the procedures agreed with you regarding the costs declared in the Financial Statements of the Rupprecht Consult – Forschung & Beratung GmbH concerning the grant agreement Number 713813 - CIVITAS (*‘the Agreement’*),

with a total cost declared of
918,436.88 EUR,

and a total of actual direct costs and unit costs calculated in accordance with the Beneficiary's usual cost accounting practices declared of
763,231.60 EUR

and **hereby provide our Independent Report of Factual Findings ('the Report')** using the compulsory report format agreed with you.

The Report

Our engagement was carried out in accordance with the terms of reference ('the ToR') appended to this Report. The Report includes the agreed-upon procedures ('the Procedures') carried out and the standard factual findings ('the Findings') examined.

The Procedures were carried out solely to assist the Innovation and Networks Executive Agency (INEA) (Agency) in evaluating whether the Beneficiary's costs in the accompanying Financial Statement(s) were declared in accordance with the Agreement. The Agency draws its own conclusions from the Report and any additional information it may require.

The scope of the Procedures was defined by the Commission. Therefore, the Auditor is not responsible for their suitability or pertinence. Since the Procedures carried out constitute neither an audit nor a review made in accordance with International Standards on Auditing or International Standards on Review Engagements, the Auditor does not give a statement of assurance on the Financial Statements.

Had the Auditor carried out additional procedures or an audit of the Beneficiary's Financial Statements in accordance with International Standards on Auditing or International Standards on Review Engagements, other matters might have come to its attention and would have been included in the Report.

Not applicable Findings

We examined the Financial Statement(s) stated above and considered the following Findings not applicable:

List here all Findings considered not applicable for the present engagement and explain the reasons of the non-applicability.

- No additional remuneration was paid
- no natural person other than the beneficiary's employees were contracted
- no third parties were involved
- no unit costs were calculated
- persons did not work exclusively for the action without time records
- no depreciation costs were calculated
- no infrastructure costs were calculated
- no internal invoices were issued

Exceptions:

None

Apart from the exceptions listed below, the Beneficiary provided the Auditor all the documentation and accounting information needed by the Auditor to carry out the requested Procedures and evaluate the Findings.

Further Remarks

In addition to reporting on the results of the specific procedures carried out, the Auditor has no general remarks:

Use of this Report


This Report may be used only for the purpose described in the above objective. It was prepared solely for the confidential use of the Beneficiary and the Agency, and only to be submitted to the Agency in connection with the requirements set out in Article 20.4 of the Agreement. The Report may not be used by the Beneficiary or by the Agency for any other purpose, nor may it be distributed to any other parties. The Agency may only disclose the Report to authorized parties, in particular to the European Anti-Fraud Office (OLAF) and the European Court of Auditors.

This Report relates only to the Financial Statement(s) submitted to the Agency by the Beneficiary for the Agreement. Therefore, it does not extend to any other of the Beneficiary's Financial Statement(s).

There was no conflict of interest between the Auditor and the Beneficiary in establishing this Report. The total fee paid to the Auditor for providing the Report was EUR 2,975.00.00 (including EUR 475.00 of deductible VAT).

We look forward to discussing our Report with you and would be pleased to provide any further information or assistance.

SP Treuhand GmbH Wirtschaftsprüfungsgesellschaft
Joachim Specht, Wirtschaftsprüfer, Senior Partner
26th February 2021



Signature of the Auditor

Agreed-upon procedures to be performed and standard factual findings to be confirmed by the Auditor

The European Commission reserves the right to i) provide the auditor with additional guidance regarding the procedures to be followed or the facts to be ascertained and the way in which to present them (this may include sample coverage and findings) or to ii) change the procedures, by notifying the Beneficiary in writing. The procedures carried out by the auditor to confirm the standard factual finding are listed in the table below.

If this certificate relates to a Linked Third Party, any reference here below to 'the Beneficiary' is to be considered as a reference to 'the Linked Third Party'.

The 'result' column has three different options: 'C', 'E' and 'N.A.':

- 'C' stands for 'confirmed' and means that the auditor can confirm the 'standard factual finding' and, therefore, there is no exception to be reported.
- 'E' stands for 'exception' and means that the Auditor carried out the procedures but cannot confirm the 'standard factual finding', or that the Auditor was not able to carry out a specific procedure (e.g. because it was impossible to reconcile key information or data were unavailable),
- 'N.A.' stands for 'not applicable' and means that the Finding did not have to be examined by the Auditor and the related Procedure(s) did not have to be carried out. The reasons of the non-application of a certain Finding must be obvious i.e. i) if no cost was declared under a certain category then the related Finding(s) and Procedure(s) are not applicable; ii) if the condition set to apply certain Procedure(s) are not met then the related Finding(s) and Procedure(s) are not applicable. For instance, for 'beneficiaries with accounts established in a currency other than the euro' the Procedure related to 'beneficiaries with accounts established in euro' is not applicable. Similarly, if no additional remuneration is paid, the related Finding(s) and Procedure(s) for additional remuneration are not applicable.

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
A	ACTUAL PERSONNEL COSTS AND UNIT COSTS CALCULATED BY THE BENEFICIARY IN ACCORDANCE WITH ITS USUAL COST ACCOUNTING PRACTICE The Auditor draws a sample of persons whose costs were declared in the Financial Statement(s) to carry out the procedures indicated in the consecutive points of this section A. <i>(The sample should be selected randomly so that it is representative. Full coverage is required if there are fewer than 10 people (including employees, natural persons working under a direct contract and personnel seconded by a third party), otherwise the sample should have a minimum of</i>		

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p><i>10 people, or 10% of the total, whichever number is the highest)</i></p> <p>The Auditor sampled 6 people out of the total of 10 people.</p>		
A.1	<p>PERSONNEL COSTS</p> <p>For the persons included in the sample and working under an <u>employment contract or equivalent act (general procedures for individual actual personnel costs and personnel costs declared as unit costs)</u></p> <p>To confirm standard factual findings 1-5 listed in the next column, the Auditor reviewed following information/documents provided by the Beneficiary:</p> <ul style="list-style-type: none"> ○ a list of the persons included in the sample indicating the period(s) during which they worked for the action, their position (classification or category) and type of contract; ○ the payslips of the employees included in the sample; ○ reconciliation of the personnel costs declared in the Financial Statement(s) with the accounting system (project accounting and general ledger) and payroll system; ○ information concerning the employment status and employment conditions of personnel included in the sample, in particular their employment contracts or equivalent; ○ the Beneficiary's usual policy regarding payroll matters (e.g. salary policy, overtime policy, variable pay); 	<p>1) The employees were i) directly hired by the Beneficiary in accordance with its national legislation, ii) under the Beneficiary's sole technical supervision and responsibility and iii) remunerated in accordance with the Beneficiary's usual practices.</p> <p>2) Personnel costs were recorded in the Beneficiary's accounts/payroll system.</p> <p>3) Costs were adequately supported and reconciled with the accounts and payroll records.</p> <p>4) Personnel costs did not contain any ineligible elements.</p> <p>5) There were no discrepancies between the personnel costs charged to the action and the costs recalculated by the Auditor.</p>	<p>C</p> <p>C</p> <p>C</p> <p>C</p> <p>C</p>

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> o applicable national law on taxes, labour and social security and o any other document that supports the personnel costs declared. <p>The Auditor also verified the eligibility of all components of the retribution (see Article 6 GA) and recalculated the personnel costs for employees included in the sample.</p>		
	<p><i>Further procedures if 'additional remuneration' is paid</i></p> <p>To confirm standard factual findings 6-9 listed in the next column, the Auditor:</p> <ul style="list-style-type: none"> o reviewed relevant documents provided by the Beneficiary (legal form, legal/statutory obligations, the Beneficiary's usual policy on additional remuneration, criteria used for its calculation, the Beneficiary's usual remuneration practice for projects funded under national funding schemes...); o recalculated the amount of additional remuneration eligible for the action based on the supporting documents received (full-time or part-time work, exclusive or non-exclusive dedication to the action, usual remuneration paid for projects funded by national schemes) to arrive at the applicable FTE/year and pro-rata rate (see data collected in the course of carrying out the procedures under A.2 'Productive hours' and A.4 'Time recording system'). <p><i>'ADDITIONAL REMUNERATION' MEANS ANY PART OF THE REMUNERATION WHICH EXCEEDS WHAT THE PERSON WOULD BE</i></p>	<p>6) The Beneficiary paying "additional remuneration" was a non-profit legal entity.</p> <p>7) The amount of additional remuneration paid corresponded to the Beneficiary's usual remuneration practices and was consistently paid whenever the same kind of work or expertise was required.</p> <p>8) The criteria used to calculate the additional remuneration were objective and generally applied by the Beneficiary regardless of the source of funding used.</p> <p>9) The amount of additional remuneration included in the personnel costs charged to the action was capped at EUR 8,000 per FTE/year (up to the equivalent pro-rata amount if the person did not work on the action full-time during the year or did not work exclusively on the action).</p>	<p>N.A.</p> <p>N.A.</p> <p>N.A.</p> <p>N.A.</p>

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>PAID FOR TIME WORKED IN PROJECTS FUNDED BY NATIONAL SCHEMES.</p> <p>IF ANY PART OF THE REMUNERATION PAID TO THE EMPLOYEE QUALIFIES AS "ADDITIONAL REMUNERATION" AND IS ELIGIBLE UNDER THE PROVISIONS OF ARTICLE 6.2.A.1, THIS CAN BE CHARGED AS ELIGIBLE COST TO THE ACTION UP TO THE FOLLOWING AMOUNT:</p> <p>(A) IF THE PERSON WORKS FULL TIME AND EXCLUSIVELY ON THE ACTION DURING THE FULL YEAR: UP TO EUR 8 000/YEAR;</p> <p>(B) IF THE PERSON WORKS EXCLUSIVELY ON THE ACTION BUT NOT FULL-TIME OR NOT FOR THE FULL YEAR: UP TO THE CORRESPONDING PRO-RATA AMOUNT OF EUR 8 000, OR</p> <p>(C) IF THE PERSON DOES NOT WORK EXCLUSIVELY ON THE ACTION: UP TO A PRO-RATA AMOUNT CALCULATED IN ACCORDANCE TO ARTICLE 6.2.A.1.</p> <p><i>Additional procedures in case "unit costs calculated by the Beneficiary in accordance with its usual cost accounting practices" is applied:</i></p> <p>Apart from carrying out the procedures indicated above to confirm standard factual findings 1-5 and, if applicable, also 6-9, the Auditor carried out following procedures to confirm standard factual findings 10-13 listed in the next column:</p>		
		10) The personnel costs included in the Financial Statement were calculated in accordance with the Beneficiary's usual cost accounting practice. This methodology was consistently used in all H2020 actions.	C
		11) The employees were charged under the correct category.	C
		12) Total personnel costs used in calculating the unit costs were consistent with the expenses recorded in the statutory accounts.	C

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> o obtained a description of the Beneficiary's usual cost accounting practice to calculate unit costs;. o reviewed whether the Beneficiary's usual cost accounting practice was applied for the Financial Statements subject of the present CFS; o verified the employees included in the sample were charged under the correct category (in accordance with the criteria used by the Beneficiary to establish personnel categories) by reviewing the contract/HR-record or analytical accounting records; o verified that there is no difference between the total amount of personnel costs used in calculating the cost per unit and the total amount of personnel costs recorded in the statutory accounts; o verified whether actual personnel costs were adjusted on the basis of budgeted or estimated elements and, if so, verified whether those elements used are actually relevant for the calculation, objective and supported by documents. 	<p>13) Any estimated or budgeted element used by the Beneficiary in its unit-cost calculation were relevant for calculating personnel costs and corresponded to objective and verifiable information.</p>	C
	<p>For natural persons included in the sample and working with the Beneficiary under a direct contract other than an employment contract, such as consultants (no subcontractors).</p> <p>To confirm standard factual findings 14-17 listed in the next column the Auditor reviewed following information/documents provided by the Beneficiary:</p>	<p>14) The natural persons worked under conditions similar to those of an employee, in particular regarding the way the work is organised, the tasks that are performed and the premises where they are performed.</p> <p>15) The results of work carried out belong to the Beneficiary, or, if not, the Beneficiary has obtained all necessary rights to fulfil its obligations as if those results were generated by itself.</p>	N.A.
			N.A.

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> the contracts, especially the cost, contract duration, work description, place of work, ownership of the results and reporting obligations to the Beneficiary; the employment conditions of staff in the same category to compare costs and; any other document that supports the costs declared and its registration (e.g. invoices, accounting records, etc.). <p><u>For personnel seconded by a third party and included in the sample (not subcontractors)</u></p> <p>To confirm standard factual findings 18-21 listed in the next column, the Auditor reviewed following information/documents provided by the Beneficiary:</p> <ul style="list-style-type: none"> their secondment contract(s) notably regarding costs, duration, work description, place of work and ownership of the results; if there is reimbursement by the Beneficiary to the third party for the resource made available (in-kind contribution against payment): any documentation that supports the costs declared (e.g. contract, invoice, bank payment, and proof of registration in its accounting/payroll, etc.) and reconciliation of the Financial Statement(s) with the accounting system (project accounting and general ledger) as well as any proof that the amount invoiced by the third party did not include any profit; if there is no reimbursement by the Beneficiary to the third party for the resource made available (in-kind contribution free of charge): a proof of the actual cost borne by the Third Party for the resource made available 	<p>16) Their costs were not significantly different from those for staff who performed similar tasks under an employment contract with the Beneficiary.</p> <p>17) The costs were supported by audit evidence and registered in the accounts.</p> <p>18) Seconded personnel reported to the Beneficiary and worked on the Beneficiary's premises (unless otherwise agreed with the Beneficiary).</p> <p>19) The results of work carried out belong to the Beneficiary, or, if not, the Beneficiary has obtained all necessary rights to fulfil its obligations as if those results were generated by itself.</p> <p><i>If personnel is seconded against payment:</i></p> <p>20) The costs declared were supported with documentation and recorded in the Beneficiary's accounts. The third party did not include any profit.</p> <p><i>If personnel is seconded free of charge:</i></p> <p>21) The costs declared did not exceed the third party's cost as recorded in the accounts of the third party and were supported with documentation.</p>	<p>N.A.</p> <p>N.A.</p> <p>N.A.</p> <p>N.A.</p> <p>N.A.</p> <p>N.A.</p>

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>free of charge to the Beneficiary such as a statement of costs incurred by the Third Party and proof of the registration in the Third Party's accounting/payroll; c</p> <ul style="list-style-type: none"> any other document that supports the costs declared (e.g. invoices, etc.). 		
A.2	<p>PRODUCTIVE HOURS</p> <p>To confirm standard factual findings 22-27 listed in the next column, the Auditor reviewed relevant documents, especially national legislation, labour agreements and contracts and time records of the persons included in the sample, to verify that:</p> <ul style="list-style-type: none"> the annual productive hours applied were calculated in accordance with one of the methods described below, the full-time equivalent (FTEs) ratios for employees not working full-time were correctly calculated. <p>If the Beneficiary applied method B, the auditor verified that the correctness in which the total number of hours worked was calculated and that the contracts specified the annual workable hours.</p> <p>If the Beneficiary applied method C, the auditor verified that the 'annual productive hours' applied when calculating the hourly rate were equivalent to at least 90 % of the 'standard annual workable hours'. The Auditor can only do this if the calculation of the standard annual workable hours can be supported by</p>	<p>22) The Beneficiary applied method C: 'standard annual productive hours' used correspond to usual accounting practices</p> <p>23) Productive hours were calculated annually.</p> <p>24) For employees not working full-time the full-time equivalent (FTE) ratio was correctly applied.</p> <p><i>If the Beneficiary applied method B.</i></p> <p>25) The calculation of the number of 'annual workable hours', overtime and absences was verifiable based on the documents provided by the Beneficiary.</p> <p>25.1) The Beneficiary calculates the hourly rates per full financial year following procedure A.3 (method B is not allowed for beneficiaries calculating hourly rates per month).</p> <p><i>If the Beneficiary applied method C.</i></p> <p>26) The calculation of the number of 'standard annual workable hours' was verifiable based on the documents provided by the Beneficiary.</p>	<p>C</p> <p>C</p> <p>C</p> <p>N.A.</p> <p>C</p>

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>records, such as national legislation, labour agreements, and contracts.</p> <p><i>BENEFICIARY'S PRODUCTIVE HOURS' FOR PERSONS WORKING FULL TIME SHALL BE ONE OF THE FOLLOWING METHODS:</i></p> <p><i>A. 1720 ANNUAL PRODUCTIVE HOURS (PRO-RATA FOR PERSONS NOT WORKING FULL-TIME)</i></p> <p><i>B. THE TOTAL NUMBER OF HOURS WORKED BY THE PERSON FOR THE BENEFICIARY IN THE YEAR (THIS METHOD IS ALSO REFERRED TO AS 'TOTAL NUMBER OF HOURS WORKED' IN THE NEXT COLUMN). THE CALCULATION OF THE TOTAL NUMBER OF HOURS WORKED WAS DONE AS FOLLOWS: ANNUAL WORKABLE HOURS OF THE PERSON ACCORDING TO THE EMPLOYMENT CONTRACT, APPLICABLE LABOUR AGREEMENT OR NATIONAL LAW PLUS OVERTIME WORKED MINUS ABSENCES (SUCH AS SICK LEAVE OR SPECIAL LEAVE).</i></p> <p><i>C. THE STANDARD NUMBER OF ANNUAL HOURS GENERALLY APPLIED BY THE BENEFICIARY FOR ITS PERSONNEL IN ACCORDANCE WITH ITS USUAL COST ACCOUNTING PRACTICES (THIS METHOD IS ALSO REFERRED TO AS 'STANDARD ANNUAL PRODUCTIVE HOURS' IN THE NEXT COLUMN). THIS NUMBER MUST BE AT LEAST 90% OF THE STANDARD ANNUAL WORKABLE HOURS.</i></p> <p><i>'ANNUAL WORKABLE HOURS' MEANS THE PERIOD DURING WHICH THE PERSONNEL MUST BE WORKING, AT THE EMPLOYER'S DISPOSAL AND CARRYING OUT HIS/HER ACTIVITY OR DUTIES UNDER THE EMPLOYMENT CONTRACT, APPLICABLE COLLECTIVE LABOUR AGREEMENT OR NATIONAL WORKING TIME LEGISLATION.</i></p>	<p>27) The 'annual productive hours' used for calculating the hourly rate were consistent with the usual cost accounting practices of the Beneficiary and were equivalent to at least 90 % of the 'annual workable hours'.</p>	C

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
A.3	<p>HOURLY PERSONNEL RATES</p> <p>I) <u>For unit costs calculated in accordance to the Beneficiary's usual cost accounting practice (unit costs):</u></p> <p>If the Beneficiary has a "Certificate on Methodology to calculate unit costs " (CoMUC) approved by the Commission, the Beneficiary provides the Auditor with a description of the approved methodology and the Commission's letter of acceptance. The Auditor verified that the Beneficiary has indeed used the methodology approved. If so, no further verification is necessary.</p> <p>If the Beneficiary does not have a "Certificate on Methodology" (CoMUC) approved by the Commission, or if the methodology approved was not applied, then the Auditor:</p> <ul style="list-style-type: none"> o reviewed the documentation provided by the Beneficiary, including manuals and internal guidelines that explain how to calculate hourly rates; o recalculated the unit costs (hourly rates) of staff included in the sample following the results of the procedures carried out in A.1 and A.2. <p>II) <u>For individual hourly rates:</u></p> <p>The Auditor:</p> <ul style="list-style-type: none"> o reviewed the documentation provided by the Beneficiary, including manuals and internal guidelines that explain how to calculate hourly rates; o recalculated the hourly rates of staff included in the sample (recalculation of all hourly rates if the Beneficiary uses annual rates, recalculation of three 	<p>28) The Beneficiary applied</p> <p>Option II: Individual hourly rates were applied</p> <p><i>For option I concerning unit costs and if the Beneficiary applies the methodology approved by the Commission (CoMUC):</i></p> <p>29) The Beneficiary used the Commission-approved methodology to calculate hourly rates. It corresponded to the organisation's usual cost accounting practices and was applied consistently for all activities irrespective of the source of funding.</p> <p><i>For option I concerning unit costs and if the Beneficiary applies a methodology not approved by the Commission:</i></p> <p>30) The unit costs re-calculated by the Auditor were the same as the rates applied by the Beneficiary.</p> <p><i>For option II concerning individual hourly rates:</i></p> <p>31) The individual rates re-calculated by the Auditor were the same as the rates applied by the Beneficiary.</p> <p>31.1) The Beneficiary used only one option (per full financial year or per month) throughout each financial year examined.</p> <p>31.2) The hourly rates do not include additional remuneration.</p>	<p>C</p> <p>N.A.</p> <p>N.A.</p> <p>C</p>

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>months selected randomly for every year and person if the Beneficiary uses monthly rates) following the results of the procedures carried out in A.1 and A.2;</p> <ul style="list-style-type: none"> o (only in case of monthly rates) confirmed that the time spent on parental leave is not deducted, and that, if parts of the basic remuneration are generated over a period longer than a month, the Beneficiary has included only the share which is generated in the month. <p><u>“UNIT COSTS CALCULATED BY THE BENEFICIARY IN ACCORDANCE WITH ITS USUAL COST ACCOUNTING PRACTICES”:</u> IT IS CALCULATED BY DIVIDING THE TOTAL AMOUNT OF PERSONNEL COSTS OF THE CATEGORY TO WHICH THE EMPLOYEE BELONGS VERIFIED IN LINE WITH PROCEDURE A.1 BY THE NUMBER OF FTE AND THE ANNUAL TOTAL PRODUCTIVE HOURS OF THE SAME CATEGORY CALCULATED BY THE BENEFICIARY IN ACCORDANCE WITH PROCEDURE A.2. <u>HOURLY RATE FOR INDIVIDUAL ACTUAL PERSONAL COSTS:</u> IT IS CALCULATED FOLLOWING ONE OF THE TWO OPTIONS BELOW:</p> <p>A) [OPTION BY DEFAULT] BY DIVIDING THE ACTUAL ANNUAL AMOUNT OF PERSONNEL COSTS OF AN EMPLOYEE VERIFIED IN LINE WITH PROCEDURE A.1 BY THE NUMBER OF ANNUAL PRODUCTIVE HOURS VERIFIED IN LINE WITH PROCEDURE A.2 (FULL FINANCIAL YEAR HOURLY RATE);</p> <p>B) BY DIVIDING THE ACTUAL MONTHLY AMOUNT OF PERSONNEL COSTS OF AN EMPLOYEE VERIFIED IN LINE WITH PROCEDURE A.1 BY 1/12 OF THE NUMBER OF ANNUAL PRODUCTIVE HOURS VERIFIED IN LINE WITH PROCEDURE A.2.(MONTHLY HOURLY RATE).</p>		

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
A.4	<p>TIME RECORDING SYSTEM</p> <p>To verify that the time recording system ensures the fulfilment of all minimum requirements and that the hours declared for the action were correct, accurate and properly authorised and supported by documentation, the Auditor made the following checks for the persons included in the sample that declare time as worked for the action on the basis of time records:</p> <ul style="list-style-type: none"> ○ description of the time recording system provided by the Beneficiary (registration, authorisation, processing in the HR-system); ○ its actual implementation; ○ time records were signed at least monthly by the employees (on paper or electronically) and authorised by the project manager or another manager; ○ the hours declared were worked within the project period; ○ there were no hours declared as worked for the action if HR-records showed absence due to holidays or sickness (further cross-checks with travels are carried out in B.1 below) ; ○ the hours charged to the action matched those in the time recording system. <p><i>ONLY THE HOURS WORKED ON THE ACTION CAN BE CHARGED. ALL WORKING TIME TO BE CHARGED SHOULD BE RECORDED THROUGHOUT THE DURATION OF THE PROJECT, ADEQUATELY SUPPORTED BY EVIDENCE OF THEIR REALITY AND RELIABILITY (SEE</i></p>	<p>32) All persons recorded their time dedicated to the action on a daily basis using a computer-based system.</p> <p>33) Their time-records were authorised at least monthly by the project manager or other superior.</p> <p>34) Hours declared were worked within the project period and were consistent with the presences/absences recorded in HR-records.</p> <p>35) There were no discrepancies between the number of hours charged to the action and the number of hours recorded.</p>	<p>C</p> <p>C</p> <p>C</p> <p>C</p>

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<i>SPECIFIC PROVISIONS BELOW FOR PERSONS WORKING EXCLUSIVELY FOR THE ACTION WITHOUT TIME RECORDS).</i>		
	<p><u>If the persons are working exclusively for the action and without time records</u></p> <p>For the persons selected that worked exclusively for the action without time records, the Auditor verified evidence available demonstrating that they were in reality exclusively dedicated to the action and that the Beneficiary signed a declaration confirming that they have worked exclusively for the action.</p>	<p>36) The exclusive dedication is supported by a declaration signed by the Beneficiary and by any other evidence gathered.</p>	N.A.
B	COSTS OF SUBCONTRACTING		
B.1	<p>The Auditor obtained the detail/breakdown of subcontracting costs and sampled 35 % cost items selected randomly (full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 items, or 10% of the total, whichever number is highest).</p> <p>To confirm standard factual findings 37-41 listed in the next column, the Auditor reviewed the following for the items included in the sample:</p> <ul style="list-style-type: none"> o the use of subcontractors was foreseen in Annex 1; o subcontracting costs were declared in the subcontracting category of the Financial Statement; o supporting documents on the selection and award procedure were followed; o the Beneficiary ensured best value for money (key elements to appreciate the respect of this principle are 	<p>37) The use of claimed subcontracting costs was foreseen in Annex 1 and costs were declared in the Financial Statements under the subcontracting category.</p> <p>38) There were documents of requests to different providers, different offers and assessment of the offers before selection of the provider in line with internal procedures and procurement rules. Subcontracts were awarded in accordance with the principle of best value for money. <i>(When different offers were not collected the Auditor explains the reasons provided by the Beneficiary under the caption "Exceptions" of the Report. The Commission will analyse this information to evaluate whether these costs might be accepted as eligible)</i></p> <p>39) The subcontracts were not awarded to other Beneficiaries of the consortium.</p>	<p>C</p> <p>C</p> <p>C</p>

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>the award of the subcontract to the bid offering best price-quality ratio, under conditions of transparency and equal treatment. In case an existing framework contract was used the Beneficiary ensured it was established on the basis of the principle of best value for money under conditions of transparency and equal treatment).</p> <p>In particular,</p> <ul style="list-style-type: none"> i. if the Beneficiary acted as a contracting authority within the meaning of Directive 2004/18/EC (or 2014/24/EU) or of Directive 2004/17/EC (or 2014/25/EU), the Auditor verified that the applicable national law on public procurement was followed and that the subcontracting complied with the Terms and Conditions of the Agreement. ii. if the Beneficiary did not fall under the above-mentioned category the Auditor verified that the Beneficiary followed their usual procurement rules and respected the Terms and Conditions of the Agreement.. <p>For the items included in the sample the Auditor also verified that:</p> <ul style="list-style-type: none"> o the subcontracts were not awarded to other Beneficiaries in the consortium; o there were signed agreements between the Beneficiary and the subcontractor; o there was evidence that the services were provided by subcontractor; 	<p>40) All subcontracts were supported by signed agreements between the Beneficiary and the subcontractor.</p> <p>41) There was evidence that the services were provided by the subcontractors.</p>	<p>C</p> <p>C</p>

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
C	COSTS OF PROVIDING FINANCIAL SUPPORT TO THIRD PARTIES		
C.1	<p>The Auditor obtained the detail/breakdown of the costs of providing financial support to third parties and sampled 0 % cost items selected randomly (<i>full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest</i>).</p> <p>The Auditor verified that the following minimum conditions were met:</p> <ul style="list-style-type: none"> a) the maximum amount of financial support for each third party did not exceed EUR 60 000, unless explicitly mentioned in Annex 1; b) the financial support to third parties was agreed in Annex 1 of the Agreement and the other provisions on financial support to third parties included in Annex 1 were respected. 	<p>42) All minimum conditions were met</p> <p>N.A.</p>	

D	OTHER ACTUAL DIRECT COSTS		
D.1	COSTS OF TRAVEL AND RELATED SUBSISTENCE ALLOWANCES	43) Costs were incurred, approved and reimbursed in line with the Beneficiary's usual policy for travels.	C.
	The Auditor sampled 18 % cost items selected randomly (<i>full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is the highest</i>).	44) There was a link between the trip and the action.	C.
	The Auditor inspected the sample and verified that:	45) The supporting documents were consistent with each other regarding subject of the trip, dates, duration and reconciled with time records and accounting.	C.

	<ul style="list-style-type: none"> o travel and subsistence costs were consistent with the Beneficiary's usual policy for travel. In this context, the Beneficiary provided evidence of its normal policy for travel costs (e.g. use of first class tickets, reimbursement by the Beneficiary on the basis of actual costs, a lump sum or per diem) to enable the Auditor to compare the travel costs charged with this policy; o travel costs are correctly identified and allocated to the action (e.g. trips are directly linked to the action) by reviewing relevant supporting documents such as minutes of meetings, workshops or conferences, their registration in the correct project account, their consistency with time records or with the dates/duration of the workshop/conference; o no ineligible costs or excessive or reckless expenditure was declared (see Article 6.5 MGA). 	<p>46) No ineligible costs or excessive or reckless expenditure was declared.</p>	C.
D.2	<p>DEPRECIATION COSTS FOR EQUIPMENT, INFRASTRUCTURE OR OTHER ASSETS</p> <p>The Auditor sampled _____ cost items selected randomly (full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 items, or 10% of the total, whichever number is the highest).</p> <p>For “equipment, infrastructure or other assets” [from now on called “asset(s)”] selected in the sample the Auditor verified that:</p> <ul style="list-style-type: none"> o the assets were acquired in conformity with the Beneficiary's internal guidelines and procedures; o they were correctly allocated to the action (with supporting documents such as delivery note invoice or any other proof demonstrating the link to the action) o they were entered in the accounting system; 	<p>47) Procurement rules, principles and guides were followed.</p> <p>48) There was a link between the grant agreement and the asset charged to the action.</p> <p>49) The asset charged to the action was traceable to the accounting records and the underlying documents.</p> <p>50) The depreciation method used to charge the asset to the action was in line with the applicable rules of the Beneficiary's country and the Beneficiary's usual accounting policy.</p> <p>51) The amount charged corresponded to the actual usage for the action.</p>	<p>N.A.</p> <p>N.A.</p> <p>N.A.</p> <p>N.A.</p> <p>N.A.</p>

	<ul style="list-style-type: none"> the extent to which the assets were used for the action (as a percentage) was supported by reliable documentation (e.g. usage overview table); <p>The Auditor recalculated the depreciation costs and verified that they were in line with the applicable rules in the Beneficiary's country and with the Beneficiary's usual accounting policy (e.g. depreciation calculated on the acquisition value).</p> <p>The Auditor verified that no ineligible costs such as deductible VAT, exchange rate losses, excessive or reckless expenditure were declared (see Article 6.5 GA).</p>	52) No ineligible costs or excessive or reckless expenditure were declared.	N.A.
D.3	<p>COSTS OF OTHER GOODS AND SERVICES</p> <p>The Auditor sampled 39 % cost items selected randomly <i>(full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 items, or 10% of the total, whichever number is highest).</i></p> <p>For the purchase of goods, works or services included in the sample the Auditor verified that:</p> <ul style="list-style-type: none"> the contracts did not cover tasks described in Annex 1; they were correctly identified, allocated to the proper action, entered in the accounting system (traceable to underlying documents such as purchase orders, invoices and accounting); the goods were not placed in the inventory of durable equipment; the costs charged to the action were accounted in line with the Beneficiary's usual accounting practices; no ineligible costs or excessive or reckless expenditure were declared (see Article 6 GA). 	<p>53) Contracts for works or services did not cover tasks described in Annex 1.</p> <p>54) Costs were allocated to the correct action and the goods were not placed in the inventory of durable equipment.</p> <p>55) The costs were charged in line with the Beneficiary's accounting policy and were adequately supported.</p> <p>56) No ineligible costs or excessive or reckless expenditure were declared. For internal invoices/charges only the cost element was charged, without any mark-ups.</p> <p>57) Procurement rules, principles and guides were followed. There were documents of requests to different providers, different offers and assessment of the offers before selection of the provider in line with internal procedures and procurement rules. The purchases were made in accordance with the principle of best value for money.</p>	<p>C.</p> <p>C.</p> <p>C.</p> <p>C.</p> <p>C.</p>

	<p>In addition, the Auditor verified that these goods and services were acquired in conformity with the Beneficiary's internal guidelines and procedures, in particular:</p> <ul style="list-style-type: none"> ○ if Beneficiary acted as a contracting authority within the meaning of Directive 2004/18/EC (or 2014/24/EU) or of Directive 2004/17/EC (or 2014/25/EU), the Auditor verified that the applicable national law on public procurement was followed and that the procurement contract complied with the Terms and Conditions of the Agreement. ○ if the Beneficiary did not fall into the category above, the Auditor verified that the Beneficiary followed their usual procurement rules and respected the Terms and Conditions of the Agreement. <p>For the items included in the sample the Auditor also verified that:</p> <ul style="list-style-type: none"> ○ the Beneficiary ensured best value for money (key elements to appreciate the respect of this principle are the award of the contract to the bid offering best price-quality ratio, under conditions of transparency and equal treatment. In case an existing framework contract was used the Auditor also verified that the Beneficiary ensured it was established on the basis of the principle of best value for money under conditions of transparency and equal treatment); <p><i>SUCH GOODS AND SERVICES INCLUDE, FOR INSTANCE, CONSUMABLES AND SUPPLIES, DISSEMINATION (INCLUDING OPEN ACCESS), PROTECTION OF RESULTS, SPECIFIC EVALUATION OF THE ACTION IF IT IS REQUIRED BY THE AGREEMENT, CERTIFICATES ON THE FINANCIAL STATEMENTS IF THEY ARE REQUIRED BY THE AGREEMENT AND CERTIFICATES ON THE METHODOLOGY, TRANSLATIONS, REPRODUCTION.</i></p>	<p><i>(When different offers were not collected the Auditor explains the reasons provided by the Beneficiary under the caption "Exceptions" of the Report. The Commission will analyse this information to evaluate whether these costs might be accepted as eligible)</i></p>
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D.4	<p>AGGREGATED CAPITALISED AND OPERATING COSTS OF RESEARCH INFRASTRUCTURE</p> <p>The Auditor ensured the existence of a positive ex-ante assessment (issued by the EC Services) of the cost accounting methodology of the Beneficiary allowing it to apply the guidelines on direct costing for large research infrastructures in Horizon 2020.</p>	<p>58) The costs declared as direct costs for Large Research Infrastructures (in the appropriate line of the Financial Statement) comply with the methodology described in the positive ex-ante assessment report.</p>	N.A.
	<p><i>In the cases that a positive ex-ante assessment has been issued (see the standard factual findings 58-59 on the next column),</i></p> <p>The Auditor ensured that the beneficiary has applied consistently the methodology that is explained and approved in the positive ex ante assessment;</p> <p><i>In the cases that a positive ex-ante assessment has NOT been issued (see the standard factual findings 60 on the next column),</i></p> <p>The Auditor verified that no costs of Large Research Infrastructure have been charged as direct costs in any costs category;</p> <p><i>In the cases that a draft ex-ante assessment report has been issued with recommendation for further changes (see the standard factual findings 60 on the next column),</i></p> <ul style="list-style-type: none"> • The Auditor followed the same procedure as above (when a positive ex-ante assessment has NOT yet been issued) and paid particular attention (testing reinforced) to the cost items for which the draft ex-ante assessment either rejected the inclusion as direct costs for Large Research Infrastructures or issued recommendations. 	<p>59) Any difference between the methodology applied and the one positively assessed was extensively described and adjusted accordingly.</p> <p>60) The direct costs declared were free from any indirect costs items related to the Large Research Infrastructure.</p>	N.A.
D.5	<p>Costs of internally invoiced goods and services</p>	<p>61) The costs of internally invoiced goods and services included in the Financial Statement were calculated in accordance with the Beneficiary's usual cost accounting practice.</p>	N.A.

	<p>The Auditor sampled cost items selected randomly <i>(full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest).</i></p> <p>To confirm standard factual findings 61-65 listed in the next column, the Auditor:</p> <ul style="list-style-type: none"> o obtained a description of the Beneficiary's usual cost accounting practice to calculate costs of internally invoiced goods and services (unit costs); o reviewed whether the Beneficiary's usual cost accounting practice was applied for the Financial Statements subject of the present CFS; o ensured that the methodology to calculate unit costs is being used in a consistent manner, based on objective criteria, regardless of the source of funding; o verified that any ineligible items or any costs claimed under other budget categories, in particular indirect costs, have not been taken into account when calculating the costs of internally invoiced goods and services (see Article 6 GA); o verified whether actual costs of internally invoiced goods and services were adjusted on the basis of budgeted or estimated elements and, if so, verified whether those elements used are actually relevant for the calculation, and correspond to objective and verifiable information. o verified that any costs of items which are not directly linked to the production of the invoiced goods or service (e.g. supporting services like cleaning, general accountancy, administrative support, etc. not directly used for production of the good or service) have not 	<p>62) The cost accounting practices used to calculate the costs of internally invoiced goods and services were applied by the Beneficiary in a consistent manner based on objective criteria regardless of the source of funding.</p> <p>63) The unit cost is calculated using the actual costs for the good or service recorded in the Beneficiary's accounts, excluding any ineligible cost or costs included in other budget categories.</p> <p>64) The unit cost excludes any costs of items which are not directly linked to the production of the invoiced goods or service.</p> <p>65) The costs items used for calculating the actual costs of internally invoiced goods and services were relevant, reasonable and correspond to objective and verifiable information.</p>	<p>N.A.</p> <p>N.A.</p> <p>N.A.</p> <p>N.A.</p>
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	<p>been taken into account when calculating the costs of internally invoiced goods and services.</p> <ul style="list-style-type: none"> o verified that any costs of items used for calculating the costs internally invoiced goods and services are supported by audit evidence and registered in the accounts. 	
E	USE OF EXCHANGE RATES	
E.1	<p>a) For Beneficiaries with accounts established in a currency other than euros</p> <p>The Auditor sampled 11 % cost items selected randomly and verified that the exchange rates used for converting other currencies into euros were in accordance with the following rules established in the Agreement (full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest):</p> <p>COSTS RECORDED IN THE ACCOUNTS IN A CURRENCY OTHER THAN EURO SHALL BE CONVERTED INTO EURO AT THE AVERAGE OF THE DAILY EXCHANGE RATES PUBLISHED IN THE C SERIES OF OFFICIAL JOURNAL OF THE EUROPEAN UNION (https://www.ecb.int/stats/exchange/eurofxref/html/index.en.html), DETERMINED OVER THE CORRESPONDING REPORTING PERIOD.</p> <p>IF NO DAILY EURO EXCHANGE RATE IS PUBLISHED IN THE OFFICIAL JOURNAL OF THE EUROPEAN UNION FOR THE CURRENCY IN QUESTION, CONVERSION SHALL BE MADE AT THE AVERAGE OF THE MONTHLY ACCOUNTING RATES ESTABLISHED BY THE COMMISSION AND PUBLISHED ON ITS WEBSITE (http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/inforeuro_en.cfm), DETERMINED OVER THE CORRESPONDING REPORTING PERIOD.</p>	<p>66) The exchange rates used to convert other currencies into Euros were in accordance with the rules established of the Grant Agreement and there was no difference in the final figures.</p> <p>C.</p>

	<p>b) For Beneficiaries with accounts established in euros</p> <p>The Auditor sampled 16 % cost items selected randomly and verified that the exchange rates used for converting other currencies into euros were in accordance with the following rules established in the Agreement (<i>full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest</i>):</p> <p>COSTS INCURRED IN ANOTHER CURRENCY SHALL BE CONVERTED INTO EURO BY APPLYING THE BENEFICIARY'S USUAL ACCOUNTING PRACTICES.</p>	<p>67) The Beneficiary applied its usual accounting practices.</p> <p>C.</p>
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SP Treuhand GmbH Wirtschaftsprüfungsgesellschaft
Joachim Specht, Wirtschaftsprüfer, Senior Partner
26th February 2021





EUROPEAN COMMISSION
Innovation and Networks Executive Agency
Director



GRANT AGREEMENT

NUMBER — 713813 — CIVITAS SATELLITE

This **Agreement** ('the Agreement') is **between** the following parties:

on the one part,

*the **Innovation and Networks Executive Agency (INEA)** ('the Agency'), under the power delegated by the European Commission ('the Commission')¹,*

represented for the purposes of signature of this Agreement by executive director, Innovation and Networks Executive Agency, Dirk BECKERS,

and

on the other part,

1. 'the coordinator':

POLIS - PROMOTION OF OPERATIONAL LINKS WITH INTEGRATED SERVICES, ASSOCIATION INTERNATIONALE (POLIS) AISBL, 5383/97, established in rue du Trône 98, BRUXELLES 1050, Belgium, BE460400701, represented for the purposes of signing the Agreement by Karen VANCLUYSEN

and the following other beneficiaries, if they sign their 'Accession Form' (see Annex 3 and Article 56):

2. **RUPPRECHT CONSULT - FORSCHUNG & BERATUNG GMBH (RUPPRECHT) GMBH**, HRB30833, established in CLEVER STRASSE 13-15, KOELN 50668, Germany, DE198534371,

3. **EUROCITIES ASBL (EUROCITIES ASBL) ASBL**, 447820987, established in SQUARE DE MEEUS 1, BRUXELLES 1000, Belgium, BE0447820987,

4. **ICLEI EUROPEAN SECRETARIAT GMBH (ICLEI EUROPASEKRETARIAT GMBH)* (ICLEI EURO) GMBH**, HRB4188, established in Leopoldring 3, Freiburg 79098, Germany, DE153445986,

5. **REGIONAL ENVIRONMENTAL CENTER FOR CENTRAL AND EASTERN EUROPE - REC (REC)**, n/a, established in Ady Endre ut 9-11, SZENTENDRE 2000, Hungary, 30058697151,

6. **TRANSPORT & MOBILITY LEUVEN NV (TML) NV**, 476966024, established in DIESTSESTEENWEG 57, LEUVEN 3010, Belgium, BE0476966024,

7. **UNION INTERNATIONALE DES TRANSPORTS PUBLICS (UITP) AISBL**, 544198506, established in RUE SAINTE MARIE 6, BRUXELLES 1080, Belgium, BE0544198506,

Unless otherwise specified, references to 'beneficiary' or 'beneficiaries' include the coordinator.

The parties referred to above have agreed to enter into the Agreement under the terms and conditions below.

¹ Text in *italics* shows the options of the Model Grant Agreement that are applicable to this Agreement.



By signing the Agreement or the Accession Form, the beneficiaries accept the grant and agree to implement it under their own responsibility and in accordance with the Agreement, with all the obligations and conditions it sets out.

The Agreement is composed of:

Terms and Conditions

Annex 1	Description of the action
Annex 2	Estimated budget for the action
Annex 3	Accession Forms
Annex 4	Model for the financial statements
Annex 5	Model for the certificate on the financial statements
Annex 6	Model for the certificate on the methodology



TERMS AND CONDITIONS

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CHAPTER 1 GENERAL

ARTICLE 1 — SUBJECT OF THE AGREEMENT

This Agreement sets out the rights and obligations and the terms and conditions applicable to the grant awarded to the beneficiaries for implementing the action set out in Chapter 2.

CHAPTER 2 ACTION

ARTICLE 2 — ACTION TO BE IMPLEMENTED

The grant is awarded for the action entitled '*Support Action Towards Evaluation, Learning, Local Innovation, Transfer and Excellence — CIVITAS SATELLITE*' ('action'), as described in Annex 1.

ARTICLE 3 — DURATION AND STARTING DATE OF THE ACTION

The duration of the action will be **54 months** as of *the first day of the month following the date the Agreement enters into force (see Article 58)* ('starting date of the action').

ARTICLE 4 — ESTIMATED BUDGET AND BUDGET TRANSFERS

4.1 Estimated budget

The '**estimated budget**' for the action is set out in Annex 2.

It contains the estimated eligible costs and the forms of costs, broken down by beneficiary and budget category (see Articles 5, 6).

4.2 Budget transfers

The estimated budget breakdown indicated in Annex 2 may be adjusted by transfers of amounts between beneficiaries or between budget categories (or both). This does not require an amendment according to Article 55, if the action is implemented as described in Annex 1.

However, the beneficiaries may not add costs relating to subcontracts not provided for in Annex 1, unless such additional subcontracts are approved by an amendment or in accordance with Article 13.

CHAPTER 3 GRANT

ARTICLE 5 — GRANT AMOUNT, FORM OF GRANT, REIMBURSEMENT RATES AND FORMS OF COSTS

5.1 Maximum grant amount

The '**maximum grant amount**' is **EUR 2,996,858.75** (two million nine hundred and ninety six thousand eight hundred and fifty eight EURO and seventy five eurocents).



5.2 Form of grant, reimbursement rates and forms of costs

The grant reimburses **100% of the action's eligible costs** (see Article 6) (**'reimbursement of eligible costs grant'**) (see Annex 2).

The estimated eligible costs of the action are EUR **2,996,858.75** (two million nine hundred and ninety six thousand eight hundred and fifty eight EURO and seventy five eurocents).

Eligible costs (see Article 6) must be declared under the following forms (**'forms of costs'**):

(a) for **direct personnel costs**:

- as actually incurred costs (**'actual costs'**) or
- on the basis of an amount per unit calculated by the beneficiary in accordance with its usual cost accounting practices (**'unit costs'**).

Personnel **costs for SME owners or beneficiaries that are natural persons** not receiving a salary (see Article 6.2, Points A.4 and A.5) must be declared on the basis of the amount per unit set out in Annex 2 (**'unit costs'**);

(b) for **direct costs for subcontracting**: as actually incurred costs (**'actual costs'**);

(c) for **direct costs of providing financial support to third parties**: *not applicable*;

(d) for **other direct costs**: as actually incurred costs (**'actual costs'**);

(e) for **indirect costs**: on the basis of a flat-rate applied as set out in Article 6.2, Point E (**'flat-rate costs'**);

(f) *specific cost category(ies): not applicable*.

5.3 Final grant amount — Calculation

The **'final grant amount'** depends on the actual extent to which the action is implemented in accordance with the Agreement's terms and conditions.

This amount is calculated by the *Agency* — when the payment of the balance is made (see Article 21.4) — in the following steps:

Step 1 – Application of the reimbursement rates to the eligible costs

Step 2 – Limit to the maximum grant amount

Step 3 – Reduction due to the no-profit rule

Step 4 – Reduction due to improper implementation or breach of other obligations

5.3.1 Step 1 — Application of the reimbursement rates to the eligible costs

The reimbursement rate(s) (see Article 5.2) are applied to the eligible costs (actual costs, unit costs and flat-rate costs; see Article 6) declared by the beneficiaries (see Article 20) and approved by the *Agency* (see Article 21).



5.3.2 Step 2 — Limit to the maximum grant amount

If the amount obtained following Step 1 is higher than the maximum grant amount set out in Article 5.1, it will be limited to the latter.

5.3.3 Step 3 — Reduction due to the no-profit rule

The grant must not produce a profit.

‘**Profit**’ means the surplus of the amount obtained following Steps 1 and 2 plus the action’s total receipts, over the action’s total eligible costs.

The ‘**action’s total eligible costs**’ are the consolidated total eligible costs approved by the *Agency*.

The ‘**action’s total receipts**’ are the consolidated total receipts generated during its duration (see Article 3).

The following are considered **receipts**:

- (a) income generated by the action; if the income is generated from selling equipment or other assets purchased under the Agreement, the receipt is up to the amount declared as eligible under the Agreement;
- (b) financial contributions given by third parties to the beneficiary specifically to be used for the action, and
- (c) in-kind contributions provided by third parties free of charge and specifically to be used for the action, if they have been declared as eligible costs.

The following are however not considered receipts:

- (a) income generated by exploiting the action’s results (see Article 28);
- (b) financial contributions by third parties, if they may be used to cover costs other than the eligible costs (see Article 6);
- (c) financial contributions by third parties with no obligation to repay any amount unused at the end of the period set out in Article 3.

If there is a profit, it will be deducted from the amount obtained following Steps 1 and 2.

5.3.4 Step 4 — Reduction due to improper implementation or breach of other obligations — Reduced grant amount — Calculation

If the grant is reduced (see Article 43), the *Agency* will calculate the reduced grant amount by deducting the amount of the reduction (calculated in proportion to the improper implementation of the action or to the seriousness of the breach of obligations in accordance with Article 43.2) from the maximum grant amount set out in Article 5.1.

The final grant amount will be the lower of the following two:



- the amount obtained following Steps 1 to 3 or
- the reduced grant amount following Step 4.

5.4 Revised final grant amount — Calculation

If — after the payment of the balance (in particular, after checks, reviews, audits or investigations; see Article 22) — the *Agency* rejects costs (see Article 42) or reduces the grant (see Article 43), it will calculate the ‘**revised final grant amount**’ for the beneficiary concerned by the findings.

This amount is calculated by the *Agency* on the basis of the findings, as follows:

- in case of **rejection of costs**: by applying the reimbursement rate to the revised eligible costs approved by the *Agency* for the beneficiary concerned;
- in case of **reduction of the grant**: by calculating the concerned beneficiary’s share in the grant amount reduced in proportion to its improper implementation of the action or to the seriousness of its breach of obligations (see Article 43.2).

In case of **rejection of costs and reduction of the grant**, the revised final grant amount for the beneficiary concerned will be the lower of the two amounts above.

ARTICLE 6 — ELIGIBLE AND INELIGIBLE COSTS

6.1 General conditions for costs to be eligible

‘**Eligible costs**’ are costs that meet the following criteria:

(a) for **actual costs**:

- (i) they must be actually incurred by the beneficiary;
- (ii) they must be incurred in the period set out in Article 3, with the exception of costs relating to the submission of the periodic report for the last reporting period and the final report (see Article 20);
- (iii) they must be indicated in the estimated budget set out in Annex 2;
- (iv) they must be incurred in connection with the action as described in Annex 1 and necessary for its implementation;
- (v) they must be identifiable and verifiable, in particular recorded in the beneficiary’s accounts in accordance with the accounting standards applicable in the country where the beneficiary is established and with the beneficiary’s usual cost accounting practices;
- (vi) they must comply with the applicable national law on taxes, labour and social security, and
- (vii) they must be reasonable, justified and must comply with the principle of sound financial management, in particular regarding economy and efficiency;

(b) for **unit costs**:

(i) they must be calculated as follows:

{amounts per unit set out in Annex 2 or calculated by the beneficiary in accordance with its usual cost accounting practices (see Article 6.2, Point A)

multiplied by

the number of actual units};

(ii) the number of actual units must comply with the following conditions:

- the units must be actually used or produced in the period set out in Article 3;
- the units must be necessary for implementing the action or produced by it, and
- the number of units must be identifiable and verifiable, in particular supported by records and documentation (see Article 18);

(c) for **flat-rate costs**:

(i) they must be calculated by applying the flat-rate set out in Annex 2, and

(ii) the costs (actual costs or unit costs) to which the flat-rate is applied must comply with the conditions for eligibility set out in this Article.

6.2 Specific conditions for costs to be eligible

Costs are eligible if they comply with the general conditions (see above) and the specific conditions set out below for each of the following budget categories:

- A. direct personnel costs;
- B. direct costs of subcontracting;
- C. *not applicable*;
- D. other direct costs;
- E. indirect costs;
- F. *not applicable*.

‘Direct costs’ are costs that are directly linked to the action implementation and can therefore be attributed to it directly. They must not include any indirect costs (see Point E below).

‘Indirect costs’ are costs that are not directly linked to the action implementation and therefore cannot be attributed directly to it.

A. Direct personnel costs

Types of eligible personnel costs

A.1 **Personnel costs** are eligible, if they are related to personnel working for the beneficiary under an employment contract (or equivalent appointing act) and assigned to the action (**‘costs for employees (or equivalent)’**). They must be limited to salaries (including during parental leave), social security contributions, taxes and other costs included in the **remuneration**, if they arise from national law or the employment contract (or equivalent appointing act).

Beneficiaries that are non-profit legal entities² may also declare as personnel costs **additional remuneration** for personnel assigned to the action (including payments on the basis of supplementary contracts regardless of their nature), if:

- (a) it is part of the beneficiary's usual remuneration practices and is paid in a consistent manner whenever the same kind of work or expertise is required;
- (b) the criteria used to calculate the supplementary payments are objective and generally applied by the beneficiary, regardless of the source of funding used.

Additional remuneration for personnel assigned to the action is eligible up to the following amount:

- (a) if the person works full time and exclusively on the action during the full year: up to EUR 8 000;
- (b) if the person works exclusively on the action but not full-time or not for the full year: up to the corresponding pro-rata amount of EUR 8 000, or
- (c) if the person does not work exclusively on the action: up to a pro-rata amount calculated as follows:

{ {EUR 8 000

divided by

the number of annual productive hours (see below)},

multiplied by

the number of hours that the person has worked on the action during the year}.

A.2 The **costs for natural persons working under a direct contract** with the beneficiary other than an employment contract are eligible personnel costs, if:

- (a) the person works under the beneficiary's instructions and, unless otherwise agreed with the beneficiary, on the beneficiary's premises;
- (b) the result of the work carried out belongs to the beneficiary, and
- (c) the costs are not significantly different from those for personnel performing similar tasks under an employment contract with the beneficiary.

A.3 The **costs of personnel seconded by a third party against payment** are eligible personnel costs, if the conditions in Article 11.1 are met.

² For the definition, see Article 2.1(14) of the Rules for Participation Regulation No 1290/2013: '**non-profit legal entity**' means a legal entity which by its legal form is non-profit-making or which has a legal or statutory obligation not to distribute profits to its shareholders or individual members.



A.4 Costs of owners of beneficiaries that are small and medium-sized enterprises (**‘SME owners’**) who are working on the action and who do not receive a salary are eligible personnel costs, if they correspond to the amount per unit set out in Annex 2 multiplied by the number of actual hours worked on the action.

A.5 Costs of ‘beneficiaries that are natural persons’ not receiving a salary are eligible personnel costs, if they correspond to the amount per unit set out in Annex 2 multiplied by the number of actual hours worked on the action.

Calculation

Personnel costs must be calculated by the beneficiaries as follows:

{ {hourly rate

multiplied by

the number of actual hours worked on the action},

plus

for non-profit legal entities: additional remuneration to personnel assigned to the action under the conditions set out above (Point A.1)).

The number of actual hours declared for a person must be identifiable and verifiable (see Article 18).

The total number of hours declared in EU or Euratom grants, for a person for a year, cannot be higher than the annual productive hours used for the calculations of the hourly rate. Therefore, the maximum number of hours that can be declared for the grant is:

{the number of annual productive hours for the year (see below)

minus

total number of hours declared by the beneficiary for that person in that year for other EU or Euratom grants}.

The **‘hourly rate’** is one of the following:

(a) for personnel costs declared as **actual costs**: the hourly rate is the amount calculated as follows:

{actual annual personnel costs (excluding additional remuneration) for the person

divided by

number of annual productive hours}.

The beneficiaries must use the annual personnel costs and the number of annual productive hours for each financial year covered by the reporting period. If a financial year is not closed at the end of the reporting period, the beneficiaries must use the hourly rate of the last closed financial year available.

For the ‘number of annual productive hours’, the beneficiaries may choose one of the following:

(i) ‘fixed number of hours’: 1 720 hours for persons working full time (or corresponding pro-rata for persons not working full time);



- (ii) ‘individual annual productive hours’: the total number of hours worked by the person in the year for the beneficiary, calculated as follows:

{annual workable hours of the person (according to the employment contract, applicable collective labour agreement or national law)

plus

overtime worked

minus

absences (such as sick leave and special leave)}.

‘Annual workable hours’ means the period during which the personnel must be working, at the employer’s disposal and carrying out his/her activity or duties under the employment contract, applicable collective labour agreement or national working time legislation.

If the contract (or applicable collective labour agreement or national working time legislation) does not allow to determine the annual workable hours, this option cannot be used;

- (iii) ‘standard annual productive hours’: the ‘standard number of annual hours’ generally applied by the beneficiary for its personnel in accordance with its usual cost accounting practices. This number must be at least 90% of the ‘standard annual workable hours’.

If there is no applicable reference for the standard annual workable hours, this option cannot be used.

For all options, the actual time spent on **parental leave** by a person assigned to the action may be deducted from the number of annual productive hours;

- (b) for personnel costs declared on the basis of **unit costs**: the hourly rate is one of the following:

- (i) for SME owners or beneficiaries that are natural persons: the hourly rate set out in Annex 2 (see Points A.4 and A.5 above), or
- (ii) for personnel costs declared on the basis of the beneficiary’s usual cost accounting practices: the hourly rate calculated by the beneficiary in accordance with its usual cost accounting practices, if:
 - the cost accounting practices used are applied in a consistent manner, based on objective criteria, regardless of the source of funding;
 - the hourly rate is calculated using the actual personnel costs recorded in the beneficiary’s accounts, excluding any ineligible cost or costs included in other budget categories.

The actual personnel costs may be adjusted by the beneficiary on the basis of budgeted or estimated elements. Those elements must be relevant for calculating



the personnel costs, reasonable and correspond to objective and verifiable information;

and

- the hourly rate is calculated using the number of annual productive hours (see above).

B. Direct costs of subcontracting (including related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary) are eligible if the conditions in Article 13.1.1 are met.

C. Direct costs of providing financial support to third parties *not applicable*.

D. Other direct costs

D.1 Travel costs and related subsistence allowances (including related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary) are eligible if they are in line with the beneficiary's usual practices on travel.

D.2 The depreciation costs of equipment, infrastructure or other assets (*new or second-hand*) as recorded in the beneficiary's accounts are eligible, if they were purchased in accordance with Article 10.1.1 and written off in accordance with international accounting standards and the beneficiary's usual accounting practices.

The costs of renting or leasing equipment, infrastructure or other assets (including related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary) are also eligible, if they do not exceed the depreciation costs of similar equipment, infrastructure or assets and do not include any financing fees.

*The costs of equipment, infrastructure or other assets **contributed in-kind against payment** are eligible, if they do not exceed the depreciation costs of similar equipment, infrastructure or assets, do not include any financing fees and if the conditions in Article 11.1 are met.*

The only portion of the costs that will be taken into account is that which corresponds to the duration of the action and rate of actual use for the purposes of the action.

D.3 Costs of other goods and services (including related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary) are eligible, if they are:

- (a) purchased specifically for the action and in accordance with Article 10.1.1 or
- (b) contributed in kind against payment and in accordance with Article 11.1.

Such goods and services include, for instance, consumables and supplies, dissemination (including open access), protection of results, certificates on the financial statements (if they are required by the Agreement), certificates on the methodology, translations and publications.



D.4 Capitalised and operating costs of ‘large research infrastructure’³ directly used for the action are eligible, if:

- (a) *the value of the large research infrastructure represents at least 75% of the total fixed assets (at historical value in its last closed balance sheet before the date of the signature of the Agreement or as determined on the basis of the rental and leasing costs of the research infrastructure⁴);*
- (b) *the beneficiary’s methodology for declaring the costs for large research infrastructure has been positively assessed by the Commission (‘ex-ante assessment’);*
- (c) *the beneficiary declares as direct eligible costs only the portion which corresponds to the duration of the action and the rate of actual use for the purposes of the action, and*
- (d) *they comply with the conditions as further detailed in the annotations to the H2020 grant agreements.*

E. Indirect costs

Indirect costs are eligible if they are declared on the basis of the flat-rate of 25% of the eligible direct costs (see Article 5.2 and Points A to D above), from which are excluded:

- (a) costs of subcontracting and
- (b) costs of in-kind contributions provided by third parties which are not used on the beneficiary’s premises;
- (c) *not applicable;*
- (d) *not applicable.*

Beneficiaries receiving an operating grant⁵ financed by the EU or Euratom budget cannot declare indirect costs for the period covered by the operating grant.

³ ‘**Large research infrastructure**’ means research infrastructure of a total value of at least EUR 20 million, for a beneficiary, calculated as the sum of historical asset values of each individual research infrastructure of that beneficiary, as they appear in its last closed balance sheet before the date of the signature of the Agreement or as determined on the basis of the rental and leasing costs of the research infrastructure.

⁴ For the definition, see Article 2(6) of Regulation (EU) No 1291/2013 of the European Parliament and of the Council of 11 December 2013 establishing Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020) (OJ L 347, 20.12.2013 p.104)-(**‘Horizon 2020 Framework Programme Regulation No 1291/2013’**): ‘**Research infrastructure**’ are facilities, resources and services that are used by the research communities to conduct research and foster innovation in their fields. Where relevant, they may be used beyond research, e.g. for education or public services. They include: major scientific equipment (or sets of instruments); knowledge-based resources such as collections, archives or scientific data; e-infrastructures such as data and computing systems and communication networks; and any other infrastructure of a unique nature essential to achieve excellence in research and innovation. Such infrastructures may be ‘single-sited’, ‘virtual’ or ‘distributed’.

⁵ For the definition, see Article 121(1)(b) of Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002 (OJ L 218, 26.10.2012, p.1) (**‘Financial Regulation No 966/2012’**): ‘**operating grant**’ means direct financial contribution, by way of donation, from the budget in order to finance the functioning of a body which pursues an aim of general EU interest or has an objective forming part of and supporting an EU policy.

**F. Specific cost category(ies)**

Not applicable

6.3 Conditions for costs of linked third parties to be eligible

not applicable

6.4 Conditions for in-kind contributions provided by third parties free of charge to be eligible

In-kind contributions provided free of charge are eligible direct costs (for the beneficiary), if the costs incurred by the third party fulfil — *mutatis mutandis* — the general and specific conditions for eligibility set out in this Article (Article 6.1 and 6.2) and Article 12.1.

6.5 Ineligible costs

‘**Ineligible costs**’ are:

(a) costs that do not comply with the conditions set out above (Article 6.1 to 6.4), in particular:

- (i) costs related to return on capital;
- (ii) debt and debt service charges;
- (iii) provisions for future losses or debts;
- (iv) interest owed;
- (v) doubtful debts;
- (vi) currency exchange losses;
- (vii) bank costs charged by the beneficiary’s bank for transfers from the *Agency*;
- (viii) excessive or reckless expenditure;
- (ix) deductible VAT;
- (x) costs incurred during suspension of the implementation of the action (see Article 49);

(b) costs declared under another EU or Euratom grant (including grants awarded by a Member State and financed by the EU or Euratom budget and grants awarded by bodies other than the *Agency* for the purpose of implementing the EU or Euratom budget); in particular, indirect costs if the beneficiary is already receiving an operating grant financed by the EU or Euratom budget in the same period.

6.6 Consequences of declaration of ineligible costs

Declared costs that are ineligible will be rejected (see Article 42).

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



CHAPTER 4 RIGHTS AND OBLIGATIONS OF THE PARTIES

SECTION 1 RIGHTS AND OBLIGATIONS RELATED TO IMPLEMENTING THE ACTION

ARTICLE 7 — GENERAL OBLIGATION TO PROPERLY IMPLEMENT THE ACTION

7.1 General obligation to properly implement the action

The beneficiaries must implement the action as described in Annex 1 and in compliance with the provisions of the Agreement and all legal obligations under applicable EU, international and national law.

7.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

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

ARTICLE 8 — RESOURCES TO IMPLEMENT THE ACTION — THIRD PARTIES INVOLVED IN THE ACTION

The beneficiaries must have the appropriate resources to implement the action.

If it is necessary to implement the action, the beneficiaries may:

- purchase goods, works and services (see Article 10);
- use in-kind contributions provided by third parties against payment (see Article 11);
- use in-kind contributions provided by third parties free of charge (see Article 12);
- call upon subcontractors to implement action tasks described in Annex 1 (see Article 13);
- call upon linked third parties to implement action tasks described in Annex 1 (see Article 14).

In these cases, the beneficiaries retain sole responsibility towards the *Agency* and the other beneficiaries for implementing the action.

ARTICLE 9 — IMPLEMENTATION OF ACTION TASKS BY BENEFICIARIES NOT RECEIVING EU FUNDING

Not applicable

ARTICLE 10 — PURCHASE OF GOODS, WORKS OR SERVICES

10.1 Rules for purchasing goods, works or services

10.1.1 If necessary to implement the action, the beneficiaries may purchase goods, works or services.



The beneficiaries must make such purchases ensuring the best value for money or, if appropriate, the lowest price. In doing so, they must avoid any conflict of interests (see Article 35).

The beneficiaries must ensure that *the Agency*, the Commission, the European Court of Auditors (ECA) and the European Anti-Fraud Office (OLAF) can exercise their rights under Articles 22 and 23 also towards their contractors.

10.1.2 Beneficiaries that are ‘contracting authorities’ within the meaning of Directive 2004/18/EC⁶ or ‘contracting entities’ within the meaning of Directive 2004/17/EC⁷ must comply with the applicable national law on public procurement.

10.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under Article 10.1.1, the costs related to the contract concerned will be ineligible (see Article 6) and will be rejected (see Article 42).

If a beneficiary breaches any of its obligations under Article 10.1.2, the grant may be reduced (see Article 43).

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

ARTICLE 11 — USE OF IN-KIND CONTRIBUTIONS PROVIDED BY THIRD PARTIES AGAINST PAYMENT

11.1 Rules for the use of in-kind contributions against payment

If necessary to implement the action, the beneficiaries may use in-kind contributions provided by third parties against payment.

The beneficiaries may declare costs related to the payment of in-kind contributions as eligible (see Article 6.1 and 6.2), up to the third parties’ costs for the seconded persons, contributed equipment, infrastructure or other assets or other contributed goods and services.

The third parties and their contributions must be set out in Annex 1. The *Agency* may however approve in-kind contributions not set out in Annex 1 without amendment (see Article 55), if:

- they are specifically justified in the periodic technical report and
- their use does not entail changes to the Agreement which would call into question the decision awarding the grant or breach the principle of equal treatment of applicants.

The beneficiaries must ensure that *the Agency*, the Commission, the European Court of Auditors (ECA) and the European Anti-Fraud Office (OLAF) can exercise their rights under Articles 22 and 23 also towards the third parties.

⁶ Directive 2004/18/EC of the European Parliament and of the Council of 31 March 2004 on the coordination of procedures for the award of public work contracts, public supply contracts and public service contracts (OJ L 134, 30.04.2004, p. 114).

⁷ Directive 2004/17/EC of the European Parliament and of the Council of 31 March 2004 coordinating the procurement procedures of entities operating in the water, energy, transport and postal services sectors (OJ L 134, 30.04.2004, p. 1).



11.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the costs related to the payment of the in-kind contribution will be ineligible (see Article 6) and will be rejected (see Article 42).

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

ARTICLE 12 — USE OF IN-KIND CONTRIBUTIONS PROVIDED BY THIRD PARTIES FREE OF CHARGE

12.1 Rules for the use of in-kind contributions free of charge

If necessary to implement the action, the beneficiaries may use in-kind contributions provided by third parties free of charge.

The beneficiaries may declare costs incurred by the third parties for the seconded persons, contributed equipment, infrastructure or other assets or other contributed goods and services as eligible in accordance with Article 6.4.

The third parties and their contributions must be set out in Annex 1. The *Agency* may however approve in-kind contributions not set out in Annex 1 without amendment (see Article 55), if:

- they are specifically justified in the periodic technical report and
- their use does not entail changes to the Agreement which would call into question the decision awarding the grant or breach the principle of equal treatment of applicants.

The beneficiaries must ensure that *the Agency*, the Commission, the European Court of Auditors (ECA) and the European Anti-Fraud Office (OLAF) can exercise their rights under Articles 22 and 23 also towards the third parties.

12.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the costs incurred by the third parties related to the in-kind contribution will be ineligible (see Article 6) and will be rejected (see Article 42).

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

ARTICLE 13 — IMPLEMENTATION OF ACTION TASKS BY SUBCONTRACTORS

13.1 Rules for subcontracting action tasks

13.1.1 If necessary to implement the action, the beneficiaries may award subcontracts covering the implementation of certain action tasks described in Annex 1.

Subcontracting may cover only a limited part of the action.

The beneficiaries must award the subcontracts ensuring the best value for money or, if appropriate, the lowest price. In doing so, they must avoid any conflict of interests (see Article 35).

The tasks to be implemented and the estimated cost for each subcontract must be set out in Annex 1 and the total estimated costs of subcontracting per beneficiary must be set out in Annex 2. The



Agency may however approve subcontracts not set out in Annex 1 and 2 without amendment (see Article 55), if:

- they are specifically justified in the periodic technical report and
- they do not entail changes to the Agreement which would call into question the decision awarding the grant or breach the principle of equal treatment of applicants.

The beneficiaries must ensure that *the Agency*, the Commission, the European Court of Auditors (ECA) and the European Anti-Fraud Office (OLAF) can exercise their rights under Articles 22 and 23 also towards their subcontractors.

13.1.2 The beneficiaries must ensure that their obligations under Articles 35, 36, 38 and 46 also apply to the subcontractors.

Beneficiaries that are ‘contracting authorities’ within the meaning of Directive 2004/18/EC or ‘contracting entities’ within the meaning of Directive 2004/17/EC must comply with the applicable national law on public procurement.

13.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under Article 13.1.1, the costs related to the subcontract concerned will be ineligible (see Article 6) and will be rejected (see Article 42).

If a beneficiary breaches any of its obligations under Article 13.1.2, the grant may be reduced (see Article 43).

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

ARTICLE 14 — IMPLEMENTATION OF ACTION TASKS BY LINKED THIRD PARTIES

Not applicable

ARTICLE 15 — FINANCIAL SUPPORT TO THIRD PARTIES

15.1 Rules for providing financial support to third parties

Not applicable

15.2 Financial support in the form of prizes

Not applicable

15.3 Consequences of non-compliance

Not applicable



ARTICLE 16 — PROVISION OF TRANS-NATIONAL OR VIRTUAL ACCESS TO RESEARCH INFRASTRUCTURE

16.1 Rules for providing trans-national access to research infrastructure

Not applicable

16.2 Rules for providing virtual access to research infrastructure

Not applicable

16.3 Consequences of non-compliance

Not applicable

SECTION 2 RIGHTS AND OBLIGATIONS RELATED TO THE GRANT ADMINISTRATION

ARTICLE 17 — GENERAL OBLIGATION TO INFORM

17.1 General obligation to provide information upon request

The beneficiaries must provide — during implementation of the action or afterwards and in accordance with Article 41.2 — any information requested in order to verify eligibility of the costs, proper implementation of the action and compliance with any other obligation under the Agreement.

17.2 Obligation to keep information up to date and to inform about events and circumstances likely to affect the Agreement

Each beneficiary must keep information stored in the 'Beneficiary Register' (via the electronic exchange system; see Article 52) up to date, in particular, its name, address, legal representatives, legal form and organisation type.

Each beneficiary must immediately inform the coordinator — which must immediately inform the *Agency* and the other beneficiaries — of any of the following:

- (a) **events** which are likely to affect significantly or delay the implementation of the action or the EU's financial interests, in particular:
 - (i) changes in its legal, financial, technical, organisational or ownership situation
- (b) **circumstances** affecting:
 - (i) the decision to award the grant or
 - (ii) compliance with requirements under the Agreement.



17.3 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

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

ARTICLE 18 — KEEPING RECORDS — SUPPORTING DOCUMENTATION

18.1 Obligation to keep records and other supporting documentation

The beneficiaries must — for a period of *five* years after the payment of the balance — keep records and other supporting documentation in order to prove the proper implementation of the action and the costs they declare as eligible.

They must make them available upon request (see Article 17) or in the context of checks, reviews, audits or investigations (see Article 22).

If there are on-going checks, reviews, audits, investigations, litigation or other pursuits of claims under the Agreement (including the extension of findings; see Articles 22), the beneficiaries must keep the records and other supporting documentation until the end of these procedures.

The beneficiaries must keep the original documents. Digital and digitalised documents are considered originals if they are authorised by the applicable national law. The *Agency* may accept non-original documents if it considers that they offer a comparable level of assurance.

18.1.1 Records and other supporting documentation on the scientific and technical implementation

The beneficiaries must keep records and other supporting documentation on scientific and technical implementation of the action in line with the accepted standards in the respective field.

18.1.2 Records and other documentation to support the costs declared

The beneficiaries must keep the records and documentation supporting the costs declared, in particular the following:

- (a) for **actual costs**: adequate records and other supporting documentation to prove the costs declared, such as contracts, subcontracts, invoices and accounting records. In addition, the beneficiaries' usual cost accounting practices and internal control procedures must enable direct reconciliation between the amounts declared, the amounts recorded in their accounts and the amounts stated in the supporting documentation;
- (b) for **unit costs**: adequate records and other supporting documentation to prove the number of units declared. Beneficiaries do not need to identify the actual eligible costs covered or to keep or provide supporting documentation (such as accounting statements) to prove the amount per unit.

In addition, for **direct personnel costs declared as unit costs calculated in accordance with the beneficiary's usual cost accounting practices**, the beneficiaries must keep adequate



records and documentation to prove that the cost accounting practices used comply with the conditions set out in Article 6.2, Point A.

The beneficiaries may submit to the Commission, for approval, a certificate (drawn up in accordance with Annex 6) stating that their usual cost accounting practices comply with these conditions (**‘certificate on the methodology’**). If the certificate is approved, costs declared in line with this methodology will not be challenged subsequently, unless the beneficiaries have concealed information for the purpose of the approval.

- (c) for **flat-rate costs**: adequate records and other supporting documentation to prove the eligibility of the costs to which the flat-rate is applied. The beneficiaries do not need to identify the costs covered or provide supporting documentation (such as accounting statements) to prove the amount declared at a flat-rate.

In addition, for **personnel costs** (declared as actual costs or on the basis of unit costs), the beneficiaries must keep **time records** for the number of hours declared. The time records must be in writing and approved by the persons working on the action and their supervisors, at least monthly. In the absence of reliable time records of the hours worked on the action, the *Agency* may accept alternative evidence supporting the number of hours declared, if it considers that it offers an adequate level of assurance.

As an exception, for **persons working exclusively on the action**, there is no need to keep time records, if the beneficiary signs a **declaration** confirming that the persons concerned have worked exclusively on the action.

18.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, costs insufficiently substantiated will be ineligible (see Article 6) and will be rejected (see Article 42), and the grant may be reduced (see Article 43).

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

ARTICLE 19 — SUBMISSION OF DELIVERABLES

19.1 Obligation to submit deliverables

The coordinator must submit the **‘deliverables’** identified in Annex 1, in accordance with the timing and conditions set out in it.

19.2 Consequences of non-compliance

If the coordinator breaches any of its obligations under this Article, the *Agency* may apply any of the measures described in Chapter 6.

ARTICLE 20 — REPORTING — PAYMENT REQUESTS

20.1 Obligation to submit reports

The coordinator must submit to the *Agency* (see Article 52) the technical and financial reports set out in this Article. These reports include requests for payment and must be drawn up using the forms and templates provided in the electronic exchange system (see Article 52).



20.2 Reporting periods

The action is divided into the following ‘**reporting periods**’:

- RP1: from month 1 to month 18
- RP2: *from month 19 to month 36*
- RP3: *from month 37 to month 54*

20.3 Periodic reports — Requests for interim payments

The coordinator must submit a periodic report within 60 days following the end of each reporting period.

The **periodic report** must include the following:

(a) a ‘**periodic technical report**’ containing:

- (i) an **explanation of the work carried out** by the beneficiaries;
- (ii) an **overview of the progress** towards the objectives of the action, including milestones and deliverables identified in Annex 1.

This report must include explanations justifying the differences between work expected to be carried out in accordance with Annex 1 and that actually carried out.

The report must also detail the exploitation and dissemination of the results and — if required in Annex 1 — an updated ‘**plan for the exploitation and dissemination of the results**’;

- (iii) a **summary** for publication by the *Agency*;
- (iv) the answers to the ‘**questionnaire**’, covering issues related to the action implementation and the economic and societal impact, notably in the context of the Horizon 2020 key performance indicators and the Horizon 2020 monitoring requirements;

(b) a ‘**periodic financial report**’ containing:

- (i) an ‘**individual financial statement**’ (see Annex 4) from each beneficiary, for the reporting period concerned.

The individual financial statement must detail the eligible costs (actual costs, unit costs and flat-rate costs; see Article 6) for each budget category (see Annex 2).

The beneficiaries must declare all eligible costs, even if — for actual costs, unit costs and flat-rate costs — they exceed the amounts indicated in the estimated budget (see Annex 2). Amounts which are not declared in the individual financial statement will not be taken into account by the *Agency*.

If an individual financial statement is not submitted for a reporting period, it may be included in the periodic financial report for the next reporting period.

The individual financial statements of the last reporting period must also detail the **receipts of the action** (see Article 5.3.3).

Each beneficiary must **certify** that:

- the information provided is full, reliable and true;
 - the costs declared are eligible (see Article 6);
 - the costs can be substantiated by adequate records and supporting documentation (see Article 18) that will be produced upon request (see Article 17) or in the context of checks, reviews, audits and investigations (see Article 22), and
 - for the last reporting period: that all the receipts have been declared (see Article 5.3.3);
- (ii) an **explanation of the use of resources** and the information on subcontracting (see Article 13) and in-kind contributions provided by third parties (see Articles 11 and 12) from each beneficiary, for the reporting period concerned;
- (iii) *not applicable*;
- (iv) a '**periodic summary financial statement**' (see Annex 4), created automatically by the electronic exchange system, consolidating the individual financial statements for the reporting period concerned and including — except for the last reporting period — the **request for interim payment**.

20.4 Final report — Request for payment of the balance

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.

The **final report** must include the following:

- (a) a '**final technical report**' with a **summary** for publication containing:
- (i) an overview of the results and their exploitation and dissemination;
 - (ii) the conclusions on the action, and
 - (iii) the socio-economic impact of the action;
- (b) a '**final financial report**' containing:
- (i) a '**final summary financial statement**' (see Annex 4), created automatically by the electronic exchange system, consolidating the individual financial statements for all reporting periods and including the **request for payment of the balance** and

- (ii) a ‘**certificate on the financial statements**’ (drawn up in accordance with Annex 5) for each beneficiary, if it requests a total contribution of EUR 325 000 or more, as reimbursement of actual costs and unit costs calculated on the basis of its usual cost accounting practices (see Article 5.2 and Article 6.2, Point A).

20.5 Information on cumulative expenditure incurred

Not applicable

20.6 Currency for financial statements and conversion into euro

Financial statements must be drafted in euro.

Beneficiaries with accounting established in a currency other than the euro must convert the costs recorded in their accounts into euro, at the average of the daily exchange rates published in the C series of the *Official Journal of the European Union*, calculated over the corresponding reporting period.

If no daily euro exchange rate is published in the *Official Journal of the European Union* for the currency in question, they must be converted at the average of the monthly accounting rates published on the Commission’s website, calculated over the corresponding reporting period.

Beneficiaries with accounting established in euro must convert costs incurred in another currency into euro according to their usual accounting practices.

20.7 Language of reports

All reports (technical and financial reports, including financial statements) must be submitted in the language of the Agreement.

20.8 Consequences of non-compliance — Suspension of the payment deadline — Termination

If the reports submitted do not comply with this Article, the *Agency* may suspend the payment deadline (see Article 47) and apply any of the other measures described in Chapter 6.

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 sent by the *Agency*, the Agreement may be terminated (see Article 50).

ARTICLE 21 — PAYMENTS AND PAYMENT ARRANGEMENTS

21.1 Payments to be made

The following payments will be made to the coordinator:

- one **pre-financing payment**;
- one or more **interim payments**, on the basis of the request(s) for interim payment (see Article 20), and
- one **payment of the balance**, on the basis of the request for payment of the balance (see Article 20).



21.2 Pre-financing payment — Amount — Amount retained for the Guarantee Fund

The aim of the pre-financing is to provide the beneficiaries with a float.

It remains the property of the *EU* until the payment of the balance.

The amount of the pre-financing payment will be EUR **1,298,638.79** (one million two hundred and ninety eight thousand six hundred and thirty eight EURO and seventy nine eurocents).

The *Agency* will — except if Article 48 applies — make the pre-financing payment to the coordinator within 30 days either from the entry into force of the Agreement (see Article 58) or from 10 days before the starting date of the action (see Article 3), whichever is the latest.

An amount of EUR **149,842.94** (one hundred and forty nine thousand eight hundred and forty two EURO and ninety four eurocents), corresponding to 5% of the maximum grant amount (see Article 5.1), is retained by the *Agency* from the pre-financing payment and transferred into the ‘**Guarantee Fund**’.

21.3 Interim payments — Amount — Calculation

Interim payments reimburse the eligible costs incurred for the implementation of the action during the corresponding reporting periods.

The *Agency* will pay to the coordinator the amount due as interim payment within 90 days from receiving the periodic report (see Article 20.3), except if Articles 47 or 48 apply.

Payment is subject to the approval of the periodic report. Its approval does not imply recognition of the compliance, authenticity, completeness or correctness of its content.

The **amount due as interim payment** is calculated by the *Agency* in the following steps:

Step 1 – Application of the reimbursement rates

Step 2 – Limit to 90% of the maximum grant amount

21.3.1 Step 1 — Application of the reimbursement rates

The reimbursement rate(s) (see Article 5.2) are applied to the eligible costs (actual costs, unit costs and flat-rate costs ; see Article 6) declared by the beneficiaries (see Article 20) and approved by the *Agency* (see above) for the concerned reporting period.

21.3.2 Step 2 — Limit to 90% of the maximum grant amount

The total amount of pre-financing and interim payments must not exceed 90% of the maximum grant amount set out in Article 5.1. The maximum amount for the interim payment will be calculated as follows:

{90% of the maximum grant amount (see Article 5.1)

minus

{pre-financing and previous interim payments}}.

21.4 Payment of the balance — Amount — Calculation — Release of the amount retained for the Guarantee Fund

The payment of the balance reimburses the remaining part of the eligible costs incurred by the beneficiaries for the implementation of the action.

If the total amount of earlier payments is greater than the final grant amount (see Article 5.3), the payment of the balance takes the form of a recovery (see Article 44).

If the total amount of earlier payments is lower than the final grant amount, the *Agency* will pay the balance within 90 days from receiving the final report (see Article 20.4), except if Articles 47 or 48 apply.

Payment is subject to the approval of the final report. Its approval does not imply recognition of the compliance, authenticity, completeness or correctness of its content.

The **amount due as the balance** is calculated by the *Agency* by deducting the total amount of pre-financing and interim payments (if any) already made, from the final grant amount determined in accordance with Article 5.3:

{final grant amount (see Article 5.3)}

minus

{pre-financing and interim payments (if any) made}.

At the payment of the balance, the amount retained for the Guarantee Fund (see above) will be released and:

- if the balance is positive: the amount released will be paid in full to the coordinator together with the amount due as the balance;
- if the balance is negative (payment of the balance taking the form of recovery): it will be deducted from the amount released (see Article 44.1.2). If the resulting amount:
 - is positive, it will be paid to the coordinator
 - is negative, it will be recovered.

The amount to be paid may however be offset — without the beneficiary's consent — against any other amount owed by the beneficiary to the *Agency*, the Commission or another executive agency (under the EU or Euratom budget), up to the maximum EU contribution indicated, for that beneficiary, in the estimated budget (see Annex 2).

21.5 Notification of amounts due

When making payments, the *Agency* will formally notify to the coordinator the amount due, specifying whether it concerns an interim payment or the payment of the balance.

For the payment of the balance, the notification will also specify the final grant amount.

In the case of reduction of the grant or recovery of undue amounts, the notification will be preceded by the contradictory procedure set out in Articles 43 and 44.

21.6 Currency for payments

The *Agency* will make all payments in euro.

21.7 Payments to the coordinator — Distribution to the beneficiaries

Payments will be made to the coordinator.

Payments to the coordinator will discharge the *Agency* from its payment obligation.

The coordinator must distribute the payments between the beneficiaries without unjustified delay.

Pre-financing may however be distributed only:

- (a) if the minimum number of beneficiaries set out in the call for proposals has acceded to the Agreement (see Article 56) and
- (b) to beneficiaries that have acceded to the Agreement (see Article 56).

21.8 Bank account for payments

All payments will be made to the following bank account:

Name of bank: KBC BANK NV
Address of branch: 2, AVENUE DU PORT BRUSSELS, Belgium
Full name of the account holder: POLIS ASBL
Full account number (including bank codes):
IBAN code: BE39435202035219

21.9 Costs of payment transfers

The cost of the payment transfers is borne as follows:

- the *Agency* bears the cost of transfers charged by its bank;
- the beneficiary bears the cost of transfers charged by its bank;
- the party causing a repetition of a transfer bears all costs of the repeated transfer.

21.10 Date of payment

Payments by the *Agency* are considered to have been carried out on the date when they are debited to its account.

21.11 Consequences of non-compliance

21.11.1 If the *Agency* does not pay within the payment deadlines (see above), the beneficiaries are entitled to **late-payment interest** at the rate applied by the European Central Bank (ECB) for its main



refinancing operations in euros ('reference rate'), plus three and a half points. The reference rate is the rate in force on the first day of the month in which the payment deadline expires, as published in the C series of the *Official Journal of the European Union*.

If the late-payment interest is lower than or equal to EUR 200, it will be paid to the coordinator only upon request submitted within two months of receiving the late payment.

Late-payment interest is not due if all beneficiaries are EU Member States (including regional and local government authorities or other public bodies acting on behalf of a Member State for the purpose of this Agreement).

Suspension of the payment deadline or payments (see Articles 47 and 48) will not be considered as late payment.

Late-payment interest covers the period running from the day following the due date for payment (see above), up to and including the date of payment.

Late-payment interest is not considered for the purposes of calculating the final grant amount.

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

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

ARTICLE 22 — CHECKS, REVIEWS, AUDITS AND INVESTIGATIONS — EXTENSION OF FINDINGS

22.1 Checks, reviews and audits by the *Agency and the Commission*

22.1.1 Right to carry out checks

The *Agency or the Commission* will — during the implementation of the action or afterwards — check the proper implementation of the action and compliance with the obligations under the Agreement, including assessing deliverables and reports.

For this purpose the *Agency or the Commission* may be assisted by external persons or bodies.

The *Agency or the Commission* may also request additional information in accordance with Article 17. The *Agency or the Commission* may request beneficiaries to provide such information to it directly.

Information provided must be accurate, precise and complete and in the format requested, including electronic format.

22.1.2 Right to carry out reviews

The *Agency or the Commission* may — during the implementation of the action or afterwards — carry out reviews on the proper implementation of the action (including assessment of deliverables and reports), compliance with the obligations under the Agreement and continued scientific or technological relevance of the action.

Reviews may be started **up to two years after the payment of the balance**. They will be formally notified to the coordinator or beneficiary concerned and will be considered to have started on the date of the formal notification.

If the review is carried out on a third party (see Articles 10 to 16), the beneficiary concerned must inform the third party.

The *Agency or the Commission* may carry out reviews directly (using its own staff) or indirectly (using external persons or bodies appointed to do so). It will inform the coordinator or beneficiary concerned of the identity of the external persons or bodies. They have the right to object to the appointment on grounds of commercial confidentiality.

The coordinator or beneficiary concerned must provide — within the deadline requested — any information and data in addition to deliverables and reports already submitted (including information on the use of resources). The *Agency or the Commission* may request beneficiaries to provide such information to it directly.

The coordinator or beneficiary concerned may be requested to participate in meetings, including with external experts.

For **on-the-spot** reviews, the beneficiaries must allow access to their sites and premises, including to external persons or bodies, and must ensure that information requested is readily available.

Information provided must be accurate, precise and complete and in the format requested, including electronic format.

On the basis of the review findings, a ‘**review report**’ will be drawn up.

The *Agency or the Commission* will formally notify the review report to the coordinator or beneficiary concerned, which has 30 days to formally notify observations (‘**contradictory review procedure**’).

Reviews (including review reports) are in the language of the Agreement.

22.1.3 Right to carry out audits

The *Agency or the Commission* may — during the implementation of the action or afterwards — carry out audits on the proper implementation of the action and compliance with the obligations under the Agreement.

Audits may be started **up to two years after the payment of the balance**. They will be formally notified to the coordinator or beneficiary concerned and will be considered to have started on the date of the formal notification.

If the audit is carried out on a third party (see Articles 10 to 16), the beneficiary concerned must inform the third party.

The *Agency or the Commission* may carry out audits directly (using its own staff) or indirectly (using external persons or bodies appointed to do so). It will inform the coordinator or beneficiary concerned of the identity of the external persons or bodies. They have the right to object to the appointment on grounds of commercial confidentiality.



The coordinator or beneficiary concerned must provide — within the deadline requested — any information (including complete accounts, individual salary statements or other personal data) to verify compliance with the Agreement. The *Agency or the Commission* may request beneficiaries to provide such information to it directly.

For **on-the-spot** audits, the beneficiaries must allow access to their sites and premises, including to external persons or bodies, and must ensure that information requested is readily available.

Information provided must be accurate, precise and complete and in the format requested, including electronic format.

On the basis of the audit findings, a ‘**draft audit report**’ will be drawn up.

The *Agency or the Commission* will formally notify the draft audit report to the coordinator or beneficiary concerned, which has 30 days to formally notify observations (‘**contradictory audit procedure**’). This period may be extended by the *Agency or the Commission* in justified cases.

The ‘**final audit report**’ will take into account observations by the coordinator or beneficiary concerned. The report will be formally notified to it.

Audits (including audit reports) are in the language of the Agreement.

The *Agency or the Commission* may also access the beneficiaries’ statutory records for the periodical assessment of unit costs or flat-rate amounts.

22.2 Investigations by the European Anti-Fraud Office (OLAF)

Under Regulations No 883/2013¹⁵ and No 2185/96¹⁶ (and in accordance with their provisions and procedures), the European Anti-Fraud Office (OLAF) may — at any moment during implementation of the action or afterwards — carry out investigations, including on-the-spot checks and inspections, to establish whether there has been fraud, corruption or any other illegal activity affecting the financial interests of the EU.

22.3 Checks and audits by the European Court of Auditors (ECA)

Under Article 287 of the Treaty on the Functioning of the European Union (TFEU) and Article 161 of the Financial Regulation No 966/2012¹⁷, the European Court of Auditors (ECA) may — at any moment during implementation of the action or afterwards — carry out audits.

The ECA has the right of access for the purpose of checks and audits.

¹⁵ Regulation (EU, Euratom) No 883/2013 of the European Parliament and of the Council of 11 September 2013 concerning investigations conducted by the European Anti-Fraud Office (OLAF) and repealing Regulation (EC) No 1073/1999 of the European Parliament and of the Council and Council Regulation (Euratom) No 1074/1999 (OJ L 248, 18.09.2013, p. 1).

¹⁶ Council Regulation (Euratom, EC) No 2185/1996 of 11 November 1996 concerning on-the-spot checks and inspections carried out by the Commission in order to protect the European Communities’ financial interests against fraud and other irregularities (OJ L 292, 15.11.1996, p. 2).

¹⁷ Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002 (OJ L 298, 26.10.2012, p. 1).



22.4 Checks, reviews, audits and investigations for international organisations

In conformity with its financial regulations, the European Union, including the European Anti-Fraud Office (OLAF) and the European Court of Auditors (ECA), may undertake, including on the spot, checks, reviews audits and investigations.

This Article will be applied in accordance with any specific agreement concluded in this respect by the international organisation and the European Union.

22.5 Consequences of findings in checks, reviews, audits and investigations — Extension of findings

22.5.1 Findings in this grant

Findings in checks, reviews, audits or investigations carried out in the context of this grant may lead to the rejection of ineligible costs (see Article 42), reduction of the grant (see Article 43), recovery of undue amounts (see Article 44) or to any of the other measures described in Chapter 6.

Rejection of costs or reduction of the grant after the payment of the balance will lead to a revised final grant amount (see Article 5.4).

Findings in checks, reviews, audits or investigations may lead to a request for amendment for the modification of Annex 1 (see Article 55).

Checks, reviews, audits or investigations that find systemic or recurrent errors, irregularities, fraud or breach of obligations may also lead to consequences in other EU or Euratom grants awarded under similar conditions (**‘extension of findings from this grant to other grants’**).

Moreover, findings arising from an OLAF investigation may lead to criminal prosecution under national law.

22.5.2 Findings in other grants

The *Agency or the Commission* may extend findings from other grants to this grant (**‘extension of findings from other grants to this grant’**), if:

- (a) the beneficiary concerned is found, in other EU or Euratom grants awarded under similar conditions, to have committed systemic or recurrent errors, irregularities, fraud or breach of obligations that have a material impact on this grant and
- (b) those findings are formally notified to the beneficiary concerned — together with the list of grants affected by the findings — no later than two years after the payment of the balance of this grant.

The extension of findings may lead to the rejection of costs (see Article 42), reduction of the grant (see Article 43), recovery of undue amounts (see Article 44), suspension of payments (see Article 48), suspension of the action implementation (see Article 49) or termination (see Article 50).

22.5.3 Procedure

The *Agency or the Commission* will formally notify the beneficiary concerned the systemic or recurrent errors and its intention to extend these audit findings, together with the list of grants affected.



22.5.3.1 If the findings concern **eligibility of costs**: the formal notification will include:

- (a) an invitation to submit observations on the list of grants affected by the findings;
- (b) the request to submit **revised financial statements** for all grants affected;
- (c) the **correction rate for extrapolation** established by the *Agency or the Commission* on the basis of the systemic or recurrent errors, to calculate the amounts to be rejected if the beneficiary concerned:
 - (i) considers that the submission of revised financial statements is not possible or practicable or
 - (ii) does not submit revised financial statements.

The beneficiary concerned has 90 days from receiving notification to submit observations, revised financial statements or to propose a duly substantiated **alternative correction method**. This period may be extended by the *Agency or the Commission* in justified cases.

The amounts to be rejected will be determined on the basis of the revised financial statements, subject to their approval.

If the *Agency or the Commission* does not receive any observations or revised financial statements, does not accept the observations or the proposed alternative correction method or does not approve the revised financial statements, it will formally notify the beneficiary concerned the application of the initially notified correction rate for extrapolation.

If the *Agency or the Commission* accepts the alternative correction method proposed by the beneficiary concerned, it will formally notify the application of the accepted alternative correction method.

22.5.3.2 If the findings concern **improper implementation** or a **breach of another obligation**: the formal notification will include:

- (a) an invitation to submit observations on the list of grants affected by the findings and
- (b) the flat-rate the *Agency or the Commission* intends to apply according to the principle of proportionality.

The beneficiary concerned has 90 days from receiving notification to submit observations or to propose a duly substantiated alternative flat-rate.

If the *Agency or the Commission* does not receive any observations or does not accept the observations or the proposed alternative flat-rate, it will formally notify the beneficiary concerned the application of the initially notified flat-rate.

If the *Agency or the Commission* accepts the alternative flat-rate proposed by the beneficiary concerned, it will formally notify the application of the accepted alternative flat-rate.

22.6 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, any insufficiently substantiated costs will be ineligible (see Article 6) and will be rejected (see Article 42).

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

ARTICLE 23 — EVALUATION OF THE IMPACT OF THE ACTION

23.1 Right to evaluate the impact of the action

The *Agency or the Commission* may carry out interim and final evaluations of the impact of the action measured against the objective of the *EU* programme.

Evaluations may be started during implementation of the action and up to *five* years after the payment of the balance. The evaluation is considered to start on the date of the formal notification to the coordinator or beneficiaries.

The *Agency or the Commission* may make these evaluations directly (using its own staff) or indirectly (using external bodies or persons it has authorised to do so).

The coordinator or beneficiaries must provide any information relevant to evaluate the impact of the action, including information in electronic format.

23.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the *Agency* may apply the measures described in Chapter 6.

SECTION 3 RIGHTS AND OBLIGATIONS RELATED TO BACKGROUND AND RESULTS

SUBSECTION 1 GENERAL

ARTICLE 23a — MANAGEMENT OF INTELLECTUAL PROPERTY

23a.1 Obligation to take measures to implement the Commission Recommendation on the management of intellectual property in knowledge transfer activities

Beneficiaries that are universities or other public research organisations must take measures to implement the principles set out in Points 1 and 2 of the Code of Practice annexed to the Commission Recommendation on the management of intellectual property in knowledge transfer activities¹⁸.

This does not change the obligations set out in Subsections 2 and 3 of this Section.

The beneficiaries must ensure that researchers and third parties involved in the action are aware of them.

23a.2 Consequences of non-compliance

If a beneficiary breaches its obligations under this Article, the *Agency* may apply any of the measures described in Chapter 6.

¹⁸ Commission Recommendation C (2008) 1329 of 10.4.2008 on the management of intellectual property in knowledge transfer activities and the Code of Practice for universities and other public research institutions attached to this recommendation.



SUBSECTION 2 RIGHTS AND OBLIGATIONS RELATED TO BACKGROUND

ARTICLE 24 — AGREEMENT ON BACKGROUND

24.1 Agreement on background

The beneficiaries must identify and agree (in writing) on the background for the action (**‘agreement on background’**).

‘Background’ means any data, know-how or information — whatever its form or nature (tangible or intangible), including any rights such as intellectual property rights — that:

- (a) is held by the beneficiaries before they acceded to the Agreement, and
- (b) is needed to implement the action or exploit the results.

24.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

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

ARTICLE 25 — ACCESS RIGHTS TO BACKGROUND

25.1 Exercise of access rights — Waiving of access rights — No sub-licensing

To exercise access rights, this must first be requested in writing (**‘request for access’**).

‘Access rights’ means rights to use results or background under the terms and conditions laid down in this Agreement.

Waivers of access rights are not valid unless in writing.

Unless agreed otherwise, access rights do not include the right to sub-license.

25.2 Access rights for other beneficiaries, for implementing their own tasks under the action

The beneficiaries must give each other access — on a royalty-free basis — to background needed to implement their own tasks under the action, unless the beneficiary that holds the background has — before acceding to the Agreement —:

- (a) informed the other beneficiaries that access to its background is subject to legal restrictions or limits, including those imposed by the rights of third parties (including personnel), or
- (b) agreed with the other beneficiaries that access would not be on a royalty-free basis.

25.3 Access rights for other beneficiaries, for exploiting their own results

The beneficiaries must give each other access — under fair and reasonable conditions — to background needed for exploiting their own results, unless the beneficiary that holds the background has — before acceding to the Agreement — informed the other beneficiaries that access to its



background is subject to legal restrictions or limits, including those imposed by the rights of third parties (including personnel).

‘**Fair and reasonable conditions**’ means appropriate conditions, including possible financial terms or royalty-free conditions, taking into account the specific circumstances of the request for access, for example the actual or potential value of the results or background to which access is requested and/or the scope, duration or other characteristics of the exploitation envisaged.

Requests for access may be made — unless agreed otherwise — up to one year after the period set out in Article 3.

25.4 Access rights for affiliated entities

Unless otherwise agreed in the consortium agreement, access to background must also be given — under fair and reasonable conditions (see above; Article 25.3) and unless it is subject to legal restrictions or limits, including those imposed by the rights of third parties (including personnel) — to affiliated entities¹⁹ established in an EU Member State or ‘**associated country**’²⁰, if this is needed to exploit the results generated by the beneficiaries to which they are affiliated.

Unless agreed otherwise (see above; Article 25.1), the affiliated entity concerned must make the request directly to the beneficiary that holds the background.

Requests for access may be made — unless agreed otherwise — up to one year after the period set out in Article 3.

25.5 Access rights for third parties

Not applicable

25.6 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

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

¹⁹ For the definition, see Article 2.1(2) of the Rules for Participation Regulation No 1290/2013: ‘**affiliated entity**’ means any legal entity that is under the direct or indirect control of a participant, or under the same direct or indirect control as the participant, or that is directly or indirectly controlling a participant.

‘Control’ may take any of the following forms:

- (a) the direct or indirect holding of more than 50% of the nominal value of the issued share capital in the legal entity concerned, or of a majority of the voting rights of the shareholders or associates of that entity;
- (b) the direct or indirect holding, in fact or in law, of decision-making powers in the legal entity concerned.

However the following relationships between legal entities shall not in themselves be deemed to constitute controlling relationships:

- (a) the same public investment corporation, institutional investor or venture-capital company has a direct or indirect holding of more than 50% of the nominal value of the issued share capital or a majority of voting rights of the shareholders or associates;
- (b) the legal entities concerned are owned or supervised by the same public body.

²⁰ For the definition, see Article 2.1(3) of the Rules for Participation Regulation No 1290/2013: ‘**associated country**’ means a third country which is party to an international agreement with the Union, as identified in *Article 7 of Horizon 2020 Framework Programme Regulation No 1291/2013. Article 7 sets out the conditions for association of non-EU countries to Horizon 2020.*



SUBSECTION 3 RIGHTS AND OBLIGATIONS RELATED TO RESULTS

ARTICLE 26 — OWNERSHIP OF RESULTS

26.1 Ownership by the beneficiary that generates the results

Results are owned by the beneficiary that generates them.

‘**Results**’ means any (tangible or intangible) output of the action such as data, knowledge or information — whatever its form or nature, whether it can be protected or not — that is generated in the action, as well as any rights attached to it, including intellectual property rights.

26.2 Joint ownership by several beneficiaries

Two or more beneficiaries own results jointly if:

- (a) they have jointly generated them and
- (b) it is not possible to:
 - (i) establish the respective contribution of each beneficiary, or
 - (ii) separate them for the purpose of applying for, obtaining or maintaining their protection (see Article 27).

The joint owners must agree (in writing) on the allocation and terms of exercise of their joint ownership (**‘joint ownership agreement’**), to ensure compliance with their obligations under this Agreement.

Unless otherwise agreed in the joint ownership agreement, each joint owner may grant non-exclusive licences to third parties to exploit jointly-owned results (without any right to sub-license), if the other joint owners are given:

- (a) at least 45 days advance notice and
- (b) fair and reasonable compensation.

Once the results have been generated, joint owners may agree (in writing) to apply another regime than joint ownership (such as, for instance, transfer to a single owner (see Article 30) with access rights for the others).

26.3 Rights of third parties (including personnel)

If third parties (including personnel) may claim rights to the results, the beneficiary concerned must ensure that it complies with its obligations under the Agreement.

If a third party generates results, the beneficiary concerned must obtain all necessary rights (transfer, licences or other) from the third party, in order to be able to respect its obligations as if those results were generated by the beneficiary itself.

If obtaining the rights is impossible, the beneficiary must refrain from using the third party to generate the results.



26.4 Agency ownership, to protect results

26.4.1 *The Agency* may — with the consent of the beneficiary concerned — assume ownership of results to protect them, if a beneficiary intends — up to four years after the period set out in Article 3 — to disseminate its results without protecting them, except in any of the following cases:

- (a) the lack of protection is because protecting the results is not possible, reasonable or justified (given the circumstances);
- (b) the lack of protection is because there is a lack of potential for commercial or industrial exploitation, or
- (c) the beneficiary intends to transfer the results to another beneficiary or third party established in an EU Member State or associated country, which will protect them.

Before the results are disseminated and unless any of the cases above under Points (a), (b) or (c) applies, the beneficiary must formally notify the *Agency* and at the same time inform it of any reasons for refusing consent. The beneficiary may refuse consent only if it can show that its legitimate interests would suffer significant harm.

If the *Agency* decides to assume ownership, it will formally notify the beneficiary concerned within 45 days of receiving notification.

No dissemination relating to these results may before the end of this period or, if the *Agency* takes a positive decision, until it has taken the necessary steps to protect the results.

26.4.2 *The Agency* may — with the consent of the beneficiary concerned — assume ownership of results to protect them, if a beneficiary intends — up to four years after the period set out in Article 3 — to stop protecting them or not to seek an extension of protection, except in any of the following cases:

- (a) the protection is stopped because of a lack of potential for commercial or industrial exploitation;
- (b) an extension would not be justified given the circumstances.

A beneficiary that intends to stop protecting results or not seek an extension must — unless any of the cases above under Points (a) or (b) applies — formally notify the *Agency* at least 60 days before the protection lapses or its extension is no longer possible and at the same time inform it of any reasons for refusing consent. The beneficiary may refuse consent only if it can show that its legitimate interests would suffer significant harm.

If the *Agency* decides to assume ownership, it will formally notify the beneficiary concerned within 45 days of receiving notification.

26.5 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

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



ARTICLE 27 — PROTECTION OF RESULTS — VISIBILITY OF EU FUNDING

27.1 Obligation to protect the results

Each beneficiary must examine the possibility of protecting its results and must adequately protect them — for an appropriate period and with appropriate territorial coverage — if:

- (a) the results can reasonably be expected to be commercially or industrially exploited and
- (b) protecting them is possible, reasonable and justified (given the circumstances).

When deciding on protection, the beneficiary must consider its own legitimate interests and the legitimate interests (especially commercial) of the other beneficiaries.

27.2 Agency ownership, to protect the results

If a beneficiary intends not to protect its results, to stop protecting them or not seek an extension of protection, *the Agency* may — under certain conditions (see Article 26.4) — assume ownership to ensure their (continued) protection.

27.3 Information on EU funding

Applications for protection of results (including patent applications) filed by or on behalf of a beneficiary must — unless the *Agency* requests or agrees otherwise or unless it is impossible — include the following:

“The project leading to this application has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 713813”.

27.4 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

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

ARTICLE 28 — EXPLOITATION OF RESULTS

28.1 Obligation to exploit the results

Each beneficiary must — up to four years after the period set out in Article 3 — take measures aiming to ensure ‘**exploitation**’ of its results (either directly or indirectly, in particular through transfer or licensing; see Article 30) by:

- (a) using them in further research activities (outside the action);
- (b) developing, creating or marketing a product or process;
- (c) creating and providing a service, or
- (d) using them in standardisation activities.



This does not change the security obligations in Article 37, which still apply.

28.2 Results that could contribute to European or international standards — Information on EU funding

If results are incorporated in a standard, the beneficiary concerned must — unless the *Agency* requests or agrees otherwise or unless it is impossible — ask the standardisation body to include the following statement in (information related to) the standard:

“Results incorporated in this standard received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 713813”.

28.3 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced in accordance with Article 43.

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

ARTICLE 29 — DISSEMINATION OF RESULTS — OPEN ACCESS — VISIBILITY OF EU FUNDING

29.1 Obligation to disseminate results

Unless it goes against their legitimate interests, each beneficiary must — as soon as possible — ‘**disseminate**’ its results by disclosing them to the public by appropriate means (other than those resulting from protecting or exploiting the results), including in scientific publications (in any medium).

This does not change the obligation to protect results in Article 27, the confidentiality obligations in Article 36, the security obligations in Article 37 or the obligations to protect personal data in Article 39, all of which still apply.

A beneficiary that intends to disseminate its results must give advance notice to the other beneficiaries of — unless agreed otherwise — at least 45 days, together with sufficient information on the results it will disseminate.

Any other beneficiary may object within — unless agreed otherwise — 30 days of receiving notification, 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.

If a beneficiary intends not to protect its results, it may — under certain conditions (see Article 26.4.1) — need to formally notify the *Agency* before dissemination takes place.

29.2 Open access to scientific publications

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

In particular, it must:



- (a) as soon as possible and at the latest on publication, deposit a machine-readable electronic copy of the published version or final peer-reviewed manuscript accepted for publication in a repository for scientific publications;

Moreover, the beneficiary must aim to deposit at the same time the research data needed to validate the results presented in the deposited scientific publications.

- (b) ensure open access to the deposited publication — via the repository — at the latest:
- (i) on publication, if an electronic version is available for free via the publisher, or
 - (ii) within six months of publication (twelve months for publications in the social sciences and humanities) in any other case.
- (c) ensure open access — via the repository — to the bibliographic metadata that identify the deposited publication.

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

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

29.3 Open access to research data

Not applicable

29.4 Information on EU funding — Obligation and right to use the EU emblem

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

- (a) display the EU emblem and
- (b) include the following text:

“This project has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 713813”.

When displayed together with another logo, the EU emblem must have appropriate prominence.

For the purposes of their obligations under this Article, the beneficiaries may use the EU emblem without first obtaining approval from the *Agency*.

This does not however give them the right to exclusive use.

Moreover, they may not appropriate the EU emblem or any similar trademark or logo, either by registration or by any other means.



29.5 Disclaimer excluding *Agency* responsibility

Any dissemination of results must indicate that it reflects only the author's view and that the *Agency* is not responsible for any use that may be made of the information it contains.

29.6 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

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

ARTICLE 30 — TRANSFER AND LICENSING OF RESULTS

30.1 Transfer of ownership

Each beneficiary may transfer ownership of its results.

It must however ensure that its obligations under Articles 26.2, 26.4, 27, 28, 29, 30 and 31 also apply to the new owner and that this owner has the obligation to pass them on in any subsequent transfer.

This does not change the security obligations in Article 37, which still apply.

Unless agreed otherwise (in writing) for specifically-identified third parties or unless impossible under applicable EU and national laws on mergers and acquisitions, a beneficiary that intends to transfer ownership of results must give at least 45 days advance notice (or less if agreed in writing) to the other beneficiaries that still have (or still may request) access rights to the results. This notification must include sufficient information on the new owner to enable any beneficiary concerned to assess the effects on its access rights.

Unless agreed otherwise (in writing) for specifically-identified third parties, any other beneficiary may object within 30 days of receiving notification (or less if agreed in writing), if it can show that the transfer would adversely affect its access rights. In this case, the transfer may not take place until agreement has been reached between the beneficiaries concerned.

30.2 Granting licenses

Each beneficiary may grant licences to its results (or otherwise give the right to exploit them), if:

- (a) this does not impede the rights under Article 31 and
- (b) *not applicable*.

In addition to Points (a) and (b), exclusive licences for results may be granted only if all the other beneficiaries concerned have waived their access rights (see Article 31.1).

This does not change the dissemination obligations in Article 29 or security obligations in Article 37, which still apply.

30.3 *Agency* right to object to transfers or licensing

Not applicable



30.4 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

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

ARTICLE 31 — ACCESS RIGHTS TO RESULTS

31.1 Exercise of access rights — Waiving of access rights — No sub-licensing

The conditions set out in Article 25.1 apply.

The obligations set out in this Article do not change the security obligations in Article 37, which still apply.

31.2 Access rights for other beneficiaries, for implementing their own tasks under the action

The beneficiaries must give each other access — on a royalty-free basis — to results needed for implementing their own tasks under the action.

31.3 Access rights for other beneficiaries, for exploiting their own results

The beneficiaries must give each other — under fair and reasonable conditions (see Article 25.3) — access to results needed for exploiting their own results.

Requests for access may be made — unless agreed otherwise — up to one year after the period set out in Article 3.

31.4 Access rights of affiliated entities

Unless agreed otherwise in the consortium agreement, access to results must also be given — under fair and reasonable conditions (Article 25.3) — to affiliated entities established in an EU Member State or associated country, if this is needed for those entities to exploit the results generated by the beneficiaries to which they are affiliated.

Unless agreed otherwise (see above; Article 31.1), the affiliated entity concerned must make any such request directly to the beneficiary that owns the results.

Requests for access may be made — unless agreed otherwise — up to one year after the period set out in Article 3.

31.5 Access rights for the EU institutions, bodies, offices or agencies and EU Member States

The beneficiaries must give access to their results — on a royalty-free basis — to EU institutions, bodies, offices or agencies, for developing, implementing or monitoring EU policies or programmes.

Such access rights are limited to non-commercial and non-competitive use.

This does not change the right to use any material, document or information received from the beneficiaries for communication and publicising activities (see Article 38.2).

31.6 Access rights for third parties

Not applicable

31.7 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

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

SECTION 4 OTHER RIGHTS AND OBLIGATIONS

ARTICLE 32 — RECRUITMENT AND WORKING CONDITIONS FOR RESEARCHERS

32.1 Obligation to take measures to implement the European Charter for Researchers and Code of Conduct for the Recruitment of Researchers

The beneficiaries must take all measures to implement the principles set out in the Commission Recommendation on the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers²², in particular regarding:

- working conditions;
- transparent recruitment processes based on merit, and
- career development.

The beneficiaries must ensure that researchers and third parties involved in the action are aware of them.

32.2 Consequences of non-compliance

If a beneficiary breaches its obligations under this Article, the *Agency* may apply any of the measures described in Chapter 6.

ARTICLE 33 — GENDER EQUALITY

33.1 Obligation to aim for gender equality

The beneficiaries must take all measures to promote equal opportunities between men and women in the implementation of the action. They must aim, to the extent possible, for a gender balance at all levels of personnel assigned to the action, including at supervisory and managerial level.

33.2 Consequences of non-compliance

If a beneficiary breaches its obligations under this Article, the *Agency* may apply any of the measures described in Chapter 6.

²² Commission Recommendation 2005/251/EC of 11 March 2005 on the European Charter for Researchers and on a Code of Conduct for the Recruitment of Researchers (OJ L 75, 22.3.2005, p. 67).



ARTICLE 34 — ETHICS

34.1 Obligation to comply with ethical principles

The beneficiaries must carry out the action in compliance with:

- (a) ethical principles (including the highest standards of research integrity — as set out, for instance, in the European Code of Conduct for Research Integrity²³ — and including, in particular, avoiding fabrication, falsification, plagiarism or other research misconduct) and
- (b) applicable international, EU and national law.

Funding will not be granted for activities carried out outside the EU if they are prohibited in all Member States.

The beneficiaries must ensure that the activities under the action have an exclusive focus on civil applications.

The beneficiaries must ensure that the activities under the action do not:

- (a) aim at human cloning for reproductive purposes;
- (b) intend to modify the genetic heritage of human beings which could make such changes heritable (with the exception of research relating to cancer treatment of the gonads, which may be financed), or
- (c) intend to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

34.2 Activities raising ethical issues

Activities raising ethical issues must comply with the ‘**ethics requirements**’ set out in Annex 1.

Before the beginning of an activity raising an ethical issue, the coordinator must submit (see Article 52) to the *Agency* copy of:

- (a) any ethics committee opinion required under national law and
- (b) any notification or authorisation for activities raising ethical issues required under national law.

If these documents are not in English, the coordinator must also submit an English summary of the submitted opinions, notifications and authorisations (containing, if available, the conclusions of the committee or authority concerned).

If these documents are specifically requested for the action, the request must contain an explicit reference to the action title. The coordinator must submit a declaration by each beneficiary concerned that all the submitted documents cover the action tasks.

²³ The European Code of Conduct for Research Integrity of ALLEA (All European Academies) and ESF (European Science Foundation) of March 2011.

http://www.esf.org/fileadmin/Public_documents/Publications/Code_Conduct_ResearchIntegrity.pdf



34.3 Activities involving human embryos or human embryonic stem cells

Activities involving research on human embryos or human embryonic stem cells may be carried out only if:

- they are set out in Annex 1 or
- the coordinator has obtained explicit approval (in writing) from the *Agency* (see Article 52).

34.4 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.

ARTICLE 35 — 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.

ARTICLE 36 — CONFIDENTIALITY

36.1 General obligation to maintain confidentiality

During implementation of the action and for four years after the period set out in Article 3, the parties must keep confidential any data, documents or other material (in any form) that is identified as confidential at the time it is disclosed (**‘confidential information’**).

If a beneficiary requests, the *Agency* may agree to keep such information confidential for an additional period beyond the initial four years.

If information has been identified as confidential only orally, it will be considered to be confidential only if this is confirmed in writing within 15 days of the oral disclosure.

Unless otherwise agreed between the parties, they may use confidential information only to implement the Agreement.

The beneficiaries may disclose confidential information to their personnel or third parties involved in the action only if they:

- (a) need to know to implement the Agreement and
- (b) are bound by an obligation of confidentiality.

This does not change the security obligations in Article 37, which still apply.

The *Agency* may disclose confidential information to its staff, other EU institutions and bodies or third parties, if:

- (a) this is necessary to implement the Agreement or safeguard the EU's financial interests and
- (b) the recipients of the information are bound by an obligation of confidentiality.

Under the conditions set out in Article 4 of the Rules for Participation Regulation No 1290/2013²⁴, the Commission must moreover make available information on the results to other EU institutions, bodies, offices or agencies as well as Member States or associated countries.

The confidentiality obligations no longer apply if:

- (a) the disclosing party agrees to release the other party;
- (b) the information was already known by the recipient or is given to him without obligation of confidentiality by a third party that was not bound by any obligation of confidentiality;
- (c) the recipient proves that the information was developed without the use of confidential information;
- (d) the information becomes generally and publicly available, without breaching any confidentiality obligation, or
- (e) the disclosure of the information is required by EU or national law.

36.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

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

²⁴ Regulation (EU) No 1290/2013 of the European Parliament and of the Council of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)" (OJ L 347, 20.12.2013 p.81).



ARTICLE 37 — SECURITY-RELATED OBLIGATIONS

37.1 Results with a security recommendation

Not applicable

37.2 Classified results

Not applicable

37.3 Activities involving dual-use goods or dangerous materials and substances

Not applicable

37.4 Consequences of non-compliance

Not applicable

ARTICLE 38 — PROMOTING THE ACTION — VISIBILITY OF EU FUNDING

38.1 Communication activities by beneficiaries

38.1.1 Obligation to promote the action and its results

The beneficiaries must promote the action and its results, by providing targeted information to multiple audiences (including the media and the public) in a strategic and effective manner.

This does not change the dissemination obligations in Article 29, the confidentiality obligations in Article 36 or the security obligations in Article 37, all of which still apply.

Before engaging in a communication activity expected to have a major media impact, the beneficiaries must inform the *Agency* (see Article 52).

38.1.2 Information on EU funding — Obligation and right to use the EU emblem

Unless the *Agency* requests or agrees otherwise or unless it is impossible, any communication activity related to the action (including in electronic form, via social media, etc.) and any infrastructure, equipment and major results funded by the grant must:

- (a) display the EU emblem and
- (b) include the following text:

For communication activities: *“This project has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 713813”.*

For infrastructure, equipment and major results: *“This [infrastructure][equipment][insert type of result] is part of a project that has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 713813”.*

When displayed together with another logo, the EU emblem must have appropriate prominence.



For the purposes of their obligations under this Article, the beneficiaries may use the EU emblem without first obtaining approval from the *Agency*.

This does not, however, give them the right to exclusive use.

Moreover, they may not appropriate the EU emblem or any similar trademark or logo, either by registration or by any other means.

38.1.3 Disclaimer excluding *Agency* responsibility

Any communication activity related to the action must indicate that it reflects only the author's view and that the *Agency* is not responsible for any use that may be made of the information it contains.

38.2 Communication activities by the *Agency*

38.2.1 Right to use beneficiaries' materials, documents or information

The *Agency* may use, for its communication and publicising activities, information relating to the action, documents notably summaries for publication and public deliverables as well as any other material, such as pictures or audio-visual material that it receives from any beneficiary (including in electronic form).

This does not change the confidentiality obligations in Article 36 and the security obligations in Article 37, all of which still apply.

However, if the *Agency's* use of these materials, documents or information would risk compromising legitimate interests, the beneficiary concerned may request the *Agency* not to use it (see Article 52).

The right to use a beneficiary's materials, documents and information includes:

- (a) **use for its own purposes** (in particular, making them available to persons working for the *Agency* or any other EU institution, body, office or agency or body or institutions in EU Member States; and copying or reproducing them in whole or in part, in unlimited numbers);
- (b) **distribution to the public** (in particular, publication as hard copies and in electronic or digital format, publication on the internet, as a downloadable or non-downloadable file, broadcasting by any channel, public display or presentation, communicating through press information services, or inclusion in widely accessible databases or indexes);
- (c) **editing or redrafting** for communication and publicising activities (including shortening, summarising, inserting other elements (such as meta-data, legends, other graphic, visual, audio or text elements), extracting parts (e.g. audio or video files), dividing into parts, use in a compilation);
- (d) **translation**;
- (e) giving **access in response to individual requests** under Regulation No 1049/2001²⁵, without the right to reproduce or exploit;

²⁵ Regulation (EC) No 1049/2001 of the European Parliament and of the Council of 30 May 2001 regarding public access to European Parliament, Council and Commission documents, OJ L 145, 31.5.2001, p. 43.



- (f) **storage** in paper, electronic or other form;
- (g) **archiving**, in line with applicable document-management rules, and
- (h) the right to authorise **third parties** to act on its behalf or sub-license the modes of use set out in Points (b),(c),(d) and (f) to third parties if needed for the communication and publicising activities of the *Agency*.

If the right of use is subject to rights of a third party (including personnel of the beneficiary), the beneficiary must ensure that it complies with its obligations under this Agreement (in particular, by obtaining the necessary approval from the third parties concerned).

Where applicable (and if provided by the beneficiaries), the *Agency* will insert the following information:

“© – [year] – [name of the copyright owner]. All rights reserved. Licensed to the *Innovation and Networks Executive Agency (INEA)* under conditions.”

38.3 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

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

ARTICLE 39 — PROCESSING OF PERSONAL DATA

39.1 Processing of personal data by the *Agency and the Commission*

Any personal data under the Agreement will be processed by the *Agency or the Commission* under Regulation No 45/2001²⁶ and according to the ‘notifications of the processing operations’ to the Data Protection Officer (DPO) of the *Agency or the Commission* (publicly accessible in the DPO register).

Such data will be processed by the ‘**data controller**’ of the *Agency or the Commission* for the purposes of implementing, managing and monitoring the Agreement or protecting the financial interests of the EU or Euratom (including checks, reviews, audits and investigations; see Article 22).

The persons whose personal data are processed have the right to access and correct their own personal data. For this purpose, they must send any queries about the processing of their personal data to the data controller, via the contact point indicated in the ‘service specific privacy statement(s) (SSPS)’ that are published on the *Agency and the Commission* websites.

They also have the right to have recourse at any time to the European Data Protection Supervisor (EDPS).

²⁶ Regulation (EC) No 45/2001 of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data (OJ L 8, 12.01.2001, p. 1).



39.2 Processing of personal data by the beneficiaries

The beneficiaries must process personal data under the Agreement in compliance with applicable EU and national law on data protection (including authorisations or notification requirements).

The beneficiaries may grant their personnel access only to data that is strictly necessary for implementing, managing and monitoring the Agreement.

The beneficiaries must inform the personnel whose personal data are collected and processed by the *Agency or the Commission*. For this purpose, they must provide them with the service specific privacy statement (SSPS) (see above), before transmitting their data to the *Agency or the Commission*.

39.3 Consequences of non-compliance

If a beneficiary breaches any of its obligations under Article 39.2, the *Agency* may apply any of the measures described in Chapter 6.

ARTICLE 40 — ASSIGNMENTS OF CLAIMS FOR PAYMENT AGAINST THE *AGENCY*

The beneficiaries may not assign any of their claims for payment against the *Agency* to any third party, except if approved by the *Agency* on the basis of a reasoned, written request by the coordinator (on behalf of the beneficiary concerned).

If the *Agency* has not accepted the assignment or the terms of it are not observed, the assignment will have no effect on it.

In no circumstances will an assignment release the beneficiaries from their obligations towards the *Agency*.

CHAPTER 5 DIVISION OF BENEFICIARIES' ROLES AND RESPONSIBILITIES

ARTICLE 41 — DIVISION OF BENEFICIARIES' ROLES AND RESPONSIBILITIES — RELATIONSHIP WITH COMPLEMENTARY BENEFICIARIES — RELATIONSHIP WITH PARTNERS OF A JOINT ACTION

41.1 Roles and responsibilities towards the *Agency*

The beneficiaries have full responsibility for implementing the action and complying with the Agreement.

The beneficiaries are jointly and severally liable for the **technical implementation** of the action as described in Annex 1. If a beneficiary fails to implement its part of the action, the other beneficiaries become responsible for implementing this part (without being entitled to any additional EU funding for doing so), unless the *Agency* expressly relieves them of this obligation.

The **financial responsibility** of each beneficiary is governed by Articles 44, 45 and 46.

41.2 Internal division of roles and responsibilities

The internal roles and responsibilities of the beneficiaries are divided as follows:



(a) Each **beneficiary** must:

- (i) keep information stored in the 'Beneficiary Register' (via the electronic exchange system) up to date (see Article 17);
- (ii) inform the coordinator immediately of any events or circumstances likely to affect significantly or delay the implementation of the action (see Article 17);
- (iii) submit to the coordinator in good time:
 - individual financial statements for itself and, if required, certificates on the financial statements (see Article 20);
 - the data needed to draw up the technical reports (see Article 20);
 - ethics committee opinions and notifications or authorisations for activities raising ethical issues (see Article 34);
 - any other documents or information required by the *Agency or the Commission* under the Agreement, unless the Agreement requires the beneficiary to submit this information directly to the *Agency or the Commission*.

(b) The **coordinator** must:

- (i) monitor that the action is implemented properly (see Article 7);
- (ii) act as the intermediary for all communications between the beneficiaries and the *Agency* (in particular, providing the *Agency* with the information described in Article 17), unless the Agreement specifies otherwise;
- (iii) request and review any documents or information required by the *Agency* and verify their completeness and correctness before passing them on to the *Agency*;
- (iv) submit the deliverables and reports to the *Agency* (see Articles 19 and 20);
- (v) ensure that all payments are made to the other beneficiaries without unjustified delay (see Article 21);
- (vi) inform the *Agency* of the amounts paid to each beneficiary, when required under the Agreement (see Articles 44 and 50) or requested by the *Agency*.

The coordinator may not delegate the above-mentioned tasks to any other beneficiary or subcontract them to any third party.

41.3 Internal arrangements between beneficiaries — Consortium agreement

The beneficiaries must have internal arrangements regarding their operation and co-ordination to ensure that the action is implemented properly. These internal arrangements must be set out in a written 'consortium agreement' between the beneficiaries, which may cover:

- *internal organisation of the consortium;*
- *management of access to the electronic exchange system;*
- *distribution of EU funding;*
- *additional rules on rights and obligations related to background and results (including whether access rights remain or not, if a beneficiary is in breach of its obligations) (see Section 3 of Chapter 4);*
- *settlement of internal disputes;*
- *liability, indemnification and confidentiality arrangements between the beneficiaries.*

The consortium agreement must not contain any provision contrary to the Agreement.

41.4 Relationship with complementary beneficiaries — Collaboration agreement

Not applicable

41.5 Relationship with partners of a joint action — Coordination agreement

Not applicable

CHAPTER 6 REJECTION OF COSTS — REDUCTION OF THE GRANT — RECOVERY — PENALTIES — DAMAGES — SUSPENSION — TERMINATION — FORCE MAJEURE

SECTION 1 REJECTION OF COSTS — REDUCTION OF THE GRANT — RECOVERY — PENALTIES

ARTICLE 42 — REJECTION OF INELIGIBLE COSTS

42.1 Conditions

42.1.1 The *Agency* will — at the time of an **interim payment**, **at the payment of the balance** or **afterwards** — reject any costs which are ineligible (see Article 6), in particular following checks, reviews, audits or investigations (see Article 22).

42.1.2 The rejection may also be based on the **extension of findings from other grants to this grant**, under the conditions set out in Article 22.5.2.

42.2 Ineligible costs to be rejected — Calculation — Procedure

Ineligible costs will be rejected in full.

If the *Agency* rejects costs **without reduction of the grant** (see Article 43) or **recovery of undue amounts** (see Article 44), it will formally notify the coordinator or beneficiary concerned the rejection of costs, the amounts and the reasons why (if applicable, together with the notification of amounts



due; see Article 21.5). The coordinator or beneficiary concerned may — within 30 days of receiving notification — formally notify the *Agency* of its disagreement and the reasons why.

If the *Agency* rejects costs **with reduction of the grant or recovery of undue amounts**, it will formally notify the rejection in the ‘**pre-information letter**’ on reduction or recovery set out in Articles 43 and 44.

42.3 Effects

If the *Agency* rejects costs at the time of an **interim payment or the payment of the balance**, it will deduct them from the total eligible costs declared, for the action, in the periodic or final summary financial statement (see Articles 20.3 and 20.4). It will then calculate the interim payment or payment of the balance as set out in Articles 21.3 or 21.4.

If the *Agency* — **after an interim payment but before the payment of the balance** — rejects costs declared in a periodic summary financial statement, it will deduct them from the total eligible costs declared, for the action, in the next periodic summary financial statement or in the final summary financial statement. It will then calculate the interim payment or payment of the balance as set out in Articles 21.3 or 21.4.

If the *Agency* rejects costs **after the payment of the balance**, it will deduct the amount rejected from the total eligible costs declared, by the beneficiary, in the final summary financial statement. It will then calculate the revised final grant amount as set out in Article 5.4.

ARTICLE 43 — REDUCTION OF THE GRANT

43.1 Conditions

43.1.1 The *Agency* may — **at the payment of the balance or afterwards** — reduce the maximum grant amount (see Article 5.1), if the action has not been implemented properly as described in Annex 1 or another obligation under the Agreement has been breached.

43.1.2 The *Agency* may also reduce the maximum grant amount on the basis of the **extension of findings from other grants to this grant**, under the conditions set out in Article 22.5.2.

43.2 Amount to be reduced — Calculation — Procedure

The amount of the reduction will be proportionate to the improper implementation of the action or to the seriousness of the breach.

Before reduction of the grant, the *Agency* will formally notify a ‘**pre-information letter**’ to the coordinator or beneficiary concerned:

- informing it of its intention to reduce the grant, the amount it intends to reduce and the reasons why and
- inviting it to submit observations within 30 days of receiving notification

If the *Agency* does not receive any observations or decides to pursue reduction despite the observations it has received, it will formally notify **confirmation** of the reduction (if applicable, together with the notification of amounts due; see Article 21).



43.3 Effects

If the *Agency* reduces the grant at the time of **the payment of the balance**, it will calculate the reduced grant amount for the action and then determine the amount due as payment of the balance (see Articles 5.3.4 and 21.4).

If the *Agency* reduces the grant **after the payment of the balance**, it will calculate the revised final grant amount for the beneficiary concerned (see Article 5.4). If the revised final grant amount for the beneficiary concerned is lower than its share of the final grant amount, the *Agency* will recover the difference (see Article 44).

ARTICLE 44 — RECOVERY OF UNDUE AMOUNTS

44.1 Amount to be recovered — Calculation — Procedure

The *Agency* will — after **termination of the participation of a beneficiary, at the payment of the balance or afterwards** — claim back any amount that was paid but is not due under the Agreement.

Each beneficiary's financial responsibility in case of recovery is limited to its own debt, except for the amount retained for the Guarantee Fund (see Article 21.4).

44.1.1 Recovery after termination of a beneficiary's participation

If recovery takes place after termination of a beneficiary's participation (including the coordinator), the *Agency* will claim back the undue amount from the beneficiary concerned, by formally notifying it a debit note (see Article 50.2 and 50.3). This note will specify the amount to be recovered, the terms and the date for payment.

If payment is not made by the date specified in the debit note, the *Agency or the Commission* will **recover** the amount:

- (a) by '**offsetting**' it — without the beneficiary's consent — against any amounts owed to the beneficiary concerned by the *Agency, the Commission* or *another* executive agency (from the EU or Euratom budget).

In exceptional circumstances, to safeguard the EU's financial interests, the *Agency* may offset before the payment date specified in the debit note;

- (b) *not applicable*;

- (c) by **taking legal action** (see Article 57) or by **adopting an enforceable decision** under Article 299 of the Treaty on the Functioning of the EU (TFEU) and Article 79(2) of the Financial regulation No 966/2012.

If payment is not made by the date specified in the debit note, the amount to be recovered (see above) will be increased by **late-payment interest** at the rate set out in Article 21.11, from the day following the payment date in the debit note, up to and including the date the *Agency or the Commission* receives full payment of the amount.

Partial payments will be first credited against expenses, charges and late-payment interest and then against the principal.



Bank charges incurred in the recovery process will be borne by the beneficiary, unless Directive 2007/64/EC²⁷ applies.

44.1.2 Recovery at payment of the balance

If the payment of the balance takes the form of a recovery (see Article 21.4), the *Agency* will formally notify a '**pre-information letter**' to the coordinator:

- informing it of its intention to recover, the amount due as the balance and the reasons why;
- specifying that it intends to deduct the amount to be recovered from the amount retained for the Guarantee Fund;
- requesting the coordinator to submit a report on the distribution of payments to the beneficiaries within 30 days of receiving notification, and
- inviting the coordinator to submit observations within 30 days of receiving notification.

If no observations are submitted or the *Agency* decides to pursue recovery despite the observations it has received, it will **confirm recovery** (together with the notification of amounts due; see Article 21.5) and:

- pay the difference between the amount to be recovered and the amount retained for the Guarantee Fund, **if the difference is positive** or
- formally notify to the coordinator a **debit note** for the difference between the amount to be recovered and the amount retained for the Guarantee Fund, **if the difference is negative**. This note will also specify the terms and the date for payment.

If the coordinator does not repay the *Agency* by the date in the debit note and has not submitted the report on the distribution of payments: the *Agency* or the Commission will **recover** the amount set out in the debit note from the coordinator (see below).

If the coordinator does not repay the *Agency* by the date in the debit note, but has submitted the report on the distribution of payments: the *Agency* will:

- (a) identify the beneficiaries for which the amount calculated as follows is negative:

$\left\{ \left\{ \left\{ \text{beneficiary's costs declared in the final summary financial statement and approved by the } \right. \right. \right.$
Agency multiplied by the reimbursement rate set out in Article 5.2 for the beneficiary concerned}

divided by

the EU contribution for the action calculated according to Article 5.3.1}

multiplied by

the final grant amount (see Article 5.3)},

²⁷ Directive 2007/64/EC of the European Parliament and of the Council of 13 November 2007 on payment services in the internal market amending Directives 97/7/EC, 2002/65/EC, 2005/60/EC and 2006/48/EC and repealing Directive 97/5/EC (OJ L 319, 05.12.2007, p. 1).



minus

{pre-financing and interim payments received by the beneficiary}}.

- (b) formally notify to each beneficiary identified according to point (a) a **debit note** specifying the terms and date for payment. The amount of the debit note is calculated as follows:

{ {amount calculated according to point (a) for the beneficiary concerned

divided by

the sum of the amounts calculated according to point (a) for all the beneficiaries identified according to point (a)}

multiplied by

the amount set out in the debit note formally notified to the coordinator}.

If payment is not made by the date specified in the debit note, the *Agency* will **recover** the amount:

- (a) by '**offsetting**' it — without the beneficiary's consent — against any amounts owed to the beneficiary concerned by the *Agency*, the Commission or another executive agency (from the EU or Euratom budget).

In exceptional circumstances, to safeguard the EU's financial interests, the *Agency* may offset before the payment date specified in the debit note;

- (b) by **drawing on the Guarantee Fund**. The *Agency or the Commission* will formally notify the beneficiary concerned the debit note on behalf of the Guarantee Fund and recover the amount:

(i) *not applicable*;

(ii) by **taking legal action** (see Article 57) or by **adopting an enforceable decision** under Article 299 of the Treaty on the Functioning of the EU (TFEU) and Article 79(2) of the Financial Regulation No 966/2012.

If payment is not made by the date in the debit note, the amount to be recovered (see above) will be increased by **late-payment interest** at the rate set out in Article 21.11, from the day following the payment date in the debit note, up to and including the date the *Agency or the Commission* receives full payment of the amount.

Partial payments will be first credited against expenses, charges and late-payment interest and then against the principal.

Bank charges incurred in the recovery process will be borne by the beneficiary, unless Directive 2007/64/EC applies.

44.1.3 Recovery of amounts after payment of the balance



If, for a beneficiary, the revised final grant amount (see Article 5.4) is lower than its share of the final grant amount, it must repay the difference to the *Agency*.

The beneficiary's share of the final grant amount is calculated as follows:

{ {beneficiary's costs declared in the final summary financial statement and approved by the *Agency* multiplied by the reimbursement rate set out in Article 5.2 for the beneficiary concerned}

divided by

the EU contribution for the action calculated according to Article 5.3.1 }

multiplied by

the final grant amount (see Article 5.3)}.

If the coordinator has not distributed amounts received (see Article 21.7), the *Agency* will also recover these amounts.

The *Agency* will formally notify a **pre-information letter** to the beneficiary concerned:

- informing it of its intention to recover, the due amount and the reasons why and
- inviting it to submit observations within 30 days of receiving notification.

If no observations are submitted or the *Agency* decides to pursue recovery despite the observations it has received, it will **confirm** the amount to be recovered and formally notify to the beneficiary concerned a **debit note**. This note will also specify the terms and the date for payment.

If payment is not made by the date specified in the debit note, the *Agency* will **recover** the amount:

- (a) by '**offsetting**' it — without the beneficiary's consent — against any amounts owed to the beneficiary concerned by the *Agency*, the Commission or another executive agency (from the EU or Euratom budget).

In exceptional circumstances, to safeguard the EU's financial interests, the *Agency* may offset before the payment date specified in the debit note;

- (b) by **drawing on the Guarantee Fund**. The *Agency or the Commission* will formally notify the beneficiary concerned the debit note on behalf of the Guarantee Fund and recover the amount:

(i) *not applicable*;

- (ii) by **taking legal action** (see Article 57) or by **adopting an enforceable decision** under Article 299 of the Treaty on the Functioning of the EU (TFEU) and Article 79(2) of the Financial Regulation No 966/2012.

If payment is not made by the date in the debit note, the amount to be recovered (see above) will be increased by **late-payment interest** at the rate set out in Article 21.11, from the day following the date for payment in the debit note, up to and including the date the *Agency or the Commission* receives full payment of the amount.



Partial payments will be first credited against expenses, charges and late-payment interest and then against the principal.

Bank charges incurred in the recovery process will be borne by the beneficiary, unless Directive 2007/64/EC applies.

ARTICLE 45 — ADMINISTRATIVE AND FINANCIAL PENALTIES

45.1 Conditions

Under Articles 109 and 131(4) of the Financial Regulation No 966/2012, the *Agency* may impose **administrative** and **financial penalties** if a beneficiary:

- (a) has committed substantial errors, irregularities or fraud or is in serious breach of its obligations under the Agreement or
- (b) has made false declarations about information required under the Agreement or for the submission of the proposal (or has not supplied such information).

Each beneficiary is responsible for paying the financial penalties imposed on it.

Under Article 109(3) of the Financial Regulation No 966/2012, the *Agency or the Commission* may — under certain conditions and limits — publish decisions imposing administrative or financial penalties.

45.2 Duration — Amount of penalty — Calculation

Administrative penalties exclude the beneficiary from all contracts and grants financed from the EU or Euratom budget for a maximum of five years from the date the infringement is established by the *Agency*.

If the beneficiary commits another infringement within five years of the date the first infringement is established, the *Agency* may extend the exclusion period up to 10 years.

Financial penalties will be between 2% and 10% of the maximum EU contribution indicated, for the beneficiary concerned, in the estimated budget (see Annex 2).

If the beneficiary commits another infringement within five years of the date the first infringement is established, the *Agency* may increase the rate of financial penalties to between 4% and 20%.

45.3 Procedure

Before applying a penalty, the *Agency* will formally notify the beneficiary concerned:

- informing it of its intention to impose a penalty, its duration or amount and the reasons why and
- inviting it to submit observations within 30 days.

If the *Agency* does not receive any observations or decides to impose the penalty despite of observations it has received, it will formally notify **confirmation** of the penalty to the beneficiary concerned and — in case of financial penalties — deduct the penalty from the payment of the balance or formally notify a **debit note**, specifying the amount to be recovered, the terms and the date for payment.



If payment is not made by the date specified in the debit note, the *Agency or the Commission* may **recover** the amount:

- (a) by ‘**offsetting**’ it — without the beneficiary’s consent — against any amounts owed to the beneficiary concerned by the *Agency, the Commission* or *another* executive agency (from the EU or Euratom budget).

In exceptional circumstances, to safeguard the EU’s financial interests, the *Agency* may offset before the payment date specified in the debit note;

- (b) by **taking legal action** (see Article 57) or by **adopting an enforceable decision** under Article 299 of the Treaty on the Functioning of the EU (TFEU) and Article 79(2) of the Financial Regulation No 966/2012.

If payment is not made by the date in the debit note, the amount to be recovered (see above) will be increased by **late-payment interest** at the rate set out in Article 21.11, from the day following the payment date in the debit note, up to and including the date the *Agency or the Commission* receives full payment of the amount.

Partial payments will be first credited against expenses, charges and late-payment interest and then against the principal.

Bank charges incurred in the recovery process will be borne by the beneficiary, unless Directive 2007/64/EC applies.

SECTION 2 LIABILITY FOR DAMAGES

ARTICLE 46 — LIABILITY FOR DAMAGES

46.1 Liability of the *Agency*

The *Agency* cannot be held liable for any damage caused to the beneficiaries or to third parties as a consequence of implementing the Agreement, including for gross negligence.

The *Agency* cannot be held liable for any damage caused by any of the beneficiaries or third parties involved in the action, as a consequence of implementing the Agreement.

46.2 Liability of the beneficiaries

46.2.1 Conditions

Except in case of force majeure (see Article 51), the beneficiaries must compensate the *Agency* for any damage it sustains as a result of the implementation of the action or because the action was not implemented in full compliance with the Agreement.

Each beneficiary is responsible for paying the damages claimed from it.

46.2.2 Amount of damages - Calculation

The amount the *Agency* can claim from a beneficiary will correspond to the damage caused by that beneficiary.



46.2.3 Procedure

Before claiming damages, the *Agency* will formally notify the beneficiary concerned:

- informing it of its intention to claim damages, the amount and the reasons why and
- inviting it to submit observations within 30 days.

If the *Agency* does not receive any observations or decides to claim damages despite the observations it has received, it will formally notify **confirmation** of the claim for damages and a **debit note**, specifying the amount to be recovered, the terms and the date for payment.

If payment is not made by the date specified in the debit note, the *Agency or the Commission* may **recover** the amount:

- (a) by ‘**offsetting**’ it — without the beneficiary’s consent — against any amounts owed to the beneficiary concerned by the *Agency*, the Commission or another executive agency (from the EU or Euratom budget).

In exceptional circumstances, to safeguard the EU’s financial interests, the *Agency* may offset before the payment date specified in the debit note;

- (b) by **taking legal action** (see Article 57) or by **adopting an enforceable decision** under Article 299 of the Treaty on the Functioning of the EU (TFEU) and Article 79(2) of the Financial Regulation No 966/2012.

If payment is not made by the date in the debit note, the amount to be recovered (see above) will be increased by **late-payment interest** at the rate set out in Article 21.11, from the day following the payment date in the debit note, up to and including the date the *Agency or the Commission* receives full payment of the amount.

Partial payments will be first credited against expenses, charges and late-payment interest and then against the principal.

Bank charges incurred in the recovery process will be borne by the beneficiary, unless Directive 2007/64/EC applies.

SECTION 3 SUSPENSION AND TERMINATION

ARTICLE 47 — SUSPENSION OF PAYMENT DEADLINE

47.1 Conditions

The *Agency* may — at any moment — suspend the payment deadline (see Article 21.2 to 21.4) if a request for payment (see Article 20) cannot be approved because:

- (a) it does not comply with the provisions of the Agreement (see Article 20);
- (b) the technical reports or financial reports have not been submitted or are not complete or additional information is needed, or



- (c) there is doubt about the eligibility of the costs declared in the financial statements and additional checks, reviews, audits or investigations are necessary.

47.2 Procedure

The *Agency* will formally notify the coordinator of the suspension and the reasons why.

The suspension will **take effect** the day notification is sent by the *Agency* (see Article 52).

If the conditions for suspending the payment deadline are no longer met, the suspension will be **lifted** — and the remaining period will resume.

If the suspension exceeds two months, the coordinator may request the *Agency* if the suspension will continue.

If the payment deadline has been suspended due to the non-compliance of the technical or financial reports (see Article 20) and the revised report or statement is not submitted or was submitted but is also rejected, the *Agency* may also terminate the Agreement or the participation of the beneficiary (see Article 50.3.1(l)).

ARTICLE 48 — SUSPENSION OF PAYMENTS

48.1 Conditions

The *Agency* may — at any moment — suspend, in whole or in part, the pre-financing payment and interim payments for one or more beneficiaries or the payment of the balance for all beneficiaries, if a beneficiary:

- (a) has committed or is suspected of having committed substantial errors, irregularities, fraud or serious breach of obligations in the award procedure or under this Agreement or
- (b) has committed — in other EU or Euratom grants awarded to it under similar conditions — systemic or recurrent errors, irregularities, fraud or serious breach of obligations that have a material impact on this grant (**extension of findings from other grants to this grant**; see Article 22.5.2).

48.2 Procedure

Before suspending payments, the *Agency* will formally notify the coordinator:

- informing it of its intention to suspend payments and the reasons why and
- inviting it to submit observations within 30 days of receiving notification.

If the *Agency* does not receive observations or decides to pursue the procedure despite the observations it has received, it will formally notify **confirmation** of the suspension. Otherwise, it will formally notify that the suspension procedure is not continued.

The suspension will **take effect** the day the confirmation notification is sent by the *Agency*.

If the conditions for resuming payments are met, the suspension will be **lifted**. The *Agency* will formally notify the coordinator.



During the suspension, the periodic report(s) (see Article 20.3) must not contain any individual financial statements from the beneficiary concerned. When the *Agency* resumes payments, the coordinator may include them in the next periodic report.

The beneficiaries may suspend implementation of the action (see Article 49.1) or terminate the Agreement or the participation of the beneficiary concerned (see Article 50.1 and 50.2).

ARTICLE 49 — SUSPENSION OF THE ACTION IMPLEMENTATION

49.1 Suspension of the action implementation, by the beneficiaries

49.1.1 Conditions

The beneficiaries may suspend implementation of the action or any part of it, if exceptional circumstances — in particular *force majeure* (see Article 51) — make implementation impossible or excessively difficult.

49.1.2 Procedure

The coordinator must immediately formally notify to the *Agency* the suspension (see Article 52), stating:

- the reasons why and
- the expected date of resumption.

The suspension will **take effect** the day this notification is received by the *Agency*.

Once circumstances allow for implementation to resume, the coordinator must immediately formally notify the *Agency* and request an **amendment** of the Agreement to set the date on which the action will be resumed, extend the duration of the action and make other changes necessary to adapt the action to the new situation (see Article 55) — unless the Agreement or the participation of a beneficiary has been terminated (see Article 50).

The suspension will be **lifted** with effect from the resumption date set out in the amendment. This date may be before the date on which the amendment enters into force.

Costs incurred during suspension of the action implementation are not eligible (see Article 6).

49.2 Suspension of the action implementation, by the *Agency*

49.2.1 Conditions

The *Agency* may suspend implementation of the action or any part of it:

- (a) if a beneficiary has committed or is suspected of having committed substantial errors, irregularities, fraud or serious breach of obligations in the award procedure or under this Agreement;
- (b) if a beneficiary has committed — in other EU or Euratom grants awarded to it under similar conditions — systemic or recurrent errors, irregularities, fraud or serious breach of obligations



that have a material impact on this grant (**extension of findings from other grants to this grant**; see Article 22.5.2), or

(c) if the action is suspected of having lost its scientific or technological relevance.

49.2.2 Procedure

Before suspending implementation of the action, the *Agency* will formally notify the coordinator:

- informing it of its intention to suspend the implementation and the reasons why and
- inviting it to submit observations within 30 days of receiving notification.

If the *Agency* does not receive observations or decides to pursue the procedure despite the observations it has received, it will formally notify **confirmation** of the suspension. Otherwise, it will formally notify that the procedure is not continued.

The suspension will **take effect** five days after confirmation notification is received by the coordinator (or on a later date specified in the notification).

It will be **lifted** if the conditions for resuming implementation of the action are met.

The coordinator will be formally notified of the lifting and the Agreement will be **amended** to set the date on which the action will be resumed, extend the duration of the action and make other changes necessary to adapt the action to the new situation (see Article 55) — unless the Agreement has already been terminated (see Article 50).

The suspension will be lifted with effect from the resumption date set out in the amendment. This date may be before the date on which the amendment enters into force.

Costs incurred during suspension are not eligible (see Article 6).

The beneficiaries may not claim damages due to suspension by the *Agency* (see Article 46).

Suspension of the action implementation does not affect the *Agency*'s right to terminate the Agreement or participation of a beneficiary (see Article 50), reduce the grant or recover amounts unduly paid (see Articles 43 and 44).

ARTICLE 50 — TERMINATION OF THE AGREEMENT OR OF THE PARTICIPATION OF ONE OR MORE BENEFICIARIES

50.1 Termination of the Agreement by the beneficiaries

50.1.1 Conditions and procedure

The beneficiaries may terminate the Agreement.

The coordinator must formally notify termination to the *Agency* (see Article 52), stating:

- the reasons why and



- the date the termination will take effect. This date must be after the notification.

If no reasons are given or if the *Agency* considers the reasons do not justify termination, the Agreement will be considered to have been '**terminated improperly**'.

The termination will **take effect** on the day specified in the notification.

50.1.2 Effects

The coordinator must — within 60 days from when termination takes effect — submit:

- (i) a periodic report (for the open reporting period until termination; see Article 20.3) and
- (ii) the final report (see Article 20.4).

If the *Agency* does not receive the reports within the deadline (see above), only costs which are included in an approved periodic report will be taken into account.

The *Agency* will **calculate** the final grant amount (see Article 5.3) and the balance (see Article 21.4) on the basis of the reports submitted. Only costs incurred until termination are eligible (see Article 6). Costs relating to contracts due for execution only after termination are not eligible.

Improper termination may lead to a reduction of the grant (see Article 43).

After termination, the beneficiaries' obligations (in particular Articles 20, 22, 23, Section 3 of Chapter 4, 36, 37, 38 and 40) continue to apply.

50.2 Termination of the participation of one or more beneficiaries, by the beneficiaries

50.2.1 Conditions and procedure

The participation of one or more beneficiaries may be terminated by the coordinator, on request of the beneficiary concerned or on behalf of the other beneficiaries.

The coordinator must formally notify termination to the *Agency* (see Article 52) and inform the beneficiary concerned.

If the coordinator's participation is terminated without its agreement, the formal notification must be done by another beneficiary (acting on behalf of the other beneficiaries).

The notification must include:

- the reasons why;
- the opinion of the beneficiary concerned (or proof that this opinion has been requested in writing);
- the date the termination takes effect. This date must be after the notification, and
- a request for amendment (see Article 55), with a proposal for reallocation of the tasks and the estimated budget of the beneficiary concerned (see Annexes 1 and 2) and, if necessary, the addition of one or more new beneficiaries (see Article 56). If termination takes effect after the

period set out in Article 3, no request for amendment must be included unless the beneficiary concerned is the coordinator. In this case, the request for amendment must propose a new coordinator.

If this information is not given or if the *Agency* considers that the reasons do not justify termination, the participation will be considered to have been **terminated improperly**.

The termination will **take effect** on the day specified in the notification.

50.2.2 Effects

The coordinator must — within 30 days from when termination takes effect — submit:

- (i) a report on the distribution of payments to the beneficiary concerned and
- (ii) if termination takes effect during the period set out in Article 3, a '**termination report**' from the beneficiary concerned, for the open reporting period until termination, containing an overview of the progress of the work, an overview of the use of resources, the individual financial statement and, if applicable, the certificate on the financial statement (see Articles 20.3 and 20.4).

The information in the termination report must also be included in the periodic report for the next reporting period (see Article 20.3).

If the request for amendment is rejected by the *Agency*, (because it calls into question the decision awarding the grant or breaches the principle of equal treatment of applicants), the Agreement may be terminated according to Article 50.3.1(c).

If the request for amendment is accepted by the *Agency*, the Agreement is **amended** to introduce the necessary changes (see Article 55).

The *Agency* will **calculate** — on the basis of the periodic reports, the termination report and the report on the distribution of payments — if the (pre-financing and interim) payments received by the beneficiary concerned exceed the beneficiary's EU contribution (calculated by applying the reimbursement rate(s) to the eligible costs declared by the beneficiary and approved by the *Agency*). Only costs incurred by the beneficiary concerned until termination takes effect are eligible (see Article 6). Costs relating to contracts due for execution only after termination are not eligible.

- If the payments received **exceed the amounts due**:
 - if termination takes effect during the period set out in Article 3 and the request for amendment is accepted, the beneficiary concerned must repay to the coordinator the amount unduly received. The *Agency* will formally notify the amount unduly received and request the beneficiary concerned to repay it to the coordinator within 30 days of receiving notification. If it does not repay the coordinator, the *Agency* will draw upon the Guarantee Fund to pay the coordinator and then notify a **debit note** on behalf of the Guarantee Fund to the beneficiary concerned (see Article 44);
 - in all other cases (in particular if termination takes effect after the period set out in Article 3), the *Agency* will formally notify a **debit note** to the beneficiary concerned. If payment is not made by the date in the debit note, the Guarantee Fund will pay to the *Agency* the amount due



and the *Agency* will notify a debit note on behalf of the Guarantee Fund to the beneficiary concerned (see Article 44);

- if the beneficiary concerned is the former coordinator, it must repay the new coordinator according to the procedure above, unless:
 - termination is after an interim payment and
 - the former coordinator has not distributed amounts received as pre-financing or interim payments (see Article 21.7).

In this case, the *Agency* will formally notify a **debit note** to the former coordinator. If payment is not made by the date in the debit note, the Guarantee Fund will pay to the *Agency* the amount due. The *Agency* will then pay the new coordinator and notify a debit note on behalf of the Guarantee Fund to the former coordinator (see Article 44).

- If the payments received **do not exceed the amounts due**: amounts owed to the beneficiary concerned will be included in the next interim or final payment.

If the *Agency* does not receive the termination report within the deadline (see above), only costs included in an approved periodic report will be taken into account.

If the *Agency* does not receive the report on the distribution of payments within the deadline (see above), it will consider that:

- the coordinator did not distribute any payment to the beneficiary concerned and that
- the beneficiary concerned must not repay any amount to the coordinator.

Improper termination may lead to a reduction of the grant (see Article 43) or termination of the Agreement (see Article 50).

After termination, the concerned beneficiary's obligations (in particular Articles 20, 22, 23, Section 3 of Chapter 4, 36, 37, 38 and 40) continue to apply.

50.3 Termination of the Agreement or the participation of one or more beneficiaries, by the *Agency*

50.3.1 Conditions

The *Agency* may terminate the Agreement or the participation of one or more beneficiaries, if:

- (a) one or more beneficiaries do not accede to the Agreement (see Article 56);
- (b) a change to their legal, financial, technical, organisational or ownership situation is likely to substantially affect or delay the implementation of the action or calls into question the decision to award the grant;
- (c) following termination of participation for one or more beneficiaries (see above), the necessary changes to the Agreement would call into question the decision awarding the grant or breach the principle of equal treatment of applicants (see Article 55);



- (d) implementation of the action is prevented by force majeure (see Article 51) or suspended by the coordinator (see Article 49.1) and either:
 - (i) resumption is impossible, or
 - (ii) the necessary changes to the Agreement would call into question the decision awarding the grant or breach the principle of equal treatment of applicants;
- (e) a beneficiary is declared bankrupt, being wound up, having its affairs administered by the courts, has entered into an arrangement with creditors, has suspended business activities, or is subject to any other similar proceedings or procedures under national law;
- (f) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) has been found guilty of professional misconduct, proven by any means;
- (g) a beneficiary does not comply with the applicable national law on taxes and social security;
- (h) the action has lost scientific or technological relevance;
- (i) *not applicable*;
- (j) *not applicable*;
- (k) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) has committed fraud, corruption, or is involved in a criminal organisation, money laundering or any other illegal activity affecting the EU's financial interests;
- (l) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) has — in the award procedure or under the Agreement — committed:
 - (i) substantial errors, irregularities, fraud or
 - (ii) serious breach of obligations, including improper implementation of the action, submission of false information, failure to provide required information, breach of ethical principles;
- (m) a beneficiary has committed — in other EU or Euratom grants awarded to it under similar conditions — systemic or recurrent errors, irregularities, fraud or serious breach of obligations that have a material impact on this grant (**'extension of findings from other grants to this grant'**).

50.3.2 Procedure

Before terminating the Agreement or participation of one or more beneficiaries, the *Agency* will formally notify the coordinator:

- informing it of its intention to terminate and the reasons why and
- inviting it, within 30 days of receiving notification, to submit observations and — in case of Point (l.ii) above — to inform the *Agency* of the measures to ensure compliance with the obligations under the Agreement.



If the *Agency* does not receive observations or decides to pursue the procedure despite the observations it has received, it will formally notify to the coordinator **confirmation** of the termination and the date it will take effect. Otherwise, it will formally notify that the procedure is not continued.

The termination will **take effect**:

- for terminations under Points (b), (c), (e), (g), (h), (j), and (l.ii) above: on the day specified in the notification of the confirmation (see above);
- for terminations under Points (a), (d), (f), (i), (k), (l.i) and (m) above: on the day after the notification of the confirmation is received by the coordinator.

50.3.3 Effects

(a) for **termination of the Agreement**:

The coordinator must — within 60 days from when termination takes effect — submit:

- (i) a periodic report (for the last open reporting period until termination; see Article 20.3) and
- (ii) a final report (see Article 20.4).

If the Agreement is terminated for breach of the obligation to submit the reports (see Articles 20.8 and 50.3.1(l)), the coordinator may not submit any reports after termination.

If the *Agency* does not receive the reports within the deadline (see above), only costs which are included in an approved periodic report will be taken into account.

The *Agency* will **calculate** the final grant amount (see Article 5.3) and the balance (see Article 21.4) on the basis of the reports submitted. Only costs incurred until termination takes effect are eligible (see Article 6). Costs relating to contracts due for execution only after termination are not eligible.

This does not affect the *Agency's* right to reduce the grant (see Article 43) or to impose administrative and financial penalties (Article 45).

The beneficiaries may not claim damages due to termination by the *Agency* (see Article 46).

After termination, the beneficiaries' obligations (in particular Articles 20, 22, 23, Section 3 of Chapter 4, 36, 37, 38 and 40) continue to apply.

(b) for **termination of the participation of one or more beneficiaries**:

The coordinator must — within 60 days from when termination takes effect — submit:

- (i) a report on the distribution of payments to the beneficiary concerned;
- (ii) a request for amendment (see Article 55), with a proposal for reallocation of the tasks and estimated budget of the beneficiary concerned (see Annexes 1 and 2) and, if necessary, the addition of one or more new beneficiaries (see Article 56). If termination is notified

after the period set out in Article 3, no request for amendment must be submitted unless the beneficiary concerned is the coordinator. In this case the request for amendment must propose a new coordinator, and

- (iii) if termination takes effect during the period set out in Article 3, a **termination report** from the beneficiary concerned, for the open reporting period until termination, containing an overview of the progress of the work, an overview of the use of resources, the individual financial statement and, if applicable, the certificate on the financial statement (see Article 20).

The information in the termination report must also be included in the periodic report for the next reporting period (see Article 20.3).

If the request for amendment is rejected by the *Agency* (because it calls into question the decision awarding the grant or breaches the principle of equal treatment of applicants), the Agreement may be terminated according to Article 50.3.1(c).

If the request for amendment is accepted by the *Agency*, the Agreement is **amended** to introduce the necessary changes (see Article 55).

The *Agency* will **calculate** — on the basis of the periodic reports, the termination report and the report on the distribution of payments — if the (pre-financing and interim) payments received by the beneficiary concerned exceed the beneficiary's EU contribution (calculated by applying the reimbursement rate(s) to the eligible costs declared by the beneficiary and approved by the *Agency*). Only costs incurred by the beneficiary concerned until termination takes effect are eligible (see Article 6). Costs relating to contracts due for execution only after termination are not eligible.

- If the payments received **exceed the amounts due**:
 - if termination takes effect during the period set out in Article 3 and the request for amendment is accepted, the beneficiary concerned must repay to the coordinator the amount unduly received. The *Agency* will formally notify the amount unduly received and request the beneficiary concerned to repay it to the coordinator within 30 days of receiving notification. If it does not repay the coordinator, the *Agency* will draw upon the Guarantee Fund to pay the coordinator and then notify a debit note on behalf of the Guarantee Fund to the beneficiary concerned (see Article 44);
 - in all other cases, in particular if termination takes effect after the period set out in Article 3, the *Agency* will formally notify a **debit note** to the beneficiary concerned. If payment is not made by the date in the debit note, the Guarantee Fund will pay to the *Agency* the amount due and the *Agency* will notify a debit note on behalf of the Guarantee Fund to the beneficiary concerned (see Article 44);
 - if the beneficiary concerned is the former coordinator, it must repay the new coordinator the amount unduly received, unless:
 - termination takes effect after an interim payment and

- the former coordinator has not distributed amounts received as pre-financing or interim payments (see Article 21.7)

In this case, the *Agency* will formally notify a **debit note** to the former coordinator. If payment is not made by the date in the debit note, the Guarantee Fund will pay to the *Agency* the amount due. The *Agency* will then pay the new coordinator and notify a debit note on behalf of the Guarantee Fund to the former coordinator (see Article 44).

- If the payments received **do not exceed the amounts due**: amounts owed to the beneficiary concerned will be included in the next interim or final payment.

If the *Agency* does not receive the termination report within the deadline (see above), only costs included in an approved periodic report will be taken into account.

If the *Agency* does not receive the report on the distribution of payments within the deadline (see above), it will consider that:

- the coordinator did not distribute any payment to the beneficiary concerned, and that
- the beneficiary concerned must not repay any amount to the coordinator.

After termination, the concerned beneficiary's obligations (in particular Articles 20, 22, 23, Section 3 of Chapter 4, 36, 37, 38 and 40) continue to apply.

SECTION 4 FORCE MAJEURE

ARTICLE 51 — FORCE MAJEURE

'Force majeure' means any situation or event that:

- prevents either party from fulfilling their obligations under the Agreement,
- was unforeseeable, exceptional situation and beyond the parties' control,
- was not due to error or negligence on their part (or on the part of third parties involved in the action), and
- proves to be inevitable in spite of exercising all due diligence.

The following cannot be invoked as force majeure:

- any default of a service, defect in equipment or material or delays in making them available, unless they stem directly from a relevant case of force majeure,
- labour disputes or strikes, or
- financial difficulties.

Any situation constituting force majeure must be formally notified to the other party without delay, stating the nature, likely duration and foreseeable effects.



The parties must immediately take all the necessary steps to limit any damage due to force majeure and do their best to resume implementation of the action as soon as possible.

The party prevented by force majeure from fulfilling its obligations under the Agreement cannot be considered in breach of them.

CHAPTER 7 FINAL PROVISIONS

ARTICLE 52 — COMMUNICATION BETWEEN THE PARTIES

52.1 Form and means of communication

Communication under the Agreement (information, requests, submissions, ‘formal notifications’, etc.) must:

- be made in writing and
- bear the number of the Agreement.

Until the payment of the balance: all communication must be made through the electronic exchange system and using the forms and templates provided there.

After the payment of the balance: formal notifications must be made by registered post with proof of delivery (‘formal notification on paper’).

Communications in the electronic exchange system must be made by persons authorised according to the ‘Terms and Conditions of Use of the electronic exchange system’. For naming the authorised persons, each beneficiary must have designated — before the signature of this Agreement — a ‘Legal Entity Appointed Representative (LEAR)’. The role and tasks of the LEAR are stipulated in his/her appointment letter (see Terms and Conditions of Use of the electronic exchange system).

If the electronic exchange system is temporarily unavailable, instructions will be given on the *Agency and Commission* websites.

52.2 Date of communication

Communications are considered to have been made when they are sent by the sending party (i.e. on the date and time they are sent through the electronic exchange system).

Formal notifications through the **electronic** exchange system are considered to have been made when they are received by the receiving party (i.e. on the date and time of acceptance by the receiving party, as indicated by the time stamp). A formal notification that has not been accepted within 10 days after sending is considered to have been accepted.

Formal notifications **on paper** sent by **registered post** with proof of delivery (only after the payment of the balance) are considered to have been made on either:

- the delivery date registered by the postal service or
- the deadline for collection at the post office.



If the electronic exchange system is temporarily unavailable, the sending party cannot be considered in breach of its obligation to send a communication within a specified deadline.

52.3 Addresses for communication

The **electronic** exchange system must be accessed via the following URL:

<https://ec.europa.eu/research/participants/portal/desktop/en/projects/>

The *Agency* will formally notify the coordinator and beneficiaries in advance any changes to this URL.

Formal notifications on paper (only after the payment of the balance) addressed **to the Agency** must be sent to the following address:

*Innovation and Networks Executive Agency
TRANSPORT RESEARCH
W910
B-1049 Brussels Belgium*

Formal notifications on paper (only after the payment of the balance) addressed **to the beneficiaries** must be sent to their legal address as specified in the 'Beneficiary Register'.

ARTICLE 53 — INTERPRETATION OF THE AGREEMENT

53.1 Precedence of the Terms and Conditions over the Annexes

The provisions in the Terms and Conditions of the Agreement take precedence over its Annexes.

Annex 2 takes precedence over Annex 1.

53.2 Privileges and immunities

Nothing in the Agreement may be interpreted as a waiver of any privileges or immunities accorded to the REGIONAL ENVIRONMENTAL CENTER FOR CENTRAL AND EASTERN EUROPE -REC by its constituent documents or international law.

ARTICLE 54 — CALCULATION OF PERIODS, DATES AND DEADLINES

In accordance with Regulation No 1182/71²⁸, periods expressed in days, months or years are calculated from the moment the triggering event occurs.

The day during which that event occurs is not considered as falling within the period.

²⁸ Regulation (EEC, Euratom) No 1182/71 of the Council of 3 June 1971 determining the rules applicable to periods, dates and time-limits (OJ L 124, 8.6.1971, p. 1).

ARTICLE 55 — AMENDMENTS TO THE AGREEMENT

55.1 Conditions

The Agreement may be amended, unless the amendment entails changes to the Agreement which would call into question the decision awarding the grant or breach the principle of equal treatment of applicants.

Amendments may be requested by any of the parties.

55.2 Procedure

The party requesting an amendment must submit a request for amendment signed in the electronic exchange system (see Article 52).

The coordinator submits and receives requests for amendment on behalf of the beneficiaries (see Annex 3).

If a change of coordinator is requested without its agreement, the submission must be done by another beneficiary (acting on behalf of the other beneficiaries).

The request for amendment must include:

- the reasons why;
- the appropriate supporting documents;
- for a change of coordinator without its agreement: the opinion of the coordinator (or proof that this opinion has been requested in writing).

The *Agency* may request additional information.

If the party receiving the request agrees, it must sign the amendment in the electronic exchange system within 45 days of receiving notification (or any additional information the *Agency* has requested). If it does not agree, it must formally notify its disagreement within the same deadline. The deadline may be extended, if necessary for the assessment of the request. If no notification is received within the deadline, the request is considered to have been rejected.

An amendment **enters into force** on the day of the signature of the receiving party.

An amendment **takes effect** on the date agreed by the parties or, in the absence of such an agreement, on the date on which the amendment enters into force.

ARTICLE 56 — ACCESSION TO THE AGREEMENT

56.1 Accession of the beneficiaries mentioned in the Preamble

The other beneficiaries must accede to the Agreement by signing the Accession Form (see Annex 3) in the electronic exchange system (see Article 52) within 30 days after its entry into force (see Article 58).

They will assume the rights and obligations under the Agreement with effect from the date of its entry into force (see Article 58).



If a beneficiary does not accede to the Agreement within the above deadline, the coordinator must — within 30 days — request an amendment to make any changes necessary to ensure proper implementation of the action. This does not affect the *Agency's* right to terminate the Agreement (see Article 50).

56.2 Addition of new beneficiaries

In justified cases, the beneficiaries may request the addition of a new beneficiary.

For this purpose, the coordinator must submit a request for amendment in accordance with Article 55. It must include an Accession Form (see Annex 3) signed by the new beneficiary in the electronic exchange system (see Article 52).

New beneficiaries must assume the rights and obligations under the Agreement with effect from the date of their accession specified in the Accession Form (see Annex 3).

ARTICLE 57 — APPLICABLE LAW AND SETTLEMENT OF DISPUTES

57.1 Applicable law

The Agreement is governed by the applicable EU law, supplemented if necessary by the law of Belgium.

57.2 Dispute settlement

If a dispute concerning the interpretation, application or validity of the Agreement cannot be settled amicably, the General Court — or, on appeal, the Court of Justice of the European Union — has sole jurisdiction. Such actions must be brought under Article 272 of the Treaty on the Functioning of the EU (TFEU).

As an exception, for the following beneficiaries:

- *REGIONAL ENVIRONMENTAL CENTER FOR CENTRAL AND EASTERN EUROPE -REC*

such disputes must — if they cannot be settled amicably — be referred to arbitration.

The Permanent Court of Arbitration Optional Rules for Arbitration Involving International Organisations and States in force at the date of entry into force of the Agreement will apply.

The appointing authority will be the Secretary-General of the Permanent Court of Arbitration following a written request submitted by either party.

The arbitration proceedings must take place in Brussels and the language used in the arbitral proceedings will be English.

The arbitral award will be binding on all parties and will not be subject to appeal.

If a dispute concerns administrative or financial penalties, offsetting or an enforceable decision under Article 299 TFEU (see Articles 44, 45 and 46), the beneficiaries must bring action before the General Court — or, on appeal, the Court of Justice of the European Union — under Article 263 TFEU. *Actions against enforceable decisions must be brought against the Commission (not against the Agency).*



ARTICLE 58 — ENTRY INTO FORCE OF THE AGREEMENT

The Agreement will enter into force on the day of signature by the *Agency* or the coordinator, depending on which is later.

SIGNATURES

For the coordinator

For the *Agency*

Karen VANCLUYSEN with ECAS id nvancln signed in the Participant Portal on 24/05/2016 at 22:05:29 (transaction id Sigld-91279-rXzHdpMWJgLrdzw6PbmCf4xhVU8jGYzq6WblzyoeaUuVZJd3SXzRWwh y0QPJFGq0dVCdKUuUV1dXRuEAAncqqsS-Jj71zxYb8yry03ZeF2hlm-yVtY51Hzi1UVSLY2rd50uzsnkJs3rtiPhyzjksDr6h7q). Timestamp by third party at
Tue May 24 23:05:37 CEST 2016

Signed by Dirk BECKERS with ECAS id beckedi as an authorised representative on 10-06-2016 15:31:24 (transaction id Sigld-10238-S53vxOtaeYE2VzMcCh5WycHfnXySU3jsUX0V4J2Z1B4MXAXDIY oRoiAHfztHu0jaxezW0Ci3Z67LopYba4Scb7m-Jj71zxYb8yrCzGM5MsUFAs-2tpZMypnBSKI5pMAJozMW6cLzlhqC23MWvozULakkza)
Fri Jun 10 15:31:35 CEST 2016



EUROPEAN COMMISSION
Innovation and Networks Executive Agency
TRANSPORT RESEARCH



ANNEX 1 (part A)

Coordination and support action

NUMBER — 713813 — CIVITAS SATELLITE

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1.1. The project summary

Project Number ¹	713813	Project Acronym ²	CIVITAS SATELLITE
One form per project			
General information			
Project title ³	Support Action Towards Evaluation, Learning, Local Innovation, Transfer and Excellence		
Starting date ⁴	The first day of the month after the signature by the Commission		
Duration in months ⁵	54		
Call (part) identifier ⁶	H2020-MG-2015-Singlestage-B		
Topic	MG-5.5b-2015 Demonstrating and testing innovative solutions for cleaner and better urban transport and mobility		
Fixed EC Keywords	Knowledge transfer, Training Development and evaluation, Transport & Mobility, Capacity building, Urban transport, International cooperation		
Free keywords	sustainable urban mobility, innovative urban transport solutions, deployment, take-up, peer learning, policy		
Abstract ⁷			
<p>SATELLITE will function as anchor for the entire CIVITAS Network, coordinating and supporting ongoing and future CIVITAS2020 projects. SATELLITE will address the MG5.5b call topic by helping cities gain better access to innovative solutions to properly address transport challenges they are facing. SATELLITE will make sure the latest innovations resulting from European urban mobility research reach cities through adequate cross-project coordination and exchange mechanisms. For innovations to be properly scaled up, sufficient information on their actual impact is required. SATELLITE will further elaborate the CIVITAS Impact and Process Evaluation Framework and provide IA projects with support mechanisms to implement and apply this framework. Through capacity-building, SATELLITE will provide city practitioners with the necessary skills to apply innovations in their own context, while additional exchange activities will prepare for the actual transfer and take-up of these solutions through community building approaches where cities can learn from their peers. Moreover, the project enhances the direct exchange and cooperation between the public and private sector, offering a dedicated online marketplace for urban transport innovations. SATELLITE dissemination activities will promote CIVITAS successes and improve access to available solutions through a varied range of communication tools and activities. Structured networking among all CIVITAS Forum members, with the annual conference as main highlight and with strong links to CIVINETs will encourage lasting capitalisation of activities.</p> <p>Unique selling points include: functioning as bridge between past and future of CIVITAS; bringing research tools to a marketplace for improved application and accessibility; gathering leading European and international urban transport networks in one CIVITAS CSA for the first time; reaching beyond Europe to widen the impact of CIVITAS; preparing for a lasting legacy of CIVITAS innovations</p>			

1.2. List of Beneficiaries

Project Number ¹	713813	Project Acronym ²	CIVITAS SATELLITE
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List of Beneficiaries

No	Name	Short name	Country	Project entry month ⁸	Project exit month
1	POLIS - PROMOTION OF OPERATIONAL LINKS WITH INTEGRATED SERVICES, ASSOCIATION INTERNATIONALE	POLIS	Belgium	1	54
2	RUPPRECHT CONSULT - FORSCHUNG & BERATUNG GMBH	RUPPRECHT	Germany	1	54
3	EUROCITIES ASBL	EUROCITIES ASBL	Belgium	1	54
4	ICLEI EUROPEAN SECRETARIAT GMBH (ICLEI EUROPASEKRETARIAT GMBH)*	ICLEI EURO	Germany	1	54
5	REGIONAL ENVIRONMENTAL CENTER FOR CENTRAL AND EASTERN EUROPE -REC	REC	Hungary	1	54
6	TRANSPORT & MOBILITY LEUVEN NV	TML	Belgium	1	54
7	UNION INTERNATIONALE DES TRANSPORTS PUBLICS	UITP	Belgium	1	54

1.3. Workplan Tables - Detailed implementation

1.3.1. WT1 List of work packages

WP Number ⁹	WP Title	Lead beneficiary ¹⁰	Person-months ¹¹	Start month ¹²	End month ¹³
WP1	CIVITAS 2020 Coordination	1 - POLIS	17.00	1	54
WP2	Evaluation	6 - TML	45.50	1	54
WP3	Capacity Building	2 - RUPPRECHT	26.50	1	54
WP4	Transfer, take-up and exploitation	3 - EUROCITIES ASBL	48.50	1	54
WP5	Communication and Dissemination	4 - ICLEI EURO	46.50	1	54
WP6	Structured Networking	5 - REC	66.50	1	54
WP7	Project Coordination and Management	1 - POLIS	27.50	1	54
WP8	Ethics requirements	1 - POLIS	N/A	1	54
Total			278.00		

1.3.2. WT2 list of deliverables

Deliverable Number ¹⁴	Deliverable Title	WP number ⁹	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D1.1	Results reports on needs assessment with IA projects and CIVINETs	WP1	1 - POLIS	Report	Public	38
D1.2	Results report on survey of plans, opportunities and synergies with RIA projects	WP1	1 - POLIS	Report	Public	38
D1.3	Activities Database	WP1	1 - POLIS	Other	Public	7
D1.4	CIVITAS 2020 Internal newsletter	WP1	1 - POLIS	Websites, patents filling, etc.	Public	48
D2.1	Optimised CIVITAS process and impact evaluation framework	WP2	6 - TML	Report	Public	3
D2.2	E-course on optimised CIVITAS process and impact evaluation framework	WP2	6 - TML	Websites, patents filling, etc.	Public	3
D2.3	Refined and completed CIVITAS process and impact evaluation framework	WP2	6 - TML	Report	Public	26
D2.4	Minimum CIVITAS evaluation framework for RIA projects	WP2	6 - TML	Report	Public	26
D2.5	General analysis of IA projects' Measure Evaluation Results Sheets (MERSs)	WP2	6 - TML	Report	Confidential, only for members of the consortium (including the Commission Services)	44
D2.6	Set of in-depth reviewed and improved IA projects' Measure Evaluation Results Sheets (MERSs)	WP2	6 - TML	Report	Confidential, only for members of the consortium (including the Commission Services)	38
D2.7	Basic evaluation reporting template for RIA projects	WP2	6 - TML	Report	Public	22
D2.8	Summary of evaluation findings	WP2	6 - TML	Report	Public	28

Deliverable Number ¹⁴	Deliverable Title	WP number ⁹	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
	from RIA projects for IA projects					
D2.9	Focus reports on results from CIVITAS measures, on optimal combination of different types of CIVITAS measures and on cross-cutting aspects of implemented CIVITAS measures	WP2	6 - TML	Report	Public	46
D2.10	Report on evaluation results from CIVITAS IA projects	WP2	6 - TML	Report	Confidential, only for members of the consortium (including the Commission Services)	48
D2.11	Overall synthesis of the CIVITAS SATELLITE evaluation experiences	WP2	6 - TML	Report	Public	48
D2.12	Lessons learned from the CIVITAS RIA projects funded 2015-2018 (a) and since 2016 (b)	WP2	6 - TML	Report	Confidential, only for members of the consortium (including the Commission Services)	48
D2.13	CIVITAS 2020 Policy recommendations	WP2	6 - TML	Report	Public	48
D2.14	Overview of long-term impact of CIVITAS measures in previously funded CIVITAS cities	WP2	6 - TML	Report	Public	40
D2.15	Long-term success stories from cities funded by CIVITAS	WP2	6 - TML	Report	Public	44
D3.1	Calendar and overview of potential synergies of learning activities planned in CIVITAS 2020 projects	WP3	2 - RUPPRECHT	Report	Public	38
D3.2	E-course 'How to develop and implement an effective online course' on CIVITAS Exchange Hub	WP3	2 - RUPPRECHT	Websites, patents filling, etc.	Public	6

Deliverable Number ¹⁴	Deliverable Title	WP number ⁹	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D3.3	Annual cross-project assessment of participants' feedback on online courses held in CIVITAS 2020	WP3	2 - RUPPRECHT	Report	Public	48
D3.4	SATELLITE online courses on CIVITAS Learning Centre	WP3	2 - RUPPRECHT	Websites, patents filling, etc.	Public	40
D4.1	Guidelines for selection of cities for peer-to-peer knowledge exchange	WP4	3 - EUROCITIES ASBL	Report	Public	2
D4.2	Guidelines for cities participating in work placements	WP4	3 - EUROCITIES ASBL	Report	Public	4
D4.3	Annual summaries of impact reports on work placements	WP4	3 - EUROCITIES ASBL	Report	Public	48
D4.4	Lessons learned from SATELLITE peer-to-peer exchanges	WP4	3 - EUROCITIES ASBL	Report	Public	48
D4.5	Thematic Groups annual work plans	WP4	1 - POLIS	Report	Public	42
D4.6	Thematic Groups annual reports	WP4	1 - POLIS	Report	Public	48
D4.7	Compilation of TG recommendations to the PAC	WP4	1 - POLIS	Report	Public	48
D4.8	State-of-the-art report on EU-China exchange on urban mobility	WP4	7 - UITP	Report	Public	46
D4.9	Overview on tools and methodologies from previous CIVITAS projects	WP4	2 - RUPPRECHT	Report	Public	4
D4.10	Needs assessment on demand for tools and methodologies from CIVITAS 2020 projects	WP4	2 - RUPPRECHT	Report	Public	34
D4.11	Online marketplace on tools and methodologies	WP4	2 - RUPPRECHT	Websites, patents filling, etc.	Public	15

Deliverable Number ¹⁴	Deliverable Title	WP number ⁹	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D5.1	Communication and dissemination strategy and visual identity	WP5	4 - ICLEI EURO	Report	Public	4
D5.2	Updated CIVITAS 2020 Corporate Design Handbook	WP5	4 - ICLEI EURO	Report	Public	3
D5.3	CIVITAS MOVE newsletter	WP5	4 - ICLEI EURO	Websites, patents filling, etc.	Public	48
D5.4	Analysis of recipients' handling of CIVITAS mailings and of impact of content uploaded to various social media channels	WP5	4 - ICLEI EURO	Report	Confidential, only for members of the consortium (including the Commission Services)	48
D5.5	CIVITAS postcards	WP5	4 - ICLEI EURO	Websites, patents filling, etc.	Public	4
D5.6	'Welcome to CIVITAS' booklet	WP5	4 - ICLEI EURO	Websites, patents filling, etc.	Public	4
D5.7	CIVITAS roll-ups	WP5	4 - ICLEI EURO	Websites, patents filling, etc.	Public	4
D5.8	Policy briefings	WP5	4 - ICLEI EURO	Report	Public	48
D5.9	Standard PowerPoint presentation on CIVITAS Initiative	WP5	4 - ICLEI EURO	Websites, patents filling, etc.	Public	3
D5.10	CIVITAS Research and Innovation Action projects funded 2015-2018 – A summary of lessons learned	WP5	4 - ICLEI EURO	Websites, patents filling, etc.	Public	28
D5.11	CIVITAS Innovation Action projects funded 2016-2020 – A summary of results	WP5	4 - ICLEI EURO	Websites, patents filling, etc.	Confidential, only for members of the consortium (including the Commission Services)	54
D5.12	CIVITAS Research and Innovation Action projects funded since	WP5	4 - ICLEI EURO	Websites, patents	Public	54

Deliverable Number ¹⁴	Deliverable Title	WP number ⁹	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
	2016 – A summary of lessons learned			filling, etc.		
D5.13	Video presentation/ podcast on results of completed IA and RIA projects	WP5	4 - ICLEI EURO	Websites, patents filling, etc.	Public	54
D5.14	Infographics on measures of IA projects and photo documentation of measures of IA projects	WP5	4 - ICLEI EURO	Websites, patents filling, etc.	Public	54
D6.1	CIVITAS Forum conference report	WP6	5 - REC	Report	Public	52
D6.2	Summary report on CIVINET Activity Fund activities and outcomes	WP6	5 - REC	Report	Public	46
D6.3	Advisory Groups Annual Report	WP6	1 - POLIS	Report	Public	42
D6.4	Political Advisory Committee 2-year work plan	WP6	1 - POLIS	Report	Public	30
D6.5	Minutes of Political Advisory Committee meetings	WP6	1 - POLIS	Report	Public	46
D7.1	SATELLITE status updates for EC	WP7	2 - RUPPRECHT	Report	Confidential, only for members of the consortium (including the Commission Services)	45
D8.1	H - Requirement No. 1	WP8	1 - POLIS	Ethics	Confidential, only for members of the consortium (including the Commission Services)	2
D8.2	POPD - Requirement No. 2	WP8	1 - POLIS	Ethics	Confidential, only for members of the consortium (including the Commission Services)	2

1.3.3. WT3 Work package descriptions

Work package number ⁹	WP1	Lead beneficiary ¹⁰	1 - POLIS
Work package title	CIVITAS 2020 Coordination		
Start month	1	End month	54

Objectives

The overall aim of WP1 is to coordinate the cooperation between ongoing and future CIVITAS 2020 projects, thus addressing the requirement in the call text to “facilitate cooperation between stakeholders involved in the projects under this topic, and from across CIVITAS 2020”. This cooperation will bring a lot of added value: currently EU funded research projects on urban mobility have only limited access to CIVITAS cities as a target audience. On the other hand, CIVITAS cities (both demonstration cities and Forum members) miss direct access to cutting edge research and innovation projects, although these cities have developed structures for the implementation of innovative solutions. Furthermore, cooperation between research and innovation actions under the same CIVITAS 2020 umbrella will allow them to identify and build on synergies, feed into each other’s work and identify common areas of interest. To this end, WP1 will establish a coordination and cooperation mechanism that should secure maximum thematic, strategic and promotional synergies across all CIVITAS 2020 projects, which in turn help to shape, feed into and facilitate the activities of the other SATELLITE work packages.

WP1’s operational objectives are therefore to:

- Identify the support needs and planned activities of the CIVITAS IA and RIA projects, and the CIVINETs in terms of communication, evaluation, capacity building and coordination (task 1.1)
- Facilitate cooperation between stakeholders from across CIVITAS 2020 (task 1.2)
- Establish coordination and cooperation mechanisms to
 - o secure maximum scientific, thematic, strategic and promotional synergies across CIVITAS 2020 projects (task 1.2)
 - o support the other WPs in liaising with other projects to feed into WP activities (task 1.2)
 - o support the CIVITAS 2020 projects with common dissemination, capacity building, exploitation, and outreach activities and advice (task 1.2)

Description of work and role of partners

WP1 - CIVITAS 2020 Coordination [Months: 1-54]

POLIS, RUPPRECHT, EUROCIITIES ASBL, TML, UITP

CIVITAS 2020 encompasses not only the CIVITAS IA projects, but also all other CIVITAS projects on urban mobility from the ‘Mobility for Growth’ calls. It is assumed that SATELLITE will eventually be coordinating the cooperation of ca. 28-33 projects.

There will be two levels of involvement. The first level of involvement comprises the CIVITAS IA projects from the MG.5.5a call. Four to five of these are expected to start in mid-2016. Concluding from a hypothetical assumption, there might be ca. four more IA projects starting in mid-2019. Within the second level of involvement, SATELLITE will be cooperating with the ten MG.5.1-5.3 projects that started in May/June 2015, the ca. three MG.5.4 projects from the 2015 call for projects that are expected to start in mid-2016, and subsequent relevant calls afterwards.

The services that the first level of MG.5.5a IA projects will receive from SATELLITE are extensive and link in to all activities of the respective SATELLITE WPs, including WP1. The services offered to the second and bigger group of projects, representing the second level of involvement, will be coordinated by WP1 in particular, while linking into and facilitating specific activities of the other SATELLITE work packages.

Task 1.1 Stakeholder surveys (lead partner: Polis; support: Rupprecht, EUROCIITIES, TML)

Subtask 1.1.1 Needs assessments with IA projects & CIVINETs

A targeted survey will be carried out at the beginning of the project among the CIVITAS IA projects as well as the CIVINETs, to identify in further detail what their support needs and expectations are towards SATELLITE. This should ensure that SATELLITE meets these needs through tailored services across the respective work packages. Specific types of support for IA projects and CIVINETs will be fed, guided and optimised through the outcomes of this needs assessment. The services offered to the IA projects cover evaluation (WP2), capacity building (WP3), peer-to-peer transfer (WP4) and dissemination (WP5). The information collected through the needs assessment will be complemented with information on the IA projects’ planned evaluation, communication, international cooperation, and capacity building activities which will be collected through analysing the IA projects’ respective Descriptions of Work.

The figure on the previous page summarises which information will be collected through the needs assessment and DoW analysis, and how this will in turn feed into the different SATELLITE WPs.

The needs assessment will be repeated in month 38, when new CIVITAS 2020 IA projects may come in, and to identify newly emerged needs with the already running IAs and CIVINETs. In between, continuous feedback mechanisms are envisaged anyhow through the Coordination and Cooperation Platform (task 1.2).

Subtask 1.1.2 Plans, opportunities and synergies surveys with RIA projects

The CIVITAS RIA projects will be consulted, with the aim to:

- obtain a clear overview of their plans in the field of training, dissemination, evaluation and exploitation
- collect information on the outputs and tools they will produce, which can feed into SATELLITE across its WPs, while in turn being enhanced through SATELLITE's capacity building, up-scaling and exploitation activities (WP3, WP4, WP5)
- identify potential synergies across RIA projects, in terms of content, common activities and coordinated outputs
- define support needs and expectations vis-à-vis SATELLITE, in terms of cooperation and synergies with other projects, evaluation, dissemination, capacity building, and take-up

The task will start by conducting a first survey with the RIA projects (D1.2a) for the ongoing CIVITAS 2020 projects, based on a thematic mapping of the ten MG.5.1-5.3 projects that started in May/June 2015 (ELIPTIC, EMPOWER, CITYLAB, NOVELOG, SUCCESS, U-TURN, CIPTEC, CREATE, FLOW and TRACE), as well as the ca. three MG.5.4 projects from the 2015 call for projects that are expected to start in ca. July 2016.

The ten MG.5.1-MG.5.3 projects have a provision of working time allocated to cross-project coordination, e.g. FLOW in task 7.5.1, and SATELLITE partners are directly involved in several of these projects.

The figure on the left indicates the information to be collected through the RIA surveys, the WPs it will feed into, and the outputs it will generate. The survey will be repeated three times for the projects that start during the lifetime of SATELLITE (D1.2b-d), based on the start dates of new projects.

The results of the stakeholder surveys will inform the way the coordination and cooperation mechanisms will be set up in task 1.2, as well as feed into the activities that are being developed by other SATELLITE WPs, thus making sure that these services meet the actual needs of the stakeholders concerned.

Both stakeholder surveys will be conducted through a combination of online questionnaires and a series of in-depth interviews with Project Coordinators and Dissemination Managers. Results will be processed and summarised in result reports for the IA (D1.1) and RIA (D1.2) projects.

Polis will lead the task and will be responsible for defining the content and distribution of the stakeholder surveys. TML will produce the survey based on the content provided and process the data collected. Rupprecht will provide support on content and methodology, while EUROCITIES will assist with the distribution of the survey and data collection.

Task 1.2 CIVITAS 2020 Coordination and Cooperation Platform (lead partner: Polis; support: Rupprecht, UITP)

Task 1.2 will establish a dedicated framework and platform to coordinate the support and exchange activities of SATELLITE towards the CIVITAS 2020 projects, based on the services of the other WPs as well as the specific needs and expectations emerging from the surveys carried out under task 1.1, and to facilitate cooperation between the RIA projects and SATELLITE, among the RIA projects themselves, and between the RIA and IA projects. The services and support activities which specifically target IA projects alone are addressed in the other SATELLITE WPs and through other coordination mechanisms such as the Evaluation (WP2) and Dissemination (WP5) Liaison Groups.

The CIVITAS 2020 Coordination and Cooperation Platform will encompass both face-to-face and virtual support mechanisms to allow for optimal interaction and exchange between all stakeholders involved:

- Annual CIVITAS 2020 Project Coordinators' meetings will be organised with all CIVITAS 2020 projects (MS1.1) to identify possible synergies and specific cooperation topics, discuss common activities, define support mechanisms, as well as concrete project outputs that could in turn feed into SATELLITE's evaluation framework (task 2.1), dissemination (WP5), capacity building (WP3) and take-up activities (WP4). This will help to reach common goals more effectively and create a stronger impact on the programme level. These meetings, organised back-to-back with the CIVITAS Forum conferences, will build on agreements established and discussions initiated at the first meeting of Project Coordinators of the current ten RIA projects at the CIVITAS Forum in Ljubljana in October 2015. This first meeting was organised by Rupprecht in the framework of the CIVITAS CAPITAL project. The coordinators of nine RIA projects have also signed Letters of Support for SATELLITE, confirming their commitment to cooperate, should the project be funded (see Annex I).
- A virtual cooperation and coordination platform will be established on the CIVITAS Exchange Hub (MS1.2) to coordinate events and outreach activities and opportunities of the respective projects (feeding into WP5 dissemination

approaches), identify synergies in content (feeding into the e-learning courses of WP3, the Thematic and Advisory Groups of WP4/6), and offer deployment opportunities through the capacity building (WP3) and exploitation activities (WP4). The virtual platform will also support the RIA projects in engaging in discussions with their counterparts from other projects on a permanent and inclusive basis. Furthermore, the IA projects will be invited to engage in the virtual platform so as to enable cross-fertilisation between IA and RIA projects and a transfer of knowledge and solutions from RIA to the IA projects, which represent their main target group. This will in turn feed into and facilitate the exploitation activities envisaged within WP4. As according to the call texts for MG.5.1-5.3 and MG.5.5a, paying attention to vulnerable groups of citizens and gender is a prerequisite, special consideration will be given to coordinate the IA and RIA projects' activities in respect thereof.

- As part of the virtual coordination and cooperation platform on the CIVITAS Exchange Hub, planned CIVITAS 2020 dissemination, capacity building and take-up activities across the different projects will be compiled in an activities database (D1.3) to allow for a transparent and integrated overview of activities. The database will be an internal tool for all CIVITAS 2020 projects. It will be initially fed by the information on milestones, activities and events obtained from the stakeholder surveys with the IA and RIA projects conducted in task 1.1. Projects will be asked to upload more details themselves as they become available. D1.2 will directly feed into D3.1 'Calendar and overview of potential synergies of learning activities planned in CIVITAS 2020 projects'.

- An internal CIVITAS 2020 electronic newsletter will be compiled (D1.4) and circulated three times a year to keep partners of the CIVITAS 2020 community informed and up to date on relevant developments, milestones, events and outputs from across the different projects.

Polis is task leader, and will coordinate the annual meetings, manage the cooperation and coordination platform, monitor the activities database and produce the internal newsletter. Rupprecht will contribute to the preparation of and attend the coordination meetings and UITP will take part and contribute to the coordination meetings.

Participation per Partner

Partner number and short name	WP1 effort
1 - POLIS	8.50
2 - RUPPRECHT	4.50
3 - EUROCITIES ASBL	1.50
6 - TML	1.50
7 - UITP	1.00
Total	17.00

List of deliverables

Deliverable Number ¹⁴	Deliverable Title	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D1.1	Results reports on needs assessment with IA projects and CIVINETs	1 - POLIS	Report	Public	38
D1.2	Results report on survey of plans, opportunities and synergies with RIA projects	1 - POLIS	Report	Public	38
D1.3	Activities Database	1 - POLIS	Other	Public	7

List of deliverables

Deliverable Number ¹⁴	Deliverable Title	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D1.4	CIVITAS 2020 Internal newsletter	1 - POLIS	Websites, patents filling, etc.	Public	48

Description of deliverables

D1.1a-b Results reports on needs assessment with IA projects and CIVINETs (task 1.1) (month 4, 38)
D1.2a-d Results reports on survey of plans, opportunities and synergies with RIA projects (task 1.1) (month 4, 12, 24, 38)
D1.3 Activities Database (task 1.2) (month 7)
D1.4a-l CIVITAS 2020 internal newsletter (task 1.2) (month 4, 8, 12, 16, 20, 24, 28, 32, 36, 40, 44, 48)
D1.1 : Results reports on needs assessment with IA projects and CIVINETs [38]
D1.1a-b Results reports on needs assessment with IA projects and CIVINETs (task 1.1) (month 4, 38)
D1.2 : Results report on survey of plans, opportunities and synergies with RIA projects [38]
D1.2a-d Results reports on survey of plans, opportunities and synergies with RIA projects (task 1.1) (month 4, 12, 24, 38)
D1.3 : Activities Database [7]
D1.3 Activities Database (task 1.2) (month 7)
D1.4 : CIVITAS 2020 Internal newsletter [48]
D1.4a-l CIVITAS 2020 internal newsletter (task 1.2) (month 4, 8, 12, 16, 20, 24, 28, 32, 36, 40, 44, 48)

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS1	Annual CIVITAS 2020 Project Coordinators' meetings held	1 - POLIS	39	M1.1 Annual CIVITAS 2020 Project Coordinators' meetings held, M 3, 15, 27, 39
MS2	Virtual cooperation and coordination platform on CIVITAS Exchange Hub set up	4 - ICLEI EURO	6	MS1.2 Virtual cooperation and coordination platform on CIVITAS Exchange Hub set up, M 6

Work package number ⁹	WP2	Lead beneficiary ¹⁰	6 - TML
Work package title	Evaluation		
Start month	1	End month	54

Objectives

- to make available at the start of the CIVITAS IA projects an optimised process and impact evaluation framework allowing them to start evaluation activities efficiently, and to optimise this framework in line with the evolution of CIVITAS (task 2.1)
- to coordinate and coach CIVITAS IA projects to conduct evaluation efficiently, resulting in relevant and consistent data on impact and implementation process, allowing clear interpretation of the effectiveness of implemented measures (task 2.2)
- to incorporate relevant research (and operational) evaluation findings from RIA projects in evaluation conclusions on the measure and city level, and to provide RIA projects with useful operational evaluation findings, allowing them to create a stronger context for the specific scientific and operational evaluation of the developed measures (task 2.2)
- to summarise and interpret the evaluation results so they can be widely disseminated to potential take-up cities and other stakeholders, to incorporate relevant research (and operational) evaluation findings from the RIA projects in the CIVITAS conclusions, and summarise the lessons learned from the RIA projects (task 2.3)
- to formulate concise policy recommendations based on the evaluation results from the IA projects (task 2.3)
- to get a structured understanding of the legacy and long-term impact of CIVITAS, and summarise examples of cities on progress made thanks to CIVITAS (task 2.4)

Description of work and role of partners

WP2 - Evaluation [Months: 1-54]

TML, POLIS, RUPPRECHT, UITP

SATELLITE will implement a strongly result-oriented concept to support the CIVITAS goal to advance innovative policies and technologies needed for the transformation towards cleaner and better urban mobility and transport following a user-oriented approach. Main target group will be politicians and technicians of the cities making policy choices and developing mobility solutions. Key elements in this concept are:

- efficient coaching of the Project Evaluation Managers of the CIVITAS IA projects who are responsible for conducting the evaluation of the CIVITAS measures in the cities
- ensuring the adequate implementation of the CIVITAS evaluation framework and approaches, focusing on key quality requirements to get consistent and clearly understandable evaluation results to be used in and outside CIVITAS
- well-structured evaluation conclusions on types of measures, clusters of measures and conditions for success
- efficient cooperation and exchange of knowledge between the IA and RIA projects
- processing evaluation data on measure implementation in IA cities, direct support to exploitation, take-up and transfer

This approach will result in effective support of the IA projects and well-balanced interaction with the RIA projects. The figure on the left provides an overview of the different levels of support from WP2 for the IA and RIA projects through tasks 2.1 and 2.2. Task 2.3 synthesises and interprets the evaluation results of the IA projects, extracting lessons from the research (and operational) evaluation of the RIA projects, and formulating concise policy recommendations. Task 2.4 will assess the legacy of CIVITAS measures in former CIVITAS demonstration cities and their long-term evaluation, resulting in effective promotional material summarising the progress made thanks to CIVITAS.

Task 2.1 Evaluation framework and guidance (lead partner: TML, support: UITP)

This task will first produce an optimised process and impact evaluation framework, allowing the IA projects to start their evaluation activities in the most efficient way. In two subsequent stages, this framework will be refined and completed in interaction with the IA (2nd stage) and thereafter the RIA projects (3rd stage). These three stages define the following subtasks:

Subtask 2.1.1 Optimised CIVITAS process and impact evaluation framework

Shortly after the start of SATELLITE, TML will prepare an optimised “CIVITAS process and impact evaluation framework” (D2.1), that will take into account results from POINTER and WIKI by reviewing deliverables and conducting interviews with project partners that were responsible for evaluation. TML’s experience with European indicators for the assessment of mobility policies (e.g. OPTIMISM, TRANSPHORM, CHAMP and ELTISplus) and as

the Evaluation Manager of the largest-ever CIVITAS demonstration project ELAN will directly feed into the optimised framework. UITP supports these activities with their extensive experience in the evaluation of public transport.

Also, the results from the Advisory Group on Data and Statistics of CAPITAL, which develops guidance for cities on how to use data and statistics for evidence-based decision making, will be taken into account. This AG develops a first version of a ‘fast’ set of indicators for an Urban Mobility Scoreboard. This set will be matched with indicators from the current CIVITAS evaluation framework, resulting in relevant additions and optimisation of the framework.

This optimised framework will be made available to the IA projects through a comprehensive e-course on the CIVITAS evaluation framework and methodology (D2.2), conducted via the CIVITAS Exchange Hub as part of the internal resource centre on methodologies (see task 3.2.1). It will run for four weeks with TML as moderator to comment on homework tasks, respond to questions and encourage participation. The e-course will cover all the essential content how the optimised CIVITAS impact and process evaluation framework can be applied by explaining important issues such as data collection or how to structure evaluation work for clusters of measures. Once completed, the e-course will remain on the Exchange Hub in an unmoderated form as a reference for those RIA projects that will start during the lifetime of SATELLITE.

An important tool will remain the Measure Evaluation Result Sheets (MERS). TML will provide an optimised Measure Evaluation Result Template (MERT) that pays attention to improving the structure of:

- the impact evaluation of clusters of innovative measures with general and specific measure indicators
- the optimisation of content, limiting any overlap of provided information
- specific information on the contribution of new technologies and citizen engagement activities to the success of a measure, including a clear understanding of the impact of the measure in relation to social inclusion and gender objectives

Specific reporting will be set up on how cities combine different measures to increase impact in relation to policy objectives.

Subtask 2.1.2 Refined CIVITAS process and impact evaluation framework

The existing evaluation framework requires methodological fine-tuning. The current set of indicators is rather traditional and does not adequately cover recent evolutions of mobility and its impacts, e.g. of social segregation or new technologies. New opportunities of data collection (e.g. mobile phone data) and the work on the Urban Mobility Scoreboard will be incorporated.

Specific activities towards a refined CIVITAS process and impact evaluation framework include:

- quick-scan of the proposed IA projects’ evaluation approaches to identify specific evaluation requirements of IA projects
- deriving conclusions from interactions with IA projects on the optimised evaluation framework during and after the e-course
- identification of specific (additional) requirements for an effective evaluation, e.g. clusters of measures, general attitude and travel behaviour analyses, upscaling, context factors, new indicators (e.g. using open data)
- restructuring the CIVITAS themes to better cover the range of CIVITAS measures and adding schemes for clustering the evaluation of measures
- validating the optimised CIVITAS evaluation framework, the proposed indicators and data collection methods by applying them to measures proposed in IA projects in order to find missing (sub)indicators
- analysis of specific EU documents prepared in the context of the Roadmap 2030 and the Urban Mobility Scoreboard

The activities described above will result in a refined CIVITAS process and impact evaluation framework (D2.3a) with additional indicators and collection methods, optimised methods to synthesise the evaluation results of clusters of measures, improved reporting structures for different types of measures, etc.

Subtask 2.1.3 Completed CIVITAS process and impact evaluation framework

In a 3rd stage, TML will prepare a completed CIVITAS evaluation framework incorporating the results of the Urban Mobility Scoreboard and Urban Mobility Scoreboard-Mini to help cities benchmark their performance against other EU cities. This work is the subject of a service contract launched in August 2015 (MOVE/C1/2015-66 “Consultancy for the development of urban mobility indicators”) and is expected to be completed during SATELLITE’s second project year. This timing allows SATELLITE to make the CIVITAS evaluation framework fully consistent with the 40 indicators planned for the Urban Mobility Scoreboard.

In this stage, also relevant elements of the methods used in the RIA projects will be incorporated to further strengthen the evaluation framework. A specific RIA survey will collect information on the indicators and data collection methods used in relation to the types of measure being developed. Relevant elements will be incorporated in the refined CIVITAS evaluation framework for the IA projects (D2.3b).

Additionally, a minimum CIVITAS evaluation framework for (future) RIA projects (D2.4) will be provided, so that the evaluation results of RIA projects can be matched with the general CIVITAS evaluation approach. This framework will include a minimum set of indicators for impact analysis and elements for an efficient process evaluation.

Task 2.2 Guidance and coaching of the CIVITAS evaluation work (lead partner: TML; support: Polis)

This task will establish an efficient coordination and guidance mechanism at the project, city and measure level.

Subtask 2.2.1 Cooperation structure with the IA projects for evaluation coordination

Taking into account the start dates of the IA projects, a layered cooperation structure will be set up, assuring efficient interaction between SATELLITE and the IA Project Evaluation Managers (PEM). An Evaluation Liaison Group (ELG) will be established, consisting of the WP2 leader and the PEMs of the IA projects.

Communication will be structured as follows:

- Four face-to-face ELG meetings (MS2.1), held once a year back-to-back with the CIVITAS Forum. The first ELG meeting will introduce the CIVITAS evaluation framework and the tasks of the PEMs.
- Regular online ELG meetings for close monitoring and coordination of activities every four months (MS2.2), more often shortly after the start and towards the end of the IA projects.
- A dedicated internal online work space on the CIVITAS Exchange Hub (see task 5.2) for communication and as a repository for relevant information on the evaluation framework, including the e-course (see task 2.1).
- Meetings between TML and EC representatives can be held in connection with ELG meetings but also on short notice, if necessary, since TML is located close to Brussels.
- Bilateral meetings between TML and individual PEMs may be organised to discuss project or city specific aspects.

Subtask 2.2.2 Quality guidance and coaching of the IA projects

To assure a consistent approach of the evaluation work across cities and to control the quality of the results, the following activities are planned with the PEMs which in turn interact with the Local Evaluation Managers and Measure Leaders:

- Shortly after the start of the IA projects, TML will agree on their evaluation approaches and timing (MS2.3): basic elements will already be included in the optimised CIVITAS evaluation framework, which will be further refined based on IA project feedback. The progress of the evaluation work in the IA project cities will be monitored through information provided by PEMs. A structured monitoring tool will be made available on the Exchange Hub to allow each city to report on the progress in a structured way: detailed evaluation approach for measures and cluster of measures, indicators, before and after data collection, process evaluation, intermediate and final results.
- Twice during SATELLITE, TML will undertake an efficient quality review of the Measure Evaluation Result Sheets (MERSs) of the IA projects and provide feedback on their content and quality. The first general analysis (D2.5a) will be done when the description of the baseline and the detailed approach, including data collection and type of conclusions envisaged, is available from the IA projects. TML will check whether the MERSs allow the derivation of useful conclusions.
- Additionally, TML will select a set of example MERSs for the most important types of measures, and a typical set of combinations of measures, review them in-depth and improve them with the respective PEMs (D2.6). These MERSs will help the PEMs to roll-out the evaluation approach in their project partner cities.
- A second general analysis of the MERSs (D2.5b) will be done when the IA projects have provided a draft version of their final MERSs, including first conclusions.
- As previous CIVITAS projects have shown that esp. Local Evaluation Managers often struggle with data collection on measures level, TML has planned resources for a closer interaction with IA projects having problems in understanding and applying the evaluation framework. TML will define mitigating activities to help the PEMs in their work with the Local Evaluation Managers, e.g. additional trainings or a peer-review of the evaluation process/data collection methods.

These different aspects of quality control will be critically reviewed each year, to see if any improvements are necessary.

Subtask 2.2.3 Guided interaction on evaluation results between IA and RIA projects

To improve the quality of the evaluation results both for the IA and RIA projects, an exchange of results will be organised. The evaluation findings on the impact and implementation process of the measures in the RIA projects will provide useful conclusions for the IA projects. For example, CITYLAB implements and evaluates measures and tools for emission-free city logistics in urban centres which could support the implementation of freight measures in IA projects. Furthermore, ELIPTIC's evaluation plan on electric transport infrastructure may also shed light on the evaluation of IA projects' measures relating to clean fuels and vehicles. On the other hand, the more general operational evaluation findings of the IA projects can help RIA projects to put their own more focused research evaluation findings on measures in a more general operational context. To achieve this, WP2 foresees these mechanisms:

- The PEMs of the RIA projects will get access to selected sections of the IA projects' MERSs, allowing them to use the information available and to get in touch with the PEM of the IA projects responsible for measure(s) which are similar

to those developed in the RIA projects. TML will activate the exchange by approaching the RIA projects, giving them a structured understanding of the available information and logging the feedback by the PEMs of the IA projects.

- TML will prepare a well-balanced and basic evaluation reporting template for the RIAs (derived from the MERT) (D2.7) through which they shall report their evaluation status and findings. The PEMs of the IA projects will receive a summary of the filled-in MERTs by the RIAs (D2.8).

- A workshop (MS2.4) will be organised – back-to-back with the Forum conference in the third project year – during which selected PEMs from the ten RIA projects funded 2015-2018 and the IA projects can present their evaluation results.

Polis will incorporate this exchange between the RIA and IA projects in the task 1.2 activities. Within task 2.2, Polis will support TML in the dialogue with the RIA projects and with the organisation of the ELG meetings (agenda, minutes, logistics).

Task 2.3 Synthesis and interpretation of evaluation results (lead partner: TML; support: Rupprecht, UITP)

SATELLITE will synthesise and interpret the evaluation results in terms of the effectiveness and the implementation requirements of innovative policies and technologies needed for the transformation towards cleaner and better urban mobility.

Subtask 2.3.1. Synthesis of evaluation results of the IA projects

The evaluation results from the IA projects gathered through the MERTs will be synthesised from different points of view responding to the practical needs of technicians and politicians on the impact and implementation process of mobility measures and to be used by the other SATELLITE WPs. SATELLITE envisages the following angles of reporting:

- Focus report on results from CIVITAS measures, structured according to the CIVITAS policy fields (D2.9a): summarising experiences and conclusions on implementation barriers and drivers, effectiveness and impact of types of measures within the CIVITAS policy fields.

- Focus report on optimal combination of different types of measures (D2.9b): analysing findings on the positive impact of specific combinations of measures.

- Focus report on specific cross-cutting aspects of successfully implemented CIVITAS measures (D2.9c), e.g. relevance of ITS, importance of citizen engagement activities, stakeholder involvement, social inclusion efforts; summarising results of the process evaluation on these aspects, using input from the new sections included in the MERT (see task 2.1), to better understand the relevance of these aspects for successful measure implementation.

Where relevant, findings of the RIA projects will be incorporated to strengthen conclusions on specific types of measures. The target group for the focus reports are city technicians and interested politicians and will be uploaded on the CIVITAS website.

Finally, TML will prepare a comprehensive evaluation report (D2.10) presenting a structured summary of the evaluation results of the IA projects, including conclusions from the evaluation results. In this report the aspects explored in the specific ‘focus’ reports (D2.9a-c) will be combined and illustrated with best practices from the IA projects. Results task force meetings will be organised between all SATELLITE partners at the end of the project (back-to-back with a Consortium meeting and via telephone conferences) during which the findings and conclusions will be presented and validated. While this report will be more technical, comprehensive and for internal use by project partners and the EC, D2.10 will provide the basis for the preparation of D5.12 (see task 5.6), a shorter illustrated version of this report for sustainable urban mobility professionals.

Additionally, a self-critical synthesis of the evaluation experiences gathered during SATELLITE (D2.11) will be produced, to inform the EC as well as future projects on possible further improvements to the evaluation framework.

Subtask 2.3.2 Lessons learned from the RIA projects

SATELLITE will summarise lessons learned from the RIA projects’ evaluation reports, with an emphasis on the added value of their research work for the general CIVITAS goals. Interaction on the evaluation activities between the RIA and IA projects will also be taken into account, relating the RIA projects to specific CIVITAS policy fields and specific aspects of demonstration measures. Two reports will be prepared: (1) a summary with lessons learned from the first ten RIA projects funded from 2015 to 2018 (D2.12a), and (2) a summary with lessons learned from the RIA projects funded since 2016 (D2.12b). For RIA projects that will start and end at the same time as SATELLITE, lessons learned will be derived from their final evaluation reports. For RIA projects that start during SATELLITE, only preliminary lessons learned can be included.

Subtask 2.3.3 Policy Recommendations

At the end of the project, SATELLITE will prepare policy recommendations for the eight CIVITAS policy fields as well as for the two horizontal topics (integrated planning and public involvement) and for a general sustainable mobility

approach in cities based on the IA and RIA evaluation reports. TML and Rupperecht will define the methodology for the policy recommendations (i.e. levels and types of conclusions), covering the basic elements to be addressed.

Based on the synthesis of the evaluation results, a first conceptual note will be produced by TML, Rupperecht and UITP, indicating possible statements and highlights to be included in the policy recommendations. This note will be sent to the Local Evaluation Managers and Local Site Managers of the IA and RIA projects, together with a questionnaire (MS2.5) to gather feedback on e.g. whether the policy recommendations are in line with the evaluation results in the cities and whether they include relevant types of measures and accompanying implementation strategies. Based on the feedback from the cities, complementary and consistent policy recommendations will be drafted.

Six months before the end of SATELLITE, a dedicated workshop (back-to-back with a Consortium meeting) will be organised (MS2.6) to discuss the proposed policy recommendations with all the SATELLITE project partners. Based on this, TML and Rupperecht will produce a final consolidated version of the CIVITAS 2020 policy recommendations (D2.13).

Task 2.4 Long-term assessment of CIVITAS (lead partner: TML; support: Rupperecht)

Taking into account the experience of previous projects (e.g. CIVITAS CATALIST and CAPITAL) that implementing long-term evaluation in cities is a difficult process with very limited return, SATELLITE is convinced that a different approach will result in more added value. Two complementary subtasks are foreseen:

Subtask 2.4.1 CIVITAS demonstration cities survey

To understand the impact of CIVITAS in previously-funded CIVITAS cities, TML and Rupperecht will conduct an online survey with the 67 cities that participated as a demonstration city in the CIVITAS programme up to now (MS2.7). The survey will take into account the approach to long-term evaluation used in CIVITAS CATALIST and CAPITAL. The survey will encompass the following three aspects:

- To which extent did CIVITAS measures continue in the city after the project lifetime?
- Did any up-scaling occur, i.e. was a CIVITAS measure implemented on larger scale in the city?
- Does the city conduct any long-term evaluation of the impact of the implemented CIVITAS measures?

An analysis of the filled-in surveys will result in a structured overview of the status of the CIVITAS demonstration cities, allowing better understanding of the success of different measures and how they have changed different city contexts (D2.14).

Subtask 2.4.2 CIVITAS success stories publication

To disseminate the findings, a “CIVITAS success stories” publication will be prepared (D2.15) by TML and Rupperecht, including facts from cities on progress made thanks to CIVITAS and the long-term impact of CIVITAS. This publication will include a general overview of the current status in the CIVITAS demonstration cities, illustrated with lighthouse examples. D2.14 will serve as input, exemplary cases will be selected, and exemplary cities will be involved in delivering the success stories linked to CIVITAS (SATELLITE reserved a budget to get support from cities to develop attractive texts).

Participation per Partner

Partner number and short name	WP2 effort
1 - POLIS	1.50
2 - RUPPRECHT	2.50
6 - TML	38.50
7 - UITP	3.00
Total	45.50

List of deliverables

Deliverable Number ¹⁴	Deliverable Title	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D2.1	Optimised CIVITAS process and impact evaluation framework	6 - TML	Report	Public	3
D2.2	E-course on optimised CIVITAS process and impact evaluation framework	6 - TML	Websites, patents filling, etc.	Public	3
D2.3	Refined and completed CIVITAS process and impact evaluation framework	6 - TML	Report	Public	26
D2.4	Minimum CIVITAS evaluation framework for RIA projects	6 - TML	Report	Public	26
D2.5	General analysis of IA projects' Measure Evaluation Results Sheets (MERSs)	6 - TML	Report	Confidential, only for members of the consortium (including the Commission Services)	44
D2.6	Set of in-depth reviewed and improved IA projects' Measure Evaluation Results Sheets (MERSs)	6 - TML	Report	Confidential, only for members of the consortium (including the Commission Services)	38
D2.7	Basic evaluation reporting template for RIA projects	6 - TML	Report	Public	22
D2.8	Summary of evaluation findings from RIA projects for IA projects	6 - TML	Report	Public	28
D2.9	Focus reports on results from CIVITAS measures, on optimal combination of different types of CIVITAS measures	6 - TML	Report	Public	46

List of deliverables

Deliverable Number ¹⁴	Deliverable Title	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
	and on cross-cutting aspects of implemented CIVITAS measures				
D2.10	Report on evaluation results from CIVITAS IA projects	6 - TML	Report	Confidential, only for members of the consortium (including the Commission Services)	48
D2.11	Overall synthesis of the CIVITAS SATELLITE evaluation experiences	6 - TML	Report	Public	48
D2.12	Lessons learned from the CIVITAS RIA projects funded 2015-2018 (a) and since 2016 (b)	6 - TML	Report	Confidential, only for members of the consortium (including the Commission Services)	48
D2.13	CIVITAS 2020 Policy recommendations	6 - TML	Report	Public	48
D2.14	Overview of long-term impact of CIVITAS measures in previously funded CIVITAS cities	6 - TML	Report	Public	40
D2.15	Long-term success stories from cities funded by CIVITAS	6 - TML	Report	Public	44

Description of deliverables

D2.1 Optimised CIVITAS process and impact evaluation framework (task 2.1) (month 3)
 D2.2 E-course on optimised CIVITAS process and impact evaluation framework (task 2.1) (month 3)
 D2.3 a-b Refined (a) and completed (b) CIVITAS process and impact evaluation framework (task 2.1) (month 12, 26)
 D2.4 Minimum CIVITAS evaluation framework for RIA projects (task 2.1) (month 26)
 D2.5 General analysis of IA projects' Measure Evaluation Result Sheets (MERSs) (task 2.2) (month 24, 44)
 D2.6 Set of in-depth reviewed and improved IA projects' Measure Evaluation Result Sheets (MERSs) (task 2.2) (month 38)
 D2.7 Basic evaluation reporting template for RIA projects (task 2.2) (month 22)
 D2.8 Summary of evaluation findings from RIA projects for IA projects (task 2.2) (month 28)
 D2.9 a-b-c Focus reports on results from CIVITAS measures (a), on optimal combination of different types of CIVITAS measures (b), and on cross-cutting aspects of implemented CIVITAS measures (task 2.3) (month 46)
 D2.10 Report on evaluation results from CIVITAS IA projects (task 2.3) (month 48)
 D2.11 Overall synthesis of the CIVITAS SATELLITE evaluation experiences (task 2.3) (month 48)

D2.12 a-b Lessons learned from the CIVITAS RIA projects funded 2015-2018 and since 2016 (task 2.3) (month 24, 48)
D2.13 CIVITAS 2020 policy recommendations (task 2.3) (month 48)
D2.14 Overview on long-term impact of CIVITAS measures in previously-funded CIVITAS cities (task 2.4) (month 40)
D2.15 Long-term success stories from cities funded by CIVITAS (task 2.4) (month 44)
D2.1 : Optimised CIVITAS process and impact evaluation framework [3]
D2.1 Optimised CIVITAS process and impact evaluation framework (task 2.1) (month 3)
D2.2 : E-course on optimised CIVITAS process and impact evaluation framework [3]
D2.2 E-course on optimised CIVITAS process and impact evaluation framework (task 2.1) (month 3)
D2.3 : Refined and completed CIVITAS process and impact evaluation framework [26]
D2.3 a-b Refined (a) and completed (b) CIVITAS process and impact evaluation framework (task 2.1) (month 12, 26)
D2.4 : Minimum CIVITAS evaluation framework for RIA projects [26]
D2.4 Minimum CIVITAS evaluation framework for RIA projects (task 2.1) (month 26)
D2.5 : General analysis of IA projects' Measure Evaluation Results Sheets (MERSs) [44]
D2.5 General analysis of IA projects' Measure Evaluation Result Sheets (MERSs) (task 2.2) (month 24, 44)
D2.6 : Set of in-depth reviewed and improved IA projects' Measure Evaluation Results Sheets (MERSs) [38]
D2.6 Set of in-depth reviewed and improved IA projects' Measure Evaluation Result Sheets (MERSs) (task 2.2) (month 38)
D2.7 : Basic evaluation reporting template for RIA projects [22]
D2.7 Basic evaluation reporting template for RIA projects (task 2.2) (month 22)
D2.8 : Summary of evaluation findings from RIA projects for IA projects [28]
D2.8 Summary of evaluation findings from RIA projects for IA projects (task 2.2) (month 28)
D2.9 : Focus reports on results from CIVITAS measures, on optimal combination of different types of CIVITAS measures and on cross-cutting aspects of implemented CIVITAS measures [46]
D2.9 a-b-c Focus reports on results from CIVITAS measures (a), on optimal combination of different types of CIVITAS measures (b), and on cross-cutting aspects of implemented CIVITAS measures (task 2.3) (month 46)
D2.10 : Report on evaluation results from CIVITAS IA projects [48]
D2.10 Report on evaluation results from CIVITAS IA projects (task 2.3) (month 48)
D2.11 : Overall synthesis of the CIVITAS SATELLITE evaluation experiences [48]
D2.11 Overall synthesis of the CIVITAS SATELLITE evaluation experiences (task 2.3) (month 48)
D2.12 : Lessons learned from the CIVITAS RIA projects funded 2015-2018 (a) and since 2016 (b) [48]
D2.12 a-b Lessons learned from the CIVITAS RIA projects funded 2015-2018 (a) and since 2016 (b) (task 2.3) (month 24, 48)
D2.13 : CIVITAS 2020 Policy recommendations [48]
D2.13 CIVITAS 2020 policy recommendations (task 2.3) (month 48)
D2.14 : Overview of long-term impact of CIVITAS measures in previously funded CIVITAS cities [40]
D2.14 Overview on long-term impact of CIVITAS measures in previously-funded CIVITAS cities (task 2.4) (month 40)
D2.15 : Long-term success stories from cities funded by CIVITAS [44]
D2.15 Long-term success stories from cities funded by CIVITAS (task 2.4) (month 44)

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS3	Face-to-face ELG meetings held (back-to-back with CIVITAS Forum conferences)	6 - TML	39	MS2.1a-d Face-to-face ELG meetings held (back-to-back with CIVITAS Forum conferences) M 3, 15, 27, 39
MS4	Online ELG meetings held	6 - TML	48	MS2.2 Online ELG meetings held , every 4 months (month 1-48)
MS5	Agreement made with IA projects on planning and timing of evaluation activities	6 - TML	6	MS2.3 Agreement made with IA projects on planning and timing of evaluation activities, M 6
MS6	Joint workshop among IA and RIA projects on evaluation results	6 - TML	27	MS 2.4 Joint workshop among IA and RIA projects on evaluation results, M 27
MS7	Questionnaire on policy recommendations sent to CIVITAS 2020 project cities	6 - TML	38	MS2.5 Questionnaire on policy recommendations sent to CIVITAS 2020 project cities, M 38
MS8	SATELLITE-internal workshop on policy recommendations held	6 - TML	42	MS2.6 SATELLITE-internal workshop on policy recommendations held, M 42
MS9	Online survey on post-CIVITAS activities provided to previously-funded CIVITAS cities	6 - TML	32	MS2.7 Online survey on post-CIVITAS activities provided to previously-funded CIVITAS cities, M 32

Work package number ⁹	WP3	Lead beneficiary ¹⁰	2 - RUPPRECHT
Work package title	Capacity Building		
Start month	1	End month	54

Objectives

WP3 will strengthen the mechanisms for urban mobility policy-making and planning as well as the technical capacity building in deploying innovative mobility solutions. The key objectives of this work package are:

- to maximise the impact of CIVITAS 2020 learning and exchange activities by ensuring that such activities offered by the various CIVITAS 2020 projects are well coordinated with one another (task 3.1)
- to ensure a high level of quality of the online learning activities of CIVITAS 2020 projects by providing methodological support to projects offering such activities (task 3.2)
- to strengthen the capacity building aspect of CIVITAS 2020 by establishing the CIVITAS Learning Centre as the European e-learning resource on sustainable urban mobility (task 3.3)
- to build knowledge and understanding through a set of six webinars and corresponding e-courses on topics complementary to those covered by the CIVITAS 2020 projects (task 3.4)

Description of work and role of partners

WP3 - Capacity Building [Months: 1-54]

RUPPRECHT, POLIS, EUROCITIES ASBL, ICLEI EURO, REC, TML

The MG.5.5a call requests projects to include “effective mechanisms for cross-fertilisation of knowledge and best practices among the consortium members and beyond”. The MG.5.1-MG.5.3 call stipulates: “...leadership for an ambitious Europe-wide take up and rollout of results during and following the project(s) [is] expected”. And the MG.5.4 call asks for “instruments and mechanisms for information exchange” and for training material to be developed. Hence, the work plans of all IA and RIA projects will include learning and exchange activities. Indeed, an analysis of the RIA projects that already started reveals that all ten new projects have learning and/or exchange components. During a first meeting of CIVITAS 2020 Project Coordinators organised by CAPITAL in October 2015, most projects expressed an interest for their products to benefit a larger audience of cities beyond the project consortia. The examples of planned learning and exchange activities below indicate not only that the RIA projects have learning and exchange components that complement and overlap with one another (e.g. FLOW and TRACE activities), but also that the projects are independently developing tools, plans, guidelines, and transfer opportunities, that they would like to involve external stakeholders in developing them, and that they aim to share these with a wider audience.

- CIPTEC: workshop on social innovation in PT and overcoming barriers in innovation introduction
- ELIPTIC: workshops and webinars on technical aspects of electrification of urban transport, esp. e-buses; e-learning/webinars/workshops/cross-site conference presentations on integration of electrification of urban transport into SUMP
- FLOW: three e-learning courses on topics related to congestion
- NOVELOG: training workshops on tools developed in the project, e.g. on evaluation of city logistics measures
- TRACE: webinar and toolkit workshop on potential of walking and cycling tracking services; training workshop, webinar and mid-term validation seminar to promote the take-up and deployment of TRACE tools

In order to increase the knowledge and understanding of sustainable urban mobility and to maximise the quality and reach of the contributions of ongoing and future CIVITAS 2020 projects, WP3 will coordinate the training and learning activities planned by the IA and RIA projects (task 3.1), offer dedicated methodological support for the e-learning activities of the projects (task 3.2), further develop the CIVITAS Learning Centre into the European resource for e-learning on sustainable urban mobility (task 3.3) and develop six webinar/e-learning course pairs (task 3.4) in CIVITAS thematic areas complementary to those offered by the CIVITAS 2020 projects. More traditional training approaches will be incorporated into the activities of the Thematic Groups, in the form of TG-specific training sessions held at the CIVITAS Forum conferences (task 4.2). Through these tasks, this WP will (1) capitalise on existing material, (2) coordinate, support and optimise the learning and exchange activities of the IA and RIA projects and (3) address thematic areas not covered by the IA and RIA projects.

Task 3.1 Coordination of training and learning activities of CIVITAS 2020 projects (lead partner: Rupprecht; support: Polis)

All CIVITAS 2020 calls require that projects incorporate learning activities in order to broaden the general knowledge base and understanding of sustainable urban mobility issues in the CIVITAS community and beyond. SATELLITE

will ensure that those activities (workshops, study tours, site visits, e-courses, webinars, etc.) are well coordinated in terms of both content and timing. SATELLITE will also support the CIVITAS 2020 projects in actively engaging the CIVITAS community by connecting the projects both with one another and, when relevant, with CIVITAS Thematic Groups, Advisory Groups, and CIVINETs.

SATELLITE will compile the activities of the CIVITAS 2020 projects in order to help the projects find synergies in the development of their learning material and activities. Input from task 1.2 (D1.3 Activities Database) will be used as a basis to review and analyse the learning activities planned by the IA and RIA projects. An annual calendar of planned learning activities will be compiled, identifying those that could be combined or build upon one another to ensure that projects' resources are optimised, superior outputs are produced and double work is avoided. Polis will contribute to D3.1 based on the outcomes and analysis of the stakeholder surveys in task 1.1 and the information collected on a permanent basis through the activities of task 1.2. Wherever possible, WP3 will support the development of common activities by helping with agenda development, identifying/contacting suitable speakers, providing comments on draft content of e-courses, etc. All collaboration proposals made will be respectful of the timelines of the individual projects. If effort is reduced for the individual projects, they will be able to reallocate resources to other areas as needed and approved by their respective Project Officers.

An initial calendar and overview of potential synergies of planned learning activities will be prepared for the ten MG.5.1-MG.5.3 projects that started in May/June 2015, the four or five CIVITAS IA projects (MG.5.5a), and the roughly three MG.5.4 projects that are expected to start in September 2016 (D3.1a). An updated calendar and overview will be prepared three more times in the project (D3.1b-d), always three months after a new set of CIVITAS projects will have started.

The coordination process has already begun as Rupprecht (CAPITAL coordinator) co-organised a meeting with all current CIVITAS 2020 projects at the CIVITAS Forum 2015, where cooperation possibilities were discussed, incl. the planned learning activities. While the projects take a variety of approaches in their knowledge exchange and capacity building activities, there are common threads running throughout, e.g. the aim to improve knowledge of stakeholders in their topic, trainings on tools developed within their projects, and an interest in connecting with external experts to widen their current project scope.

Task 3.2 Support of e-learning activities of CIVITAS 2020 projects (lead partner: Rupprecht; support: ICLEI EURO)

While some consortia may have partners with curriculum development skills and experience developing, presenting and moderating online learning activities, others might be grateful for support in those areas. In order to ensure the value and user-friendliness of the online learning activities produced within the CIVITAS 2020 projects, Rupprecht will offer methodological support with respect to the development, planning and implementation of online learning activities of the IA and RIA projects. The objective of this task is to ensure the consistent high quality of the projects' online learning activities.

Online learning – in contrast to e.g. workshops or study tours – is a relatively new form of knowledge exchange. While it doesn't replace face-to-face exchange and learning opportunities, well prepared and presented online courses enable learning and exchange among practitioners and experts from cities across Europe in a flexible, accessible, and cost-effective way. The task leader has extensive experience in this area, having been involved in the coordination, creation and presentation of online courses and/or webinars in projects such as CAPITAL, TIDE, SOLUTIONS, CH4ALLENGE, SWITCH, ACTUATE, PRESTO, and TROLLEY. The CAPITAL courses are available on the CIVITAS Learning Centre (www.civitas.eu/learning-centre/e-courses) while most others are available from www.rupprecht-academy.eu (to be relaunched as mobility-academy.eu shortly). For most of these projects, Rupprecht has been the lead partner in developing the online learning content.

At the start of SATELLITE, Rupprecht will offer the IA and RIA projects methodological support in developing, presenting and moderating engaging, participant-focussed, interactive online courses and webinars that enable participants to exchange, learn and network with others and to critically analyse their own local contexts. Each support activity will be designed to lead by example, i.e. an online course will be presented to both teach and exemplify how an effective online course can be offered. Thereafter, the projects will be offered one-to-one support in developing online course material and activities.

Subtask 3.2.1: Methodological support for online course development

An online course will be prepared and presented on how to develop and implement an effective and engaging online course (D3.2). It will consist of modules that explain and illustrate effective content development, didactic approaches, presentation and moderation strategies and examples from successful past courses. The objective is for all online learning offerings developed by CIVITAS 2020 projects to meet a common high standard for content and pedagogical quality, e.g. that they will be interactive, will encourage reflection on the learners' local contexts and will support exchange among the participants so that they can also learn from one another. The course will also encompass technical aspects to

ensure that all e-courses can be hosted on the same platform. ICLEI will upload the e-course to the CIVITAS Exchange Hub where, once completed, it will remain in an unmoderated version for future CIVITAS projects.

Subtask 3.2.2: Webinar planning, organisation and presentation

Webinars are gaining popularity. While many people have participated in them, few have organised their own, and running an effective webinar is more challenging than it may first appear. For projects with limited experience, SATELLITE will develop and conduct a webinar on how to organise an effective and engaging webinar (MS3.1). The “how-to” webinar will include recommendations for timing, presentation of content, audience engagement, technical issues, and factors to be considered. Like the “how-to” online course (subtask 3.2.1), a recorded version of the “how-to” webinar will be made available by ICLEI on the CIVITAS Exchange Hub so each new batch of CIVITAS projects can use the webinar as a training resource.

Subtask 3.2.3: One-to-one support for development of online learning offerings

During the course of the SATELLITE project, Rupprecht will offer one-to-one support to the CIVITAS 2020 projects in the development of their respective e-courses. In addition to the “how-to” e-course (subtask 3.2.1), SATELLITE will offer to provide feedback on the CIVITAS 2020 project e-courses, focussing on methodology, but also offering content-related feedback and suggestions. Rupprecht will also offer to connect the IA and RIA projects to potential course contributors from other CIVITAS 2020 projects, from the CIVITAS Forum network, or other sustainable urban mobility experts. If resources are saved by combining efforts, the projects may reallocate them as appropriate and as approved by their Project Officers.

Subtask 3.2.4: Assessment of online learning offerings held in CIVITAS 2020

Rupprecht will create an online participant feedback form that can be used by participants of all future CIVITAS 2020 online courses so that the projects can assess the satisfaction of participants (MS3.2). The benefit to the projects is that the task of collecting feedback will be taken off their “to-do lists”. The benefit to CIVITAS is valuable and valid feedback across a large range of course offerings across projects. Rupprecht will purchase an online survey tool for the purpose. Course-specific feedback will be provided to course organisers three weeks after completion and at the end of each year, Rupprecht will conduct an interim assessment of the participant feedback forms collected to date (MS3.3), so that each new group of CIVITAS 2020 projects can benefit from the feedback. At the end of the project, an assessment of all of completed feedback forms will be carried out (D3.3) to determine what was most valuable to participants. Results will be used to guide future e-course development and improve upon the overarching CIVITAS content and pedagogical approaches.

Task 3.3 E-learning platform on sustainable urban mobility (lead partner: Rupprecht; support: ICLEI EURO)

SATELLITE will establish the CIVITAS Learning Centre as the European source for online learning on sustainable urban mobility by creating a comprehensive reference library of (anticipating at least 80) online learning opportunities from CIVITAS and beyond. This will strengthen capacity building activities within CIVITAS 2020 and create connections among stakeholders from the wider CIVITAS community. Rather than reinventing the wheel, the Learning Centre will capitalise on existing material by either hosting or linking to e-learning material from sustainable urban mobility projects both inside and outside of CIVITAS.

Rupprecht will research e-courses and webinars on sustainable urban mobility and create a database of them (MS3.4) which will be regularly updated throughout SATELLITE. Using D3.1a as input, the database will include past, present and planned e-courses as well as recorded webinars from previous and ongoing CIVITAS projects, and online resources from non-CIVITAS projects, organisations and experts. Courses and webinars not hosted by the CIVITAS Learning Centre will be linked there, including course provider, running time, target audience and a brief course description.

To the IA and RIA projects, SATELLITE will offer the CIVITAS Learning Centre as a platform, free of charge, and will offer training on how to use it effectively. For projects that don’t yet have a learning platform, this will save research time and the cost of setting up their own. For courses hosted elsewhere, the Learning Centre will create annotated links. Course material of completed courses (or links to courses hosted elsewhere) will be archived on the Learning Centre for ongoing reference.

ICLEI is responsible for the technical aspects of setting up the courses and providing backend access to the CIVITAS 2020 projects that choose to run their e-courses on the Learning Centre. ICLEI is also responsible for maintaining and updating the annotated library of e-courses, webinars and other resources and will promote the CIVITAS Learning Centre through WP5.

Task 3.4 SATELLITE online courses and webinars (lead partner: Rupprecht; support: Polis, EUROCITIES, REC, TML)

SATELLITE will also provide new learning opportunities by creating a set of six webinars and corresponding e-learning courses. The topics of the e-course/webinar pairs will be determined based on the analysis of the training and learning activities planned by the CIVITAS 2020 projects (see D3.1), the results from the surveys with the IA and RIA projects

(task 1.1), and input from the Thematic Groups (task 4.2). Having determined which CIVITAS topics are addressed by the projects, six pairs will be developed addressing topics not covered. Gender and social inclusion aspects will receive special attention.

Rupprecht is responsible for the technical coordination of the activities in this task and will develop two e-course/webinar pairs, while other task partners will each develop one e-course/webinar pair. Through WP5, ICLEI will ensure proper promotion.

Subtask 3.4.1 Kick-off webinars for e-courses

Before each of the six SATELLITE online courses begins, a one-hour webinar (MS3.5) will be offered to the registered course participants. These webinars have both a pedagogical and a content basis. With regard to content, the webinar will try to put participants on an equal footing as they start the course. Pedagogically, participants will meet the course moderator and begin to establish a group feeling and a sense of anticipation as well as commitment to the four-week course they are about to start.

An introductory presentation will be made by the moderator of each course along with 1-2 presentations from project partners or invited external presenters, drawing on knowledge from previous CIVITAS measures and beyond. Both content and technical aspects will be addressed so that participants feel well prepared for the upcoming online course. Recordings of the webinars will be made available through the Learning Centre in conjunction with their respective e-courses.

Subtask 3.4.2 E-courses

All e-courses will have a similar structure and will run for four weeks during which a course moderator will have (almost) daily electronic interaction with participants to comment on homework tasks, respond to questions, and encourage participants to share and engage with one another. Basic outline of each course: (1) introduction to the topic, (2) summary of state-of-the-art implementation experiences, evaluation and research results, (3) case studies from CIVITAS and other mobility projects, (4) short summary sheets with facts & figures derived from evaluation results of CIVITAS measures and beyond, and (5) links to further reading and examples. The moderator will ask questions throughout the course intended to help participants to critically reflect on the material, how it relates to their particular context and if/how they might want to adapt/implement such measures.

All e-courses will be introduced through a kick-off webinar. The e-courses will be free of charge and made available to the entire CIVITAS community and beyond, via the CIVITAS Learning Centre (D3.4). Participation will be encouraged by promotion activities within WP5 in order to achieve an average of 25 participants from 10 countries for each webinar/e-course pair. If the groups are much larger than this, it becomes difficult to follow the online discussions in the participant forum.

At the end of the 4-week moderated course period, its content will be made available for reference (i.e. without moderation). Participant satisfaction will be annually evaluated using the same participant feedback form prepared for the CIVITAS 2020 projects, with results included in the overall evaluation of e-courses held in CIVITAS 2020 (see D3.3 of task 3.2).

Participation per Partner

Partner number and short name	WP3 effort
1 - POLIS	1.75
2 - RUPPRECHT	20.00
3 - EUROCITIES ASBL	1.00
4 - ICLEI EURO	1.75
5 - REC	1.00
6 - TML	1.00
Total	26.50

List of deliverables

Deliverable Number ¹⁴	Deliverable Title	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D3.1	Calendar and overview of potential synergies of learning activities planned in CIVITAS 2020 projects	2 - RUPPRECHT	Report	Public	38
D3.2	E-courir 'How to develop and implement an effective online course' on CIVITAS Exchange Hub	2 - RUPPRECHT	Websites, patents filling, etc.	Public	6
D3.3	Annual cross-project assessment of participants' feedback on online courses held in CIVITAS 2020	2 - RUPPRECHT	Report	Public	48
D3.4	SATELLITE online courses on CIVITAS Learning Centre	2 - RUPPRECHT	Websites, patents filling, etc.	Public	40

Description of deliverables

D3.1a-d Calendar and overview of potential synergies of learning activities planned in CIVITAS 2020 projects (task 3.1) (month 4, 12, 24, 38)

D3.2 E-course "How to develop and implement an effective online course" on CIVITAS Exchange Hub (task 3.2) (month 6)

D3.3a-d Annual cross-project assessment of participants' feedback on online courses held in CIVITAS 2020 (task 3.2) (month 12, 24, 36, 48)

D3.4a-f SATELLITE online courses on CIVITAS Learning Centre (task 3.4) (month 10, 16, 22, 28, 34, 40)

D3.1 : Calendar and overview of potential synergies of learning activities planned in CIVITAS 2020 projects [38]

D3.1a-d Calendar and overview of potential synergies of learning activities planned in CIVITAS 2020 projects (task 3.1) (month 4, 12, 24, 38)

D3.2 : E-courir 'How to develop and implement an effective online course' on CIVITAS Exchange Hub [6]

D3.2 E-course "How to develop and implement an effective online course" on CIVITAS Exchange Hub (task 3.2) (month 6)

D3.3 : Annual cross-project assessment of participants' feedback on online courses held in CIVITAS 2020 [48]

D3.3a-d Annual cross-project assessment of participants' feedback on online courses held in CIVITAS 2020 (task 3.2) (month 12, 24, 36, 48)

D3.4 : SATELLITE online courses on CIVITAS Learning Centre [40]

D3.4a-f SATELLITE online courses on CIVITAS Learning Centre (task 3.4) (month 10, 16, 22, 28, 34, 40)

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS10	Webinar held on “How to organise an effective and engaging webinar”	2 - RUPPRECHT	4	MS3.1 Webinar held on “How to organise an effective and engaging webinar”, M 4
MS11	Template provided to CIVITAS 2020 projects for online participant feedback form to assess participant satisfactions’ with online learning offerings	2 - RUPPRECHT	6	MS3.2 Template provided to CIVITAS 2020 projects for online participant feedback form to assess participant satisfactions’ with online learning offerings, M 6
MS12	Interim assessments of participants’ feedback on online courses held in CIVITAS 2020	2 - RUPPRECHT	37	MS3.3a-c Interim assessments of participants’ feedback on online courses held in CIVITAS 2020, M 13, 25, 37
MS13	Library set up of collected past and ongoing online courses and recorded webinars on sustainable urban mobility	2 - RUPPRECHT	5	MS3.4 Library set up of collected past and ongoing online courses and recorded webinars on sustainable urban mobility, M 5
MS14	Kick-off webinars held	2 - RUPPRECHT	40	MS3.5a-f, Kick-off webinars held, M 10, 16, 22, 28, 34, 40

Work package number ⁹	WP4	Lead beneficiary ¹⁰	3 - EUROCITIES ASBL
Work package title	Transfer, take-up and exploitation		
Start month	1	End month	54

Objectives

The key objectives of this work package are to

- enhance networking activities among CIVITAS Forum member cities through peer-to-peer knowledge exchange (task 4.1)
- encourage the development of activities focusing on knowledge development and exchange in a lasting way (task 4.1)
- bring a dynamic to CIVITAS Thematic Groups, establishing strong links with IA, RIA and other relevant projects and CIVINETs, providing them with a platform for technical discussion and a legacy tool for their results (task 4.2)
- improve and coordinate visibility of the CIVITAS Initiative outside Europe and encourage international exchange (task 4.3)
- develop an online marketplace on tools and methodologies from CIVITAS and other stakeholders, to support cities in implementing sustainable mobility solutions (task 4.4)

Description of work and role of partners

WP4 - Transfer, take-up and exploitation [Months: 1-54]

EUROCITIES ASBL, POLIS, RUPPRECHT, ICLEI EURO, REC, TML, UITP

Task 4.1 Peer-to-peer knowledge exchange (lead partner: EUROCITIES)

To enhance knowledge exchange between cities dealing with similar challenges, WP4 will set up two types of practice-oriented peer-to-peer learning activities: work placements and study visits. The activities will focus on the CIVITAS policy fields, take into account priority topics identified through the stakeholder surveys (see task 1.1), and cover a wide range of urban mobility measures. Participating cities will be selected through annual calls (MS4.1) for the two types of activities. Applicants will complete a detailed form and will be selected on the basis of predefined criteria (D4.1). CIVITAS Forum network, IA and RIA project cities, and CIVINET member cities will be prioritised, although others will also be encouraged as an incentive to join the CIVITAS community.

Subtask 4.1.1 Work placements

Work placements offer urban mobility planners a hands-on learning experience in a city that leads in a specific area of interest. They focus on a concrete topic and respond to a local challenge faced by the applicant city. The main objective is to transfer practical knowledge and expertise from the host city to help achieve a specific objective. Cities selected will send a transport professional to a leading CIVITAS city for three days. He will shadow an expert and follow him in his daily work to gain experience on relevant measures and policies. SATELLITE work placements will build on the successful CAPITAL work placement programme. Politicians are also welcome to join and would be matched with peers in the host city. Needs may also emerge from members of the Political Advisory Committee (PAC) in this respect (see WP6).

The WP leader will provide guidelines (D4.2) to make sure that participants are well prepared. Preliminary online meetings will be organised between hosting and visiting cities to prepare the placement and answer questions. These meetings will take place 3-4 times a year, depending on the dates of the placements. Visiting experts will write a short impact report describing new skills acquired and lessons learned during the placement, as well as the way in which these will be used. A summary of the impact reports, including recommendations, will be prepared at the end of each year (D4.3), and made available online.

One representative from cities travelling to a work placement will be financially supported (700€) to cover travel and accommodation costs. Hosting cities (also identified through the MS4.1 calls) will receive 500€ to cover costs related to the meeting rooms, catering and local transport.

Subtask 4.1.2 Study visits

Study visits involve a larger group of up to 10 city representatives. They tackle specific themes through a holistic approach encompassing presentations, best practices, and visits. Themes will be identified on the basis of stakeholder surveys (WP1). Study visits will be interactive in nature, facilitate in-depth exchange, and strengthen cooperation between IA and RIA projects.

Selected city representatives will travel to another city facing similar challenges. Visiting cities define a detailed request for learning (online pre-visit survey). A visit programme is then structured along key implementation challenges. Politicians are welcome and will be matched with peers in the host city. Visiting representatives will be able to experience the context conditions of the city and talk to key stakeholders.

A travel and accommodation budget will reimburse up to four participants per study visit (700€ each), while other participants are expected to be able to cover their own expenses through their involvement in CIVITAS 2020 projects. Cities hosting study visits (also identified through the MS4.1 calls) will receive 1,000€ to cover costs related to meeting rooms, catering and local transport. Host cities for both activities will be CIVITAS cities, with priority for cities from current IA and RIA projects and CIVINETs. While it is planned to organise 16 work placements (MS4.2) and 4 study visits (MS4.3), shifting numbers between the two types is possible based on the actual interest of cities, and taking into account preferences expressed in the stakeholder surveys (task 1.1). At the end of the project, a summary of the main results, recommendations and lessons learned during the study visits and work placements will be prepared (D4.4).

Task 4.2 CIVITAS Thematic Groups (lead partner: Polis, support: Rupperecht, EUROCITIES, REC, TML, UITP)

SATELLITE will coordinate the CIVITAS Thematic Groups (TGs), which follow a “community of practice” approach, starting from the prerequisite that creating knowledge is fundamentally a group phenomenon and focusing on peer exchange. Urban mobility practitioners and policy-makers are actively encouraged to be part of this community of practice to share their experience and knowledge of urban mobility solutions, learn more about the CIVITAS approach and contribute to developing mobility policies and innovative measures in other local contexts. Although the TGs represent structured networking with stakeholders, in the focus of WP6 (CIVINETs, AGs and PAC), they have a strong emphasis on transfer and take-up, making their work also especially relevant to WP4. Discussions initiated within the framework of a TG could lead to more in-depth and tailored peer-to-peer exchange activities within task 4.1.

TGs are groups of peers committed to sharing their experience and knowledge, and take stock of what works in practice and what is lacking to address specific transport challenges. They consolidate existing and emerging knowledge, esp. generated by CIVITAS 2020 projects, and provide related policy and implementation advice. The TGs link into the eight CIVITAS policy fields, complemented by two horizontal topics, as listed on the CIVITAS website (www.civitas.eu/thematic-groups-all).

Each TG, in addition to its area of focus, encompasses essential horizontal issues, including how their fields incorporate gender issues and the needs of vulnerable groups of citizens. The TGs will follow an approach resembling that of the CIVITAS Advisory Groups in CAPITAL, where a structured work plan and the opportunity to make a significant contribution to EU transport policy motivated high participation.

Currently, the TGs do not have the level of activity that SATELLITE envisions. WP4 will make them more dynamic by linking them to the RIA projects, to serve as exchange channels for related projects and will as means to sustain their results within CIVITAS, beyond their duration. This link, and the work plan described below, will be an added incentive to participate in a TG.

At the start of SATELLITE, CIVITAS 2020 projects from the 2014 call will have been running for ca. one year and will already have results to share. Through the coordination and cooperation platform within WP1, SATELLITE will strongly encourage them to engage in specific TG activities linked to their main topic. This will be to their advantage, providing them with a platform to promote their outputs to cities, while also giving them priority access to visibility at the Forum conference through TG-specific training sessions.

Links with the RIA projects will be easy to establish as SATELLITE partners are directly involved in 6 out of 10 of them: CITYLAB, CREATE, ELIPTIC, FLOW, NOVELOG and TRACE. For the remaining 4 projects, SATELLITE partners have good contacts with organisations part of these consortia. Letters of support committing to cooperation with SATELLITE have also been signed by nine of them (see Annex I). All forthcoming CIVITAS 2020 projects starting during the lifetime of SATELLITE will be encouraged to join the TGs. CIVINET members will also be encouraged to join and can also submit specific requests to the groups that could result in activities catering for their specific needs, e.g. a national event on a specific topic.

Although the majority of TG members will be from previous and ongoing CIVITAS projects and CIVINETs, they are not limited to the CIVITAS community. The TGs will be managed and moderated by the consortium. The partner leading a TG acts as moderator and keeps the groups alive, by regularly uploading new content (at least 4 topics/month), posing questions for discussion, monitoring exchanges and progress on the annual work plan, as well as on assignments given by the PAC (see below and WP6). The TG leader will also actively promote the group to increase membership. Activities of the TGs will be documented in annual summary reports, drafted by TG leaders (D4.6).

Annual work plans will be developed by the respective TG leaders and members (D4.5). TGs will differ in the tasks they will take up, but all groups will follow a minimum common work plan with defined core activities:

- Online promotion and cooperation: The TGs will be advertised on the CIVITAS website and LinkedIn page, while their actual work will be facilitated through the CIVITAS Exchange Hub (see WP5).
- Connecting with CIVITAS 2020: TGs will address topics identified through the stakeholder surveys of WP1, which will also encourage current projects dealing with similar topics to cooperate, create synergies and develop common activities.
- Knowledge exchange and capacity building: TGs will enable an intense knowledge exchange among urban mobility professionals based on a broad range of methodologies, such as e-learning courses and webinars developed in WP3 and online discussions involving the whole CIVITAS community.
- Acting as “Political Advisory Committee – PAC Sherpas”: TGs will support members of the PAC with information based on project results, research or discussions (see WP6). CIVINETs (see WP6) will also be involved and invited to contribute to the PAC recommendations. The input will be delivered as a compilation of discussion papers, one from each TG (D4.7). Questions and missions for the TGs would be posed at the PAC meeting taking place at the CIVITAS Forum. The PAC Sherpa will convey the PAC’s message to the respective TG (MS4.6), which will then set to work over the next year to address the query.
- Input to the CIVITAS Forum programme: Each year, several TGs, selected on the basis of the CIVITAS Forum conference theme, will be asked to build a dedicated training session as part of the conference. These sessions will complement the online e-learning approaches offered under WP3 and cater for more traditional capacity building formats. The TG-led training session will offer CIVITAS 2020 projects active in the respective TGs a unique opportunity to enhance the visibility of the outputs they are producing.
- Annual meetings: For each TG, a meeting will be organised once a year (MS4.4), during the CIVITAS Forum; travel costs will not be covered by SATELLITE as it is assumed that members of the TGs will already be at the Forum due to their involvement in relevant projects or their general interest in the CIVITAS Initiative. It will be the occasion for TGs members and CIVITAS 2020 projects members working on the topic, to update each other, review possible common outputs and agree on the work plan of the following year. A second and virtual meeting (MS4.5) will be organised six months after the face-to-face meeting to keep the work on track, provide updates on activities and agree on next steps for common work.

Task 4.3 International cooperation (lead partner: UITP; support: Polis, Rupprecht, EUROCITIES, ICLEI EURO)

SATELLITE will conduct concrete activities to increase the cooperation between the CIVITAS Initiative and sustainable urban mobility experts, practitioners and projects outside Europe:

Subtask 4.3.1 International communication and dissemination (lead partner: ICLEI EURO)

To increase the visibility of CIVITAS activities and results internationally, SATELLITE will include an international section in the quarterly CIVITAS MOVE newsletter (see subtask 5.2.2). The international section of the MOVE newsletter will promote European examples of good practice in CIVITAS to an international audience and broaden the influence of CIVITAS and its stakeholders internationally by featuring upcoming opportunities for cities outside Europe to get involved in CIVITAS activities, as according to the MG.5.5a call text the upcoming IA projects shall contribute to furthering international cooperation in research and innovation, esp. with China.

With support from all project partners, ICLEI will compile an e-mail distribution list of international experts and organisations (MS4.7), building on previous CIVITAS international outreach experiences and project partners’ existing international contacts, esp. contacts from the SOLUTIONS, VIAJEO+ and PARAMOUNT projects.

Subtask 4.3.2 International dialogue (lead partner: UITP; support: ICLEI EURO)

To establish a dialogue on urban mobility challenges and solutions with representatives of government, industry, and academic institutions, SATELLITE will organise dedicated sessions on CIVITAS activities with CIVITAS cities’ participation at international conferences, including the annual UITP world congress (and other UITP relevant events), the tri-annual ICLEI World Congress (foreseen for 2018), and the EU-China Partnership Urbanisation Forum. The UITP world congress is a setting for showcasing the latest public transport market developments, learning from industry leaders, and unrivalled international networking opportunities among urban mobility professionals. The EU-China Partnership on Urbanisation was signed in 2012 with the aim of building a platform to exchange on different topics linked to the urban dimension and involving stakeholders from different levels of government, business, universities and civil society. The EU-China Urbanisation Forum will be a valuable context to further explore sustainable urban mobility policies and share best practices between European and Chinese cities as in 2015 the thematic subforum on sustainable urban mobility was co-organised by DG MOVE. This is also in line with the EU-China cooperation in the field of research and innovation signed at the 2nd EU-China Innovation Co-operation Dialogue, in the margins of the 17th EU-China Summit.

Rupprecht and Polis – whose directors are members of TRB’s Major Cities Committee – will organise altogether four dedicated sessions on CIVITAS activities and results and with CIVITAS participation (i.e. 1-2 representatives from CIVITAS projects will be invited to the dedicated session) at the annual meeting of the Transport Research Board (TRB)

in Washington (CIVITAS@TRB) (MS4.8); UITP would also contribute through the high level relationship between UITP management and US main institutional PT stakeholders. In addition, the network of the 12 UITP Regional offices spread all-over the world will allow new opportunities for international dialogues around the CIVITAS themes.

Subtask 4.3.3 Coordination of CIVITAS international activities (lead partner: EUROCITIES)

In response to the specific section of the MG.5.5a call text referring to “contribution to [...] furthering the Union’s strategy for international cooperation in research and innovation, especially with China”, many of CIVITAS Innovation Action projects starting in mid-2016 will have an international component, focussing on China. In order to ensure a harmonised approach across projects, SATELLITE will provide support and guarantee a level of cooperation among the IA projects to maximise effectiveness and avoid overlaps. This issue will be connected to the CIVITAS 2020 coordination work of WP1, will be addressed at each Dissemination Liaison Group (MS5.3) meeting and will enable EUROCITIES to produce a short state-of-the-art report summarising the EU-China exchange on urban mobility (D4.8). The UITP regional office in Hong-Kong and the UITP-LTA Centre for Transport Excellence in Singapore will contribute to these activities. EUROCITIES will especially encourage international actors from IA and RIA projects to become active members of the Thematic Groups.

Subtask 4.3.4 Exchange with international experts (lead partner: Rupprecht)

Selected international experts and practitioners will be invited to the (online) thematic exchanges within the TGs (see task 4.2) that are hosted on the CIVITAS Exchange Hub. When it provides added value, international examples will be featured in the online CIVITAS marketplace of tools and methodologies (see task 4.4 below) and experts from outside the EU may be invited to present their tools/methodologies during the deployment days at the CIVITAS Forum, when the online marketplace comes alive (see task 6.2). Furthermore, the e-courses developed in task 3.4 will be open to international experts and practitioners.

The newly launched World Cities’ project, which provides for the pairing of city authorities and actors in Europe with their counterparts in respectively, India, Canada, China and Japan, will be approached in order to assess cooperation possibilities. ICLEI is in this context involved in the Canada and Japan exchange.

Task 4.4 Exploitation (lead partner: Rupprecht; support: Polis)

The aim of this task is to support cities in choosing and applying appropriate tools and methodologies which facilitate the planning and implementation of sustainable mobility solutions, by exploiting results from completed, ongoing and future CIVITAS projects and inviting other stakeholders (e.g. research organisations or private companies) outside the CIVITAS community to present their tools and methodologies. These tools and methodologies have been developed as part of CIVITAS projects (e.g. CIVITAS DYN@MO cost-benefit analysis tool), EU-funded research projects (e.g. NODES Toolbox for the planning of interchanges), by other research organisations (e.g. EMBARQ Bus Rapid Transit evaluation tool or the World Health Organisation HEAT tool) and by many private companies (e.g. transport simulation tools).

Though many such tools and methodologies exist, information is lacking, and they are difficult to access. In order to make them accessible, SATELLITE will create a dedicated marketplace on the CIVITAS website, ensuring a transparent overview of the ones most suitable for the planning and implementation of mobility solutions. The marketplace will be designed to enable the most satisfying “customer journey” for four main target groups.

1) Completed, current and future CIVITAS projects: Rupprecht and Polis will review tools and methodologies produced in completed and ongoing CIVITAS projects. The most relevant and up-to-date ones will be presented as the initial entries on the marketplace to ensure that new CIVITAS 2020 projects are brought up to speed on what is already available from previous projects, with a summary of previously-developed tools and methodologies that have a high potential for exploitation within the new projects (D4.9). The main goal is twofold: first, so that CIVITAS tools and methodologies endure after the end of projects, and second, to ensure that no project risks reinventing the wheel, because all will be aware of the resources already available and can instead focus on building upon existing material and applying tried-and-tested tools to their project objectives. Similarly, the tools and methodologies developed in the new CIVITAS 2020 projects will be added to the growing collection of CIVITAS assets to arrange that they too have a life beyond the project that creates them.

2) CIVITAS cities, European cities and CIVINETs: The marketplace will be a source of information for tools and methodologies for most CIVITAS cities. Cities and especially CIVINETs are also invited to share tools and methodologies, especially in local language that reflect the local and national context.

3) European and international research organisations: Many useful tools and methodologies are produced outside the CIVITAS context or outside of the EU, but are still highly relevant to the CIVITAS community. Hosting tools and methodologies from outside CIVITAS on the marketplace will benefit the CIVITAS community with many inputs from around the world.

4) Private companies: European companies are forerunners in many important aspects of urban mobility (e.g. ITS measures, transport modelling or bike sharing systems). The CIVITAS Initiative has made an important contribution in connecting commercial providers of innovative urban mobility solutions with cities willing to implement these solutions in their own context. SATELLITE will set up a section of the marketplace that enables private companies inside and outside of the CIVITAS community to present their innovative products to interested cities in Europe and beyond. The most promising tools and methodologies will be promoted through a spotlight on the marketplace website and in the MOVE newsletter. By exploiting results of CIVITAS, SATELLITE will contribute to the “Jobs and Growth” agenda of the EC.

The CIVITAS marketplace will be a dedicated online space, integrated with the CIVITAS website and its other knowledge sharing processes such as the CIVITAS Learning Centre (i.e. courses will be linked to tools and methodologies, and vice versa). Marketplace users will have access to a bank of tools and methodologies, including links to examples of their application.

The marketplace platform will be set-up as an easily searchable website providing the possibility for direct interaction. The aim of this interactive marketplace is (1) to foster the transfer of successful activities from one city to other cities, and (2) to fully exploit the market potential of tools and methodologies by matching CIVITAS cities with industry partners, e.g. to agree on the development of commercial products. While many industry sector organisations are already partners in past and ongoing CIVITAS projects, the online marketplace will also be promoted to business partners outside the CIVITAS community in order to fully exploit the potential contribution of the CIVITAS Initiative to growth and jobs. The contribution of the marketplace as regards jobs & growth stems from the fact that the marketplace will help private companies based in Europe – which are competing on a global market – to better position themselves globally. Furthermore, it is envisaged that private sector involvement will increase the CIVITAS Initiative’s contribution to economic growth and the creation of new jobs when the marketplace comes alive once a year during the CIVITAS Forum conferences (see task 6.2). The CIVITAS Forum marketplace will be a re-branded exhibition where representatives from industry will be specifically invited to attend. Stands will showcase tools and methodologies (being) developed within and beyond CIVITAS 2020. The marketplace will fully exploit the market potential of tools and methodologies by matching CIVITAS cities with industry partners, e.g. to agree on the roll-out of commercial products.

The inclusion of private companies in the CIVITAS community will expand the reach of the initiative and lend diversity to the types of tools and services on offer in the marketplace. Furthermore, fostering cooperation between CIVITAS and private entities will also support the endurance and take-up of CIVITAS measures and knowledge generated.

For the creation of the marketplace, Rupprecht and Polis will provide a clear concept and the criteria for the inclusion of tools and methodologies, with special attention being directed towards maintaining and developing tools that serve vulnerable groups and address gender issues. Each marketplace entry will be a one-page summary explaining the main advantages. Over the lifetime of SATELLITE, a minimum of 110 tools and methodologies will be presented on the marketplace.

Concrete examples of tools and methodologies that will comprise the marketplace include the CIVITAS DYN@MO cost-benefit analysis tool (<http://www.civitas.eu/content/cost-benefit-analysis-tool-spreadsheet>), the SUMP self-assessment tool (<https://www.mobility-academy.eu/SUMP>), the Evaluation Matters guide to evaluation (www.civitas.eu/content/evaluation-matters), the TIDE Impact Assessment Handbook (www.tide-innovation.eu/en/upload/Results/TIDE%20Impact%20Assessment%20tool.xlsx), the NODES Toolbox for the planning of interchanges (www.nodes-interchanges.eu/nodes-toolbox-overview), the Bus Rapid Transit benchmarking tool BRTData (<http://brtdata.org/>), the World Health Organisation HEAT tool (www.heatwalkingcycling.org/), and transport simulation tools developed by private companies.

The marketplace will be cultivated with entries in a three-phased approach:

First, SATELLITE will collect the tools and methodologies from past, ongoing and future CIVITAS projects and display them in a common space to promote straightforward exploitation. This compilation and promotion of tools and methodologies is SATELLITE’s primary means of addressing exploitation. Based on D4.9 a first set of 20 tools and methodologies from previous CIVITAS projects will be included on the platform by Rupprecht. Furthermore, Rupprecht and Polis will work with the ongoing and future CIVITAS 2020 projects on how to make use of the tools and methodologies developed in these projects. For this, also building on the WP1 stakeholder survey results (D1.1 and D1.2), Rupprecht will map and structure the demand from the cities and partners involved in the CIVITAS 2020 projects in order to define the needs, prerequisites and steps to be taken for successful transfer and deployment of tools and methodologies developed in these projects (D4.10a). The needs assessment will be a living medium that will be updated twice (D4.10b, c) to account for new needs emerging and being met. At least 30 tools and methodologies will be collected in such a way for the marketplace.

Second, Rupprecht and Polis will identify tools and methodologies that should be included in the marketplace from outside CIVITAS based on the needs from the cities as summarised in D4.10a. At least 30 tools and methodologies will be researched from various sources: EU, CIVINETs, CIVITAS cities, and national and international projects/initiatives.

Third, SATELLITE will invite 30 private companies to present their tools and methodologies to the CIVITAS community. Private companies that present their tools and methodologies in the marketplace will be invited to the Deployment Days at the CIVITAS Forum conferences (see task 6.2) where the online marketplace will come to life once a year. Market-access quality criteria will be developed to ensure that only practice-ready and quality tools will be presented. Private companies participating in the marketplace will be eligible to apply for the CIVITAS Business Engagement Award (see task 6.3).

The three phases will be completed in month 14 in order to launch the online marketplace (D4.11) together with the first CIVITAS Forum conference organised by SATELLITE in 2017. Thereafter, it will be ensured that the marketplace is updated with new tools and methodologies on a regular basis, on the one hand by updating it with new tools and methodologies from the ongoing and future CIVITAS projects, and on the other hand with updates from the needs assessment (D4.10b, c).

Participation per Partner

Partner number and short name	WP4 effort
1 - POLIS	8.75
2 - RUPPRECHT	11.50
3 - EUROCITIES ASBL	18.75
4 - ICLEI EURO	1.50
5 - REC	1.75
6 - TML	1.75
7 - UITP	4.50
Total	48.50

List of deliverables

Deliverable Number ¹⁴	Deliverable Title	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D4.1	Guidelines for selection of cities for peer-to-peer knowledge exchange	3 - EUROCITIES ASBL	Report	Public	2
D4.2	Guidelines for cities participating in work placements	3 - EUROCITIES ASBL	Report	Public	4
D4.3	Annual summaries of impact reports on work placements	3 - EUROCITIES ASBL	Report	Public	48
D4.4	Lessons learned from SATELLITE peer-to-peer exchanges	3 - EUROCITIES ASBL	Report	Public	48

List of deliverables

Deliverable Number ¹⁴	Deliverable Title	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D4.5	Thematic Groups annual work plans	1 - POLIS	Report	Public	42
D4.6	Thematic Groups annual reports	1 - POLIS	Report	Public	48
D4.7	Compilation of TG recommendations to the PAC	1 - POLIS	Report	Public	48
D4.8	State-of-the-art report on EU-China exchange on urban mobility	7 - UITP	Report	Public	46
D4.9	Overview on tools and methodologies from previous CIVITAS projects	2 - RUPPRECHT	Report	Public	4
D4.10	Needs assessment on demand for tools and methodologies from CIVITAS 2020 projects	2 - RUPPRECHT	Report	Public	34
D4.11	Online marketplace on tools and methodologies	2 - RUPPRECHT	Websites, patents filling, etc.	Public	15

Description of deliverables

D4.1 Guidelines for selection of cities for peer-to-peer knowledge exchange (task 4.1) (month 2)
 D4.2 Guidelines for cities participating in work placements (task 4.1) (month 4)
 D4.3a-d Annual summaries of impact reports on work placements (task 4.1) (month 13, 25, 37, 48)
 D4.4 Lessons learned from SATELLITE peer-to-peer exchanges (task 4.1) (month 48)
 D4.5a-d Thematic Groups annual work plans (task 4.2) (months 6, 18, 30, 42)
 D4.6a-d Thematic Groups annual reports (task 4.2) (months 18, 30, 42, 48)
 D4.7a-d Compilation of TG recommendations to the PAC (task 4.2) (month 14, 26, 38, 48)
 D4.8 State-of-the-art report on EU-China exchange on urban mobility (task 4.3) (month 46)
 D4.9 Overview on tools and methodologies from previous CIVITAS projects (task 4.4) (month 4)
 D4.10a-c Needs assessment on demand for tools and methodologies from CIVITAS 2020 projects (task 4.4) (month 6, 20, 34)
 D4.11 Online marketplace on tools and methodologies (task 4.4) (month 15)
 D4.1 : Guidelines for selection of cities for peer-to-peer knowledge exchange [2]
 D4.1 Guidelines for selection of cities for peer-to-peer knowledge exchange (task 4.1) (month 2)
 D4.2 : Guidelines for cities participating in work placements [4]
 D4.2 Guidelines for cities participating in work placements (task 4.1) (month 4)
 D4.3 : Annual summaries of impact reports on work placements [48]
 D4.3a-d Annual summaries of impact reports on work placements (task 4.1) (month 13, 25, 37, 48)
 D4.4 : Lessons learned from SATELLITE peer-to-peer exchanges [48]
 D4.4 Lessons learned from SATELLITE peer-to-peer exchanges (task 4.1) (month 48)

D4.5 : Thematic Groups annual work plans [42]
D4.5a-d Thematic Groups annual work plans (task 4.2) (months 6, 18, 30, 42)
D4.6 : Thematic Groups annual reports [48]
D4.6a-d Thematic Groups annual reports (task 4.2) (months 18, 30, 42, 48)
D4.7 : Compilation of TG recommendations to the PAC [48]
D4.7a-d Compilation of TG recommendations to the PAC (task 4.2) (month 14, 26, 38, 48)
D4.8 : State-of-the-art report on EU-China exchange on urban mobility [46]
D4.8 State-of-the-art report on EU-China exchange on urban mobility (task 4.3) (month 46)
D4.9 : Overview on tools and methodologies from previous CIVITAS projects [4]
D4.9 Overview on tools and methodologies from previous CIVITAS projects (task 4.4) (month 4)
D4.10 : Needs assessment on demand for tools and methodologies from CIVITAS 2020 projects [34]
D4.10a-c Needs assessment on demand for tools and methodologies from CIVITAS 2020 projects (task 4.4) (month 6, 20, 34)
D4.11 : Online marketplace on tools and methodologies [15]
D4.11 Online marketplace on tools and methodologies (task 4.4) (month 15)

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS15	Calls to participate in peer-to-peer exchanges published (for visiting and host cities)	3 - EUROCITIES ASBL	39	MS4.1a-d Calls to participate in peer-to-peer exchanges published (for visiting and host cities), M 4, 15, 27, 39
MS16	Four work placements held each year	3 - EUROCITIES ASBL	46	MS4.2a-d Four work placements held each year, M 12, 24, 36, 46
MS17	One study visit held each year	3 - EUROCITIES ASBL	46	MS4.3a-d One study visit held each year, M 12, 24, 36, 46
MS18	Annual Thematic Group meeting held	1 - POLIS	39	MS4.4a-d Annual Thematic Group meeting held, M 15, 27, 39
MS19	Annual virtual meetings of the Thematic Groups held	1 - POLIS	45	MS4.5a-d Annual virtual meetings of the Thematic Groups held, M 9, 21, 33, 45
MS20	PAC questions conveyed to Thematic Groups by PAC Sherpas	1 - POLIS	39	MS4.6a-d PAC questions conveyed to Thematic Groups by PAC Sherpas, M 15, 27, 39
MS21	International distribution list prepared	7 - UITP	3	MS4.7 International distribution list prepared, M 3
MS22	CIVITAS representation at annual meeting of	2 - RUPPRECHT	42	MS4.8a-d CIVITAS representation at annual meeting of Transport

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
	Transport Research Board			Research Board, M 6, 18, 30, 42

Work package number ⁹	WP5	Lead beneficiary ¹⁰	4 - ICLEI EURO
Work package title	Communication and Dissemination		
Start month	1	End month	54

Objectives

The aim of this work package is to create and maintain a comprehensive communication and dissemination framework to maximise the impact of the CIVITAS Initiative. WP5 will support the communication and dissemination activities of the IA projects and ensure a coordinated approach for communication and dissemination across CIVITAS 2020. Through this framework, CIVITAS activities and results will reach a wider audience, also beyond the current CIVITAS community, leveraging more opportunities for take-up and exchange across Europe and further afield.

WP5's key objectives are to:

- design a plan that allows for optimal visibility of CIVITAS in Europe and beyond, including targeted communication on its objectives and activities and dissemination of generated results to relevant stakeholders (task 5.1)
- provide a clear two-level approach regarding communication in the scope of the IA and RIA projects (tasks 5.1 and 5.4)
- manage the communications and outreach activities through the CIVITAS website and other existing and new channels, presenting a coherent editorial and visual approach (tasks 5.2, 5.4 and 5.5)
- design and produce communication tools, tailored to the target groups (tasks 5.1 and 5.2)
- support the IA projects' Dissemination Managers and the CIVINETs in their communication and dissemination (task 5.3)
- undertake extensive dissemination activities on the IA and RIA projects' results, tailored to various target groups (task 5.6)

Description of work and role of partners

WP5 - Communication and Dissemination [Months: 1-54]

ICLEI EURO, POLIS, RUPPRECHT, EUROCITIES ASBL, REC, TML, UITP

Task 5.1 Creating the communications basis (lead partner: ICLEI EURO; support: Polis)

At the start of the project, ICLEI will prepare a communication and dissemination strategy (D5.1) that identifies target groups, key messages for each target group, communications and dissemination tools, methods, and channels. The emphasis will be on demonstrating the long-term viability of cost-effective sustainable urban mobility measures, thus contributing to wider take-up of these measures across Europe and beyond.

Target groups will principally be local practitioners and policy-makers in transport and related fields, their counterparts at regional and national levels, researchers, and industry. As the figure illustrates, the strategy will differentiate between CIVITAS IA and RIA projects. Special attention will be paid to establishing close links with the CIVINETs, to complement European-level dissemination with decentralised national outreach activities.

CIVITAS is an established brand and its corporate design will remain consistent with that used to date. New visual elements for the new IA projects will be provided, e.g. project logos as well as report and power point templates in InDesign for the promotional and results material. ICLEI will update the CIVITAS 2020 Corporate Design Handbook (D5.2) prepared by CIVITAS WIKI in 2014 to include detailed editorial style guidelines for the IA projects and for the RIA projects that start after the start of SATELLITE. This will be done in close cooperation with the Project Officer. The updated version of the handbook will also include general information on communication and dissemination for the ongoing RIA projects, though they will continue to use their current visual identity. The aim of the updated handbook is to ensure that communications texts, material, and publications meet high standards while also being accessible to non-native English speakers.

The strategy will take into account any specific support needs or dissemination preferences emerging from the stakeholder surveys, and the communication and dissemination activities in the IA and RIA projects' Descriptions of Work in WP1. The task will be led by ICLEI, with contributions from Polis as coordinator, and to secure a proper transfer of relevant information coming out of the WP1 stakeholder surveys.

Task 5.2 Communication channels and tools (lead partner: ICLEI EURO; support: Polis, EUROCITIES, REC, TML, UITP)

Subtask 5.2.1 CIVITAS website and CIVITAS Exchange Hub

The CIVITAS website will be maintained as the publicly-facing interface of the initiative. One of WP5's first tasks will be to engage CIVITAS WIKI in a handover of the website, onto the ICLEI server in November 2016 when CIVITAS WIKI ends (MS5.1). ICLEI will re-establish editorial control of the whole CIVITAS website based on its extensive experience of e.g. Eltis and the CIVITAS website under the former VANGUARD contract.

An immediate update will take place, including information on SATELLITE activities (though not branded as such), pages on the new IA projects and related measures, as well as a short summary and link to all future RIA projects under CIVITAS 2020. Website content will be consistently updated throughout the whole duration of SATELLITE, with a regularly updated news section, events calendar, press corner (task 5.5), and knowledge base. Users will be able to submit content (e.g. news items, event announcements), which will go through an approval process with ICLEI before it is published.

In addition, ICLEI will implement some minor improvements of the CIVITAS website (MS5.3), for example:

- A simple search bar will be along the top of the page, with a clearer structure within each subpage.
- The 'knowledge base' will be restructured and made easier to search, including a review of the content, to decide what should be kept online based on its usefulness.
- The home page will include a central explanation of the CIVITAS Initiative.
- The website's navigation will be made simpler and the amount of text reduced to make the website more user-friendly.
- The ways in which a user can interact with the website will be made more self-explanatory, with reduced complexity.

An overview of the foreseen changes will be provided to the EC (MS5.2) in order to reach a common agreement.

Visitors to the website will also be advised to complete an online survey to direct them to CIVITAS content or activities that best suit their interests (MS5.4). Upon completing the survey, users will automatically receive a set of recommendations referring to CIVITAS resources such as e-courses, webinars or tools; participation in a TG; or guidance to publications from the 'knowledge base'. The survey will permit SATELLITE to track users' interest in engaging with different content or opportunities offered by CIVITAS. ICLEI will prepare the online survey and use Rupperecht's online survey tool software.

A link will be made to the Exchange Hub currently operating under CIVITAS CAPITAL (<http://exchange-hub.civitas.eu>).

The Exchange Hub will be the location for more in-depth, private and focused exchange of information and collaborative working of the various CIVITAS groups organised under WP4 and WP6: the CIVINETs, TGs and AGs. The Exchange Hub allows these communities under the CIVITAS umbrella to interact, and work together. It centralises all discussions and documents to coordinate a group's work and share information. In addition, the Exchange Hub will provide internal work spaces for the many groups working under SATELLITE, i.e. the CIVITAS 2020 coordination and cooperation platform (task 1.2), the Evaluation Liaison Group (task 2.2), the Dissemination Liaison Group (task 5.3), and the peer-to-peer knowledge exchanges (task 4.1). Thus, all activities involving multiple partners and organisations will be easily accessible in one place.

Subtask 5.2.2 CIVITAS MOVE newsletter

SATELLITE will continue publishing the CIVITAS Initiative quarterly newsletter MOVE (D5.3). Sections will include news from CIVITAS cities, the IA and RIA projects, the CIVINETs, policy news, and an international section that focuses on mobility news outside Europe. An editorial calendar will be established, and the EC will also be invited to contribute relevant announcements and news. The newsletter will be edited and proofread by ICLEI's professional editorial staff of native English speakers.

The MOVE newsletter will be distributed via VerticalResponse, which enables detailed reporting on the number of emails opened and links clicked, and sharing of email content on social media. VerticalResponse will also be used to send other direct mailings from CIVITAS. ICLEI will at the end of SATELLITE conduct an analysis of the recipients' handling of CIVITAS mailings (D5.4) to draw conclusions for future CIVITAS coordination and support actions.

Subtask 5.2.3 Social media channels

CIVITAS social media channels (Facebook, Twitter, LinkedIn and YouTube) will be taken over by SATELLITE. Facebook and Twitter will be the main channels to quickly disseminate CIVITAS news on a daily basis in parallel with the website, as well as informal points of contact for enquiries or feedback. Links will be made with social media accounts of the IA and RIA projects, other important initiatives and projects (e.g. Eltis, European Mobility Week), and the SATELLITE network partners, which have many followers. The aim is to effectively communicate news to as wide an audience as possible.

Specific guidelines and a content calendar will be prepared to define what is shared, as well as how and when. It will also define how SATELLITE, the IA and RIA projects can support each other's social media activities.

The Urban Mobility group on LinkedIn will remain a forum for public discussions among transport professionals and ICLEI, supported by all task 5.2 partners, will continue to attract new members. Videos hosted on YouTube will be restructured into playlists allowing users to quickly find video content, and will be promoted on the website. A Flickr account will store and categorise CIVITAS images and prepare interactive slideshows for the website.

ICLEI will keep track of the impact of content uploaded to the social media channels to understand what topics stimulate discussion and what content encourages users to follow CIVITAS. ICLEI will at the end of SATELLITE conduct an analysis of the impact of content uploaded (D5.4) in order to draw conclusions for future CIVITAS coordination and support actions.

ICLEI will be responsible for managing the various CIVITAS social media accounts. All organisations involved in IA and RIA projects as well as the SATELLITE partners will be made aware of social media content from CIVITAS and asked to share content as appropriate. For specific project milestones, SATELLITE partners will be requested to give extra promotion.

Subtask 5.2.4 Promotional material

Within the first six months of the project, promotional material will be developed or updated to be disseminated and used at CIVITAS and external events (task 5.4):

- Postcards to direct people to the website (in English) (D5.5); translations may be done by CIVINETs, financed through the CIVINET Activity Fund (task 6.4)
- ‘Welcome to CIVITAS’ booklet (in English), which will present the CIVITAS Initiative, including sections on the IA and RIA projects (D5.6); translations may be done by CIVINETs, financed through the CIVINET Activity Fund (task 6.4)
- Roll-ups (in English) to represent CIVITAS at events; one banner for each IA project and a general CIVITAS banner (D5.7)

Subtask 5.2.5 Promotional videos

A series of short promotional videos will be developed and disseminated through the existing YouTube account. One video diary per IA project will be produced, including footage from the implementation process of measures in a city (MS5.5). In addition, four video interviews will be produced with policy-makers and practitioners on their experiences with measure implementation (MS5.6). The videos will inform the CIVITAS community about the process of measure implementation in cities, inform other cities and experts about the main aims of CIVITAS and the advantages of getting involved, and show the international community the work done by CIVITAS and inspire participation/similar activities beyond Europe.

Subtask 5.2.6 Policy briefings

SATELLITE will produce four annual policy briefings (D5.8), targeted at policy- and decision-makers within the CIVITAS community. They shall also support a smooth transfer of knowledge from INEA to DG MOVE. All partners will contribute with content, including research developments, new measures, innovative policy approaches and relevant European policy developments. The content will be informed by the SATELLITE consortium’s in-depth knowledge of the work being done in cities under CIVITAS, particularly in the CIVITAS 2020 projects. Close links will be established with the PAC in WP6, while relevant outputs of the Advisory and Thematic Groups will be used as source material.

Task 5.2 will be led by ICLEI. Polis will lead subtask 5.2.6 on the policy briefings, while TML will support and bring in relevant outputs of WP2. In addition, Polis, EUROCITIES, REC and UITP:

- provide input and content for the planned changes to the CIVITAS website structure and content
- provide content and contact information for news items online, for the MOVE newsletter, and for the policy briefings series
- share CIVITAS content on social media by their own channels and with other projects and initiatives as appropriate

Task 5.3 Cooperation structure with IA projects for dissemination coordination (lead partner: ICLEI EURO; support: Polis)

ICLEI will chair a Dissemination Liaison Group (DLG) to coordinate communication and dissemination activities between SATELLITE, CIVINETs and IA projects. The DLG will consist of the Dissemination Managers of the IA projects, ICLEI, and Polis to provide the perspective of coordination across CIVITAS 2020. The EC will also be invited to the meetings. The group will hold annual physical meetings at the CIVITAS Forum (MS5.7), meet online twice a year (MS5.8) and continuously share information and resources on a dedicated internal work space on the Exchange Hub (see task 5.2). The meetings will be an opportunity to propose content for the MOVE newsletter, give brief updates on recent communication activities, and explore synergies for common dissemination activities across projects. Communicating EU-China cooperation on urban mobility, an aspect which features in the IA projects’ work, will also be harmonised between members of the DLG. ICLEI will ensure that all DLG members follow the CIVITAS visual identity and are

aware of the various communication channels to maximise visibility for their activities (see task 5.2), while Polis will inform the group of key CIVITAS information to promote widely.

Task 5.4 CIVITAS@events (lead partner: EUROCITIES; support: Polis, ICLEI EURO, REC, UITP)

All SATELLITE partners are involved in Europe-wide and international events with high potential to promote CIVITAS widely. The five networks within the SATELLITE consortium (Polis, EUROCITIES, ICLEI, REC and UITP) organise many such events, including the annual Polis conference, the annual EUROCITIES conference, the annual ICLEI Membership Assemblies, the tri-annual European Conference on Sustainable Cities and Towns, the UITP Thematic Conferences. Moreover, SATELLITE partners co-organise/regularly attend other relevant European sustainable urban mobility events such as the annual SUMP conference, ECOMM (European Conference on Mobility Management) and TRA (Transport Research Arena).

EUROCITIES will set up a CIVITAS@events working group on the Exchange Hub to ensure CIVITAS presence at 15 relevant events, with support tools such as an events calendar (based on the Activities Database set up in task 1.2), planning document and reporting mechanism (MS5.9). The SATELLITE network partners will represent CIVITAS at at least three events each in the project duration. The minimum activity for CIVITAS representation at an event will be the distribution of CIVITAS information material. Having a CIVITAS stand at event exhibitions, giving a presentation, or securing a speaking role will be higher level goals. ICLEI will prepare a standard PowerPoint presentation (D5.9) which can be used by partners for non-CIVITAS events so presentations start with a standardised introduction to CIVITAS. It will also be provided to the IA and RIA projects so they can use it for the same purpose.

Task 5.5 Media contacts and strategy (lead partner: ICLEI EURO; support: Polis, EUROCITIES, REC, UITP)

ICLEI will prepare a strategy (MS5.10) for outreach to general and specialised media, so that opportunities are identified and planned for, and mutual support is established. Press releases and media relations will be sent in advance of CIVITAS events and other occasions where wider visibility is a benefit. The CIVITAS press corner on the website will be updated and include:

- all CIVITAS MOVE newsletters (see task 5.2)
- at least eight CIVITAS press releases sent during the lifespan of SATELLITE, e.g. announcements and major conclusions of CIVITAS Forum conferences, of new CIVITAS calls, of results of first 10 RIA projects, etc.
- selected stock images for use by journalists
- the 'Welcome to CIVITAS' booklet in various languages (see task 5.2)
- Media contact information

ICLEI will ask DLG members to notify their media contacts about the resources on the CIVITAS website, to set the larger context for any media coverage of their activities.

At the start, a handover of the existing CIVITAS media database will be organised from WIKI to SATELLITE. This database will be expanded with the network partners' own extensive general as well as transport-focused media databases.

SATELLITE will also publish articles on CIVITAS (intermediate and final) results in specialist transport and city magazines such as Thinking Highways, Cities Today, Eurotransport, ITS International, Thinking Cities, etc. Through its direct involvement in Thinking Cities magazine, Polis can secure two CIVITAS related articles or interviews per year, focusing on concrete urban transport innovations in cities across Europe. Links will also be established with ETRR, a scientific peer reviewed journal for publishing European scientific results in open access. In particular, ETRR is open to papers around a specific theme, which would be of interest to the RIAs. Articles will also be included on a regular basis in the well-established and widespread newsletters of the respective network partners involved in SATELLITE.

ICLEI will lead the task. Polis, EUROCITIES, REC and UITP will support with outreach to their media contacts, and promote CIVITAS results in their own respective magazines/newsletters. Polis will be in charge of writing articles for Thinking Cities.

Task 5.6 Preparation and dissemination of final CIVITAS 2020 results (lead partner: ICLEI EURO; support: all partners)

Subtask 5.6.1 Results material

SATELLITE will prepare three main publications on CIVITAS 2020 projects:

- A summary with lessons learned from the first ten RIA projects (D5.10), published six months after they have ended. As the first ten RIA projects will finish in May 2018, and calculating with 01.07.16 as the start date of SATELLITE, D5.11 will be published in month 28.
- A summary of results from the IA projects (D5.11), published six months after they have ended, i.e. in month 54.
- A summary with lessons learned from the RIA projects that start at the same time as SATELLITE, and preliminary lessons learned from RIA projects that start during the lifetime of SATELLITE (D5.13), in month 54.

The deliverables will be based on reports prepared by WP2. D2.12 will provide the basis for D5.10, D2.10 for D5.11 and D2.12 for D5.12. However, the WP2 deliverables will be more technical and comprehensive and hence are intended for internal use and the EC only. D5.10, D5.11 and D5.12 will be concise, practice-oriented, nicely designed, and glossy, with sustainable urban mobility professionals as the main target group. A limited print run will be carried out, but generally publications will be downloadable from civitas.eu to limit the project's footprint. ICLEI will also prepare a programme for the dissemination of final results of the IA projects under CIVITAS 2020, with an emphasis on visual formats:

- four short video presentations or podcasts on the results of the completed IA projects accompanied by condensed notes, to be used together (D5.13)
- infographics on relevant steps, stakeholders and topics for the key measures implemented by the IA projects (D5.14)
- photo documentation of IA project results, based on key phases, e.g. before and after situations (D5.16)

All material will be uploaded on the CIVITAS website and on YouTube.

Task 5.6 is the only reason why SATELLITE will run until month 54, i.e. to be able to incorporate the final results of the ending IA (D5.11) and RIA projects, and preliminary results of still ongoing RIA projects (D5.12). This will enable a process of compiling, editing, and publishing results material that is thorough and of high-quality, without having to rely on partial or incomplete information. For the same reasons, D5.13-D5.14 will also be prepared by month 54. ICLEI will edit, layout and publish the publications and visual material. All SATELLITE partners will contribute to the content for the results material. Dissemination will take place through the CIVITAS channels, as well as through the network partners of the consortium.

Subtask 5.6.2 Results dissemination workshops

In addition to the results material, three results dissemination workshops (MS5.11) on the outcomes of measure implementation in the IA projects and lessons learned from the RIA projects will be conducted. Each workshop will focus on two-three CIVITAS policy fields and transfer to potential take-up cities. They are planned as full-day events to be organised back-to-back with additional activities for CIVINETs. In the 2nd Activity Fund call (see task 6.4), applicants will be asked to propose a link to the workshop in their activity. Three of the approved activities will be selected to host the workshops, chosen based on the target audience, scope of event (25-50 participants expected), and geographic distribution. ICLEI, EUROCITIES and Rupperecht will each contribute to a workshop. The programme will include presentations from relevant CIVITAS 2020 projects, followed by interactive sessions in small groups to explore the applications of the results for participating cities.

Participation per Partner

Partner number and short name	WP5 effort
1 - POLIS	5.75
2 - RUPPRECHT	1.25
3 - EUROCITIES ASBL	3.75
4 - ICLEI EURO	29.00
5 - REC	2.50
6 - TML	2.00
7 - UITP	2.25
Total	46.50

List of deliverables

Deliverable Number ¹⁴	Deliverable Title	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D5.1	Communication and dissemination	4 - ICLEI EURO	Report	Public	4

List of deliverables

Deliverable Number ¹⁴	Deliverable Title	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
	strategy and visual identity				
D5.2	Updated CIVITAS 2020 Corporate Design Handbook	4 - ICLEI EURO	Report	Public	3
D5.3	CIVITAS MOVE newsletter	4 - ICLEI EURO	Websites, patents filling, etc.	Public	48
D5.4	Analysis of recipients' handling of CIVITAS mailings and of impact of content uploaded to various social media channels	4 - ICLEI EURO	Report	Confidential, only for members of the consortium (including the Commission Services)	48
D5.5	CIVITAS postcards	4 - ICLEI EURO	Websites, patents filling, etc.	Public	4
D5.6	'Welcome to CIVITAS' booklet	4 - ICLEI EURO	Websites, patents filling, etc.	Public	4
D5.7	CIVITAS roll-ups	4 - ICLEI EURO	Websites, patents filling, etc.	Public	4
D5.8	Policy briefings	4 - ICLEI EURO	Report	Public	48
D5.9	Standard PowerPoint presentation on CIVITAS Initiative	4 - ICLEI EURO	Websites, patents filling, etc.	Public	3
D5.10	CIVITAS Research and Innovation Action projects funded 2015-2018 – A summary of lessons learned	4 - ICLEI EURO	Websites, patents filling, etc.	Public	28
D5.11	CIVITAS Innovation Action projects funded 2016-2020 – A summary of results	4 - ICLEI EURO	Websites, patents filling, etc.	Confidential, only for members of the consortium (including the Commission Services)	54
D5.12	CIVITAS Research and Innovation Action projects funded since 2016	4 - ICLEI EURO	Websites, patents filling, etc.	Public	54

List of deliverables

Deliverable Number ¹⁴	Deliverable Title	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
	– A summary of lessons learned				
D5.13	Video presentation/podcast on results of completed IA and RIA projects	4 - ICLEI EURO	Websites, patents filling, etc.	Public	54
D5.14	Infographics on measures of IA projects and photo documentation of measures of IA projects	4 - ICLEI EURO	Websites, patents filling, etc.	Public	54

Description of deliverables

D5.1 Communication and dissemination strategy and visual identity (task 5.1) (month 4)
 D5.2 Updated CIVITAS 2020 Corporate Design Handbook (task 5.1) (month 2)
 D5.3a-p CIVITAS MOVE newsletter (task 5.2) (months 3, 6, 9, 12, 15, 18, 21, 24, 27, 30, 33, 36, 39, 42, 45, 48)
 D5.4 Analysis of recipients' handling of CIVITAS mailings and of impact of content uploaded to various social media channels (task 5.2) (month 48)
 D5.5 CIVITAS postcards (task 5.2) (month 4)
 D5.6 'Welcome to CIVITAS' booklet (task 5.2) (month 4)
 D5.7 CIVITAS roll-ups (one for each IA project, one on CIVITAS Initiative) (task 5.2) (month 4)
 D5.8a-d Policy briefings (task 5.2) (month 12, 24, 36, 48)
 D5.9 Standard PowerPoint presentation on CIVITAS Initiative (task 5.4) (month 3)
 D5.10 CIVITAS Research and Innovation Action projects funded 2015-2018 – A summary of lessons learned (task 5.6) (month 28)
 D5.11 CIVITAS Innovation Action projects funded 2016-2020 – A summary of results (task 5.6) (month 54)
 D5.12 CIVITAS Research and Innovation Action projects funded since 2016 – A summary of lessons learned (task 5.6) (month 54)
 D5.13 Video presentation/podcast on results of completed IA and RIA projects (incl. condensed notes) (task 5.6) (month 54)
 D5.14 Infographics on measures of IA projects and photo documentation of measures of IA projects (task 5.6) (month 54)

D5.1 : Communication and dissemination strategy and visual identity [4]
 D5.1 Communication and dissemination strategy and visual identity (task 5.1) (month 4)
 D5.2 : Updated CIVITAS 2020 Corporate Design Handbook [3]
 D5.2 Updated CIVITAS 2020 Corporate Design Handbook (task 5.1) (month 2)
 D5.3 : CIVITAS MOVE newsletter [48]
 D5.3a-p CIVITAS MOVE newsletter (task 5.2) (months 6, 9, 12, 15, 18, 21, 24, 27, 30, 33, 36, 39, 42, 45, 48)
 D5.4 : Analysis of recipients' handling of CIVITAS mailings and of impact of content uploaded to various social media channels [48]
 D5.4 Analysis of recipients' handling of CIVITAS mailings and of impact of content uploaded to various social media channels (task 5.2) (month 48)
 D5.5 : CIVITAS postcards [4]
 D5.5 CIVITAS postcards (task 5.2) (month 3)
 D5.6 : 'Welcome to CIVITAS' booklet [4]
 D5.6 'Welcome to CIVITAS' booklet (task 5.2) (month 4)

D5.7 : CIVITAS roll-ups [4]
D5.7 CIVITAS roll-ups (one for each IA project, one on CIVITAS Initiative) (task 5.2) (month 4)
D5.8 : Policy briefings [48]
D5.8a-d Policy briefings (task 5.2) (month 12, 24, 36, 48)
D5.9 : Standard PowerPoint presentation on CIVITAS Initiative [3]
D5.9 Standard PowerPoint presentation on CIVITAS Initiative (task 5.4) (month 3)
D5.10 : CIVITAS Research and Innovation Action projects funded 2015-2018 – A summary of lessons learned [28]
D5.10 CIVITAS Research and Innovation Action projects funded 2015-2018 – A summary of lessons learned (task 5.6) (month 28)
D5.11 : CIVITAS Innovation Action projects funded 2016-2020 – A summary of results [54]
D5.11 CIVITAS Innovation Action projects funded 2016-2020 – A summary of results (task 5.6) (month 54)
D5.12 : CIVITAS Research and Innovation Action projects funded since 2016 – A summary of lessons learned [54]
D5.12 CIVITAS Research and Innovation Action projects funded since 2016 – A summary of lessons learned (task 5.6) (month 54)
D5.13 : Video presentation/podcast on results of completed IA and RIA projects [54]
D5.13 Video presentation/podcast on results of completed IA and RIA projects (incl. condensed notes) (task 5.6) (month 54)
D5.14 : Infographics on measures of IA projects and photo documentation of measures of IA projects [54]
D5.14 Infographics on measures of IA projects and photo documentation of measures of IA projects (task 5.6) (month 54)

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS23	CIVITAS website handover from CIVITAS WIKI completed	4 - ICLEI EURO	4	MS5.1 CIVITAS website handover from CIVITAS WIKI completed, M 4
MS24	Overview of proposed improvements of CIVITAS website sent to EC	4 - ICLEI EURO	6	MS5.2 Overview of proposed improvements of CIVITAS website sent to EC, M 6
MS25	Minor improvements of CIVITAS website implemented	4 - ICLEI EURO	12	MS5.3 Minor improvements of CIVITAS website implemented, M 12
MS26	Online survey to connect personal interests with CIVITAS resources on CIVITAS website	4 - ICLEI EURO	5	MS5.4 Online survey to connect personal interests with CIVITAS resources on CIVITAS website, M5
MS27	Videos on progression of selected IA project measures uploaded on YouTube	4 - ICLEI EURO	44	MS5.5a-d Videos on progression of selected IA project measures uploaded on YouTube, M 20, 44

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS28	Video interviews with policy-makers and practitioners uploaded on YouTube	4 - ICLEI EURO	40	MS5.6a-d Video interviews with policy-makers and practitioners uploaded on YouTube, M 4, 16, 28, 40
MS29	Face-to-face DLG meetings held (back-to-back with CIVITAS Forum conferences)	4 - ICLEI EURO	39	MS5.7a-d Face-to-face DLG meetings held (back-to-back with CIVITAS Forum conferences), M 3, 15, 27, 39
MS30	Online DLG meetings held	4 - ICLEI EURO	42	MS5.8a-g Online DLG meetings held, M 6, 12, 18, 24, 30, 36, 42
MS31	CIVITAS@events working group set up on CIVITAS Exchange Hub	4 - ICLEI EURO	6	MS5.9 CIVITAS@events working group set up on CIVITAS Exchange Hub, M 6
MS32	Media outreach strategy delivered	4 - ICLEI EURO	6	MS5.10 Media outreach strategy delivered, M 6
MS33	Results dissemination workshops held	4 - ICLEI EURO	46	MS5.11a-c Results dissemination workshops held, M 40, 43, 46

Work package number ⁹	WP6	Lead beneficiary ¹⁰	5 - REC
Work package title	Structured Networking		
Start month	1	End month	54

Objectives

This work package enhances structured networking activities among CIVITAS Forum member cities and other stakeholders and encourages lasting capitalisation of activities. As a permanent support body to the entire CIVITAS Initiative, the CIVITAS Secretariat exists to meet the demands and service an initiative which currently consists of almost 250 cities. It will provide the ‘anchor point’ to the entire CIVITAS network, functioning as the central hub for CIVITAS projects, CIVINETs, Forum member cities and an interface between cities, the EC and the international community.

WP6 ‘Structured networking’ has the following objectives:

- ensure continuity by hosting day-to-day secretariat services that underpin the CIVITAS Initiative for the EC and the participating cities as well as potential members (task 6.1)
- maintain and develop the CIVITAS Forum network through liaison with, outreach to and recruitment of cities (task 6.1)
- organise and host to a high standard the annual CIVITAS Forum conferences, enhanced with innovative formats (task 6.2)
- host the annual CIVITAS Award series (task 6.3)
- support, through an Activity Fund and various SATELLITE activities, the current CIVINETs and the establishment of 2-3 new CIVINETs (task 6.4)
- establish and manage four CIVITAS Advisory Groups in which the outputs of CIVITAS 2020 projects will be discussed from the perspective of European level urban mobility policies and societal challenges (task 6.5)
- host the Secretariat of the Political Advisory Committee, a body of local level policymakers who provide feedback to DG MOVE on policy matters, research and innovation priorities (task 6.6)

Description of work and role of partners

WP6 - Structured Networking [Months: 1-54]

REC, POLIS, RUPPRECHT, EUROCITIES ASBL, TML, UITP

Task 6.1 CIVITAS Secretariat (lead partner: REC)

The CIVITAS Secretariat acts as the central coordination hub of the CIVITAS Initiative. REC will continue to run the Secretariat within SATELLITE as it takes over from WIKI to whom it handed over after VANGUARD. It will host the information service to interact with potential ‘take-up’ cities, including prospective network members. Specific requests will be shared with partners responsible for WP3 and tasks 1.1, 4.1, 4.2 and 6.5. Interactions with potential take-up cities of CIVITAS results will be recorded in the existing CIVITAS outreach database (MS6.1). When calls for IA project proposals are launched, the Secretariat will provide a marketplace on the CIVITAS website, to facilitate partnerships.

Every city participating in a SATELLITE activity will be asked to sign the CIVITAS declaration. When a declaration to join the CIVITAS Forum network is signed, the Secretariat registers and orientates new members, sending them a ‘welcome pack’. 4-monthly updates on new accessions (MS6.2) will be circulated to internal key stakeholders (EC, CIVINETs, Thematic Groups) while a news article will be published on the website.

The Secretariat will maintain the Forum Network directory (MS6.3), which contains up-to-date details of all member cities. The directory will be updated annually as this is key to ensuring CIVITAS announcements are a success.

The Secretariat will also develop a network expansion strategy (MS6.4) to increase the network to 400 cities by 2020. REC will invite cities and organisations involved in SATELLITE activities to join the Forum network. Furthermore, the Secretariat – supported by REC’s involvement in European Mobility Week – will address the over 2,000 cities that engage in this initiative.

Task 6.2 CIVITAS Forum conferences (lead partner: REC; support: Polis, Rupprecht, EUROCITIES)

The Forum conferences are the single biggest event in the CIVITAS calendar, with over 400 participants meeting to discuss technical solutions, innovations, and challenges to sustainable urban mobility. Considerable effort is involved to ensure it runs not only smoothly but successfully. In the coming years, particular attention will be accorded to themes such as smart mobility; jobs, growth and investment; urban transport policy-making and planning; vulnerable groups of citizens and gender issues and local policy objectives, also ensuring the results of CIVITAS IA and RIA projects are

brought to the fore. Each event will have a tangible result-oriented agenda linked to a theme so that the results become part of a connected series.

REC (having organised Forums '09, '10, '11 and '12) will organise Forums '17, '18, '19 and '20 (MS6.5) under SATELLITE together with EUROCITIES and Polis. This means hosting (with the EC and incumbent city) two meetings of the organising and programme committees. The programme committee will consist of each SATELLITE WP leader, REC and the EC. It agrees the date and programme content (building on the good overview obtained through SATELLITE of relevant and topical outcomes from across CIVITAS 2020), and oversees all organisational preparations according to a roadmap.

Preparations begin through a call (MS6.6), inviting potential host cities over one year beforehand. After the theme and tagline are defined, session formats, descriptions and speaker guidelines are drafted while the CIVITAS website is used to publish a call for abstracts prepared by EUROCITIES. REC and EUROCITIES make the pre-selection (confirmed by the committees), while EUROCITIES invites speakers, moderators and rapporteurs. As part of task 4.2, the Thematic Groups will be invited to design sessions for the Forum, with a special focus on promoting relevant research results of the RIAs projects. Furthermore, the CIVITAS Forum will feature invited sessions from related events such as the SUMP or TRA conference, bridging the respective initiatives with CIVITAS through e.g. a session with "best of" presentations and a summary of conference outcomes. Abstracts will feed into the MOVE newsletter (see subtask 5.2.2) as potential article content. The contributions of SATELLITE partners including the city networks lend vital insights in ensuring that the contents of all Forum sessions remain pertinent in the ever evolving field of sustainable urban mobility, while the CIVITAS IA project cities will also be involved in planning the events via the DLG and ELG (task 2.2 and 5.3).

REC will work closely with the host city to arrange the exhibition, side events, e.g. the Politicians' Forum (a specific event, MS6.7, for CIVITAS politicians and decision-makers to discuss less technical issues of interest to this group), the Political Advisory Committee meeting, and additional CIVITAS project meetings, participant registration, and the CIVITAS Award ceremony (see task 6.3). WP5 plus the city's press officer will assist in involving the media, supported by a tailored media programme and brief, besides press releases for the winners of the Awards.

SATELLITE will uphold the tradition of the CIVITAS Forum conference as an event that brings the CIVITAS community together. All task members will be involved in adding new dimensions to the programme to raise the level of engagement and interaction. CIVITAS Forum attendees are knowledgeable and goal-oriented, and appreciate relevance. Relying solely on the traditional lecture format will not be sufficient, and SATELLITE will therefore deliver a more immersive conference experience. In collaboration with the EC and the Forum host city, SATELLITE will incorporate (a selection of) the following new formats, which can be further fine-tuned on the basis of what stakeholders identify as important in the WP1 stakeholder surveys:

- **Marketplace & Deployment Day:** The CIVITAS Forum marketplace (organised by Polis) will be a re-branded exhibition where representatives from industry (identified by Rupprecht through task 4.4) will be specifically invited to attend. Stands will showcase tools and methodologies (being) developed within and beyond CIVITAS 2020. The marketplace will fully exploit the market potential of tools and methodologies by matching CIVITAS cities with industry partners, e.g. to agree on the roll-out of commercial products. Such private sector involvement would increase the CIVITAS Initiative's contribution to economic growth and the creation of new jobs. While the marketplace exhibition would be on display throughout the whole duration of the Forum conference, it will receive particular attention on the so-called CIVITAS Deployment Day, which will specifically encourage public-private cooperation, offering different formats for engagement and discussion between industry stakeholders and cities, with a special focus on products coming out of the RIA projects. Exchange will be encouraged through interactive formats such as speed networking and world cafés, while the potential business case for specific innovations will be the subject of discussion through the so-called "CIVICASH stock exchange", inviting participants to invest in solutions they consider the most promising for tackling particular local transport challenges.
- **Participant missions:** a holistic approach to the participant experience in which each participant registers and selects a "mission" to fulfil during the event
- **Walking sessions/presentations:** relevant and focussed technical site visits with a strong networking component to encourage a practice-based learning experience, directly related to priority topics of the conference
- **Walk-in workshops:** open sessions for people to come in, ask questions and get tailored advice in view of the transfer of concrete innovative measures between cities

More traditional-type workshop approaches will also still be maintained, but enhanced with interactive aspects, e.g. body voting, role-playing panel discussions, interactive case study sessions, focus groups, etc.

Following each conference, SATELLITE will prepare a non-public conference report (D6.1) consisting of an evaluation of participant feedback, and recommendations for future Forum conferences from the SATELLITE team, the EC and the host city (the programme committee). All presentations will be made available on the CIVITAS website.

REC has budgeted 10,000€ per Forum conference to reimburse speakers and moderators' travel and hotel expenses, as well as participants from EU accession and candidate countries and if need be, outside Europe. 20,000€ per event is set aside to make a contribution to the conference's key expenses besides specific services (catering services, photography, audio-visual services, musicians, etc.). An amount of 5,000€ per Forum conference has been set aside for providing subcontracts to keynote speakers and moderators where a fee for their contribution is requested.

Task 6.3 CIVITAS Award series (lead partner: REC)

The CIVITAS Awards, hosted during the annual Forum Conferences (MS6.8), will continue to be the opportunity to publicly recognise and celebrate CIVITAS results and their contribution to individual cities' sustainable urban mobility. The same team that raised the prestige of and considerable participation in the CIVITAS Awards between 2009 and 2012 under VANGUARD will continue under SATELLITE. REC will (with the host of the conference) involve an independent five-member jury, facilitate the voting process, identify the master of ceremonies and provide the necessary tools for a ceremonious occasion. This will ensure the event is not just a successful media event, but encourages participation of more cities in subsequent years.

ICLEI through WP5 will make a significant contribution and the CIVITAS Secretariat will ensure the timely publishing of the results on the CIVITAS Awards webpage. All applications and abstracts will be provided to WP5, as they constitute valuable city case studies that may be useful in subsequent publications and workshops (tasks 5.2 and 5.6).

To ensure the Award series continues to meet expectations and takes advantage of new opportunities, the existing award categories (technical innovation, public participation, CIVITAS city of the year) will – in agreement with the EC – be revisited and replaced or extended with categories which emphasise the importance of a longer-term legacy of CIVITAS measures in cities and the link between the public and private sector. The following categories are therefore proposed:

- CIVITAS Legacy Award: for a city that has successfully engaged in CIVITAS and managed to translate this into long-term innovative measures and related impacts
- CIVITAS Business Engagement Award: for a successful public-private partnership and/or product that contributes to tackling a local urban transport challenge
- CIVITAS Bold Measure Award: rewarding a daring and innovative measure that hasn't been widely implemented yet and positions the city as pioneer in a certain area
- CIVITAS Forum Participant of the Year: special award for the Forum participant who came the longest way by sustainable modes of transport (bicycle, train, etc.)

To keep the CIVITAS Award series dynamic allow for different types of initiatives to be rewarded, award categories could partly change on an annual basis. In that case, other categories that could be envisaged include:

- CIVITAS Take-Up Award: rewarding a successful transfer of innovations from one city to another
- CIVITAS Financing Award: innovative financing approaches for innovation in economically challenging times
- CIVITAS Network of the Year: spotlight on one of the CIVINETs for outstanding and innovative outreach and take-up during the preceding year

Task 6.4 CIVINET liaison and Activity Fund (lead partner: REC)

CIVITAS National Networks (CIVINETs) promote the CIVITAS approach by translating CIVITAS activities and results to local contexts, thus allowing the initiative to transcend regional and language barriers, while still remaining an essentially European initiative that builds on a pan-European and cross-national exchange approach. CIVINETs have been supported first through their inception (5 networks in the CIVINET project, 5 networks in CAPITAL), developing their core activities and membership (CIVINET, CATALIST and CAPITAL), and preparing business plans and programmes of additional activities (CATALIST and CAPITAL); SATELLITE support the networks in their next stage of development. The CIVINETs worked throughout (and prior to) CAPITAL to establish self-sufficiency for core activities. After having received start-up financing and having existed for several years, such costs are covered by the CIVINETs' membership fees and other core funding sources. Prior business models of the CIVINETs have seen operational costs being incurred primarily by services of consultant organisations. SATELLITE emphasises a balanced approach, with direct funding opportunities as well as services, participatory, and in-kind support. Furthermore, with four long-established, widely recognised, stakeholder-driven and self-sufficient European network organisations in the consortium, SATELLITE will make use of its networking resources and expertise to contribute to effective CIVINET communications and operations. By this stage, the established CIVINETs are mature and should be able to sustain their basic functions, with SATELLITE offering a wide range of support through priority participation in its activities, as well as a dedicated Activity Fund for further activities.

CIVINETs will "translate" CIVITAS outputs to the national level by means of a competitive CIVINET Activity Fund for activities of the current CIVINETs and in support of starting new networks. The CIVINET Activity Fund will comprise a sum of 250,000€. Two calls (MS6.9a and c) will be launched to provide funding for activities of the current ten CIVINETs (110,000€ for each call), i.e. in total 220,000€. This implies that each CIVINET can receive on average

22,000€ from SATELLITE. Funded activities will include, but not be limited to, capacity building activities (workshops, seminars, site visits, translation of e-courses/learning material, providing expert advice to members), transfer and take-up activities (peer-to-peer exchanges, translation of TG material), and translation of promotional material, including postcards, the “Welcome to CIVITAS” booklet, and roll-ups (subtask 5.2.4). Activities are expected to adequately address gender and social inclusion issues. Ambitious CIVINETs that are more active will receive more funding than those less active; this model was already used for funding additional activities under CAPITAL and was successful in ensuring that active, resourceful CIVINETs can continue to be active. Experience thus far has shown that a fully flexible Activity Fund, prioritising high demand activities, is optimal for empowering CIVINETs to engage their members. Some networks, e.g. CIVINET Slovenia-Croatia, are still relatively new and dynamic, while others, e.g. CIVINET Francophone, have been inactive and did not use any of the “activity funding” earmarked for them. The Activity Fund will allow active and ambitious networks to be eligible for more funding, rather than having fixed amounts. This “activity funding” approach considers funding of institutional structures as a lower priority, but ensures that CIVINETs budgets are used to the maximum effectiveness and flexibility with a focus on funding concrete outputs.

SATELLITE will offer the CIVINETs: full support for activities via the Activity Fund, preferential selection of its members for funded peer-to-peer activities (task 4.1), and non-financial support through SATELLITE’s other activities, e.g. capacity building activities, Thematic Group activities and output (task 4.2), PAC input (task 6.6), CIVITAS Forum (task 6.1), MOVE newsletter (task 5.2), strong visibility on CIVITAS website. Thus, active and ambitious CIVINETs will have resources to organise and engage in activities to a greater degree than before, and budget will not be reserved and unused by less active CIVINETs who may not require funding for activities at some stages of the project. Furthermore, SATELLITE will communicate regularly with the CIVINETs and provide them with dedicated information and news from the CIVITAS world, esp. from the SATELLITE project as well as the IA and RIA projects.

In addition, one call will be launched for the establishment of new CIVINETs (30,000€) (MS6.9b). Based on previous experiences, this amount will be sufficient to support the establishment of 2-3 new networks. Contacts for new networks have already been established with OER – Energy Cities Romania and European Integrated Projects (EIP), interested in commonly establishing a CIVINET Romania-Moldova, and the Union of the Baltic Cities (UBC), interested in establishing a Nordic-Baltic CIVINET for Norway, Sweden, Denmark, Finland, Estonia, Latvia and Lithuania. Letters of Support are included in Annex I. Setting up a Bulgarian network is discussed within CAPITAL. However, an unbiased evaluation of applications for establishing new CIVINETs will be ensured: no preference will be given to organisations that submitted support letters. SATELLITE partners have close links with all existing CIVINETs through their involvement in CAPITAL and other CIVITAS projects. Letters of Support for the SATELLITE proposal have been received from the following CIVINETs: CIVINET German-speaking areas, CIVINET Hungary, CIVINET Italia, CIVINET Netherlands/Flanders, CIVINET Poland, CIVINET Slovenia-Croatia, and CIVINET UK & Ireland (see Annex I); despite the competitive situation of his call. Shortly after the start of the project, Memoranda of Understanding will be sought with all CIVINETs to underpin the collaboration with SATELLITE (MS6.10).

As the principal activities and outputs of CIVITAS will be at a European rather than national level, the main goal of the networks is to “translate” and “localise” CIVITAS outputs, as relevant and tailored input to discussions/policy developments on the respective national levels – however always ensuring that the focus of “national” CIVINETs remains on the “European perspective” (rather than appearing to create competition with the official national associations of local authorities, or losing focus by allowing CIVITAS to follow a decentralised national approach). An important role of all SATELLITE networks (including the CIVINETs) will be to provide input to CIVITAS from (national) local perspectives in order to enrich and deepen European level discussions. SATELLITE will also actively ensure that local interests are to the greatest extent possible covered in discussion, trainings and other events. Through three results dissemination workshops (subtask 5.6.2), SATELLITE will further connect the CIVINETs to the work being done in CIVITAS 2020 projects. The CIVINETs will also be consulted from the very first stage of SATELLITE, by making them part of the WP1 stakeholder surveys.

The subcontracts with the CIVINETs will be coordinated by REC (as a neutral, non-network organisation), who will be responsible for launching the Activity Fund calls, liaising with the CIVINETs to address questions, preparing and providing a template for activity reports, and reviewing reports. At the end of the project REC will prepare a summary report on all CIVINET Activity Fund activities and outcomes (D6.2).

Task 6.5 CIVITAS Advisory Groups (lead partner: Polis; support: Rupperecht, TML, UITP)

Four CIVITAS Advisory Groups (AGs) will be established to ensure a link between CIVITAS 2020 activities and European level urban mobility policies. While the CIVITAS CAPITAL AGs were more closely related to the CIVITAS policy fields, the SATELLITE AGs will be more cross-sectional in nature and address high level societal challenges or trends from an urban transport perspective. Provided the EC agrees, SATELLITE would propose to address the following societal challenges:

- Air quality: with transport accounting for a substantial share of local air quality problems, this remains a challenge for cities
- Social inclusion: how to cater for vulnerable groups of users and demographic trends and changes
- Game changers that impact on the way mobility is organised: sharing economy (bike-sharing, (e-)car-sharing, ride-sharing, etc.), connectivity, automation, mobility as a service
- Infrastructure development: optimise transport infrastructure in economically challenging times; link to TEN-T, urban nodes

The groups will consist of a mix of selected external experts, city representatives, and representatives from the RIA projects. The Thematic Groups (WP4) on the other hand, will address more concrete and technical topics, directly linking into the CIVITAS policy fields, and focus on take-up and transfer.

Close links will be established between the AGs and the Political Advisory Committee (see task 6.6 for more information on the PAC). The PAC and the AGs will enter into a dialogue, where specific policy issues can be brought forward by the PAC to the AGs to explore and provide recommendations. Topics of the AG activities will be defined on a yearly basis (from Forum to Forum) in close coordination with the EC and the PAC.

The AGs will work towards concrete outputs, such as policy recommendations, which will be documented for the EC in internal annual reports (D6.3). Each AG will have one virtual and three face-to-face meetings throughout the course of SATELLITE, starting in month 6 and ending six months before the completion of the project. The first six months of SATELLITE will be used to agree on priority topics with the EC and select appropriate experts (MS6.11). Travel costs for up to four experts per group will be reimbursed at a maximum of 500€. In addition, 3,000€ has been reserved for meeting costs and 900€ for travel costs of Rupprecht to Brussels. This amounts to a total of 27,900€.

Polis is task leader, all partners involved are in charge of one AG, which includes liaising with the EC and PAC on topics to be addressed, setting the group's terms of reference, producing AG outputs and compiling annual reports.

Task 6.6 CIVITAS Political Advisory Committee (lead partner: Polis; support: REC)

The CIVITAS Political Advisory Committee (PAC), being a soundboard for new ideas, has traditionally brought to the EC's attention, city-level views and policy needs on urban mobility, and offered a forum for peer exchange between local transport politicians. Within SATELLITE, the PAC will continue to serve as a group for peer exchange between politicians that in addition can engage with the EC about CIVITAS related policies and deliver feedback and messages from the local level.

The work of the PAC will follow a two-year work plan (D6.4) which Polis and REC will prepare for the first period 2017-2018 within SATELLITE's first six months, in consultation with the EC, PAC members and chairs. Naturally, the PAC will remain a community with a bottom-up approach, so agenda items will be invited from the members first. Non-binding, the work plan will be drafted in the context of the Urban Mobility Package and the Jobs, Growth and Investment Commission priority, while also focusing on societal challenges such as air quality, social inclusion, and accessibility, rather than concrete legislation. This will directly link to the CIVITAS AGs (task 6.5). The PAC and AGs will enter into a dialogue in which specific policy issues can be brought forward by the PAC to the AGs to explore and provide recommendations.

The work of the Thematic Groups under WP4 will also be of relevance. TG members will act as "sherpas" to PAC members that upon request will address specific questions related to concrete urban transport take-up challenges. TGs will support PAC members with information based on projects results, research or discussions. Questions and missions for the TGs would be posed at the PAC meeting taking place at the CIVITAS Forum. The PAC Sherpa would convey the PAC's message to the respective TGs, which would then set to work over the next year to address the query. CIVINETs will also be invited to engage in this exchange.

Four PAC statements (MS6.12) will be drafted and edited by Polis, based on the contributions and endorsement of PAC members. Key messages will feed into the MOVE newsletter and results material (task 5.6).

The PAC Secretariat will issue the calls for new PAC members, vice-chairs and chairs every two years (MS6.13). Applications are summarised and forwarded to the EC for decision-making. The PAC's members are posted on the CIVITAS website within task 5.2. SATELLITE will organise two PAC meetings per year (MS6.14), one back-to-back with the annual CIVITAS Forum, a second in a member city combined with a CIVITAS city/study tour or peer review. Meeting minutes will be prepared by REC (D6.5). In total, 2,000€ were put aside to cover hosting expenses, where an in-kind contribution cannot be confirmed.

Partner number and short name	WP6 effort
1 - POLIS	10.25
2 - RUPPRECHT	2.75
3 - EUROCITIES ASBL	4.00
5 - REC	46.00
6 - TML	1.75
7 - UITP	1.75
Total	66.50

List of deliverables

Deliverable Number ¹⁴	Deliverable Title	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D6.1	CIVITAS Forum conference report	5 - REC	Report	Public	52
D6.2	Summary report on CIVINET Activity Fund activities and outcomes	5 - REC	Report	Public	46
D6.3	Advisory Groups Annual Report	1 - POLIS	Report	Public	42
D6.4	Political Advisory Committee 2-year work plan	1 - POLIS	Report	Public	30
D6.5	Minutes of Political Advisory Committee meetings	1 - POLIS	Report	Public	46

Description of deliverables

D6.1a-d CIVITAS Forum conference report (task 6.2) (month 16, 28, 40, 52)
 D6.2 Summary report on CIVINET Activity Fund activities and outcomes (task 6.4) (month 46)
 D6.3a-c Advisory Groups Annual Report (task 6.5) (month 18, 30, 42)
 D6.4a-b Political Advisory Committee 2-year work plan (task 6.6) (month 6, 30)
 D6.5a-h Minutes of Political Advisory Committee meetings (task 6.6) (month 10, 16, 22, 28, 34, 40, 46)
 D6.1 : CIVITAS Forum conference report [52]
 D6.1a-d CIVITAS Forum conference report (task 6.2) (month 16, 28, 40, 52)
 D6.2 : Summary report on CIVINET Activity Fund activities and outcomes [46]
 D6.2 Summary report on CIVINET Activity Fund activities and outcomes (task 6.4) (month 46)
 D6.3 : Advisory Groups Annual Report [42]
 D6.3a-c Advisory Groups Annual Report (task 6.5) (month 18, 30, 42)
 D6.4 : Political Advisory Committee 2-year work plan [30]
 D6.4a-b Political Advisory Committee 2-year work plan (task 6.6) (month 6, 30, 38)
 D6.5 : Minutes of Political Advisory Committee meetings [46]

D6.5a-h Minutes of Political Advisory Committee meetings (task 6.6) (month 10, 16, 22, 28, 34, 40, 46, 52)

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS34	CIVITAS outreach database set up	5 - REC	1	MS6.1 CIVITAS outreach database set up, M 1
MS35	Update on new CIVITAS Forum members sent to key stakeholders	5 - REC	6	MS6.2 Update on new CIVITAS Forum members sent to key stakeholders, every 4 months
MS36	Annual Forum Network Directory update prepared	5 - REC	48	MS6.3a-d Annual Forum Network Directory update prepared, M 12, 24, 36, 48
MS37	CIVITAS Forum Network expansion strategy	5 - REC	6	MS6.4 CIVITAS Forum Network expansion strategy, M 6
MS38	CIVITAS Forum conferences held	5 - REC	51	MS6.5a-d CIVITAS Forum conferences held, M 15, 27, 39, 51
MS39	Call for CIVITAS Forum host city published	5 - REC	39	MS6.6a-d Call for CIVITAS Forum host city published, M 15, 27, 39
MS40	CIVITAS Politicians' Forum held	5 - REC	51	MS6.7a-d CIVITAS Politicians' Forum held, M 15, 27, 39, 51
MS41	CIVITAS Awards awarded at CIVITAS Forum conferences and corresponding news item published on CIVITAS website	5 - REC	51	MS6.8a-d CIVITAS Awards awarded at CIVITAS Forum conferences and corresponding news item published on CIVITAS website, M 15, 27, 39, 51
MS42	CIVINET Activity Fund calls launched	5 - REC	4	MS6.9a-c CIVINET Activity Fund calls launched (1st and 3rd call for existing CIVINETs, 2nd call for establishment of new CIVINETs), M 4
MS43	Memoranda of Understanding signed with CIVINET Secretariats	5 - REC	3	MS6.10 Memoranda of Understanding signed with CIVINET Secretariats, M 3
MS44	Agreement on priority topics of Advisory Group reached with	1 - POLIS	6	MS6.11 Agreement on priority topics of Advisory Group reached

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
	EC; experts of AGs selected			with EC; experts of AGs selected, M 6
MS45	Political Advisory Committee statements drafted	1 - POLIS	51	MS6.12a-d Political Advisory Committee statements drafted, M 15, 27, 39, 51
MS46	Call for members, vice-chair and chair of PAC published	1 - POLIS	36	MS6.13a-b Call for members, vice-chair and chair of PAC published, M 12, 36
MS47	Political Advisory Committee meeting held	1 - POLIS	51	MS6.14a-h Political Advisory Committee meeting held, M 9, 15, 21, 27, 33, 39, 45, 51

Work package number ⁹	WP7	Lead beneficiary ¹⁰	1 - POLIS
Work package title	Project Coordination and Management		
Start month	1	End month	54

Objectives

- ensure that all partners comply with all financial and administrative requirements of the Grant Agreement (task 7.1)
- set up sound lines of communication between project partners, its management bodies and the EC (task 7.2)
- ensure smooth and seamless implementation of project activities in compliance with the Description of Work and report on project progress vis-à-vis the EC (task 7.3)
- set up and manage a quality control mechanism encompassing all project outputs (task 7.4)
- set up and manage a framework for the identification, monitoring and prevention of risks at project level (task 7.5)

Description of work and role of partners

WP7 - Project Coordination and Management [Months: 1-54]

POLIS, RUPPRECHT, EUROCITIES ASBL, ICLEI EURO, REC, TML, UITP

Task 7.1 Financial and contract management (lead partner: Polis; support: all partners)

Polis will be the SATELLITE Project Coordinator (PC). In this role, Polis will be in charge of all activities related to the financial management of the project and will have the overall contractual responsibility vis-à-vis the EC. Polis will monitor expenses against the project budget, administer and distribute EC payments to partners, keep records of the distribution of the EC financial contribution, monitor compliance with the Horizon 2020 financial rules by all partners, liaise with partners and the EC with regard to financial and contractual aspects, and ensure compliance with the grant agreement and the consortium agreement. Polis will also coordinate contract amendment procedures, if they prove to be necessary. Furthermore, Polis will collect all necessary input from partners to prepare the financial part of the periodic progress reports linked to the consortium activities and as requested by the Grant Agreement with the EC.

All partners will contribute to this task by providing their input to the financial reports. Also, a budget has been reserved for all partners with an EC contribution of 325,000€ or more to prepare certificates on financial statements (CFS).

Task 7.2 Project coordination (lead partner: Polis; support: Rupperecht)

As PC, Polis will set up and ensure sound lines of communication between all project partners as well as between its management bodies, and act as the interface between the EC and the consortium. Polis will handle project correspondence and day-to-day requests from partners; monitor partners' input to the project and overall compliance with the project's timetable and the beneficiaries' obligations under the Grant Agreement and Consortium Agreement.

The PC, supported by Rupperecht, will be responsible for the preparation, organisation and follow-up of two consortium meetings per year (MS7.1) and the monthly project conference calls (MS7.2) (which will be organised via a web-based software tool) during which WP leaders will have to report on progress and resource usage, thus providing a streamlined process for tracking progress and facilitating reporting. With support from Rupperecht, Polis will follow up on meetings and telephone conferences by preparing minutes and putting together a list of Action Items.

Task 7.3 Project management and progress reporting (lead partner: Rupperecht; support: Polis)

Rupperecht will be the SATELLITE Project Manager (PM). With support from Polis, Rupperecht will monitor the process of project implementation and the compliance of progress with the work plan as described in Part B, esp. from a content perspective. Project management will also implement an efficient overall management and internal reporting mechanism ensuring close cooperation and integration of different WPs and project activities. The activities of each WP hinge of successful cooperation both at an internal project level and at a wider CIVITAS level. Thus, individual WP effort has a built-in integration factor that will be facilitated via the aforementioned biannual project meetings and monthly project conference calls.

Furthermore, the PM, supported by Polis, will be responsible for preparing the periodic progress reports and final report for the EC. Rupperecht and Polis will in addition prepare short status updates for the EC in between the official reporting periods (D7.1). These will not include detailed financial data, but rather focus on the progress of the individual SATELLITE work packages. While preparing the progress reports and status updates, Rupperecht will review partners' input to the reports to verify consistency with the project tasks. The PM, supported by Polis, will also be responsible for post-processing EC review reports on the progress reports.

To support efficient project management and progress reporting the PM will at the start of the project set up (MS7.3) and manage the content of the project-internal internet-based collaboration and document management platform (SharePoint).

Task 7.4 Quality Control (lead partner: Rupperecht; support: Polis)

The PM will have the overall responsibility for the quality control of all Deliverables prepared in the project. The PM – with support from Polis – will not only coordinate and support the preparation of project Deliverables but will also set up an internal quality control system which will be part of the Consortium Agreement (see also chapter 3.2). Thus it will be ensured that project outputs will be of a high standard in terms of providing material that is relevant, clear, comprehensive, and innovative. Quality of outputs and deliverables will be assured through a three level quality control process, coordinated by the PM:

- Internal quality control: At the start of the project, deliverable preparation guidelines (MS7.4) will be provided to partners by the PM. Before publication, each Deliverable will be controlled for quality by the PM and PC.
- External quality control: When pertinent, in order to obtain an external and independent expert perspective on the work of SATELLITE and to make sure it meets the target groups' expectations, selected external experts involved in the CIVITAS Thematic Groups or Advisory Groups will be invited to comment on specific key deliverables.
- Gathering and assessment of stakeholder feedback: SATELLITE will be reaching out to many external stakeholders through its CIVITAS 2020 Coordination Platform, capacity building and peer-to-peer exchange activities, and structured networking. To be able to constantly adapt to the needs of the target groups concerned, feedback questionnaires will be used for the different activities, which will in turn feed into the further optimisation of project activities.

Task 7.5 Risk Management (lead partner: Rupperecht; support: Polis)

The PM will be responsible for the coordination of identifying risks at project level, and by regularly monitoring them prevent as much as possible that risks develop into implementation barriers. With support from Polis, Rupperecht will make sure that swift and immediate action will be taken to address and solve risks as early as possible.

In order to account for potential risks when implementing the different project tasks and ensure a suitable response if aspects do not go as planned, the SATELLITE consortium will carry out a preliminary analysis of potential risks during the project's kick-off meeting (MS7.5). Rather than examining the causes of a crisis after it has occurred, SATELLITE will take a proactive approach to risk management. Each consortium member will be engaged in a brief exercise, in which they are asked to imagine the project failing and list the reasons why. In doing so, the consortium will then work backward to determine what could potentially lead to the project failing to accomplish its goals, while maintaining a positive group discussion, as those who raise concerns will be critical thinkers who can identify the main threats to the project. By acknowledging possible risks, the consortium will be well equipped to deal with failure before, rather than after it happens and to excel in preventing it.

As a basis for exercise, several risks and mitigation strategies have already been considered (see table 5 in Chapter 3.2). The risk registry and the corresponding risk-mitigation measures and planned contingency activities will be updated by the PM in cooperation with all project partners on a regular basis (MS7.6a-c).

Participation per Partner

Partner number and short name	WP7 effort
1 - POLIS	10.00
2 - RUPPRECHT	12.50
3 - EURO CITIES ASBL	1.00
4 - ICLEI EURO	1.00
5 - REC	1.00
6 - TML	1.00
7 - UITP	1.00
Total	27.50

List of deliverables

Deliverable Number ¹⁴	Deliverable Title	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D7.1	SATELLITE status updates for EC	2 - RUPPRECHT	Report	Confidential, only for members of the consortium (including the Commission Services)	45

Description of deliverables

D7.1a-c SATELLITE status updates for EC (task 7.3) (month 9, 27, 45)

D7.1 : SATELLITE status updates for EC [45]

D7.1a-c SATELLITE status updates for EC (task 7.3) (month 9, 27, 45)

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS48	Bi-annual consortium meetings	1 - POLIS	48	MS7.1 Bi-annual consortium meetings , M 1, 6, 12, 18, 24, 30, 36, 42, 48
MS49	Monthly conference calls	1 - POLIS	54	MS 7.2 Monthly conference calls , monthly
MS50	Risk assessment workshop during kick-off meeting	2 - RUPPRECHT	1	MS7.3 Risk assessment workshop during kick-off meeting, M 1
MS51	Risk registry and corresponding contingency plans updated	2 - RUPPRECHT	36	MS7.4a-c Risk registry and corresponding contingency plans updated, M 12, 24, 36

Work package number ⁹	WP8	Lead beneficiary ¹⁰	1 - POLIS
Work package title	Ethics requirements		
Start month	1	End month	54

Objectives

The objective is to ensure compliance with the 'ethics requirements' set out in this work package.

Description of work and role of partners

WP8 - Ethics requirements [Months: 1-54]

POLIS

This work package sets out the 'ethics requirements' that the project must comply with.

List of deliverables

Deliverable Number ¹⁴	Deliverable Title	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D8.1	H - Requirement No. 1	1 - POLIS	Ethics	Confidential, only for members of the consortium (including the Commission Services)	2
D8.2	POPD - Requirement No. 2	1 - POLIS	Ethics	Confidential, only for members of the consortium (including the Commission Services)	2

Description of deliverables

The 'ethics requirements' that the project must comply with are included as deliverables in this work package.

D8.1 : H - Requirement No. 1 [2]

2.2. Detailed information must be provided on the informed consent procedures that will be implemented for the participation of humans. 4.1. The applicants must commit to obtaining opinion or confirmation by the competent Institutional Data Protection Officer and/or authorization or notification by the National Data Protection Authority (which ever applies according to the Data Protection Directive (EC Directive 95/46, currently under revision, and the national law). 4.3. Justification must be given in case of collection and/or processing of personal sensitive data. 4.2. If the position of a Data Protection Officer is established, their opinion/confirmation that all data collection and processing will be carried according to EU and national legislation, should be submitted. 4.4. Detailed information must be provided on the procedures that will be implemented for data collection, storage, protection, retention and destruction and confirmation that they comply with national and EU legislation. 4.5. Detailed information on the informed consent procedures that will be implemented in regard to the collection, storage and protection of personal data must be submitted on request. 4.7. The applicant must explicitly confirm that the data used are publicly available. 4.8. In case of data not publicly available, relevant authorisations must be provided.

D8.2 : POPD - Requirement No. 2 [2]

2.2. Detailed information must be provided on the informed consent procedures that will be implemented for the participation of humans. 4.1. The applicants must commit to obtaining opinion or confirmation by the competent Institutional Data Protection Officer and/or authorization or notification by the National Data Protection Authority (which ever applies according to the Data Protection Directive (EC Directive 95/46, currently under revision, and

the national law). 4.3. Justification must be given in case of collection and/or processing of personal sensitive data. 4.4. Detailed information must be provided on the procedures that will be implemented for data collection, storage, protection, retention and destruction and confirmation that they comply with national and EU legislation. 4.5. Detailed information on the informed consent procedures that will be implemented in regard to the collection, storage and protection of personal data must be submitted on request. 4.7. The applicant must explicitly confirm that the data used are publicly available. 4.8. In case of data not publicly available, relevant authorisations must be provided.

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
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1.3.4. WT4 List of milestones

Milestone number ¹⁸	Milestone title	WP number ⁹	Lead beneficiary	Due Date (in months) ¹⁷	Means of verification
MS1	Annual CIVITAS 2020 Project Coordinators' meetings held	WP1	1 - POLIS	39	M1.1 Annual CIVITAS 2020 Project Coordinators' meetings held, M 3, 15, 27, 39
MS2	Virtual cooperation and coordination platform on CIVITAS Exchange Hub set up	WP1	4 - ICLEI EURO	6	MS1.2 Virtual cooperation and coordination platform on CIVITAS Exchange Hub set up, M 6
MS3	Face-to-face ELG meetings held (back-to-back with CIVITAS Forum conferences)	WP2	6 - TML	39	MS2.1a-d Face-to-face ELG meetings held (back-to-back with CIVITAS Forum conferences) M 3, 15, 27, 39
MS4	Online ELG meetings held	WP2	6 - TML	48	MS2.2 Online ELG meetings held , every 4 months (month 1-48)
MS5	Agreement made with IA projects on planning and timing of evaluation activities	WP2	6 - TML	6	MS2.3 Agreement made with IA projects on planning and timing of evaluation activities, M 6
MS6	Joint workshop among IA and RIA projects on evaluation results	WP2	6 - TML	27	MS 2.4 Joint workshop among IA and RIA projects on evaluation results, M 27
MS7	Questionnaire on policy recommendations sent to CIVITAS 2020 project cities	WP2	6 - TML	38	MS2.5 Questionnaire on policy recommendations sent to CIVITAS 2020 project cities, M 38
MS8	SATELLITE-internal workshop on policy recommendations held	WP2	6 - TML	42	MS2.6 SATELLITE-internal workshop on policy recommendations held, M 42
MS9	Online survey on post-CIVITAS activities provided to previously-funded CIVITAS cities	WP2	6 - TML	32	MS2.7 Online survey on post-CIVITAS activities provided to previously-funded CIVITAS cities, M 32
MS10	Webinar held on "How to organise an effective and engaging webinar"	WP3	2 - RUPPRECHT	4	MS3.1 Webinar held on "How to organise an effective and engaging webinar", M 4

Milestone number ¹⁸	Milestone title	WP number ⁹	Lead beneficiary	Due Date (in months) ¹⁷	Means of verification
MS11	Template provided to CIVITAS 2020 projects for online participant feedback form to assess participant satisfactions' with online learning offerings	WP3	2 - RUPPRECHT	6	MS3.2 Template provided to CIVITAS 2020 projects for online participant feedback form to assess participant satisfactions' with online learning offerings, M 6
MS12	Interim assessments of participants' feedback on online courses held in CIVITAS 2020	WP3	2 - RUPPRECHT	37	MS3.3a-c Interim assessments of participants' feedback on online courses held in CIVITAS 2020, M 13, 25, 37
MS13	Library set up of collected past and ongoing online courses and recorded webinars on sustainable urban mobility	WP3	2 - RUPPRECHT	5	MS3.4 Library set up of collected past and ongoing online courses and recorded webinars on sustainable urban mobility, M 5
MS14	Kick-off webinars held	WP3	2 - RUPPRECHT	40	MS3.5a-f, Kick-off webinars held, M 10, 16, 22, 28, 34, 40
MS15	Calls to participate in peer-to-peer exchanges published (for visiting and host cities)	WP4	3 - EUROCIETIES ASBL	39	MS4.1a-d Calls to participate in peer-to-peer exchanges published (for visiting and host cities), M 4, 15, 27, 39
MS16	Four work placements held each year	WP4	3 - EUROCIETIES ASBL	46	MS4.2a-d Four work placements held each year, M 12, 24, 36, 46
MS17	One study visit held each year	WP4	3 - EUROCIETIES ASBL	46	MS4.3a-d One study visit held each year, M 12, 24, 36, 46
MS18	Annual Thematic Group meeting held	WP4	1 - POLIS	39	MS4.4a-d Annual Thematic Group meeting held, M 15, 27, 39
MS19	Annual virtual meetings of the Thematic Groups held	WP4	1 - POLIS	45	MS4.5a-d Annual virtual meetings of the Thematic Groups held, M 9, 21, 33, 45
MS20	PAC questions conveyed to Thematic Groups by PAC Sherpas	WP4	1 - POLIS	39	MS4.6a-d PAC questions conveyed to Thematic Groups by PAC Sherpas, M 15, 27, 39

Milestone number ¹⁸	Milestone title	WP number ⁹	Lead beneficiary	Due Date (in months) ¹⁷	Means of verification
MS21	International distribution list prepared	WP4	7 - UITP	3	MS4.7 International distribution list prepared, M 3
MS22	CIVITAS representation at annual meeting of Transport Research Board	WP4	2 - RUPPRECHT	42	MS4.8a-d CIVITAS representation at annual meeting of Transport Research Board, M 6, 18, 30, 42
MS23	CIVITAS website handover from CIVITAS WIKI completed	WP5	4 - ICLEI EURO	4	MS5.1 CIVITAS website handover from CIVITAS WIKI completed, M 4
MS24	Overview of proposed improvements of CIVITAS website sent to EC	WP5	4 - ICLEI EURO	6	MS5.2 Overview of proposed improvements of CIVITAS website sent to EC, M 6
MS25	Minor improvements of CIVITAS website implemented	WP5	4 - ICLEI EURO	12	MS5.3 Minor improvements of CIVITAS website implemented, M 12
MS26	Online survey to connect personal interests with CIVITAS resources on CIVITAS website	WP5	4 - ICLEI EURO	5	MS5.4 Online survey to connect personal interests with CIVITAS resources on CIVITAS website, M5
MS27	Videos on progression of selected IA project measures uploaded on YouTube	WP5	4 - ICLEI EURO	44	MS5.5a-d Videos on progression of selected IA project measures uploaded on YouTube, M 20, 44
MS28	Video interviews with policy-makers and practitioners uploaded on YouTube	WP5	4 - ICLEI EURO	40	MS5.6a-d Video interviews with policy-makers and practitioners uploaded on YouTube, M 4, 16, 28, 40
MS29	Face-to-face DLG meetings held (back-to-back with CIVITAS Forum conferences)	WP5	4 - ICLEI EURO	39	MS5.7a-d Face-to-face DLG meetings held (back-to-back with CIVITAS Forum conferences), M 3, 15, 27, 39
MS30	Online DLG meetings held	WP5	4 - ICLEI EURO	42	MS5.8a-g Online DLG meetings held, M 6, 12, 18, 24, 30, 36, 42
MS31	CIVITAS@events working group set up on CIVITAS Exchange Hub	WP5	4 - ICLEI EURO	6	MS5.9 CIVITAS@events working group set up on CIVITAS Exchange Hub, M 6

Milestone number ¹⁸	Milestone title	WP number ⁹	Lead beneficiary	Due Date (in months) ¹⁷	Means of verification
MS32	Media outreach strategy delivered	WP5	4 - ICLEI EURO	6	MS5.10 Media outreach strategy delivered, M 6
MS33	Results dissemination workshops held	WP5	4 - ICLEI EURO	46	MS5.11a-c Results dissemination workshops held, M 40, 43, 46
MS34	CIVITAS outreach database set up	WP6	5 - REC	1	MS6.1 CIVITAS outreach database set up, M 1
MS35	Update on new CIVITAS Forum members sent to key stakeholders	WP6	5 - REC	6	MS6.2 Update on new CIVITAS Forum members sent to key stakeholders, every 4 months
MS36	Annual Forum Network Directory update prepared	WP6	5 - REC	48	MS6.3a-d Annual Forum Network Directory update prepared, M 12, 24, 36, 48
MS37	CIVITAS Forum Network expansion strategy	WP6	5 - REC	6	MS6.4 CIVITAS Forum Network expansion strategy, M 6
MS38	CIVITAS Forum conferences held	WP6	5 - REC	51	MS6.5a-d CIVITAS Forum conferences held, M 15, 27, 39, 51
MS39	Call for CIVITAS Forum host city published	WP6	5 - REC	39	MS6.6a-d Call for CIVITAS Forum host city published, M 15, 27, 39
MS40	CIVITAS Politicians' Forum held	WP6	5 - REC	51	MS6.7a-d CIVITAS Politicians' Forum held, M 15, 27, 39, 51
MS41	CIVITAS Awards awarded at CIVITAS Forum conferences and corresponding news item published on CIVITAS website	WP6	5 - REC	51	MS6.8a-d CIVITAS Awards awarded at CIVITAS Forum conferences and corresponding news item published on CIVITAS website, M 15, 27, 39, 51
MS42	CIVINET Activity Fund calls launched	WP6	5 - REC	4	MS6.9a-c CIVINET Activity Fund calls launched (1st and 3rd call for existing CIVINETs, 2nd call for establishment of new CIVINETs), M 4
MS43	Memoranda of Understanding signed with CIVINET Secretariats	WP6	5 - REC	3	MS6.10 Memoranda of Understanding signed with CIVINET Secretariats, M 3
MS44	Agreement on priority topics of Advisory Group	WP6	1 - POLIS	6	MS6.11 Agreement on priority topics of Advisory Group reached with EC;

Milestone number ¹⁸	Milestone title	WP number ⁹	Lead beneficiary	Due Date (in months) ¹⁷	Means of verification
	reached with EC; experts of AGs selected				experts of AGs selected, M 6
MS45	Political Advisory Committee statements drafted	WP6	1 - POLIS	51	MS6.12a-d Political Advisory Committee statements drafted, M 15, 27, 39, 51
MS46	Call for members, vice-chair and chair of PAC published	WP6	1 - POLIS	36	MS6.13a-b Call for members, vice-chair and chair of PAC published, M 12, 36
MS47	Political Advisory Committee meeting held	WP6	1 - POLIS	51	MS6.14a-h Political Advisory Committee meeting held, M 9, 15, 21, 27, 33, 39, 45, 51
MS48	Bi-annual consortium meetings	WP7	1 - POLIS	48	MS7.1 Bi-annual consortium meetings , M 1, 6, 12, 18, 24, 30, 36, 42, 48
MS49	Monthly conference calls	WP7	1 - POLIS	54	MS 7.2 Monthly conference calls , monthly
MS50	Risk assessment workshop during kick-off meeting	WP7	2 - RUPPRECHT	1	MS7.3 Risk assessment workshop during kick-off meeting, M 1
MS51	Risk registry and corresponding contingency plans updated	WP7	2 - RUPPRECHT	36	MS7.4a-c Risk registry and corresponding contingency plans updated, M 12, 24, 36

1.3.5. WT5 Critical Implementation risks and mitigation actions

Risk number	Description of risk	WP Number	Proposed risk-mitigation measures
R1	Delays in or low quality of input from project partners	WP7	WP leaders are highly experienced managers of European projects and will support the PM and PC in ensuring quality. The selection of partners with expertise and experience reduces the risk of timing or quality issues.
R2	Managerial changes within the project	WP7	The PC and PM have a skilled team and a system for project documentation to ensure that institutional knowledge is not lost over the course of the project.
R3	Host city contribution to the CIVITAS Forum conference	WP6	The terms of reference for CIVITAS Forum hosts will clearly indicate roles and responsibilities of local conference organisation and how this complements the work of the conference secretariat (which has organised several CIVITAS Forum conferences before).
R4	Lack of funds for CIVINETs	WP6	SATELLITE has calculated the amount needed to fund CIVINET activities based on those funded in CAPITAL. SATELLITE's exchange with the CIVINETs will continue to capacitate the networks to become self-sustaining, and CIVINET activities will be linked to other funded SATELLITE activities (peer-to-peer exchange, CIVITAS Forum, etc.) when possible. The networks will seek funding from local and national sources for their core activities. All activities will be monitored and if there is extremely high demand/positive feedback for certain activities, budget shifts can be considered (see Chapter 3.4).

Risk number	Description of risk	WP Number	Proposed risk-mitigation measures
R5	Lack of payment to experts, exchange participants, or CIVINETs	WP4, WP6	Calls for peer-to-peer activities and CIVINET activities will be timed with project payments. Further, partners responsible for payment administration will have a payment process planned to avoid payment becoming a bottleneck.
R6	Host city contribution to the CIVITAS Forum conference	WP6	The terms of reference calling for CIVITAS Forum hosts will clearly indicate the financial roles and responsibilities to be expected in terms of local conference hosting and how this complements the work of the conference secretariat.
R7	Compatibility problems in taking over the CIVITAS website	WP5	The WP5 leader has detailed knowledge of the current civitas.eu website backend and has created a plan for a smooth handover.
R8	Difficulty engaging the CIVITAS 2020 projects	WP1	SATELLITE has letters of support from 9 current CIVITAS 2020 projects (see Annex I) and Rupprecht, Polis, ICLEI, and UITP are involved in the CAPITAL project, which has already successfully engaged the current CIVITAS 2020 projects in cooperation activities which SATELLITE is to continue and optimise. SATELLITE will conclude MoUs at the beginning of the project to make clear what the mutual expectations and expected contributions vis-à-vis the projects it will engage with will be, taking account of the time schedules of the respective projects concerned. With these stakeholders being actively engaged in a European funded activity, we don't expect language to be a major barrier. Should this still pose a problem, support

Risk number	Description of risk	WP Number	Proposed risk-mitigation measures
			will be sought from national CIVITAS networks in overcoming such barriers.
R9	Lack of substantial e-learning activities from future IA and RIA projects	WP3	Exchange with the RIA at the Coordinators' meeting in Ljubljana in October 2015 revealed that the 2015 CIVITAS 2020 RIA projects plan e-learning activities. If the future IA and RIA project do not have substantial activities, SATELLITE will focus resources initially on developing its own course content (task 3.4).
R10	Lack of input from TG participants	WP4	SATELLITE consortium members, as TG leaders, will pose questions, post information, and advertise opportunities to individual TGs. Participants in SATELLITE activities will also be steered to the TGs to share their results. By offering the TGs as a platform for RIAs to get in touch with the envisaged target group of their outputs, i.e. cities, as well as a way towards using the Forum conference as a potential marketplace to showcase their results, RIAs will feel strongly encouraged to use the TGs as a vehicle for reaching their dissemination and deployment goals.
R11	Difficulty in recruiting host cities for peer-to-peer activities	WP4	The WP leader has access to a large number of cities, through the involvement of five major city networks in SATELLITE and the involvement of all partners in previous rounds of the CIVITAS initiative. Similar activities were organised under CAPITAL, which proved to be a successful and wanted format for cities. Moreover, many of the cities involved in the city networks are

Risk number	Description of risk	WP Number	Proposed risk-mitigation measures
			<p>leaders in certain areas of urban transport innovation and keen to share their experience and expertise with their counterparts. To further lower the threshold to act as host, budget has also been foreseen to cover costs related to being a host city. If the major promotion activities through the networks involved would not generate the envisaged result, which is unlikely, more targeted and personalised promotion is planned, contacting individual cities to encourage them to host peer-to-peer activities.</p>
R12	<p>Lack of interest from cities to participate in capacity building and/or peer-to-peer activities</p>	WP3, WP4	<p>WP1 stakeholder surveys will enquire about preferred formats and topics to make sure they meet the interests of cities. Cities that are members of CIVINETs will also be encouraged to participate in the activities. Moreover, experience with such formats in e.g. TIDE and CAPITAL has proven their success. If the major promotion activities through the networks involved would not generate the envisaged result, which is unlikely, more targeted and personalised promotion is planned, contacting individual cities to encourage them to participate.</p>
R13	<p>Inadequate communication and dissemination tools</p>	WP5	<p>ICLEI is a very experienced communication and dissemination partner with a track record in CIVITAS communications. Moreover, all network partners have a thorough knowledge of the CIVITAS target groups and are used to address them effectively. Finally, the WP1 stakeholder surveys will obtain feedback on</p>

Risk number	Description of risk	WP Number	Proposed risk-mitigation measures
			preferred communication and dissemination approaches.

1.3.6. WT6 Summary of project effort in person-months

	WP1	WP2	WP3	WP4	WP5	WP6	WP7	WP8	Total Person/Months per Participant
1 - POLIS	8.50	1.50	1.75	8.75	5.75	10.25	10		46.50
2 - RUPPRECHT	4.50	2.50	20	11.50	1.25	2.75	12.50		55
3 - EUROCITIES ASBL	1.50	0	1	18.75	3.75	4	1		30
4 - ICLEI EURO	0	0	1.75	1.50	29	0	1		33.25
5 - REC	0	0	1	1.75	2.50	46	1		52.25
6 - TML	1.50	38.50	1	1.75	2	1.75	1		47.50
7 - UITP	1	3	0	4.50	2.25	1.75	1		13.50
Total Person/Months	17	45.50	26.50	48.50	46.50	66.50	27.50		278

1.3.7. WT7 Tentative schedule of project reviews

Review number ¹⁹	Tentative timing	Planned venue of review	Comments, if any
RV1	18	Brussels	to be confirmed
RV2	36	Brussels	to be confirmed
RV3	54	Brussels	to be confirmed

1. Project number

The project number has been assigned by the Commission as the unique identifier for your project. It cannot be changed. The project number **should appear on each page of the grant agreement preparation documents (part A and part B)** to prevent errors during its handling.

2. Project acronym

Use the project acronym as given in the submitted proposal. It can generally not be changed. The same acronym **should appear on each page of the grant agreement preparation documents (part A and part B)** to prevent errors during its handling.

3. Project title

Use the title (preferably no longer than 200 characters) as indicated in the submitted proposal. Minor corrections are possible if agreed during the preparation of the grant agreement.

4. Starting date

Unless a specific (fixed) starting date is duly justified and agreed upon during the preparation of the Grant Agreement, the project will start on the first day of the month following the entry into force of the Grant Agreement (NB : entry into force = signature by the Commission). Please note that if a fixed starting date is used, you will be required to provide a written justification.

5. Duration

Insert the duration of the project in full months.

6. Call (part) identifier

The Call (part) identifier is the reference number given in the call or part of the call you were addressing, as indicated in the publication of the call in the Official Journal of the European Union. You have to use the identifier given by the Commission in the letter inviting to prepare the grant agreement.

7. Abstract

8. Project Entry Month

The month at which the participant joined the consortium, month 1 marking the start date of the project, and all other start dates being relative to this start date.

9. Work Package number

Work package number: WP1, WP2, WP3, ..., WPn

10. Lead beneficiary

This must be one of the beneficiaries in the grant (not a third party) - Number of the beneficiary leading the work in this work package

11. Person-months per work package

The total number of person-months allocated to each work package.

12. Start month

Relative start date for the work in the specific work packages, month 1 marking the start date of the project, and all other start dates being relative to this start date.

13. End month

Relative end date, month 1 marking the start date of the project, and all end dates being relative to this start date.

14. Deliverable number

Deliverable numbers: D1 - Dn

15. Type

Please indicate the type of the deliverable using one of the following codes:

- R Document, report
- DEM Demonstrator, pilot, prototype
- DEC Websites, patent filings, videos, etc.
- OTHER
- ETHICS Ethics requirement

16. Dissemination level

Please indicate the dissemination level using one of the following codes:

PU Public
CO Confidential, only for members of the consortium (including the Commission Services)
EU-RES Classified Information: RESTREINT UE (Commission Decision 2005/444/EC)
EU-CON Classified Information: CONFIDENTIEL UE (Commission Decision 2005/444/EC)
EU-SEC Classified Information: SECRET UE (Commission Decision 2005/444/EC)

17. Delivery date for Deliverable

Month in which the deliverables will be available, month 1 marking the start date of the project, and all delivery dates being relative to this start date.

18. Milestone number

Milestone number: MS1, MS2, ..., MSn

19. Review number

Review number: RV1, RV2, ..., RVn

20. Installation Number

Number progressively the installations of a same infrastructure. An installation is a part of an infrastructure that could be used independently from the rest.

21. Installation country

Code of the country where the installation is located or IO if the access provider (the beneficiary or linked third party) is an international organization, an ERIC or a similar legal entity.

22. Type of access

VA if virtual access,
TA-uc if trans-national access with access costs declared on the basis of unit cost,
TA-ac if trans-national access with access costs declared as actual costs, and
TA-cb if trans-national access with access costs declared as a combination of actual costs and costs on the basis of unit cost.

23. Access costs

Cost of the access provided under the project. For virtual access fill only the second column. For trans-national access fill one of the two columns or both according to the way access costs are declared. Trans-national access costs on the basis of unit cost will result from the unit cost by the quantity of access to be provided.

CIVITAS SATELLITE

(Support Action Towards Evaluation, Learning, Local Innovation, Transfer & Excellence)

Part B

History of Changes

Part A

- 2.000€ audit costs removed from Eurocities other direct costs budget
- Changes have been made milestones and deliverables. For some the timing changes, some were merged and some were deleted:

Deliverable number	Deliverable name	WP number	Short name of lead participant	Type	Dissemination level	Delivery date
D1.1a-b	Results reports on needs assessment with IA projects and CIVINETs	1	Polis	R	PU	4, 38
D1.2a-d	Results reports on survey of plans, opportunities and synergies with RIA projects	1	Polis	R	PU	4, 12, 24, 38
D1.3	Activities Database	1	Polis	OTHER	PU	7
D2.3a-b	Refined (a) and completed (b) CIVITAS process and impact evaluation framework	2	TML	R	PU	12, 26
(D2.4)	Deliverable merged with D2.3: Completed CIVITAS process and impact evaluation framework for IA projects	2	TML	R	PU	26
D2.4	Minimum CIVITAS evaluation framework for RIA projects	2	TML	R	PU	26
D2.5	General analysis of IA projects' Measure Evaluation Results Sheets (MERSs)	2	TML	R	CO	24, 44
D2.6	Set of in-depth reviewed and improved IA projects' Measure Evaluation Result Sheets (MERSs)	2	TML	R	CO	38
(D2.8)	Deliverable merged with D 2.5: Second general analysis of IA projects' Measure Evaluation Results Sheets (MERSs)	2	TML	R	CO	44
D2.7	Basic evaluation reporting template for RIA projects	2	TML	R	PU	22
D2.8	Summary of evaluation findings from RIA projects for IA projects	2	TML	R	PU	28
D2.9a-b-c	Focus reports on results from CIVITAS measures, on optimal combination of different types of CIVITAS measures and on cross-cutting aspects of implemented CIVITAS measures	2	TML	R	PU	46
(D2.12)	Deliverable merged into D 2.9 a-b-c: Focus report on optimal combination of different types of CIVITAS measures	2	TML	R	PU	46
(D2.13)	Deliverable merged into D 2.9 a-b-c: Focus report on cross-cutting aspects of implemented CIVITAS measures	2	TML	R	PU	46
D2.10	Report on evaluation results from CIVITAS IA projects	2	TML	R	CO	48
D2.11	Overall synthesis of the CIVITAS SATELLITE evaluation experiences	2	TML	R	PU	48
D2.12 a-b	Lessons learned from the CIVITAS RIA projects funded 2015-2018 (a) and since 2016 (b)	2	TML	R	CO	24, 48
(D2.17)	Deliverable merged into D 2.12 a-b: Lessons learned from the CIVITAS RIA projects funded since 2016	2	TML	R	CO	48
D2.13	CIVITAS 2020 policy recommendations	2	TML	R	PU	48
D2.14	Overview of long-term impact of CIVITAS measures in previously-funded CIVITAS cities	2	TML	R	PU	40
D2.15	Long-term success stories from cities funded by	2	TML	R	PU	44

Deliverable number	Deliverable name	WP number	Short name of lead participant	Type	Dissemination level	Delivery date
	CIVITAS					
D3.1a-d	Calendar and overview of potential synergies of learning activities planned in CIVITAS 2020 projects	3	Rupprecht	R	PU	4, 12, 24, 38
D5.2	Updated CIVITAS2020 Corporate design handbook	5	ICLEI	R	PU	3
D5.3	CIVITAS MOVE newsletter	5	ICLEI	DEC	PU	6, 9, 12, 15, 18, 21, 24, 27, 30, 33, 36, 39, 42, 45, 48
D5.4	Analysis of recipients' handling of CIVITAS mailings and of impact of content uploaded to various social media channels	5	ICLEI EURO	R	CO	48
(D5.5)	Integrated into D5.4: Analysis of impact of content uploaded to various social media channels		ICLEI EURO	R	CO	48
D5.5	CIVITAS postcards	5	ICLEI EURO	DEC	PU	4
D5.6	'Welcome to CIVITAS' booklet	5	ICLEI EURO	DEC	PU	4
D5.7	CIVITAS roll-ups (one for each IA project, one on CIVITAS Initiative)	5	ICLEI EURO	DEC	PU	4
D5.8a-d	Policy briefings	5	ICLEI EURO	R	PU	12, 24, 36, 48
D5.9	Standard PowerPoint presentation on CIVITAS Initiative	5	ICLEI EURO	DEC	PU	3
D5.10	CIVITAS Research and Innovation Action projects funded 2015-2018 – A summary of lessons learned	5	ICLEI EURO	DEC	PU	28
D5.11	CIVITAS Innovation Action projects funded 2016-2020 – A summary of results	5	ICLEI EURO	DEC	PU	54
D5.12	CIVITAS Research and Innovation Action projects funded since 2016 – A summary of lessons learned	5	ICLEI EURO	DEC	PU	54
D5.13	Video presentation/podcast on results of completed IA and RIA projects (incl. condensed notes)	5	ICLEI EURO	DEC	PU	54
D5.14	Infographics and photo documentation of measures of IA projects	5	ICLEI EURO	DEC	PU	54
(D5.16)	Merged with D5.14: Photo documentation of measures of IA projects	5	ICLEI EURO	DEC	PU	54
D6.4a-b	Political Advisory Committee 2-year work plan	6	Polis	R	PU	6, 30
(D7.2a-c)	Deleted: Periodic Progress Reports	7	Rupprecht	R	CO	18, 36, 54
(D7.3)	Deleted: Final Report	7	Rupprecht	R	CO	54

Milestone number	Milestone name	Related WP(s)	Estimated date	Means of verification
(MS2.4)	Deleted: Structured monitoring tool on evaluation progress of IA projects available	2	8	Available on Exchange Hub
(MS2.5)	Deleted: Selected sections of IA projects' MERSs provided to RIA projects	2	26	Available on Exchange Hub
MS2.4	Joint workshop among IA and RIA projects on evaluation results	2	27	Workshop report and signatures list
(MS2.7)	Deleted: First concept note on policy recommendations prepared	2	38	Document available
MS2.5	Questionnaire on policy recommendations sent to CIVITAS 2020 project cities	2	38	Link to survey available
MS2.6	SATELLITE-internal workshop on policy recommendations held	2	42	Workshop report and signatures list
MS2.7	Online survey on post-CIVITAS activities provided to previously-funded CIVITAS cities	2	32	Link to survey available
MS3.1	Webinar held on "How to organise an effective and engaging webinar"	3	4	Available on Exchange Hub
MS3.4	Library set up of collected past and ongoing online courses and recorded webinars on sustainable urban mobility	3	5	Available from www.civitas.eu
MS4.1a-d	Calls to participate in peer-to-peer exchanges published (for visiting and host cities)	4	4, 15, 27, 39	Available from www.civitas.eu
MS4.4a-d	Annual Thematic Group meeting held	4	15, 27, 39	Meeting minutes and signature lists available

Milestone number	Milestone name	Related WP(s)	Estimated date	Means of verification
MS4.6a-d	PAC questions conveyed to Thematic Groups by PAC Sherpas	4	15, 27, 39	PAC minutes available
(MS5.2)	Deleted: Minor improvements of CIVITAS website implemented	5	12	Available from www.civitas.eu
MS5.2	Overview of proposed improvements of CIVITAS website sent to EC	5	6	Overview available
MS5.3	Minor improvements of CIVITAS website implemented	5	12	Available from www.civitas.eu
MS6.6a-d	Call for CIVITAS Forum host city published	6	15, 27, 39	Available from www.civitas.eu
(MS7.3)	Deleted: Project SharePoint up-and-running	7	1	Login details and links available for project partners
(MS7.4)	Deleted: Deliverable preparation guidelines provided to partners	7	1	Document available
MS7.3	Risk assessment workshop during kick-off meeting	7	1	Meeting minutes available
MS7.4a-c	Risk registry and corresponding contingency plans updated	7	12, 24, 36	Document available

- A more detailed description of CIVITAS Marketplace has been added to WP 4 'Transfer, take-up and exploitation', under Task 4.4. Exploitation
- A paragraph on the MoUs that will be concluded with the other CIVITAS projects has been added to the risk management table as a mitigation measure under risk nr 8 'Difficulty engaging the CIVITAS 2020 projects'
- Additional mitigation measures have been included for three risks, i.e. risk nr 10 'lack of input from TG participants', risk nr 11 'difficulty in recruiting host cities for peer-to-peer activities', and risk nr 12 'lack of interest from cities to participate in capacity building and/or peer-to-peer activities'

Part B

- A paragraph explaining the transdisciplinary nature of SATELLITE has been added on page 14 as last point of chapter 1.3
- A paragraph on the management of IPR and research data has been added to Chapter 2.2.1 'Dissemination & Exploitation of Results', p.18
- Update of Gantt chart in view of changed timings of some deliverables and milestones in part A, p. 21
- A table detailing other direct costs for all partners has been added to section 3.4., p. 27
- Audit costs for Eurocities have been removed, and a confirmation that shipping costs for ICLEI relate to dissemination has been added, p. 26-27
- A table detailing travel costs per partner has been added, p. 27
- A statement on the rules for subcontracting has been added to section 4.2, p 54
- Section 5.1 on Ethics issues was further developed to address the comments of the Ethics report, page 54

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1. Excellence

For over a decade, the CIVITAS Initiative has tested and demonstrated innovative solutions for cleaner and better urban transport and mobility. The programme has developed and evolved, each year bringing new cities – and starting in 2015 also new types of projects – into the “CIVITAS family”, always maintaining and furthering its ambitious goals to drive innovative policies and technologies forward to tackle urban mobility challenges. Having had a great impact in further developing European urban mobility policies, CIVITAS must now help to deliver solutions to help **meet the targets of the Urban Mobility Package**. Sustainable economic development, particularly job creation, is an increasingly important component of urban mobility policy that must also be addressed. CIVITAS must furthermore ensure that greater social cohesion is a key requirement on all policy levels to which urban mobility policy has an essential contribution to make.

With the ever-expanding scope and membership of CIVITAS come possibilities to increase the rate and scale of take-up. Although the CIVITAS programme has achieved international recognition, many cities and stakeholders not yet connected or aware of the programme may still hesitate to implement innovative urban mobility measures for a lack of expertise and support. The addition of an unprecedented number and variety of projects to the initiative and an expansion of the programme's scope mark a pivotal moment for CIVITAS. The opportunity of a growing CIVITAS network can help to maximise the exchange of knowledge and experience among cities, regions, practitioners and experts, thus increasing opportunities to learn, as a fundamental mechanism for local/regional innovation in Europe.

CIVITAS SATELLITE (Support Action Towards Evaluation, Learning Local Innovation, Transfer & Excellence) will coordinate and support the efforts of the current and upcoming CIVITAS 2020¹ projects. Cities, as the closest link to citizens, will remain the focal point of SATELLITE's efforts, with an emphasis on international cooperation as an essential aspect for cities to function as “activity hubs” in the global economy. To this end, SATELLITE will facilitate cooperation among all stakeholders involved in CIVITAS Innovation Action (IA) and Research and Innovation Action (RIA) projects, recruit new stakeholders such as businesses, and seek out, collect, analyse, and disseminate information so that cities can lower barriers and hesitations to implement the effective, innovative solutions identified by the CIVITAS community.

SATELLITE's **key features** comprise:

- building on 12+ years of CIVITAS experience, functioning as a bridge between past and future generations of CIVITAS
- bringing all research activities and tools to a common marketplace for improved application and accessibility
- involving all leading European/international urban mobility networks together in one CIVITAS support action for the first time
- reaching beyond Europe to widen the impact of CIVITAS by developing a strategy for international cooperation in research and innovation
- focus on creating a long-lasting legacy of CIVITAS innovations beyond the project lifetime

These points are elaborated below, particularly in chapter 1.3.

1.1 Objectives

SATELLITE will function as an anchor for the entire CIVITAS network. Its **strategic goals** are to:

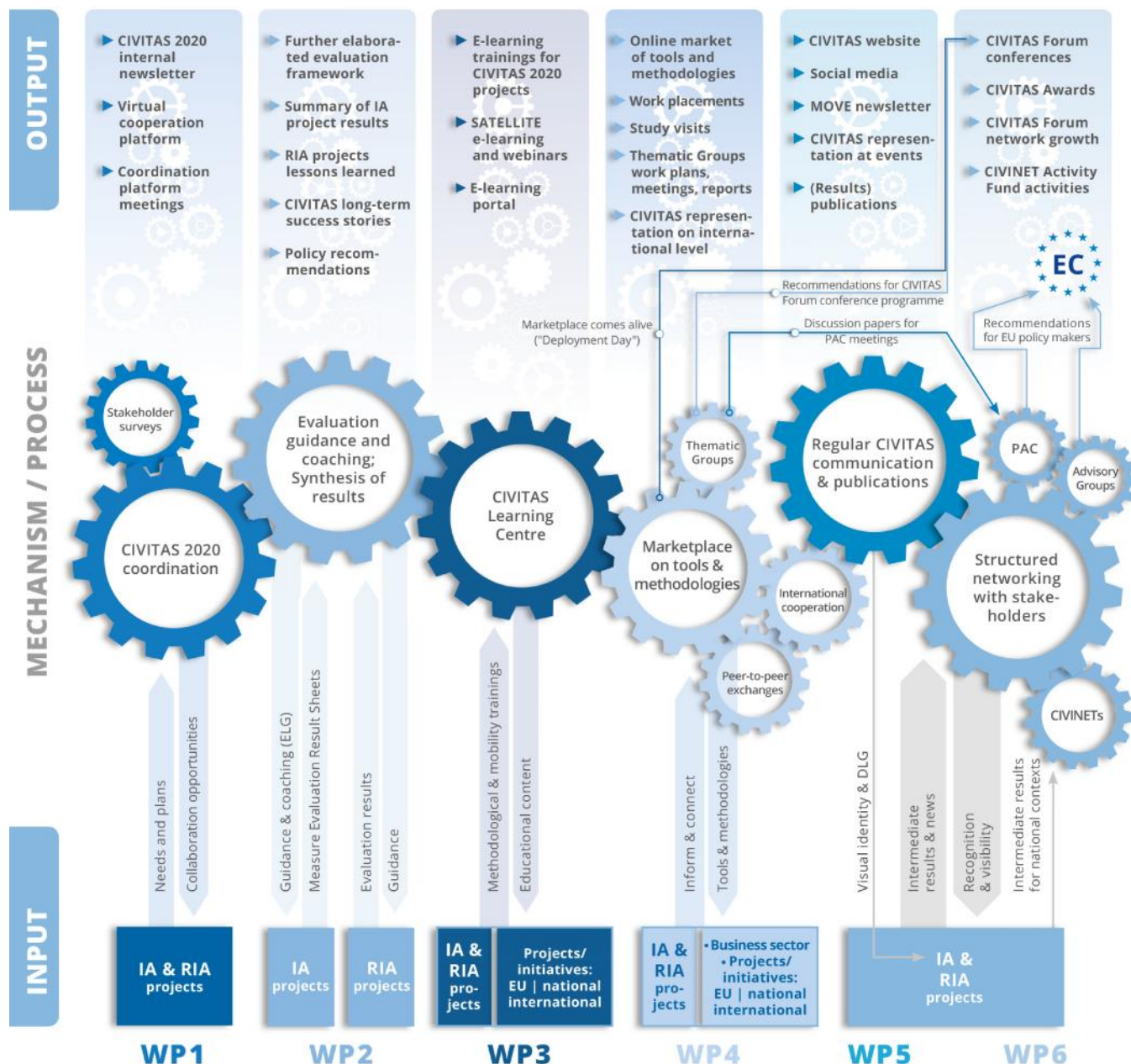
- facilitate the **cooperation** between current and upcoming CIVITAS 2020 projects (WP1)
- further elaborate the CIVITAS **Process and Impact Evaluation** Framework and formulate comprehensive cross-project conclusions on the effectiveness of measures based on evaluation results (WP2)
- support the **information-sharing and capacity building** work of CIVITAS projects to maximise their impact (WP3)
- strengthen **knowledge exchange** among the CIVITAS 2020 projects and beyond, and ensure that tools and methodologies developed in past, ongoing and future CIVITAS projects are taken up by other cities/regions (WP4)
- increase the visibility of CIVITAS activities in and beyond Europe and to **disseminate widely** the results of the CIVITAS 2020 projects, using a mix of proven and innovative communication tools in order to maximise the impact of the CIVITAS Initiative (WP5)
- enhance **networking** activities among CIVITAS Forum member cities, including strong links to the CIVINETs, and encourage capitalisation of activities in a lasting way (WP6)
- deliver a **high quality** project (WP7)

The following diagram shows how SATELLITE will maximise the impact of CIVITAS activities, taking input from other projects and initiatives and using it both to immediately benefit those projects and to be synthesised into SATELLITE outputs to enhance innovation capacity and integrate new knowledge. The Pert chart in **figure 1** illustrates SATELLITE's main outputs and key

¹ “CIVITAS 2020 projects” refers to all current and future projects in the urban domain of the Horizon 2020 Mobility for Growth programme (currently), while “CIVITAS IA projects” refer only to the “classical” integrated demonstration projects (now part of call MG.5.5a) and “CIVITAS RIA projects” include the new, rather research-oriented knowledge-generating projects (currently call MG.5.1 to MG.5.4). Based on a model calculation it can be assumed that SATELLITE will altogether support ca. 28-33 projects.

tasks, which are described in detail in **Table 1**. Figure 1 also shows how the respective outputs, tasks and corresponding work packages interrelate with each other.

Figure 1: Main outputs and key tasks of CIVITAS SATELLITE



1.2 Relation to the work programme

The CIVITAS SATELLITE proposal responds to call topic MG-5.5b-2015 "Demonstrating and testing innovative solutions for cleaner and better urban transport and mobility" under the 2015 Mobility for Growth call. Key elements identified under the **challenge** of this call include the struggle of European cities to address the urban transport challenges they face and the small scale at which innovative solutions are taken. This is related to the fact that information is lacking on the effectiveness and benefits of these measures and that cities are unsure how to overcome barriers to their implementation.

SATELLITE will address this challenge by offering cities easier access to innovations that could help them address their transport challenges. SATELLITE will help **shorten the implementation path to innovation** by reducing the risk of starting something new through support activities linking into the various steps of the take-up of innovation. The support action will make sure that the latest innovations resulting from European urban mobility research reach the target cities through appropriate coordination and exchange mechanisms. Through a variety of capacity building tools and approaches, SATELLITE will provide city practitioners with the skills needed to take these innovations further and apply them in their own city context. Moreover, the project enhances the direct exchange and cooperation between the public and private sector, by offering an online marketplace (which comes alive once a year during the CIVITAS Forum) to showcase urban transport innovations. In order for innovations to

be properly scaled up, information on their impact is required. To this end, SATELLITE will further elaborate the CIVITAS Impact and Process Evaluation Framework and provide the city projects with support mechanisms to apply it. SATELLITE dissemination activities will improve access to information on innovative solutions through a range of communication tools and activities, while additional peer-to-peer exchange activities will prepare the actual transfer and take-up of these solutions.

Table 1: Overview of SATELLITE objectives and tangible outputs

SATELLITE strategic goals	SATELLITE objectives	SATELLITE selected tangible outputs
to coordinate the cooperation between ongoing and future CIVITAS 2020 projects (WP1)	<ul style="list-style-type: none"> identify the support needs and planned activities of the CIVITAS IA and RIA projects in terms of communication, evaluation, capacity building and coordination; identify support needs of CIVINETs facilitate cooperation of CIVITAS 2020 stakeholders, especially from RIA projects establish coordination and cooperation mechanisms to secure maximum thematic, strategic and promotional synergies across CIVITAS 2020 projects support all SATELLITE WPs in liaising with projects to feed into WP activities and support CIVITAS 2020 projects with common dissemination, capacity building and outreach activities and advice 	<ul style="list-style-type: none"> 4 coordination platform meetings common document repository and CIVITAS-internal discussion platform 2 needs assessments and 4 stakeholder surveys carried out 12 issues of the CIVITAS 2020 internal newsletter all public and semi-public CIVITAS 2020 activities listed and coordinated in a CIVITAS activities database
to further elaborate the CIVITAS Process and Impact Evaluation Framework and formulate comprehensive cross-project conclusions on the effectiveness of measures based on evaluation results (WP2)	<ul style="list-style-type: none"> fine-tune existing CIVITAS process and impact evaluation framework to make it fully results-oriented, linked with the indicators of the Urban Mobility Scoreboard coordinate and coach the CIVITAS IA projects to conduct evaluation work effectively and resulting in relevant and consistent data synthesise and interpret evaluation results for wide dissemination to potential take-up cities and other external stakeholders formulate concise policy recommendations based on CIVITAS evaluation results increase knowledge of long-term CIVITAS effects through success stories 	<ul style="list-style-type: none"> optimised process and impact evaluation framework (explained at ELG meeting and an evaluation e-course) refined and completed CIVITAS process and impact evaluation framework for CIVITAS IA projects; minimum framework for RIA projects review of progress of evaluation of all measures in the IA project cities + conclusions on the implementation of the CIVITAS measures in the IA projects progress review of measure evaluation in IA project cities; cross-project impact analysis of IA project measures summary of evaluation findings from RIA projects 3 focus reports: on (a) results of CIVITAS measures, (b) optimal combination of measures, and (c) cross-cutting aspects of implemented CIVITAS measures fact-based long-term "success stories" from CIVITAS cities
to support exchange of information and enhance the capacity building work of CIVITAS projects in order to maximise the impact of CIVITAS activities (WP3)	<ul style="list-style-type: none"> maximise impact of CIVITAS learning and exchange activities by coordinating CIVITAS 2020 projects' activities in this regard methodological support to CIVITAS 2020 projects on developing, planning and implementing online learning activities develop CIVITAS Learning Centre into the European e-learning resource on sustainable urban mobility build and transfer knowledge on sustainable urban mobility through six e-course/webinar pairs on topics complementary to those covered by the CIVITAS 2020 projects 	<ul style="list-style-type: none"> annual calendar and potential synergies of training and learning activities planned in CIVITAS 2020 projects webinar on how to organise an effective and engaging webinar e-course on how to develop and implement an effective online course annual assessment of participants' feedback on online courses held in CIVITAS 2020 projects; plus course-specific assessment results for course organisers three weeks after completion 80 e-courses online in the CIVITAS Learning Centre 6 e-course/webinar pairs from SATELLITE in the CIVITAS Learning Centre

SATELLITE strategic goals	SATELLITE objectives	SATELLITE selected tangible outputs
to strengthen knowledge exchange among the CIVITAS 2020 projects and internationally and ensure take-up of CIVITAS tools and methodologies by other cities/regions (WP4)	<ul style="list-style-type: none"> • enhance networking activities among CIVITAS Forum member cities/CIVINET members through peer-to-peer knowledge exchange • encourage the development of innovative activities focusing on knowledge development and exchange in a lasting way • bring new dynamics to CIVITAS Thematic Groups and establish strong links with IA and RIA projects, other relevant projects, and CIVINETs, by providing them with a platform for communication & dissemination and a legacy tool for their results • improve and coordinate visibility of the CIVITAS Initiative outside Europe and encourage international exchange • develop a marketplace on tools and methodologies which support cities in implementing sustainable mobility solutions 	<ul style="list-style-type: none"> • 3 calls per year for cities for placements and study visits organised (in cooperation with CIVINETs) • 16 work placements and 4 study visits • 3 impact reports, one per each round of peer-to-peer activities • annual work plans and reports for 10 Thematic Groups (TGs) • annual TG meetings and 40 virtual meetings • at least 40 TG recommendations to the Political Advisory Committee (PAC) • international section included in 16 issues of MOVE newsletter • CIVITAS representation at 7 international events, including the annual Transport Research Board meetings • state-of-the-art report on EU-China exchange on urban mobility • online marketplace of 110 documented tools and methodologies • needs assessment on demand for tools and methodologies from CIVITAS 2020 projects
to improve the visibility of CIVITAS experience within and beyond Europe and to disseminate widely the results of the CIVITAS 2020 projects based on a mix of proven and innovative communication tools in order to maximise the impact of the CIVITAS Initiative (WP5)	<ul style="list-style-type: none"> • design a plan that allows for optimal visibility of CIVITAS and targeted communication on its objectives and activities and dissemination of generated results to relevant stakeholders • provide a clear two-level approach regarding communication in the scope of the CIVITAS 2020 projects • manage the communications and outreach activities through the CIVITAS website and additional existing and new channels, presenting a coherent editorial and visual approach • design and produce communication tools, tailored to the target groups • support the Dissemination Managers of the IA projects and the CIVINETs in their communication and dissemination • undertake extensive dissemination activities on the results of the CIVITAS 2020 projects, tailored to the target groups 	<ul style="list-style-type: none"> • updated CIVITAS 2020 Corporate Design Handbook • regularly updated CIVITAS website • 16 issues of MOVE newsletter, followed by analysis of recipients' handling of newsletter • 10 promotional videos developed and disseminated through YouTube • impact analysis of social media activities (all channels) • 4 policy briefings • 3,000 printed promotional material (postcards and booklets) disseminated • 3 audio-visual results presentations produced • infographics and photo documentation of IA project results • 3 results dissemination workshops • results publications (2 for RIA projects, 1 for IA projects) • CIVITAS representation at 15 events • at least 8 press releases
to enhance networking activities among CIVITAS Forum member cities and encourage capitalisation of activities in a lasting way (WP6)	<ul style="list-style-type: none"> • ensure continuity by hosting day-to-day secretariat (information) services that underpin the CIVITAS Initiative for both the European Commission (EC) and the participating cities as well as potential members • maintain and develop the CIVITAS Forum network through liaison with (potential) member cities • organise and host to a high standard the annual CIVITAS Forum conferences • organise the CIVITAS Forum network's annual CIVITAS Award series • support all current and new CIVINETs through and Activity Fund and other activities • establish and manage four CIVITAS Advisory Groups discussing activities and outputs of CIVITAS 2020 projects from the perspective of European urban mobility policies and societal challenges • host the Secretariat of the Political Advisory Committee 	<ul style="list-style-type: none"> • CIVITAS outreach database • updated Annual Forum network directory • CIVITAS Forum Network expansion strategy • 4 CIVITAS Forum conferences (including results documentation) • 3 CIVINET Activity Fund calls (with a minimum of 250,000€ budgeted) • summary reports on activities and outcomes • 8 meetings of Political Advisory Committee • 4 Advisory Groups (AGs) established and 4 (1 virtual, 3 face-to-face) meetings held per group, 3 annual reports produced per group

SATELLITE strategic goals	SATELLITE objectives	SATELLITE selected tangible outputs
to deliver a high-quality project (WP7)	<ul style="list-style-type: none"> • ensure that all partners comply with all financial and administrative requirements of the Grant Agreement • set up and ensure sound lines of communication between all project partners, between its management bodies as well as the EC • ensure smooth and seamless implementation of project activities in compliance with the Description of Work and report on project progress vis-à-vis the EC • set up and manage a quality control mechanism encompassing all project outputs • set up and manage a framework for the identification, monitoring and prevention of risks at project level 	<ul style="list-style-type: none"> • zero average delay in project deliverables • proactive communication with SATELLITE partners, the CIVITAS community, and EC • produce all tangible outputs • sound financial management • 3 Periodic Progress Reports, 3 project status updates, 1 Final Report

The **scope** of this call topic puts forward a number of elements, which are directly addressed by SATELLITE's key components, responding directly to the MG5.5b call, i.e. "a Support Action to facilitate cooperation between stakeholders involved in the projects under this topic, and from across CIVITAS 2020 (WP1). It should further elaborate the common 'CIVITAS Process and Impact Evaluation Framework', support its implementation (WP2) and contribute to local capacity building in deploying innovative mobility solutions (WP3). The action should include a clear communication and dissemination strategy (WP5) to maximise impact and ensure the continuity of the 'CIVITAS Secretariat' as well as links with the CIVI-Net networks (WP6)."

SATELLITE will also link to aspects of the call topic that address and support the IA projects (MG.5.5a). More specifically, capacity and community building activities will link into and focus on the types of solutions envisaged for the IA projects, i.e. newly-emerging technologies, policy-based and soft measures across the eight CIVITAS policy fields, as well as SUMP related approaches (WP3). In addition, WP4 will address "effective mechanisms for cross-fertilisation of knowledge and best practices" (tasks 4.1 and 4.2) and "international cooperation in research and innovation" (task 4.3).

The table below provides a detailed overview of the call and how SATELLITE will address the elements mentioned.

Scope priorities	Coverage by CIVITAS SATELLITE
facilitate cooperation between stakeholders involved in the projects under this topic, and from across CIVITAS 2020	SATELLITE will coordinate cooperation among ongoing and future CIVITAS 2020 projects. WP1 will establish a coordination mechanism to secure maximum thematic, strategic and promotion synergies across CIVITAS 2020 projects, which will help to shape, feed into and facilitate the activities of the other SATELLITE work packages. SATELLITE will support the CIVITAS 2020 projects with dissemination, capacity building, exploitation and outreach activities and tailored advice.
further elaborate the common 'CIVITAS Process and Impact Evaluation Framework', support its implementation	SATELLITE will optimise the CIVITAS evaluation approach to make it results-oriented, in line with the evolution of the CIVITAS Initiative and responding to new elements of the CIVITAS community, including the RIA projects. WP2 will both further develop the evaluation framework and coach the CIVITAS 2020 projects in their evaluation activities, resulting in the collection of relevant and consistent data on impacts and implementation processes so as to allow clear interpretation of the effectiveness of measures.
contribute to local capacity building in deploying innovative mobility solutions	SATELLITE will increase the knowledge on sustainable urban mobility issues and support the CIVITAS 2020 projects through a range of capacity building tools. WP3 will optimise the impact of learning activities by ensuring that they are well coordinated, by providing methodological support, by establishing a CIVITAS Learning Centre and by developing a set of e-course/webinar pairs. In WP4, SATELLITE will offer city-to-city peer learning activities, and dedicated community building through the Thematic Groups.
a clear communication and dissemination strategy to maximise impact	SATELLITE will create and maintain a comprehensive CIVITAS communication and dissemination framework. WP5 will support the communication activities of the IA projects and a coordinated approach for communication across CIVITAS 2020. This will allow CIVITAS activities and results to reach beyond the current CIVITAS community, creating take-up and exchange opportunities across Europe and beyond.
ensure the continuity of the 'CIVITAS Secretariat' as well as links with the CIVINETs	SATELLITE will host the day-to-day CIVITAS secretariat services, maintain and develop the Forum Network, organise the annual CIVITAS Forum conference, enhanced with innovative approaches, manage the Political Advisory Committee, host the annual CIVITAS Award series in a revamped version (WP6). The Secretariat will provide the 'anchor' to the CIVITAS network. The ten current CIVINETs will continue as complementary and decentralised CIVITAS outreach on the national level. A competitive CIVINET Activity Fund for the current CIVINETs and in support of starting new networks will comprise 250,000€

1.3 Concept and approach

The CIVITAS Initiative has significantly developed and expanded since its launch in 2002. With CIVITAS now including new Horizon 2020 projects, SATELLITE's main objectives hinge on coordinating and supporting the interactions of past, present, and future CIVITAS projects. SATELLITE will support the ongoing and future CIVITAS 2020 projects, encompassing both the IA (MG.5.5a) projects, the RIA (MG.5.1-MG.5.4) projects and other projects funded under the urban mobility priority of subsequent Mobility for Growth calls, starting with MG4.1-4.5 under the 2016-2017 calls.

To date, the CIVITAS programme can be considered a success in terms of outreach (connecting over 200 cities), development (the creation of working groups, publications, and an annual conference), content (in-depth exploration of a well-rounded set of themes and topics), and longevity. Part of the success of CIVITAS comes from its dynamic nature. CIVITAS is entering a phase where the impetus to evolve is twofold. First, the expansion both in terms of membership and projects types require new tactics for engagement. Second, in order to continue drawing interest and expanding further (when appropriate) with cities outside Europe, fresh and innovative approaches are needed. This means new approaches to traditional staples of CIVITAS such as the Thematic Groups, capacity building activities, CIVINETs, and the CIVITAS Forum. It also means looking at a systematic approach to supporting a wider network of projects, enhancing the deployment and roll-out of new solutions in line with the scope of Horizon 2020, creating long-term local CIVITAS legacies and expanding the scope and influence beyond Europe.

SATELLITE will **build upon and further develop** existing CIVITAS principles, for example:

- by employing stakeholder surveys to identify needs and deficiencies and assess where and how to apply innovation (WP1)
- by further elaborating the CIVITAS evaluation framework and supporting CIVITAS 2020 projects in using it (WP2)

- by introducing new approaches to capacity building, harmonising and coordinating the learning opportunities offered by the CIVITAS 2020 projects and developing complementary learning opportunities in SATELLITE (WP3)
- by offering peer-to-peer exchange between cities for in-depth, practice-oriented transfer of urban mobility solutions (WP4)
- by bringing a fresh dynamic to the CIVITAS Thematic Groups and linking the groups with the CIVITAS 2020 projects (WP4)
- by ensuring the continuity of the CIVITAS Secretariat and expanding the scope of its operation (WP6)
- by supporting the continuation of existing CIVINETs and the development of new ones (WP6)
- by advancing the work of the PAC and Advisory Groups and facilitating their policy-making role to the EC (WP6)
- by bringing fresh ideas to the CIVITAS Forum. SATELLITE will add new dimensions to the traditional format, arrange content to draw an influential audience and provide guidance to presenters to ensure they captivate the audience (WP6)

In addition to an overall approach of carrying on the legacy of CIVITAS while incorporating innovative aspects, SATELLITE encompasses **features that set it apart** from previous support actions:

- by functioning as a bridge between the past and future of CIVITAS, bringing current projects together, and establishing a CIVITAS orientation process for new and upcoming projects. SATELLITE is designed to identify integration needs among projects. By encouraging and supporting cooperation and collaboration, SATELLITE promotes new thinking and competences. SATELLITE will exploit its partners' CIVITAS experience and skills to support CIVITAS projects from a vantage point of having a complete overview of CIVITAS and the EC's urban mobility targets. (WP1)
- by blazing a trail for a consistent approach and a high standard of excellence for e-learning opportunities in CIVITAS. Learning opportunities will be interactive, linked to one another, and linked to a wider CIVITAS/EU context. (WP3)
- by bringing research activities and tools to a common marketplace for improved accessibility, with special attention on maintaining and developing tools that address vulnerable groups and gender issues, and a focus on deployment and roll-out of new solutions through engagement with the business community, increased cooperation between public and private stakeholders, between research/industry and cities. (WP4)
- by bringing the leading European and international urban transport networks (Polis, EUROCITIES, ICLEI, UITP and REC) together for the first time in one CIVITAS support action, with strong links to the national CIVINETs, thus ensuring maximum impact and take-up potential of CIVITAS solutions by cities and other stakeholders. SATELLITE's wider scope of support corresponds with a wider geographic scope of influence. (WP4)
- by developing a strategy for international cooperation in research and innovation to widen the impact of CIVITAS beyond Europe. Communication strategies will be used both through SATELLITE and in concert with the CIVITAS 2020 projects, many of which also have a mandate to foster international connections. (WP5 and WP6)
- by preparing for a lasting legacy of CIVITAS innovations beyond the duration of the project.

Coordinating the future of CIVITAS; strong external and internal coordination

SATELLITE provides a context for projects to communicate and share information, stories, and experience to build understanding and insight. Through its links to so many IA and RIA projects, SATELLITE has developed a sophisticated plan to coordinate the projects and track alignment and complementary tasks and objectives. It will facilitate cooperation among the projects by assessing their objectives, connecting them with one another and drawing links and parallels across their work, as can only be done by a body with a complete overview of CIVITAS. Through frequent cross-project communication, SATELLITE will prevent the development of knowledge silos. These coordination efforts will pave the way for the support that SATELLITE will offer the CIVITAS 2020 projects and the wider CIVITAS community.

SATELLITE connects people who might not otherwise have the opportunity to interact. Meetings and workshops among CIVITAS 2020 projects will be organised under a common task in WP1 that addresses an objective of each project involved. These meetings will bring together Coordinators, Dissemination Managers, Evaluation Managers, etc. to hone approaches to their tasks. The time and effort of such efforts are outweighed by the benefits to different parts of the CIVITAS community. The goal is to encourage CIVITAS 2020 projects to view their projects as a valuable piece of a larger framework. This interaction should help reduce tunnel vision and, by putting project goals in a wider CIVITAS context, build community.

SATELLITE will incorporate the input from CIVITAS 2020 projects into policy recommendations to the EC through the PAC and CIVITAS Advisory Groups and transfer information to national contexts via the CIVINETs. The EC will thus receive input from CIVITAS 2020 in a coordinated package that takes into account the "big picture". SATELLITE will synthesise and build upon CIVITAS's rich history of activities, measures, policy recommendations, and urban mobility solutions to ensure that valuable work is neither lost nor duplicated. The project will also offer support and coordination of the Initiative's current work and, with the advantage of this complete overview, will work with the EC to steer the future of CIVITAS.

Supporting CIVITAS 2020 endeavours and the greater CIVITAS community

SATELLITE's systematic coordination will result in three types of support: the support that comes as a natural by-product of good coordination, active support of CIVITAS 2020 endeavours, and concrete support to the greater CIVITAS community.

SATELLITE is comprised of a series of mechanisms and processes that drive and are driven by one another as well as by the input received from the entities that SATELLITE supports (see Figure 1). Each mechanism draws input and provides support to different entities, with the IA and RIA projects as a constant input-provider and beneficiary. Each mechanism is geared to build the technical capacity of the participating cities and strengthen policy-making and planning.

SATELLITE will raise the already high standard of the CIVITAS programme through its offerings to the entire CIVITAS network and beyond, including conferences, e-learning, publications, and other opportunities for exchange. The IA projects will receive the most comprehensive support. The RIA projects will also receive extensive support, but with fewer evaluation and dissemination components, as those projects are, by design, well equipped to conduct their evaluation and dissemination tasks. The structure of SATELLITE is such that the RIA projects receive support, but not at the expense of the IA projects, where coordination and support activities are emphasised. The CIVITAS 2020 projects will receive targeted support based on their input, and general support via SATELLITE's output, which will also serve the greater CIVITAS community.

The input-output support mechanisms of SATELLITE function as follows:

- Based on the work plans and stakeholder surveys conducted with the IA and RIA projects and the CIVINETs, SATELLITE's overall **CIVITAS 2020 coordination** provides the IA and RIA projects with collaboration opportunities through a virtual cooperation platform as well as regular CIVITAS 2020 coordination meetings and internal newsletters. (see WP1 for details)
- SATELLITE will further elaborate the CIVITAS Process and Impact **Evaluation Framework**, using the improved framework to inform both (EU, national, and local) policy and implementation (at project and city levels). The IAs will provide SATELLITE with their impact and process evaluation results, leading to (draft) Measure Evaluation Result Sheets, and SATELLITE will guide and coach them in preparing and revising these. The RIAs will simply provide (intermediate) evaluation results and receive guidance. (see WP2 for details)
- The input to the **CIVITAS Learning Centre** comes from IA and RIA projects, from EU and other projects and initiatives and from training and e-learning content developed within the projects. The learning activities will be compiled into a calendar, with events grouped and piggybacked when appropriate and feasible. E-learning content will be collected in the CIVITAS Learning Centre, where it can be shared with a wider audience. SATELLITE will also provide methodological training and learning opportunities on various sustainable urban mobility topics. Through the collection of vetted e-learning products of other projects and SATELLITE's own e-learning material, SATELLITE will increase interactive capacity building in CIVITAS, adding this to an integrated repertoire of learning opportunities from the CIVITAS 2020 projects. (see WP3 for details)
- **CIVITAS Thematic Groups, peer-to-peer activities**, and focus on **international exchange** will support the transfer and take-up of tools, measures, and methodologies for policy-making and planning, while the **CIVITAS marketplace of tools and methodologies** will aim at increasing its audience of city practitioners, organisations, research institutes and businesses. The transfer activities will acquaint city practitioners with the resources available and help them determine which CIVITAS tools best fit their own context. The Thematic Groups will analyse and consolidate knowledge and draft recommendations for practitioners and local policy-makers. Peer-to-peer activities offer direct contact between practitioners. Through international exchange activities, SATELLITE will promote sustainable urban mobility solutions beyond the EU. The CIVITAS marketplace will collect tools from the IA and RIA projects, the CIVITAS Forum network, the CIVINETs, the business sector, and national, international, and other EU projects and initiatives. Tools will be compiled online and matched with relevant entities to stimulate the take-up of measures, to encourage the transfer of tools and methodologies within and beyond CIVITAS, and to forge and strengthen ties between CIVITAS and the business sector. The marketplace, which serves to connect and supply, complements the Learning Centre, which serves to educate. The platforms share the aim of community building. Once a year, the marketplace will come alive at the CIVITAS Forum conference to create in-person opportunities for connecting cities and for matching cities with industry partners. (see WP4 and 6 for details)
- **Regular CIVITAS communication and publications and structured networking with stakeholders** draw from the intermediate results of the IA and RIA projects to give them visibility and to synthesise the input and include it on the CIVITAS website, at CIVITAS Forum conferences, in the MOVE newsletter, at the CIVITAS awards, etc. SATELLITE will link the objectives and achievements of CIVITAS 2020 projects to major CIVITAS publications and events, as well as to recommendations for EU policy drafted by the PAC and CIVITAS Advisory Groups. The CIVINETs will also use the project results in different national contexts. SATELLITE will organise the annual CIVITAS Forum conferences from 2017 to 2020. It will disseminate the results of CIVITAS 2020 projects and summarise the lessons learned from the RIA projects. As the IA and many RIA projects begin and conclude in the same time frame as SATELLITE, final results publications will be delivered in month 54 (D5.12/13, subtask 5.6.1), while all other SATELLITE work will conclude in month 48 (apart from the CIVITAS Forum conference '20 in month 51 and parallel activities which will be organised in month 51, calculated on the basis 1 July 2016 as anticipated start date of SATELLITE). This will allow SATELLITE to deliver a final deliverable that analyses the

completed 2016 RIA projects. The dissemination WP leader and the CIVITAS Secretariat will use their understanding of CIVITAS and close ties to other WPs to ensure maximum reach of for all SATELLITE activities. (see WP5 and 6 for details)

The gears depicted in Figure 1 serve as a metaphor for the mechanisms of SATELLITE, which go through their own processes, but are affected and driven by one another's rotation. SATELLITE will initiate a comprehensive community-building approach while gaining an overview of what exists and what is on the horizon in CIVITAS, preparing the project to make and guide informed decisions, to provide critical feedback to CIVITAS 2020 projects, to connect the work of the projects with one another and the private sector, and to effectively promote the work that the projects are doing to influential stakeholders and target groups. SATELLITE's external community-building approach reflects its strong internal cooperation in that the consortium has devised a project structure that hinges upon integration and collaboration among the WPs.

Vulnerable groups and gender aspects

Both in its outputs and in the coordination of CIVITAS 2020 cooperation, SATELLITE will pay special attention to vulnerable groups and gender issues. **Gender equality and social inclusion** are both goals in themselves and a precondition for achieving CIVITAS transport and sustainability objectives. In WP1 the coordination of the CIVITAS 2020 projects will encompass these issues. The evaluation framework (WP2) takes both issues into account by including in the Measure Evaluation Result Template a section on the impact of the measure in relation to social inclusion and gender objectives. SATELLITE capacity building activities pay specific attention to gender and social inclusion, esp. within its e-courses (task 3.4). Gender and social inclusion are addressed in the take-up and exploitation activities (WP4), most prominently in the Thematic Group on social inclusion (task 4.2), and the online marketplace on tools and methodologies (task 4.4). SATELLITE's communication activities (WP5) will also address these issues consistently through news items on the CIVITAS website, in the MOVE newsletter, and on social media. WP6 takes into account gender and social inclusion when planning the CIVITAS Forum conferences (task 6.2) and in the Activity Fund calls for the CIVINETs (task 6.4). Finally, the Advisory Groups focus on high-level societal challenges in transport and how they can be tackled at the local level. One of the challenges to be addressed is how to cater for the needs of specific groups of citizens, and how to address demographic trends within a sustainable urban mobility framework (WP6).

Transdisciplinary approach

SATELLITE is essentially transdisciplinary in nature, acting as a platform that brings a wide range of sectors, stakeholders, disciplines and competences together to enhance cooperation between different research projects on urban mobility. Furthermore, SATELLITE brings together past and present work across all of the CIVITAS Policy Fields, combining them and synthesising them to support their application to a wide array of contexts. For example, the CIVITAS Thematic Groups, already transdisciplinary in their facilitation of interaction across sectors and stakeholders, are further expanded in SATELLITE to have concrete links to the CIVITAS 2020 projects as well as provide input to the CIVITAS Forum Conference programme. By both consolidating and expanding upon the knowledge produced in CIVITAS, the Thematic Groups are just one example of how mechanisms in SATELLITE takes a holistic approach and crosses disciplinary boundaries. Concepts and methods originally developed in one project or under one theme of CIVITAS will be promoted to the whole CIVITAS community for take-up in a variety of other contexts.

2 Impact

2.1 Expected impacts

Expected impacts set out for the CIVITAS Coordination and Support Action

CIVITAS SATELLITE will actively contribute to achieving the goals of the CIVITAS work programme by:

- promoting the take-up of innovation by European cities
- strengthening the mechanisms for policy-making, planning, and technical capacity building in participating cities
- producing added-value inputs to the European knowledge base on the effectiveness and impacts of innovative solutions

The first two aspects are covered by the activities of SATELLITE, the third by its coordination and support role, strengthening the impacts of the IA and RIA projects in relation to these goals. All activities are developed to achieve optimal reach.

a) Promoting the take-up of innovation by the EU cities

The **take-up of innovation** will be actively promoted, building a strong CIVITAS community covering a majority of European cities, both through the existing CIVITAS Forum Network and the members of the European networks involved in SATELLITE. The coordination activities (WP1) will enhance cooperation across CIVITAS 2020 and exchange among public and private stakeholders. SATELLITE will increase knowledge of urban mobility issues and support the CIVITAS 2020 projects through capacity building tools, community building, city-to-city peer exchange activities and the CIVITAS TGs. The CIVITAS marketplace will push EU cities to start implementing well-tested measures with the aim of supporting sustainable growth with limited impact on environmental factors. WP5 focuses on promoting the IA and RIA projects' mobility innovations to take-up cities through the CIVITAS communication channels and through its results programme. All take-up activities will be promoted to the CIVINETs, which can promote take-up at the national level. WP6 will address the 2,000+ cities that engage in annual 'soft' mobility measures during European Mobility Week and the 1,000+ cities which launch 'hard' measures during the week.

b) Strengthening the mechanisms for policy-making, planning, and technical capacity building in the participating cities

Efficient capacity building activities will enable technicians and policy-makers to identify and implement innovative solutions. Building on the synergies identified in WP1 stakeholder surveys, WP3 will establish the CIVITAS Learning Centre as a hub of capacity building opportunities for the CIVITAS community. WP4 will invite local decision makers and practitioners to a peer-to-peer exchange on policy, planning and implementation. The TGs will support the PAC with information from project results and research. Policy briefings developed in WP5 will inform policy- and decision-makers about developments in urban mobility.

In WP6, the CIVITAS Politicians' Forum (an event for politicians and decision-makers to discuss policy matters) will provide recommendations to the EC following an agenda discussed with the EC in advance. The PAC will offer local level feedback to the EC. Furthermore, the CIVITAS Advisory Groups will ensure a link between CIVITAS 2020 activities and European urban mobility policies by addressing high-level societal challenges from an urban transport perspective. The involvement of CIVINET cities will be an integral part of strengthening the mechanisms for policy-making, planning, and technical capacity building. CIVINETs will be consulted for input to activities as well as prioritised for participation in activities (task 6.4).

c) Development of a European knowledge base on the effectiveness and impacts of innovative mobility solutions

The **coordination of the evaluation** work in the IA (and RIA) projects **and the synthesis** of general results will provide a clear understanding of the effectiveness of innovative measures, the best combination of measures, and the conditions for successful implementation. These insights will form a comprehensive database with consistent information on the impact, implementation and transferability aspects of mobility measures. The main building blocks for this knowledge base are the Measure Evaluation Result Sheets presenting all relevant data of a measure or package of measures. These MERSs will be summarised on the CIVITAS website and tagged for search optimisation, thus significantly increasing the impact of the IA projects.

Approaching the target groups efficiently and effectively

The success of CIVITAS and the effectiveness of SATELLITE depend on the quality of the products delivered; identifying and understanding the target groups is crucial. The SATELLITE partners are very aware of this and the networks in particular will use their extensive knowledge to **identify and reach these target groups**. Important groups include:

- Consortia of RIA and IA projects, which are made up of a mix of research partners, consultants, industry, and public authorities and are brought into the different activities of SATELLITE through WP1 coordination and cooperation
- Local transport practitioners and decision makers from cities and regions, including current and potential CIVITAS members; SATELLITE's network partners have direct access to this target group throughout Europe and beyond
- Transport professionals working with and for cities on urban mobility topics, from research, industry, SMEs and consultants
- EC, Parliament and Council policy-makers involved in urban mobility policy initiatives and transport related associations, such as ECTRI, ERTICO, ERTRAC, EUCAR, CLEPA, EMTA, CEMR, ERRIN, Energy Cities, Climate Alliance, etc.

Impact on the goals set for the Urban Mobility area of the Horizon 2020 call

CIVITAS 2020 seeks to drive innovative policies and technologies needed for the transformation towards cleaner, resource-efficient and competitive urban mobility and transport following a user-oriented approach. SATELLITE will contribute to these goals by **coordinating the work of the IA (and to a lesser extent the RIA) projects** and processing results into conclusions on effectiveness. The activities will form a European knowledge base on the effectiveness and impacts of solutions, especially those contributing significantly to the EC's Urban Mobility Package goals by (1) improving the efficiency of urban transport, (2)

mitigating the negative effects of transport effectively, and (3) contributing to CO₂-free city logistics in major urban centres and phasing out conventionally-fuelled cars in cities by 2050.

2.2 Measures to maximise impact

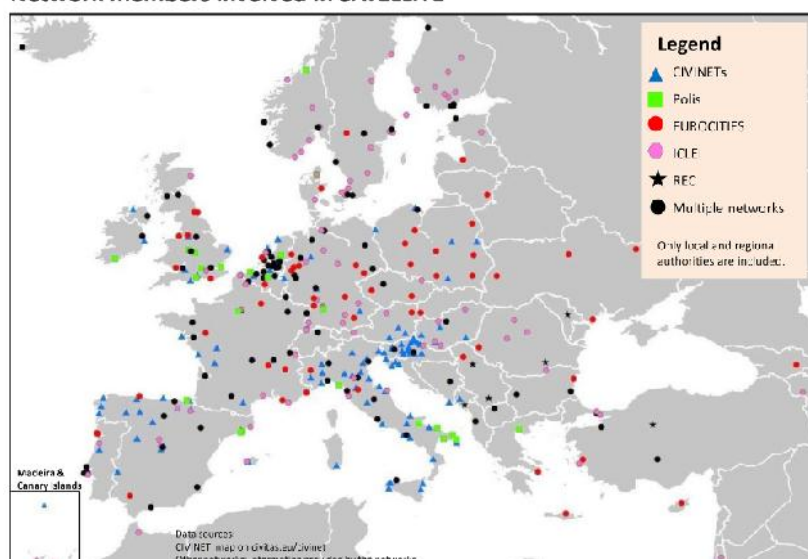
The CIVITAS Initiative is the EU's flagship initiative for promoting and scaling up sustainable urban mobility solutions, with long-standing and authoritative engagement in pushing sustainable urban mobility to the forefront of the agenda for local authorities. The SATELLITE consortium is committed to maintaining and expanding CIVITAS's influence in international and global discussions and improving the sustainability of mobility in cities. The measures identified address the various CIVITAS stakeholders effectively and comprehensively, ensuring their engagement in the initiative.

Strong, structured networking expertise

Among the strengths of the SATELLITE consortium are the many avenues for dissemination, knowledge exchange, capacity building, transfer, take-up and exploitation activities. Polis, EUROCITIES, ICLEI, UITP and REC, as member-based organisations, have a large pool of cities and related stakeholder contacts, many of whom are currently involved in CIVITAS or have been in the past. As the map indicates, SATELLITE's network partners, together with the CIVINETs, cover Europe substantially (REC is not a city network but has many regional offices). Regional underrepresentation of one network is compensated by the others.

Through these contacts, the network partners will **further increase CIVITAS visibility** and offer opportunities for involvement, spreading the impact of CIVITAS beyond the CIVINETs. Polis, ICLEI, EUROCITIES and REC were all in the CIVITAS VANGUARD project consortium and Rupperecht, Polis, ICLEI and UITP are currently working on the CIVITAS CAPITAL support action. ICLEI has extensive experience in communication and dissemination and brings expertise in writing and producing publications, website management, web content development and social media. Furthermore, the CIVINETs will continue in SATELLITE to extend the national/regional reach of the initiative.

Network members involved in SATELLITE



A vehicle for authentic communication, learning, guidance, and reflection

WP3 will develop the **CIVITAS Learning Centre** into the European resource for e-learning on sustainable urban mobility and offer a set of webinar/e-course pairs on urban mobility for the CIVITAS community and beyond. WP3 will connect stakeholders from the CIVITAS community through interactive capacity building activities. In addition to creating new learning opportunities and capitalising on existing material, SATELLITE will bring together the work of CIVITAS 2020 projects to ensure that their learning material and opportunities build upon one another and benefit from joint efforts. By encouraging interaction within the CIVITAS Forum Network, WP3 learning opportunities will increase the impact of the CIVITAS Initiative throughout Europe.

An international perspective

SATELLITE will implement activities aimed at **extending the impact of CIVITAS beyond Europe** by increasing cooperation between CIVITAS and non-EU urban mobility experts, practitioners and projects. Within task 4.3 "International cooperation", the Consortium will e.g. increase the visibility of CIVITAS activities and results by including an international section in the CIVITAS MOVE newsletter and by organising sessions on CIVITAS activities with CIVITAS city participation at international conferences.

Collaborative processes to spread existing knowledge help cities improve their practice

WP4 (Transfer, take-up and exploitation) will **enhance knowledge exchange** among CIVITAS Forum cities dealing with similar challenges through peer-to-peer learning activities and expanded outreach of the TGs. Work placements and study visits will be developed in cooperation with the TGs to bring exchange beyond discussion to real-life experience with peer-to-peer exchange follow-up actions. WP4 exploitation activities will also reach out to and actively engage the private sector with the aim to enhance the roll-out and take-up of the innovative sustainable urban mobility solutions available on and coming to the market.

2.2.1 Dissemination and exploitation of results

Dissemination will be based on the overall communication strategy (D5.1), composed of activities which substantially contribute to informing a wider spectrum of stakeholders of the SATELLITE activities and results, with the aim of spurring wider take-up.

a) Dissemination and exploitation

Dissemination activities will address the profile, needs, and interests of target groups including practitioners and policy-makers from (local, regional, national and international) government, research, consultants, and social and environmental organisations. The table below describes the various SATELLITE dissemination activities and their impacts.

Scope priorities	Coverage by CIVITAS SATELLITE
Results	The discussions, outcomes, conclusions and recommendations of CIVITAS activities will be summarised in a series of products. The format of these will be defined based on the target groups and their expected degree of engagement with the topics. Formats may include infographics, photographic documentation, audio-visual presentations and summary publications of results from the IA and RIA projects. By producing results in formats for different levels of engagement and detail and tailored to specific target groups, SATELLITE will increase the take-up potential of the results of all CIVITAS 2020 projects during its lifespan.
CIVITAS website and Exchange Hub	The CIVITAS website will continue as the main portal for public information to the CIVITAS community and to new users. It will be updated regularly and structured so that information is clearly available to stakeholders and users, whatever their interest in CIVITAS. The CIVITAS Exchange Hub, currently used for various CAPITAL groups, will offer more engagement in the processing of CIVITAS results and supporting other CIVITAS activities, including CIVITAS 2020 coordination and cooperation (task 1.2), Evaluation Liaison Group (task 2.2), Dissemination Liaison Group (task 5.3), peer-to-peer exchange activities (task 4.1), Thematic Groups (task 4.2), CIVINETs (task 6.4), and Advisory Groups (task 6.5). Through the Exchange Hub, stakeholders will be able to share information and accomplish tasks more effectively.
Presentations at events	A CIVITAS presence will be ensured at key European and international events, helping to maintain CIVITAS' reputation as a knowledge repository and keeping the Initiative at the forefront of developments in urban mobility.
Articles in magazines and newsletters	SATELLITE will also ensure articles on CIVITAS (intermediate) results are in specialist magazines such as Thinking Highways, Cities Today, Eurotransport, ITS International, Thinking Cities, etc. With its involvement in the Thinking Cities magazine, Polis can secure two SATELLITE-related articles or interviews per year on innovations in cities across Europe. Articles will also appear in the newsletters of SATELLITE's network partners.

WP4 will advance the exploitation of the results from all CIVITAS projects. Task 4.4 will ensure that the CIVITAS 2020 projects are brought up to speed on what is available from previous CIVITAS projects by providing them with a summary of previously-developed tools and methodologies which have potential for exploitation in the CIVITAS 2020 projects (D4.9). SATELLITE will work together with the CIVITAS 2020 projects on how to best use the tools. For this, three needs assessment maps of demands from ongoing and future CIVITAS 2020 projects will be prepared (D4.10). SATELLITE will ensure that tools and methodologies developed in all CIVITAS projects live on by establishing an online marketplace on the CIVITAS website. The objective is to provide an overview of tools and methodologies and to act as a "meeting place" for cities and marketplace actors.

b) Data management

SATELLITE will consult and gather information on RIA and IA projects and CIVINETs in WP1 and track the data as it is updated to **analyse outputs, trends, and trajectories** in the work and user needs of CIVITAS. In WP2, SATELLITE will collect and process the evaluation results of the CIVITAS IA (and to a lesser extent RIA) projects and synthesise these data.

The basic unit for this information is the Measures Evaluation Result Sheets (MERS), which contain before and after data on the mobility situation in cities and describe the evaluation approach and implementation process. Similar data will be collected on clusters of measures, cities, measure types, specific aspects of implementation processes. This large set of data will be managed in layered and interlinked databases:

- Database with the MERSs with identification keys (e.g. theme, clusters of measures, city, implementation period, operational period and version status of the MERSs)
- Integrated Evaluation Result Sheets (IERS) referring to linked MERSs with a range of identification keys and version status

The other WPs will add further relevant data, e.g. context data on transferability, stakeholder information, expert knowledge linked to the themes of the TGs, etc. In this way SATELLITE will organise efficient storage of data, with easy and efficient access for its evaluation work and for the other WPs. The basic data of previous CIVITAS projects will also be included, resulting in a compilation of CIVITAS experience. Actors in the CIVITAS community may access specific parts of this database.

c) Knowledge management

SATELLITE will **monitor and assess** the extent to which needs identified in the stakeholder survey are successfully met by its activities. An online survey (task 5.2) will ask CIVITAS stakeholders and website visitors to indicate what activities or content they are interested in and offer recommendations for online content. This could be participation in e-learning activities, joining a TG or finding a useful tool in the online marketplace. The survey data will be stored and compared against updated group membership or attendance in e-learning opportunities to see whether users have followed recommendations. The survey will be kept up to date in parallel with the material and opportunities available through the website for the project's lifespan.

Careful monitoring of e-course content, webinars, news items and MOVE will ensure a broad range of themes is covered. This also applies to discussions within the TGs, AGs, and PAC. An annual assessment will review coverage and determine whether the thematic focus of communication and knowledge exchange activities of the TGs, the AGs and PAC needs to be re-balanced. The assessment results will be shared through avenues such as the DLG (task 5.3) and CIVINETs (task 6.4).

Engagement with newsletters, announcements and social media posts (task 5.2), and press releases and media coverage (task 5.5) will inform SATELLITE of content of interest to a diverse audience. This will enable SATELLITE to update its communication activities to increase impact and visibility of CIVITAS activities and results among these audiences.

d) Management of IPR and research data

CIVITAS SATELLITE will openly share and make available all outputs it will produce and will make them freely available for use by third parties, as long as sources are properly mentioned and quoted. As for the research projects that SATELLITE will cooperate with, collect information from and promote outputs of, it will make sure to do this in full respect of the Intellectual Property Rights that apply for these respective projects, and always appropriately quoting sources. The use of research data and related IPR will also be made explicit in the respective MoUs that will be concluded with the projects that SATELLITE actively engages with (CIVITAS2020 RIAs and IAs).

2.2.2 Communication activities

A comprehensive set of communication activities is required to accomplish CIVITAS goals, and SATELLITE will deliver these.

a) Communication strategy

The communication strategy (D5.1) will comprise:

- summary of the current state of the various CIVITAS communications activities
- improvement based on WP1 stakeholder surveys
- goals of communication activities by target group
- key messages for the target groups
- channels to reach the target groups
- communication products, including visual identity
- evaluation and monitoring measures and criteria
- roles and responsibilities of the consortium partners regarding awareness raising activities

This will provide WP5 with a work plan and give SATELLITE partners and IA and RIA projects the information needed to promote the project in a coordinated way. Individual communication tools and target groups are described in the table on the right.

b) CIVITAS website

The website will be the primary portal for visitors and members of the CIVITAS community accessing public information and engaging with CIVITAS. The website will be restructured based on the results of the Needs Assessment, and the consortium will re-establish editorial control over content provided to the website by users.

Communication product/channel	Target group(s)
CIVITAS website	<ul style="list-style-type: none"> • local policy-makers and practitioners • non-local level policy-makers and practitioners • local politicians • NGOs and civil society groups
CIVITAS Exchange Hub	<ul style="list-style-type: none"> • local policy-makers, practitioners and politicians • non-local level policy-makers and practitioners • NGOs and civil society groups • researchers
MOVE newsletters	<ul style="list-style-type: none"> • local policy-makers, practitioners and politicians (in and outside Europe) • non-local level policy-makers and practitioners • NGOs and civil society groups • researchers
Press releases	<ul style="list-style-type: none"> • local government press liaisons • media
Social media	<ul style="list-style-type: none"> • local policy-makers and practitioners • non-local level policy-makers and practitioners • NGOs and civil society groups • general public
Policy briefings	<ul style="list-style-type: none"> • local policy-makers and politicians • policy-makers at non-local government levels

c) Editorial and visual style guidelines

Updated editorial style guidelines will be provided to the IA projects to maintain the CIVITAS brand. The CIVITAS style guidelines will be the basis for all publications, deliverables, presentations, etc. and for material on the CIVITAS website.

d) Newsletter

The quarterly CIVITAS MOVE e-newsletter will continue to promote the initiative and transmit news to stakeholders. Its scope will be expanded to attract international interest by including non-European content. VerticalResponse, an email marketing service which analyses clicks and allows sharing through Facebook, Twitter and LinkedIn, will be used to send the newsletter.

e) Press releases and media monitoring

SATELLITE will send press releases for high-profile events and other occasions where extra visibility is beneficial. SATELLITE will take over and add to CIVITAS media contacts, and will track global mentions of CIVITAS in print and online media.

f) Social media

The CIVITAS Twitter, Facebook and LinkedIn accounts will be used to increase the reach of CIVITAS in Europe and beyond and to broaden the CIVITAS community. Facebook and Twitter will serve as broad dissemination channels, to raise the CIVITAS profile among city residents and the transport community, and to make links with others' social media accounts. LinkedIn will target transport professionals to secure their involvement in CIVITAS. Social media guidelines will ensure the engagement of the IA and RIA projects. A calendar will be set up to ensure a consistent approach to social media.

The YouTube account will store videos for integration in the CIVITAS website and a Flickr account will be created as a storage facility for photos. New video content will include interviews or profiles of new CIVITAS cities or stakeholders.

ICLEI will set up a CIVITAS social media structure, ensuring that key messages are communicated and flexibility maintained.

g) Multimedia content

Videos, infographics, and selected photos will also be produced. These will appear on the website and on social media.

h) Broadening the dissemination network

The consortium's network partners are well connected with other European urban mobility networks, platforms and projects. Relevant European platforms include ERTRAC, TRA, EPOMM, the Sustainable Transport Forum, EcoMobility Alliance and the European Green Capital Award. Other European associations which SATELLITE partners have good working relations with include FIA, ECTRI, FEHRL, ERTICO, EUCAR, Climate Alliance, Energy Cities, AVERE, ACEM, CLEPA, EMTA, ERRIN, etc.

ICLEI has a communications role in Eltis and European Mobility Week. ICLEI also works on communications other mobility projects, all of which will support CIVITAS dissemination to a variety of audiences. Notable is the SOLUTIONS project, which focuses on the exchange of urban mobility approaches and technologies between Europe, Asia, and Latin America.

3. Implementation

3.1 Work plan – Work packages, deliverables and milestones

Overall structure of the work plan

The SATELLITE work plan consists of ongoing, **interconnected activities** rather than a sequence of phases or events. Work packages are concurrent, with mechanisms affecting one another, functioning with regularity and quality control. With tasks in a regular loop, they overlap and are improved with each iteration.

SATELLITE will harness the breadth of sustainable urban mobility information within CIVITAS and add value to it through coordinated activities, rather than reinventing the wheel (which happens when knowledge is lacking on what has been done). With its overview of past and present projects, SATELLITE will forward the CIVITAS 2020 activities by ensuring that they avoid duplication and reinvention. While the project supports all facets of the CIVITAS community, the greatest number of services is provided to the IA projects, followed closely by the RIA projects. By gathering projects information in one location and looking at their work in a larger context, SATELLITE can act on opportunities for the projects and for CIVITAS in general.

WP1 focuses on gathering information from the CIVITAS 2020 projects and serving as the main channel of communication through the CIVITAS 2020 coordination group. CIVITAS 2020 coordination occurs in cooperation with all other WPs. WP2 supports the evaluation work, esp. of the IA projects, based on a fine-tuned CIVITAS process and impact evaluation framework for the IA projects and a minimum framework for the RIA projects, summarising CIVITAS 2020 evaluation results and the long-term impact of CIVITAS in previously-funded CIVITAS cities, and formulating policy recommendations. Capacity building activities for the CIVITAS 2020 projects and beyond will be produced, coordinated and collected in WP3. WP4 puts the accumulated knowledge to use in transfer, take-up and exploitation. The activities' impacts will reach a wide audience through WP5 communication activities. WP6 is the organisation of the CIVITAS Forum conference and the activities of the CIVINETs, AGs and PAC that synthesise the work done under the initiative. WP1 and 2 focus on the CIVITAS 2020 projects. WP3-6 support the CIVITAS 2020 projects, as well as a wider audience of urban mobility professionals in and outside Europe to optimise the impacts of the work done. The activities are described in detail in the WP descriptions that follow.

The relationship between the WPs is one of many synergies. The WP activities have synergistic objectives and the link between the WPs is strong. The project methodology involves support, coordination and facilitating cooperation among stakeholders and CIVITAS 2020 projects (WP1-6) and strengthening the mechanisms for policy-making through content generation (WP2-6).

SATELLITE implementation and management will be efficient and effective by applying the following principles:

- well-defined objectives defined from a strong knowledge base
- a detailed work plan carried out with excellence in a timely manner
- a strong consortium, rich with CIVITAS experience, but eclectic so as to also bring in fresh perspectives and ideas
- clear communication and risk management strategies

Interrelation of SATELLITE components

The strong interrelation of all SATELLITE components is shown in the Pert chart on page 6. All SATELLITE components are interrelated, with products of WP1 feeding into all other WPs. WP2 produces (intermediate) evaluation results from IA and RIA projects, which in turn are used and disseminated by WP4, WP5 and WP6. WP3 and WP4 possess interrelated mechanisms for learning, informing, and connecting. WP4 links to WP6 by providing policy input which is further forwarded to the EC. WP5 and WP6 have a shared function of providing recognition and visibility through communication, publications, and structured networking.

Timing of work packages

[illegible]

3.2 *Management structure and procedures*

SATELLITE project management structure

The project consortium is a manageable size with a pragmatic and decentralised management structure, in order to avoid both bottlenecks in management and over-complication. The management structure divides administrative coordination and technical management, work package leaders, and task leaders. This simple structure will allow for an efficient implementation. The different management roles relate to the following tasks and responsibilities:

The **Project Coordinator (PC)**: Polis will be in charge of all activities related to financial management and will have the overall contractual responsibility vis-à-vis the European Commission. The PC will also act as interface between the EC and the consortium and will be responsible for organising consortium meetings and conference calls.

The **Project Manager (PM)**: Rupprecht Consult will monitor project implementation and compliance with the work plan as described in part B, especially from a content perspective. This includes preparing the periodic and final reports, with support of the PC. The PM is also in charge of the quality control of all deliverables and for identifying, monitoring and managing risks.

The **Work Package Leaders** have the overall responsibility for the tasks, milestones and deliverables included in their respective work packages. They ensure technical coordination between task leaders and partners involved in their WP. They report to the PM and PC and produce the deliverables planned in their WP based on the input of the other partners involved.

Task leaders are in charge of specific tasks in a work package. They have the main responsibility for completing their task, including related milestones and deliverables. They coordinate with the related task partners and report to the WP leader.

Overall, the decision-making processes in SATELLITE will be based on two main principles: subsidiarity and consensus-based decision making. Depending on the complexity and importance of an issue, decisions can be made by any player in the project: task leaders, work package leaders, the PM, or PC. If necessary, decisions will be made by all group members involved in the particular issue. As a relatively small project team, decisions will typically be made by consensus. Where no agreement can be reached, the decision will be made by the PC. If the problem does not allow a satisfactory solution this way, the PC can seek external advice, for example by consulting the European Commission.

Planning & Quality Control

The Description of Work is the main reference document guiding development and progress of the project, as it describes in detail the activities to be carried out, deliverables to be produced and milestones to be met, and the time schedule for all of these. The Consortium Agreement, which will be concluded prior to the project start, will lay down all formal agreements and decision making procedures among the SATELLITE partners, as well as a fine-tuned internal quality control system.

The PC and PM will maintain top level project planning, based on a Gantt chart work schedule. This will be updated by the PC, with input from the partners. Ongoing monitoring will help to detect time delays or other shortcomings and will allow immediate intervention. Monthly conference calls and mandatory six-monthly internal progress reports will enable the PC and PM to monitor progress with respect to all partners. Quality of outputs and deliverables will be assured through a three level quality control process, described in task 7.4.

Information flow and cooperation

Clear and reliable communication among consortium members and with the European Commission is fundamental in ensuring good coordination and management of the SATELLITE project. This will be guaranteed in various ways:

- SATELLITE will set up an online management system for exchanging, structuring and sharing documents (SharePoint). The SharePoint provides a central location for storing and working on documents, which can significantly reduce email traffic and duplication of work. It also helps to keep track of versions of documents created by different users.
- To monitor progress, monthly online consortium meetings (conference calls) will be organised by the PC using the Go-to-Meeting web conference tool, which also allows for sharing presentations online and working communally on documents.
- Consortium meetings will be organised by the PC twice a year to discuss progress, the status of deliverables and any current issues in more detail. Whenever possible, these meetings will be organised in conjunction with other project events.
- The PC will ask all partners to present a progress report at each consortium meeting, including an overview of work carried out during the last six months, resources used, and an indication of the work planned in the next six months. This will both help to keep track of each partner's performance and directly feed into the periodic reporting for the European Commission and into the status updates that SATELLITE will prepare in between.

SATELLITE will also be in regular contact with a wide range of external stakeholders, e.g. for capacity building and peer-to-peer exchange activities, Thematic Groups and Advisory Groups, events, etc. In order to facilitate communication with all external parties and to optimise the conditions for cooperation, a number of supporting mechanisms will be put in place:

- The **CIVITAS Exchange Hub**, currently used for various groups working in CIVITAS CAPITAL, will offer a deeper level of engagement for groups of users preparing CIVITAS results, products and events and will support other CIVITAS activities. These include CIVITAS 2020 coordination and cooperation (task 1.2), the Evaluation Liaison Group (task 2.2), the Dissemination Liaison Group (task 5.3), peer-to-peer knowledge exchange activities (task 4.1), the CIVITAS Thematic Groups (task 4.2), the CIVINETs (task 6.4), and the CIVITAS Advisory Groups (task 6.5). With the Exchange Hub, CIVITAS stakeholders will be able to share information, accomplish tasks more effectively and improve the quality of their outputs.
- **Annual CIVITAS 2020 Project Coordinators' meetings** will be held for CIVITAS 2020 projects (MS1.1) to identify synergies and mechanisms for cooperation and define support mechanisms and project outputs that could benefit from SATELLITE's evaluation framework (task 2.1), dissemination (WP5), capacity building (WP3) and take-up activities (WP4).
- A **virtual cooperation and coordination platform** will be established on the CIVITAS Exchange Hub (MS1.2) to coordinate events, outreach activities and opportunities of the projects, identify content synergies and offer deployment opportunities through the SATELLITE capacity building and exploitation activities. The platform will also support the RIA projects in discussions with their counterparts from other projects on an ongoing and inclusive basis.
- An **internal CIVITAS 2020 electronic newsletter** (D1.4) will be distributed three times a year to keep the IA and RIA projects and SATELLITE itself up to date on developments, milestones, events and outputs from the different projects.
- An **Evaluation Liaison Group (ELG)** will be established to assure efficient interaction between SATELLITE and the Project Evaluation Managers of the IA projects, balancing face-to-face and digital communication.
- A **Dissemination Liaison Group (DLG)** will coordinate communication and dissemination activities and issues between SATELLITE, the CIVINETs and the IA projects.

3.3 Consortium as a whole

The SATELLITE consortium includes partners with extensive experience in the CIVITAS Initiative since its inception in 2002. The consortium members are very familiar with the initiative's activities, stakeholders, strengths and weaknesses. The partnership offers a unique and strong combination of European and international organisations with networking, transport policy, exchange, dissemination and communication skills and consultants with extensive expertise in urban mobility evaluation, capacity building and policy development – all both within and outside the CIVITAS Initiative.

The SATELLITE consortium represents a balanced mix of organisations with the skills needed to deliver a complex project that will raise CIVITAS 2020 to a new level of influence on sustainable urban mobility policies and innovative urban transport solutions across Europe. SATELLITE's knowledge of the CIVITAS Initiative will ensure a smooth continuation of established structures while allowing for identification of areas and activities that could benefit from fresh approaches and formats.

Geographic coverage

The SATELLITE consortium consists of seven partners from three countries: Belgium, Germany, and Hungary. However Polis, EUROCIITIES, ICLEI, UITP and REC cover all of Europe (including accession and neighbouring countries) through their members. In addition the ICLEI and UITP networks also cover the rest of the world. This geographical coverage is an important asset of the SATELLITE consortium. This European and global remit will be complemented with country-specific approaches through close cooperation with existing and new CIVINET national networks, which will be assisted and financially supported by SATELLITE in their efforts to bring CIVITAS insights to their country-specific contexts.

Scientific and networking expertise

Each of the SATELLITE partners is highly qualified in urban transport issues and has been involved in national, European or international research and demonstration projects or networking activities in the area of urban transport. The project partnership ensures that each participant adds value to the project. All partners are recognised experts or leaders in innovative urban mobility policies at the European level. The consortium contains **network associations** (Polis, EUROCIITIES, ICLEI, REC and UITP) and **private research & consultancy companies** (Rupprecht Consult and TML).

Network associations

SATELLITE marks the first time all major European networks in the field of urban mobility with CIVITAS experience are together in one project consortium.

Polis, the leading European network of cities and regions focusing on urban transport innovation, is experienced in developing innovative solutions for local transport and has led and participated in many EU projects in this field. It has also been involved in the CIVITAS Initiative since its inception, participating in several support actions including METEOR (dissemination), GUARD (external expert policy recommendations), CATALIST (networking), VANGUARD (training, dissemination, PAC) and CAPITAL (Activity Fund, Thematic and Advisory Groups). Polis is the SATELLITE Project Coordinator and in charge of WP1. It will also lead or contribute substantially to several other tasks (e.g. Thematic Groups, Advisory Groups, Political Advisory Committee).

Polis is a recognised expert in many EU-funded research projects, including several RIA projects funded under H2020's urban mobility priority. It will also focus on bringing CIVITAS closer to the multi-stakeholder technology platform ERTRAC (the European Road Transport Research Advisory Council) in which it leads the urban mobility working group.

EUROCITIES (founded in 1986) is a network of major European cities, bringing together the local governments of more than 130 large cities in 37 European countries. EUROCITIES represents the interests of its members and engages in dialogue with European institutions across a wide range of policy areas affecting cities. Through their Mobility Forum, the network has been involved in the CIVITAS Initiative since the beginning, especially in the organisation of several CIVITAS Forums and peer-to-peer exchange activities through METEOR, CATALIST and VANGUARD. Within SATELLITE, they lead the peer-to-peer activities and continue to play an active role in the CIVITAS Forum conference organisation.

ICLEI – Local Governments for Sustainability is a world-wide association of local governments implementing sustainable development, including sustainable urban mobility. They have extensive expertise in communication and dissemination to the target group of cities, which they have demonstrated in the CIVITAS VANGUARD and CAPITAL projects. They will also play this role in SATELLITE.

The **Regional Environmental Center for Central and Eastern Europe** (REC) is an international not-for-profit organisation whose mission is to assist in solving environmental problems. It does this by addressing matters concerning climate change, sustainable urban mobility and energy. REC has local staff in 17 countries from Estonia to Turkey. REC was the project coordinator of CIVITAS VANGUARD and brings this experience to SATELLITE, notably by taking up key tasks it was formerly responsible for, i.e. the CIVITAS Secretariat, Forum conferences, Awards and the Political Advisory Committee (as rapporteur). REC will also coordinate CIVINET related activities.

UITP is the international network for public transport authorities, operators, policy decision-makers, scientific institutes and the public transport supply and service industry. It is the main actor in Europe representing public transport stakeholders. Its expertise will contribute to SATELLITE activities related to public transport, including cooperation with the CIVITAS 2020 projects. The UITP network, composed of 12 regional offices, will also be an opportunity to foster international cooperation in SATELLITE and to support the IA projects' international outreach activities. UITP will lead task 4.3 "International cooperation".

Private research & consultancy companies

Rupprecht Consult Forschung & Beratung GmbH is an independent, private research and consulting company, specialised in urban mobility. Rupprecht has substantial CIVITAS experience, project management proficiency, and expertise in capacity building. Having coordinated many EU projects on urban transport and mobility, Rupprecht has a track record of successfully coordinating and managing complex European projects. Rupprecht has project managed four CIVITAS demonstration projects, coordinates the current CIVITAS support actions, CAPITAL, and coordinated the work package on impact assessment in CIVITAS CATALIST. Rupprecht will be the Project Manager, lead capacity building and exploitation activities.

Transport & Mobility Leuven NV (TML) conducts applied research to support policy decisions. Their mission is to help society by offering scientifically sound analyses and they rely on modelling, statistical analyses, simulations, and prognoses. TML's focus is both scientific and operational, bridging academia and society and fitting the close-to-market approach of Horizon 2020. TML has expertise in evaluation activities for cities involved in CIVITAS ELAN and VIVALDI. Their hands-on experience and research expertise make them ideal to extend and optimise the CIVITAS evaluation framework within SATELLITE.

Coordination and management

The consortium is a manageable size, ensuring efficient use of resources, practical and cost-effective coordination and complementarity among partners. Together with the expertise noted above, Polis and Rupprecht Consult also have a proven track record of joint coordination and management of European urban transport projects. Together, they led the widely recognised series of projects focusing on the deployment of urban transport innovation across Europe, NICHES, NICHES+ and TIDE. They plan to continue this fruitful cooperation in SATELLITE, building on each other's strengths, skills and expertise.

3.4 Resources to be committed

SATELLITE partners are fully committed to mobilising the resources needed to carry out the tasks in the proposal. Financial planning is appropriate to the size, scope and duration of the project. Personnel rates are based on the average rates of staff allocated to the project while other direct costs are based on the best value-for-money considering the quality of the service proposed. External suppliers will be selected through transparent, state-of-the-art tendering procedures. Project management represents less than 10% of the project's total person-months, which is appropriate for this type of project and consortium.

Labour costs

The resources split among the partners reflect their responsibilities and tasks. Person-months per partner and WP are detailed

in table 6 below. The overall budget for staff costs is 1,803,825€ The project will be supported by two or three persons per partner to guarantee human resources to manage the work within the set timeframe. The personnel costs for WP leaders, who carry the main responsibilities in the project, range from 59,500€ (WP1) to 305,690€ (WP2). The Project Coordinator, supported by all partners, will implement the necessary administrative procedures to ensure that financial and legal aspects are addressed appropriately. Periodic activity reports will detail effort, the tasks performed and milestones achieved. Periodic financial statements and reports will detail the actual eligible costs and declare reimbursement claims for person-month costs.

Other direct costs

The costs planned across the other direct cost categories are described in detail below, however, the consortium will maintain flexibility in allocating budgets, should the EC want to redirect some costs in view of specific strategic or policy priorities.

Travel

WP7 includes the travel, subsistence and meeting costs for consortium meetings, amounting to 12,600€ per partner (two people*nine meetings) and 6,300€ for UTP (one representative, given its smaller role in the project). The allocation per partner is estimated to average 700€ per person per trip. To minimise travel and optimise resources, several activities are organised back-to-back with the annual CIVITAS Forum.

A travel, accommodation and meeting budget in WP4 will cover costs related to work placements and study visits. For work placements, one city representative will be supported up to 700€ for travel and accommodation. Cities hosting work placements will receive up to 500€ to cover costs related to the meeting room, catering and local transport. The budget allows for up to 16 work placements, amounting to 19,200€. Similarly, a travel, accommodation and meeting budget for study visits is set at 700€ for each time 4 participants, while other participants will cover their own expenses through involvement in CIVITAS 2020 projects. EUROCIITIES will also attend the visits. Cities hosting study visits will receive 1,000€ to cover costs related to the meeting room, catering and local transport. The budget allows for up to four study visits, amounting to 18,000€.

Also in WP4, SATELLITE will organise sessions on CIVITAS activities with CIVITAS city participation at international events. A budget for international trips has been allocated to Polis (3,000€), Rupprecht (4,800€), ICLEI (3,000€) and UTP (3,000€).

Under WP5, 700€ each for Rupprecht, EUROCIITIES and ICLEI will cover travel to three results dissemination workshops organised with the CIVINETs under task 5.6. 10,500 € (3*700€*5) is allocated to the network partners to promote and present CIVITAS at external conferences, with another 3,000€ to cover conference fees.

Under WP6, 8,400€ travel costs is allocated to REC and EUROCIITIES for Forum-related preparations (2/year for REC, 1/year for EUROCIITIES @700€ per trip). Travel costs to the Forum for two additional people for REC and one for EUROCIITIES each year amounts to 8,400€ (700€ per trip). REC also holds a budget of 40,000€ for travel and accommodation for Forum moderators, keynote speakers, journalists, etc. for four Forums. 5,000€ will cover the trips of Polis (2,000€) and REC (3,000€) to four PAC meetings that are not linked with Forums. A travel budget of 24,900€ is reserved to cover the costs for each of the four SATELLITE Advisory Groups to meet three times, plus 900€ travel costs for Rupprecht to attend the meetings in Brussels.

Equipment

Rupprecht has planned 1,000€/year for the tool needed for the online surveys in subtask 3.2.4, 2,500€/year for the software needed for the e-learning in task 3.4, 1,738€ for the webinar license for task 3.4, and 3,624€ for the SharePoint license in task 7.2; costs for these tools will be shared by all projects at Rupprecht that use them.

ICLEI has 2,000€ in its WP5 budget for VerticalResponse, an email marketing service used to send the electronic MOVE newsletter and other direct CIVITAS mailings. A budget of 9,600€ is reserved for website server hosting costs.

Other goods and services

High quality communication and dissemination material are part of WP5. 5,000€ has been allocated to ICLEI to produce material such as postcards, booklets and roll-ups, with associated mailing costs of 1,500€. 6,000€ will cover printing of the three results publications planned under task 5.6. 2,000€ will cover meeting room and catering costs for the DLG meetings.

In WP6, 80,000€ (20,000€ per Forum) is allocated to REC to ensure a well-organised, high-quality annual Forum to co-finance the host city for catering, audio-visual material, etc. 4,000€ covers costs related to CIVITAS award certificates and trophies. 3,000€ is allocated in WP6 to cover meeting costs related to the Advisory Groups, while 2,000€ will cover PAC meetings costs.

In WP7, 2,000€ each is foreseen for Polis, Rupprecht, REC, and TML to contract an external auditor for certificates on financial statements.

Subcontracting

A CIVINET Activity Fund budget has been reserved under subcontracting in WP6 to support activities of the current CIVINETs and in support of starting new networks. The CIVINET Activity Fund will comprise a sum of 250,000€ that. SATELLITE will launch two calls (MS6.9a-c) providing funding for activities of the current ten CIVINETs (110,000€ for each call). In addition, a call will be launched to establish new CIVINETs (30,000€). This amount should be sufficient to support the establishment of 2-3 new networks. Resources may be reallocated from other categories to the Activity Fund when requested by INEA/DG MOVE. Also in WP6, a subcontracting budget of 20,000€ will cover fees of Forum moderators or keynote speakers at the Forums.

As required, the tables below shows the 'other direct costs' for participants where those costs exceed 15% of the personnel costs, the other direct costs for all beneficiaries, and the travel costs for all beneficiaries.

Table: 'Other direct cost' items (travel, equipment, infrastructure, goods and services, large research infrastructure)

3 EUROCIETIES	Cost (€)	Justification
Travel	23,800€	1 rep each to 4 study visits (WP4) @700€/trip; 1 trip to results dissemination workshop @700€(WP5); 3 trips for promotion at external events @700€each (WP5); 4 Forum preparation meetings @700€each (WP6); 1 extra person at 4 Forums @700€each (WP6); 9 consortium meetings with 2 reps @700€each
	34,400€	Transitory travel & meeting costs: reimbursement of trips of 1 city rep for 16 work placements @700€each + 500€hosting costs for 16 cities and reimbursement of 4 reps each for 4 study visits @700€(WP4)
Equipment	0€	/
Other goods and services	2,600€	600€external conference fees (WP5)
Total	58,800€	
4 ICLEI	Cost (€)	Justification
Travel	18,400€	3,000€international trips to promote CIVITAS (WP4); 1 trip to results dissemination workshop @700€(WP5); 3 trips for promotion at external events @700€each (WP5); 9 consortium meetings with 2 reps @700€each
Equipment	11,600€	2,000€for VerticalResponse, an email marketing service to send the electronic MOVE newsletter and other CIVITAS mailings (WP5); 9,600€for server hosting costs related to the CIVITAS website and Exchange Hub (WP5)
Other goods and services	13,100€	5,000€for promotional material (postcards, booklets, roll-ups, etc.), shipping costs of 1,500€ for dissemination materials; 6,000€for printing three results publications (WP5); 600€ external conference fees (WP5)
Total	43,100€	
5 REC	Cost (€)	Justification
Travel	28,900€	3 trips for promotion at external events @700€each (WP5); 8 Forum preparation meetings @700€each (WP6); 2 extra persons at 4 Forums @700€each (WP6); 3,000€travel to 4 PAC meetings (WP6); 9 consortium meetings with 2 reps @700€each (WP7)
	40,000€	Transitory travel costs: 40,000€to cover travel and accommodation for Forum moderators, keynote speakers, journalists, etc. of 4 Forums (WP6)
Equipment	0€	/
Other goods and services	88,600€	600€external conference fees (WP5); 80,000€(20,000€per Forum) to co-finance the host city for catering, audio-visual material, etc. (WP6); 4,000€CIVITAS award certificates and trophies (WP6); 2,000€PAC meeting costs (WP6); 2,000€audit certificate (WP7)
Total	157,500€	
7 UTP	Cost (€)	Justification
Travel	11,400€	3,000€international travel to promote CIVITAS (WP4); 3 trips for promotion at external events @700€each (WP5); 9 consortium meetings with 2 reps @700€each (WP7)
	6,000€	Transitory travel: Advisory Groups: reimbursement travel & accommodation for 3 meetings of 1 AG for 4 experts @700€each
Equipment	0€	/
Other goods and services	600€	600€external conference fees (WP5)
Total	18,000€	

Table: Other direct costs for all beneficiaries

Other direct costs	Cost in €	Cost in €	Cost in €	Cost in €	Cost in €	Cost in €	Cost in €	Total	Explanation/Justification
	Polis	Rupprecht	Eurocities	ICLEI	REC	TML	UITP		
Task 3.3 Online survey software		€ 4.000,00						€ 4.000,00	Qualtrics license: 1,000€/ year
Task 3.4 E-learning software		€ 10.000,00						€ 10.000,00	Moodle license and support: 2,500€/ year
Task 3.4 WP7 Software for webinars and telephone conferences		€ 1.738,00						€ 1.738,00	GoToWebinar license: 869€/year
Task 5.2 Printing				€ 3.000,00				€ 3.000,00	For postcards, leaflets
Task 5.2 Banners				€ 2.000,00				€ 2.000,00	5 banners
Task 5.2 Mailing				€ 1.500,00				€ 1.500,00	limited postal mailing of leaflets and postcards
Task 5.2 Electronic dissemination				€ 2.000,00				€ 2.000,00	Vertical Response electronic mailing software
Task 5.2 Server costs				€ 9.600,00				€ 9.600,00	Website
Task 5.4 External events fees	€ 600,00		€ 600,00	€ 600,00	€ 600,00		€ 600,00	€ 3.000,00	300 € per event
Task 5.3 DLG meeting logistics	€ 2.000,00							€ 2.000,00	catering costs
Task 5.6 Results publications printing				€ 6.000,00				€ 6.000,00	3 publications
Task 6.2 Forum host city support					€ 80.000,00			€ 80.000,00	20,000 € per forum to contribute to costs such as catering, photography, audio-visual services
Task 6.3 Awards					€ 4.000,00			€ 4.000,00	trophies, certificates
Task 6.6 PAC meeting costs					€ 2.000,00			€ 2.000,00	
Task 7.2 Sharepoint		€ 3.624,00						€ 3.624,00	intranet for project partners
Task 7.1 Audit certificates	€ 2.000,00	€ 2.000,00			€ 2.000,00	€ 2.000,00		€ 10.000,00	certificates on financial statements
Total	€ 4.600,00	€ 21.362,00	€ 600,00	€ 24.700,00	€ 88.600,00	€ 2.000,00	€ 600,00	€ 144.462,00	

Travel costs for all beneficiaries

Travel costs	Cost in €	Cost in €	Cost in €	Cost in €	Cost in €	Cost in €	Cost in €	Total	Explanation/Justification
	Polis	Rupprecht	Eurocities	ICLEI	REC	TML	UITP		
Task 4.1 Work placements			€ 19.200					€ 19.200	16 work placements: reimbursement of travel & subsistence for 1 representative at € 700, 500 € costs host city
Task 4.1 Study visits			€ 18.000					€ 18.000	4 visits each with 4 persons + 1 representative of Eurocities: reimbursement of travel & subsistence at 700 € each; 1000 € costs host city
Task 4.3 International cooperation	€ 3.000	€ 4.800		€ 3.000			€ 3.000	€ 13.800	international trips to TRB and other international events for dedicated CIVITAS sessions
Task 5.4 External events	€ 2.100		€ 2.100	€ 2.100	€ 2.100		€ 2.100	€ 10.500	3 external events per partner involved@700 € each
Task 5.6 Results dissemination workshops		€ 700,00	€ 700,00	€ 700,00				€ 2.100	travel to workshops
Task 6.2 Forum annual prep meetings			€ 2.800		€ 5.600			€ 8.400	2 prep meetings per year for REC 1 person, 1 prep meeting 1 person for EC @700 €
Task 6.2 Travel to forum			€ 2.800		€ 5.600			€ 8.400	2 extra persons for REC, 1 extra for EC @ 700 € each
Task 6.2 Forum moderators, participants					€ 40.000			€ 40.000	reimbursement travel
Task 6.5 Advisory Groups	€ 9.000	€ 6.900				€ 6.000	€ 6.000	€ 27.900	700 € travel*4 groups*4 experts*3 meetings + meeting costs 3000 € on Polis
Task 6.6 PAC annual travel	€ 2.000				€ 3.000			€ 5.000	4 meetings
Task 7.2 Consortium meetings	€ 12.600	€ 12.600	€ 12.600	€ 12.600	€ 12.600	€ 12.600	€ 6.300	€ 81.900	700 € per meeting per person, 9 meetings
Total	€ 28.700	€ 25.000	€ 58.200	€ 18.400	€ 68.900	€ 18.600	€ 17.400	€ 235.200	

4. Members of the consortium

4.1 Participants

Partner 1: Polis – Promotion of Operational Links with Integrated Services

Short name: Polis

Company website: www.polisnetwork.eu

Description of the legal entity and main tasks


Polis has been a European network for dialogue and cooperation on innovative urban transport issues between cities and regions since 1989. It currently represents around 65 cities, regions and transport operators from all over Europe. Polis' objective is to support European cities and regions to improve the quality of life of their citizens through innovative measures for sustainable urban transport. The Network facilitates access to European initiatives and research programmes for its members, looking into solutions for urban and regional mobility, in the field of health and environment, traffic management and intelligent transport systems, road safety, and social and economic aspects of transport. Polis events, publications and in-house expertise create opportunities for members to exchange experience and forge partnerships among themselves, with the industry and the research community, and to develop innovative solutions. Polis also provides decision makers with strategic information to improve urban and regional transport, and it advocates the development of an adequate policy framework at the European level to achieve sustainable mobility in cities and regions.


Polis has a longstanding experience in promoting innovative solutions for local transport and has participated in many EU projects and local activities in this field. Polis ensures the dissemination of results in many EU projects, supports cities and regions in implementing innovative solutions through focus groups, seminars and individualised guidance and advice, has managed demonstration work packages in several research projects and coordinates end-user groups in industry-led projects. Polis also acts as a facilitator between the EU projects and their end-users in cities in publishing guidance and policy notes and organising capacity building activities that aim to support the use of project results by cities and regions.

Polis has been involved in CIVITAS activities for many years, including involvement in CIVITAS CATALIST, and management of the training activities in CIVITAS VANGUARD. Currently, Polis is in charge of the Activity Fund activities within CIVITAS CAPITAL. Polis also is the chair of the Urban Mobility Working Group within ERTRAC, the European Road Transport Research Advisory Council.


Within CIVITAS SATELLITE, Polis will act as project coordinator. In addition, it leads WP1 on CIVITAS 2020 coordination. Other main contributions relate to the Thematic Groups (task 4.2) and Exploitation (task 4.4) in WP4, and the Advisory Groups (task 6.5) and PAC (task 6.6) in WP6.

Curriculum vitae or description of the profile of the persons

	Organisation	Polis
	Name	Vanduyzen
	First Name	Karen
	Function	Secretary General
	Gender	Female
Education	Masters degrees in Germanic languages, literary theory, and cultural studies (Catholic University of Leuven)	
Profile	Karen Vanduyzen was appointed as Secretary General of Polis in September 2014. Prior to that, she was the network's Director for Research. She manages and oversees Polis activities, including projects and policy. She represents Polis within ERTRAC and chairs the ERTRAC Urban Mobility Working Group. Karen has been involved in many EU transport projects since 1998 as partner, work package leader and project coordinator. Prior to joining Polis in 2004, she was Policy & Project Officer and then Network Manager at ACCESS-EUROCITIES for a New Mobility Culture from 2002-2004. From 1998-2001 she worked as project manager at Langzaam Verkeer.	
Input to SATELLITE	Karen will be coordinating the SATELLITE project together with Ivo Cré and will contribute to WP1 and 6.	

	Organisation	Polis
	Name	Cré
	First Name	Ivo
	Function	Deputy Director
	Gender	Male

Education	Bachelor in adult education
Profile	Ivo Cré was appointed as Deputy Director of Polis in March 2015, after having been Project Manager at Polis since May 2006. He assists the Secretary General with policy and project related tasks. Ivo has been involved in a wide range of European transport projects and also coordinates the Polis Working Group on economic and social aspects of transport. Before joining Polis, Ivo was Policy Officer for mobility at EUROCITIES, assistant to a Member of the European Parliament, advisor to the Belgian Minister of Environment, and project leader at Langzaam Verkeer.
Input to SATELLITE	Ivo will be coordinating the SATELLITE project together with Karen Vanduyssen and will be responsible for leading WP1 and carrying out Polis' tasks in the other WPs.

	Organisation	Polis
	Name	Stoycheva
	First Name	Daniela
	Function	Project manager
	Gender	Female

Education	Master's degree in European Studies
Profile	Daniela is project manager at Polis and has been working on projects such as POSSE (Open specifications for ITS in urban policies), POLITE (ITS for Public Transport), EPTA (Enhancing Public Transport Authorities) and the SUMP-related projects QUEST and CHALLENGE. She holds a Master's degree in European Studies with a focus on EU policies and institutional decision-making. Daniela has gained working experience from the Committee of the Regions of the EU in Brussels and from the United Nations Development Programme, Unit for Sustainable Development in Brazil.
Input to SATELLITE	Daniela will work on WP1 and on Polis' tasks in the other WPs.

Relevant previous publications and products

Name	Short description	Relevance to SATELLITE
TIDE Guidelines for Implementers	These practice-oriented publications present cities and regions with guidance on how to implement specific innovative urban mobility measures in their own context.	These publications can serve as inspiration for the results publications (task 5.6) planned under WP5.
CIVITAS VANGUARD Manual on Citizen Involvement	This practical handbook provides guidance for cities on how to best engage citizens in urban mobility policy implementation.	Relevant experience for developing SATELLITE capacity building activities (WP3) and results publications (WP5).
NODES Catalogue of tools and good practice	Provides cities and transport operators with a practical toolbox of key instruments to be taken into account for implementing or upgrading urban transport interchanges.	
CIVITAS VANGUARD Manual on Communication	This practical handbook provides guidance for cities on how to best communicate about their urban mobility policies.	

Name	Short description	Relevance to SATELLITE
CIVITAS VANGUARD Innovative Urban Transport Solutions	A critical review of the transport measures that were developed and implemented during CIVITAS Plus. Taking a thematic approach, measures are reviewed and a set of recommendations, focusing on concrete examples, is given for each. In addition, case studies complement and offer in-depth information.	This publication can serve as inspiration for the results publications planned under WP5.

Relevant previous projects or activities

Name	Short description	Relevance to SATELLITE
TIDE	The mission of the FP7 TIDE project (Transport Innovation Deployment for Europe) is to enhance the broad transfer and take-up of 15 innovative urban transport and mobility concepts throughout Europe and to make a visible contribution to establish them as mainstream measures. TIDE partners are making a range of new and feasible solutions easily accessible to practitioners in urban transport planning and encourage a wide discussion on these measures. Polis was the project coordinator and in charge of the TIDE dissemination activities. More information: www.tide-innovation.eu	TIDE focuses on the transfer of 15 innovative measures – between five project partner cities and ten subcontracted champion cities – in five thematic clusters. TIDE's sophisticated training programme included face-to-face training and exchange events for 40 follower cities as well as handbooks and e-learning on how to successfully implement innovative solutions. The TIDE experience is relevant for capacity building (WP3) and transfer, take-up and exploitation (WP4) activities in SATELLITE.
CIVITAS CAPITAL	The FP7 project CIVITAS CAPITAL is one of the two current CIVITAS Support Actions. CAPITAL capitalises systematically on the results of CIVITAS and initiates and supports a mainstreaming process of CIVITAS principles based on a strengthened community of stakeholders. CAPITAL pools existing knowledge through groups dedicated to specific topics that produce best-practice guides. The project creates a more structured link with large-scale deployment in support of Transport White Paper goals. Polis is in charge of the CAPITAL Activity Fund, leads the Thematic Group on Clean Vehicles and Advisory Group on ITS. Further information: www.civitas.eu	CAPITAL is helping CIVITAS to build the bridge towards a more advanced identity within Horizon 2020, which SATELLITE will further extend. CAPITAL also includes a diverse training programme and manages an Activity Fund that supports the transfer of measures to other cities and support CIVINET activities, thus allowing more cities to implement successful urban mobility measures.
CIVITAS VANGUARD	CIVITAS VANGUARD was the CSA for the CIVITAS Plus phase within FP7. It provided coordination and dissemination support for the implementation of collaborative projects in the CIVITAS Initiative.	Polis was in charge of the VANGUARD training activities, including training workshops, webinars, and the CIVITAS Thematic Groups. This experience is relevant for capacity building (WP3) and Thematic Groups (task 4.2.) activities in SATELLITE.
SOLUTIONS	The overall mission of the FP7 SOLUTIONS project is to foster knowledge exchange to support the uptake of innovative sustainable urban mobility solutions in Europe and other regions in the world, in particular in Asia, Latin America and the Mediterranean. Polis is in charge of the training activities in SOLUTIONS. More information: www.solutions-project.eu	Within SOLUTIONS, Polis coordinates the training activities that are designed for participants outside of the EU. The international experiences in SOLUTIONS support Polis' activities (T4.3) to improve and coordinated visibility of the CIVITAS Initiative outside of Europe and encourage international exchange.

Partner 2: Rupprecht Consult – Forschung und Beratung GmbH

Partner short name: Rupprecht

Company website: www.rupprecht-consult.eu

Description of the legal entity and main tasks

Rupprecht Consult is an independent, private research and consulting company from Cologne, Germany, specialised in urban mobility issues. The company employs 16 internationally-experienced experts in sustainability in the fields of urban development, transport planning, environment, information technologies and innovations to society. Services include the development and management of international projects as well as evaluation and impact assessment, dissemination, capacity building, strategy development, and independent project monitoring. Focus areas are sustainable urban transport mobility planning and integrated, multi-disciplinary mobility policy development.


Recent work includes activities in various European programmes in the areas of promotion of clean mobility, development and transfer of innovative urban transport concepts, and training and awareness-raising on sustainable urban mobility plans throughout Europe. Within the CIVITAS Initiative Rupprecht has (co-)managed four demonstration projects and four support projects. Rupprecht's portfolio of sustainable urban mobility projects also extends to the transnational context of several INTERREG programme areas and various other European programmes, including Intelligent Energy Europe. These projects are widely recognised for their innovativeness and involvement of forward-looking cities and regions as well as industry and research partners. Rupprecht has successfully taken on roles of project manager, technical coordinator, evaluation and dissemination manager, and monitoring contractor for various DG's of the EC and other EU institutions (e.g. JRC). Over the years, Rupprecht's team members have thereby gained vast experience and expertise in managing and coordinating European projects on sustainable urban mobility, especially within the context of the CIVITAS programme.

Of particular relevance for the SATELLITE project is Rupprecht's substantial CIVITAS experience, project management proficiency, and expertise in capacity building. Having coordinated many EU projects in the field of urban transport and mobility, Rupprecht has a proven track record of successfully coordinating and managing complex European projects on transport challenges, both within and beyond CIVITAS. Rupprecht was the Project Manager of four CIVITAS demonstration projects (CARAVEL, MOBILIS, ELAN and DYN@MO). Rupprecht also coordinates one of the two current CIVITAS support actions, CIVITAS CAPITAL, and previously coordinated the work package on "CIVITAS Impact Assessment" in CIVITAS CATALIST. Furthermore, Rupprecht was in CIVITAS METEOR (2001-2006) responsible for the monitoring of the demonstration projects and the concept development for process evaluation; Rupprecht coordinated the international part of PARAMOUNT (2006-2010). Within CIVITAS 2020 Rupprecht Consult is the coordinator of FLOW and project manager of ELIPTIC.

With a thorough and up-to-date understanding of what CIVITAS has achieved so far, Rupprecht is well-equipped to combine innovative approaches with the tried-and-true CIVITAS activities. In terms of capacity building, Rupprecht brings experience in leading and moderating urban transport expert groups (e.g. CAPITAL's CIVITAS Advisory Groups), developing training courses for urban transport professionals (for example in the EU-funded projects CHALLENGE, TIDE and SOLUTIONS), and working hands-on with cities across Europe on implementing urban transport innovation. Rupprecht's detailed familiarity with CIVITAS and taking on leading roles in the programme – ranging from the early years of the Initiative to new CIVITAS 2020 projects such as FLOW and ELIPTIC – coupled with comprehensive technical and pedagogical expertise, poises SATELLITE as both an anchor and guiding entity for CIVITAS.


Within SATELLITE, Rupprecht Consult will be the Project Manager and will lead WP3 Capacity building. Rupprecht will also lead task 4.4 'Exploitation' and contribute to activities in all WPs.

Curriculum vitae or description of the profile of the persons


	Organisation	Rupprecht Consult – Forschung und Beratung GmbH
	Name	Rupprecht
	First Name	Siegfried
	Function	Executive Director
	Gender	Male

Education	Social scientist (Universities of Bielefeld, Bamberg and Oxford)
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Profile	<p>Siegfried Rupprecht is a social scientist (Universities of Bielefeld, Bamberg and Oxford). His main area of interest is sustainable urban development and he has worked in the area for 25 years, mostly in European RTD co-operation projects in the areas of mobility, planning and environment. He has successfully managed large research and demonstration projects in transport and energy while being the head of the European Office of the City of Cologne. He has worked in software development and was a lecturer for town planning (Cologne Polytechnic and University of Bielefeld).</p> <p>Siegfried is the owner of Rupprecht Consult where he has worked during the last 19 years as project developer, project manager, moderator and adviser, cooperating intensively with policy-makers, industry, NGOs and researchers worldwide.</p> <p>He has been strongly involved in the CIVITAS Initiative (since its beginning in 2001 through four demonstration and four support projects), in the development of the concept for sustainable urban mobility plans, SUMP, (since 2005) as well as other EU-policy development processes, e.g. LINK guidelines on intermodal transport (2010), TRANSFORuM Roadmaps for the EU Transport White Paper (2014).</p>
Input to SATELLITE	Siegfried will be leading the management of CIVITAS SATELLITE and the communication between all partners. He will also be directly involved in task 4.3 International cooperation.

	Organisation	Rupprecht Consult – Forschung und Beratung GmbH
	Name	Braun
	First Name	Marcel
	Function	Senior Consultant
	Gender	Male

Education	Master degree in sociology, anthropology and pedagogy (Universities of Heidelberg, London and Bonn)
Profile	<p>After graduation, Marcel was a research fellow for two years at a Cologne-based research institute where he co-ordinated an EU-funded project on the role of public authorities in Europe on promoting Corporate Social Responsibility at the regional level. Prior to joining Rupprecht he worked for four years at the Research Group “Energy, Transport and Climate Policy” of the Wuppertal Institute for Climate, Environment and Energy where he was involved in interdisciplinary research projects on European and international climate policy, taking up a variety of research and project management tasks.</p> <p>Since starting at Rupprecht Consult in 2008 he was the Project Manager of the CIVITAS ELAN project (2008-2012), the largest demonstration project that has been funded within the CIVITAS Initiative up to now. Marcel currently manages one of the two on-going CIVITAS demonstration projects, CIVITAS DYN@MO, and is a member of the project coordination team of the CIVITAS CAPITAL project which is capitalising systematically on the results of CIVITAS and creating an effective “value chain” for urban mobility innovation.</p>
Input to SATELLITE	Within SATELLITE Marcel will be responsible for the day-to-day project management work within WP7 and for Rupprecht’s contributions to WP1, WP2, WP4, and WP5.

	Organisation	Rupprecht Consult – Forschung und Beratung GmbH
	Name	Peters
	First Name	Hana
	Function	Consultant
	Gender	Female

Education	Master of Science degree in Environmental Studies and Sustainability Science (Lund University)
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Profile	<p>Hana holds a BA in Psychology from Haverford College and an MSc in Environmental Studies and Sustainability Science from Lund University, where her research focused on urban transport and travel behaviour. Prior to joining Rupprecht Consult, Hana applied her international and interdisciplinary background working at ICLEI – Local Governments for Sustainability, where she worked with local government leaders and practitioners and was responsible in the global coordination of ICLEI's work in the field of sustainable urban mobility. Her role included organising knowledge-sharing and capacity building workshops, programme development for the EcoMobility Congress series, research on urban mobility from both technical and policy perspectives, and coordination of the EcoMobility SHIFT project and the EcoMobility Alliance.</p> <p>Hana started at Rupprecht Consult in 2014 and is currently coordinating the CIVITAS support project CAPITAL, and is a task leader in several aspects of the project including the management of the Activity Fund, development of overall take-up methodology and process, coordination of the take-up process, and is technical support for two CIVITAS Advisory Groups. Hana is also part of the management team for CIVITAS DYN@MO.</p>
Input to SATELLITE	Within SATELLITE Hana will be responsible for coordinating WP3 Capacity building and for Rupprecht's contributions to WP6.

Relevant previous publications and products

Name	Short description	Relevance to SATELLITE
CIVITAS Capitalised	<p>Written by ICLEI and edited by Rupprecht, this public report provides an overview of CAPITAL activities as they relate to overarching themes and the goals of the EU Transport White Paper. In each thematic section, articles explore a theme in greater detail and explain the surrounding policy context on European and national levels. Activities in CAPITAL are described, such as the project's Advisory Groups, Thematic Groups, CIVINETs, and Activity Fund projects.</p> <p>Further information: www.civitas.eu/content/civitas-capitalised-2014</p>	The publication is indicative of the depth and breadth of CIVITAS experience in the SATELLITE consortium, as connections are made among many CIVITAS activities and groups, bringing them together under common themes and goals. SATELLITE will bring such connections a step further through coordination of connections among Horizon 2020 CIVITAS projects as well as groups maintained within CIVITAS projects (e.g. Thematic Groups, CIVINETs).
TIDE e-courses	<p>A series of 10 moderated e-learning courses for those interested in bringing innovative transport solutions to their own town, city or region.</p> <p>Further information: www.tide-innovation.eu/en/News/Launch-of-TIDE-e-learning and www.tide-innovation.eu/en/Results/E-learning-courses-material-online</p>	SATELLITE will offer e-learning courses to allow experts to learn about and discuss a topic comprehensively, responding to the needs of the CIVITAS 2020 projects and the wider CIVITAS community. SATELLITE's approach to e-learning builds upon the lessons learned from TIDE to improve the learning experience and to encourage active participation in the moderated e-learning courses.
CHALLENGE in-depth e-learning courses	<p>A series of moderated in-depth courses on participation, cooperation, measure selection and monitoring & evaluation in urban mobility planning. The courses are being moderated for four weeks by the project's SUMP experts.</p> <p>Further information: www.sump-challenges.eu/content/online-learning</p>	

Relevant previous projects or activities

Name	Short description	Relevance to SATELLITE
CIVITAS CAPITAL	<p>The FP7 project CIVITAS CAPITAL is one of the two current CIVITAS Support Actions. CAPITAL capitalises systematically on the results of CIVITAS and initiates and supports a mainstreaming process of CIVITAS principles based on a strengthened community of stakeholders. CAPITAL pools existing knowledge through groups dedicated to specific topics that produce best-practice guides. The project creates a more structured link with large-scale deployment in support of Transport White Paper goals.</p> <p>Rupprecht is the project coordinator.</p> <p>Further information: www.civitas.eu</p>	<p>CAPITAL is helping CIVITAS to build the bridge towards a more advanced identity within Horizon 2020, which SATELLITE will further extend. CAPITAL also includes a diverse training programme and manages an Activity Fund support the transfer of measures to other cities and support CIVINET activities, thus allowing more cities to implement successful urban mobility measures.</p>
CIVITAS DYN@MO	<p>The FP7 project CIVITAS DYN@MO (Dyn@mic cities active for sustainable mobility) unites the cities of Aachen, Gdynia, Koprivnica and Palma who are jointly developing “Mobility 2.0” systems and services, implement city and citizen-friendly, electric mobility solutions and vehicles, and engage in a dynamic citizen dialogue for sustainable mobility planning and service improvement.</p> <p>Rupprecht is the project manager.</p> <p>Further information: www.civitas.eu</p>	<p>The cities in DYN@MO propose complementing packages of measures with a high degree of transferability across Europe. Within DYN@MO, profound evaluation and research with strong dissemination and mutual learning through Competence Centres strengthens the strategic impact of the project. As one of SATELLITE's evaluation tasks is to process the results of DYN@MO, Rupprecht's extensive involvement in the project is especially relevant.</p>
CHALLENGE	<p>The overall goal of CHALLENGE is to actively facilitate the implementation of Sustainable European Mobility Plans (SUMP) in 30 European cities, and to establish a cross-initiative SUMP dialogue about overcoming sustainable urban mobility planning challenges.</p> <p>Rupprecht was the technical coordinator.</p> <p>Further information: www.sump-challenges.eu</p>	<p>CHALLENGE offers a great variety of training activities including training workshops, national seminars, summer and winter schools as well as e-learning courses. Besides coordinating the project, Rupprecht is a SUMP knowledge expert in the project and supports the city partners in analysing their urban mobility and transport planning situation. This experience will support among others Rupprecht's activities for the CIVITAS Thematic Group on Integrated Planning (task 4.2) and capacity building (WP3) in SATELLITE.</p>
TIDE	<p>The mission of the TIDE project (Transport Innovation Deployment for Europe) is to enhance the broad transfer and take-up of 15 innovative urban transport and mobility concepts throughout Europe and to make a visible contribution to establish them as mainstream measures. TIDE partners are making a range of new and feasible solutions easily accessible to practitioners in urban transport planning and encourage a wide discussion on these measures.</p> <p>Rupprecht is the technical coordinator.</p> <p>More information: www.tide-innovation.eu</p>	<p>TIDE focuses on the transfer of 15 innovative measures – between five project partner cities and ten subcontracted champion cities – in five thematic clusters. TIDE's sophisticated training programme included face-to-face training and exchange events for 40 follower cities as well as handbooks and e-learning on how to successfully implement innovative solutions. The TIDE experience is relevant for capacity building (WP3) and transfer, take-up and exploitation (WP4) activities in SATELLITE.</p>

SOLUTIONS	<p>The overall mission of the SOLUTIONS project is to foster knowledge exchange to support the uptake of innovative sustainable urban mobility solutions in Europe and other regions in the world, in particular in Asia, Latin America and the Mediterranean.</p> <p>Rupprecht is the scientific and technical manager.</p> <p>More information: www.solutions-project.eu</p>	<p>Rupprecht's experience with SOLUTIONS indicates an aptitude for developing trainings and e-courses with a reach beyond Europe. As SATELLITE aims to improve visibility of CIVITAS experience outside Europe and encourage international exchange, Rupprecht's involvement in the project is especially relevant.</p>
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Partner 3: EUROCITIES

Partner short name: EUROCITIES

Company website: www.eurocities.eu

Description of the legal entity and main tasks

EUROCITIES is the network of major European cities. Founded in 1986, the network brings together the local governments of more than 130 large cities in 37 European countries. EUROCITIES represents the interests of its members and engages in dialogue with the European institutions across a wide range of policy areas affecting cities. Through a wide range of Forums, Working Groups, projects and events, EUROCITIES provides a platform for promoting the urban agenda in European policy-making and for sharing knowledge and exchanging on innovative solutions among its member cities. EUROCITIES works across a wide range of urban policy areas: these include sustainable mobility, road safety, intelligent transport systems, energy efficiency, environment, climate change, air quality, social affairs, green economic development and cohesion policy, culture and the knowledge society. EUROCITIES has a rich experience of working with European institutions: the European Commission, both at political and technical level, as well as with the European Parliament, the Committee of the Regions and EU member states, to ensure that climate, recovery, inclusion at the local level are effectively addressed.


CIVITAS SATELLITE will be linked to the EUROCITIES Mobility Forum and its working groups. Sustainable Urban transport is one of the main challenges to be addressed by European cities, especially in the context of an increasing volume of road traffic in urban areas. The EUROCITIES Mobility Forum aims to raise awareness of the contributions being made and challenges met at local level. Its members are committed to promoting more sustainable and integrated urban transport systems, better demand management tools, providing citizens with convenient and accessible public transport, and protecting the safety of pedestrians and cyclists.

The EUROCITIES Mobility Forum and its working groups also work on sharing best practice and developing positions linked to EU policy, for example the White Paper on Transport and the Urban Mobility Package. The EUROCITIES working group and mobility forum will serve as a platform to host relevant workshops and training events within the framework of CIVITAS projects and will contribute to relevant Thematic Groups of CIVITAS.


As the network of major cities, EUROCITIES puts local authorities together and builds up bridges among them to create optimum conditions for exchange, transfer and take-up activities. Over the past year, EUROCITIES has developed strong and precise competences in knowledge transfer methodologies: work shadowing, mentoring visits, peer-to-peer reviews, study visits which have been implemented in several field of activities, through many projects, and have shown high benefits to European cities.

EUROCITIES main tasks in SATELLITE will be the development and management of a series of peer-to-peer exchanges for cities' practitioners and politicians. EUROCITIES will also support the Thematic Groups activities, lead on selected dissemination tasks and support the preparation of the CIVITAS Forum.


Curriculum vitae or description of the profile of the persons

	Organisation	EUROCITIES
	Name	Guri
	First Name	Nathalie
	Function	Projects manager
	Gender	Female

Education	Master European Projects Management (Paris)
Profile	<p>Nathalie Guri leads the projects team at EUROCIITIES.</p> <p>Before joining EUROCIITIES in 2011, Nathalie worked for Cites Unies France (French local authorities association) and as a consultant for Greater London Enterprise (GLE) where she worked mainly on INTERREG and Urbact projects and lead on Central and Eastern Europe projects' development. In 2005, she became head of office of GLE's branch office in Prague, where she was in charge of the coordination of an INTERREG IIIC pilot project, of tender writing and of coordination and implementation of training programmes. During the 5 years she spent in Prague, Nathalie was also teaching EU project management, project writing and EU funding at Charles' University (Prague).</p> <p>Within EUROCIITIES, she works on a wide range of policies, including Climate, Energy, Mobility and Environment. Nathalie Guri is responsible for overseeing project delivery, quality control, for project development and for membership services related to projects.</p> <p>Nathalie is fluent in French (mother tongue), English, Czech and Albanian.</p>
Input to SATELLITE	<p>Within SATELLITE, Nathalie will</p> <ul style="list-style-type: none"> • support and oversee the development of peer-to-peer activities (task 4.1) • advice and guidance to the team involved • links with other ongoing projects and with relevant policy activities

	Organisation	EUROCIITIES
	Name	Leroy
	First Name	Melanie
	Function	Project coordinator Mobility & Environment
	Gender	Female

Education	Masters European Public Policies (Universities of Strasbourg and Stockholm) & Master in Sustainable Development and sustainable cities (University Le Mans)
Profile	<p>Melanie Leroy is EUROCIITIES Project Coordinator for Mobility and Environment.</p> <p>After graduation, she worked for a French local authority (regional council) where she was supporting INTERREG projects and she then worked for Ramboll Management Brussels, a consultancy specialised in evaluation of regional operational programmes.</p> <p>She joined EUROCIITIES in 2007, supporting research and policy development before focusing on mobility projects.</p> <p>She has been working on many mobility projects such as COMMERCE (2008-2011) or EPOMM-PLUS (2009-2012) for which she was leading research on mobility management in Europe.</p> <p>Melanie has been representing EUROCIITIES within the European Platform on Mobility Management (EPOMM) consortium for more than 5 years and was part of the Executive Board.</p> <p>Melanie has worked on CIVITAS VANGUARD project (2008-2014) endorsed EUROCIITIES' work on study tours organisation, supported the organisation of CIVITAS Forum and was the moderator in charge of 2 Thematic Groups. She was task leader in TIDE, a project on innovative transport solutions. Finally, Melanie is currently working also for the Covenant of Mayors, organising trainings and exchanges among signatories and is also a work package leader within the new CIVITAS 2020 project CREATE where she is in charge of knowledge transfer and capacity building. Melanie is fluent in French (mother tongue), English and has good command of German and Swedish.</p>
Input to SATELLITE	Melanie will bring her experience to SATELLITE by coordinating the work among EUROCIITIES staff involved in the project; she will organise the peer-to-peer activities (task 4.1) and will ensure dissemination work related to the project.

	Organisation	EUROCITIES
	Name	Staelens
	First Name	Peter
	Function	Project Coordinator Mobility
	Gender	Male

Education	Master Degree in German and English
Profile	<p>Peter Staelens is Project Coordinator for Mobility at EUROCITIES.</p> <p>With almost 20 years of experience in managing regional, national and European projects and campaigns, Peter has developed expertise in the field of media, communication and marketing with an extensive knowledge of sustainable urban transport policies and measures. In addition to having managed the EU level coordination of European Mobility Week since 2008, Peter is also task leader for the implementation of the joint DG MOVE's Sustainable Urban Mobility Campaign EUROPEANMOBILITYWEEK/DO THE RIGHT MIX.</p> <p>Peter worked for 8 years for the European Passenger Federation where he has gained an in depth knowledge and experience in project coordination, influencing and campaigning in the fields of Passenger Rights, Public Transport Organisation, Railway Market Liberalisation, Promotion of Sustainable Travel & Behavioural Change.</p> <p>Peter joined EUROCITIES in 2008 and was involved in CIVITAS support actions: CIVITAS VANGUARD and CIVITAS CATALIST. Peter worked on several projects dealing with mobility management, advanced public transport systems, urban transport innovation (NICHES+ and TIDE) or on auditing and certification of sustainable urban mobility plans (ADVANCE). Peter is currently work package leader for exchange and capacity building for one of the largest European projects on ITS and smart mobility: OPTICITIES.</p>
Input to SATELLITE	In SATELLITE, Peter will take care of synergies with other European initiatives and projects; he will take care together with Melanie of the peer-to-peer activities (task 4.1) and will contribute to WP1 and WP3.

Relevant previous publications and products

Name	Short description	Relevance to SATELLITE
CASCADE peer-to- peer learning toolkit on local energy leadership and best practices	<p>CASCADE was a project on energy efficiency built on 3 topics: energy efficiency in building, energy efficiency in transport and renewables. The core activities were peer-to-peer exchanges among cities: peer-review, work shadowing, mentoring visits and study visits.</p> <p>www.cascadecities.eu</p> <p>EUROCITIES was project coordinator of this project involving directly more than 20 European cities.</p>	EUROCITIES developed a methodology for CASCADE peer-to-peer learning activities and produced guidelines to support cities in these exchanges that were in the CASCADE toolkit. The toolkit will be relevant for the peer-to-peer activities in WP4.

European Mobility Management Monitors 2010 – Measures of MM European Mobility Management Monitor 2011 – Funding and Financing European Mobility Management Monitor 2012 – Progress of past years	EPOMM-PLUS was a project on the development and implementation of mobility management across Europe. EUROCITIES was work package leader for policy and legislation work which included a close monitoring of European activities, drafting specific briefs, studying mobility management in European countries (desk research for 26 countries); this worked resulted in the publication of the European Mobility Management Monitors.	As leader of policy and legislation work package, EUROCITIES was in charge of the “policy transfers” which were based on the research work: for these transfers, EUROCITIES developed and implemented a new methodology supporting partners in their exchange of best practice in the field of sustainable mobility. This experience will support the transfer, take-up and exploitation in WP4 of SATELLITE.
impleMentoring Toolkits - The Integrating Cities toolkits developed under the ImpleMentoring project guide and offer inspiration to city administrators in reaching European standards in migrant integration	impleMentoring was a project addressing implementation gaps in migrant integration policies and practices. It was built on the experience and success of EUROCITIES projects (MIXITIES, DIVE and INTI-Cities) by shifting the focus from peer reviews and standard-setting towards policy implementation guided by standards and evaluation. www.integratingcities.eu EUROCITIES was project coordinator.	In the framework of impleMentoring, EUROCITIES further developed and tested its methodology for exchange and mentoring among partner cities, from peer-learning activities to concrete transfer and take-up of policies. The methodology will be relevant for the SATELLITE peer-to-peer activities in WP4.
CIVITAS Study Tour Catalogue	Within CIVITAS VANGUARD, the support action, EUROCITIES was in charge of preparing a Study Tour catalogue which listed all CIVITAS cities, their measures and possible areas for exchange.	Development of a Study Tour Catalogue which supports the exchange of information to encourage direct exchange and transfers among cities. This experience supports the SATELLITE peer-to-peer activities in WP4.
TIDE Study Tour Catalogue	Within TIDE project, Transport Innovation Deployment in Europe, EUROCITIES prepared the Study Tour Catalogue which is a guide for practitioners looking for good examples and transfer possibilities.	

Relevant previous projects or activities

Name	Short description	Relevance to SATELLITE
CASCADE	CASCADE was a project on energy efficiency built on 3 topics: energy efficiency in building, energy efficiency in transport and renewables. The core activities were peer-to-peer exchanges among cities: peer-review, work shadowing, mentoring visits and study visits. www.cascadecities.eu EUROCITIES was project coordinator of this project involving directly more than 20 European cities.	EUROCITIES was coordinating all the activities of peer-to-peer learning and also developed the methodology for peer-review and mentoring visits.
CIVITAS VANGUARD	VANGUARD coordinated assistance to the demonstration projects under CIVITAS Plus and disseminated the results of these activities through a communication campaign at the European level. EUROCITIES was in charge of the organisation of study visits together with host cities, of the development of the study tour catalogue for CIVITAS cities, and coordinated VANGUARD publications by chairing the Editorial Board. EUROCITIES supported the consortium with the organisation and delivery of trainings sessions, helped with the preparation of CIVITAS Forum and was in charge of some dissemination tasks.	EUROCITIES was leading on the organisation of study visits for CIVITAS cities and was supporting the preparation of CIVITAS Forum as well as coordinating the publications.

OPTICITIES	OPTICITIES (Optimise Citizen Mobility and Freight Management in Urban Environments) aims to help European cities tackle complex urban mobility challenges through focusing on the optimisation of transport networks, experimentation of innovative intelligent transport system (ITS) services and strong public/private partnerships. www.opticities.eu	EUROCITIES is leading on dissemination and on work with stakeholders; EUROCITIES is also in charge of tutorial sessions (trainings) and study visits as well as of the work on transferability.
ENDURANCE	ENDURANCE aims to assist cities and regions with developing Sustainable Urban Mobility Plans (SUMP) by facilitating networking, mutual learning and sharing of experience and best practise across countries.	EUROCITIES is leading on the advocacy work task as well as on activities to link with other European networks dealing with sustainable mobility issue.
EUROPEAN MOBILITY WEEK	EUROCITIES is leading a consortium of five partners that manage the European wide campaign on the promotion of sustainable urban mobility, financed by DG MOVE.	EUROCITIES is leading the consortium and liaise directly with the European Commission for all activities of the campaigns: organisation of training and workshops, representations to external events, synergies with other initiatives or communication.

Partner 4: ICLEI – Local Governments for Sustainability

Partner short name: ICLEI EURO

Company website: www.iclei-europe.org

Description of the legal entity and main tasks

ICLEI – Local Governments for Sustainability is a worldwide association of local governments implementing sustainable development. ICLEI's mission is to build and serve a worldwide movement of local governments to achieve tangible improvements in global sustainability and environmental conditions through cumulative local actions. Today, ICLEI has more than 1,000 local government members, with more than 160 in Europe.


ICLEI's European Secretariat (ICLEI EURO) with 50+ staff is based in Freiburg (Germany) and with an office also in Brussels. Working through thematic teams related to urban sustainable development with a wide range of expertise and extensive experience in European project coordination and partnering, the organisation has a strong focus on building capacity, sharing knowledge, and supporting local governments in the implementation of sustainable development at community level - www.iclei-europe.org. ICLEI has a strong multilingual information and communication team, experienced with Europe wide communication strategies. The team is also experienced in organising events, with one of the main conferences being the European Conference on Sustainable Cities and Towns (www.sustainablecities.eu) mobilising around 1,000 cities every three years.

Recognising the important role of transport and mobility in our cities, ICLEI has been offering professional communication and dissemination services, as well as capacity building on a range of urban mobility issues. On behalf of the European Commission, ICLEI is a main partner in the ELTIS website (since 2013) and the European Mobility Week coordination secretariat (since 2012) and investigates scenarios and supporting tools in the scope of the Urban Transport Roadmaps 2030. ICLEI also has extensive experience in capacity building, development of (procurement and other) guidelines and Europe wide (and beyond) dissemination of sustainable urban mobility experiences in projects like CIVITAS (FP7), Clean Fleets (IEE), GPP 2020 (IEE), Poly-SUMP (IEE), ENDURANCE (IEE), SOLUTIONS (FP7), PASTA (FP7), BUMP (IEE), Biofuel Cities European Partnership (FP6), Trailblazer (IEE) and Care North (Interreg). ICLEI's World Secretariat was coordinator of the EcoMobility Shift (IEE) project, a total quality management scheme for cities to assess, audit and label their transport performance.


Finally, globally ICLEI hosts and is a founding member of the Global Alliance for Ecomobility, which organises the Ecomobility World Festival and Congress.

Within SATELLITE, ICLEI EURO will lead WP5 Communication and dissemination.


Curriculum vitae or description of the profile of the persons

	Organisation	ICLEI EURO
	Name	Schuthof
	First Name	Ruud
	Function	Director Communications and Member Relations team
	Gender	Male

Education	MA Public Policy and Administration & International Humanitarian Assistance
Profile	Director of ICLEI's Communications and Member Relations team, (Senior expert, Project manager), expert in organisational environment and change; involved in awareness raising, communication and dissemination coordination for European projects. Ruud is ICLEI's project manager for Eltis, European Mobility Week, SOLUTIONS and CIVITAS CAPITAL and was involved in CIVITAS VANGUARD in the same role.
Input to SATELLITE	Ruud will be leading WP5 Communication and Dissemination.

	Organisation	ICLEI EURO
	Name	Macdonald
	First Name	Lewis
	Function	Officer Communications and Member Relations
	Gender	Male

Education	MA Hons English Literature and History
Profile	Lewis joined ICLEI in August 2013, initially working on core communications activities for ICLEI Europe. He now assists with communication tasks on numerous projects, generally on sustainable urban mobility, like CIVITAS CAPITAL, Eltis and Do The Right Mix/European Mobility Week. Prior to coming on board at ICLEI, Lewis worked as a communications intern at the Scottish Community Development Centre in Glasgow.
Input to SATELLITE	Lewis will support all of ICLEI's activities in WP5 Communication and Dissemination.

	Organisation	ICLEI EURO
	Name	Rashid Khan
	First Name	Haroon
	Function	Online Systems Officer
	Gender	Male

Education	Applied Computer Science (M. Sc.), Software Engineering (B. Sc)
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Profile	Haroon has been affiliated with ICLEI EURO since 2009 and finished his Masters Degree in 2011 with specialization in software modelling & information systems. Currently, he is working as part of Communications and Member Relations' Information & Communications team. As computer scientist, he has been involved in the development, modelling and administration of different software systems, including desktop and web systems, data analysis/forecasting tools, databases, user interfaces etc. Haroon is primarily involved in website development and content management system (CMS) administration, along with the whole process of website development from requirements gathering to implementation and testing.
Input to SATELLITE	Haroon will be responsible for the CIVITAS website and CIVITAS Exchange Hub development and technical maintenance.

Relevant previous publications and products

Name	Short description	Relevance to SATELLITE
CIVITAS Exchange Hub	The CIVITAS Exchange Hub is a place where the various groups under the CIVITAS umbrella can plan and carry out their work in private areas called spaces. It is not intended for public communication and dissemination, which is the role of the CIVITAS website. The CIVITAS Exchange Hub was set up by ICLEI EURO within CIVITAS CAPITAL.	ICLEI EURO's experience in setting up the CIVITAS Exchange Hub is useful in order to further elaborate the Hub in SATELLITE.
Innovative urban transport solutions	One of a suite of results publications from CIVITAS Plus, this publication is a holistic review of the transport measures developed and implemented during this phase of CIVITAS, categorised by the eight CIVITAS thematic categories. It aimed to inspire local transport practitioners, practitioners in urban planning and related fields, and local politicians and decision makers to take bold steps and follow sustainable mobility principles when designing urban mobility policies. The publication was edited and published by ICLEI. www.civitas.eu/content/innovative-urban-transport-solutions-civitas-makes-difference	These three publications (among others) demonstrate ICLEI's past experience in presenting the activities and results of CIVITAS for wider dissemination and take-up in an attractive and accessible way. ICLEI has the staff and experience required to turn CIVITAS content into targeted material in a variety of different formats, and understands acutely the process of compiling, editing and publishing texts on sustainable urban mobility for a broad and diverse audience. ICLEI would therefore be well placed to apply this knowledge again to the CIVITAS context with SATELLITE.
CIVITAS Plus in Numbers	Another results publication from CIVITAS Plus, this publication showcases selected results from five demonstration projects from 2008-2012 and offers an insight into the results achieved by CIVITAS Plus cities in order to help other cities make a strong case for action in their own context. Following the evaluation methods used in the CIVITAS Initiative, headline indicators for economic, environmental, social and transport concerns can easily be identified. The publication was edited and published by ICLEI. www.civitas.eu/content/civitas-plus-numbers-achievements-sustainable-urban-mobility	
Living laboratories: Sustainable urban mobility with CIVITAS	Again another results publication from CIVITAS Plus, this publication consists of brief case studies of innovative measures from 58 CIVITAS cities between 2002 and 2012. Each case study presents 'infrastructure developments', 'innovations', and 'technological developments' that were implemented in each city, and showcases a diverse range of measures meant to inspire readers to consider different kinds of measures to address urban mobility issues. The publication was authored, edited, and published by ICLEI. www.civitas.eu/content/living-laboratories-10-years-civitas-aalborg-zagreb	

Name	Short description	Relevance to SATELLITE
Poly-SUMP results brochure	<p>Looking at the specific case of planning sustainable urban mobility in the context of polycentric regions, the Poly-SUMP results brochure helps practitioners and policy-makers to understand how to implement the Poly-SUMP methodology in their own context through concise recommendations and accessible language.</p> <p>The publication was authored and published by ICLEI.</p> <p>www.poly-sump.eu/fileadmin/files/PolySUMP-results-brochure-WWW-Final_01.pdf</p>	This publication shows that ICLEI has not only developed published material on sustainable urban mobility within CIVITAS and only for the CIVITAS community, but has an understanding of current urban mobility topics not directly addressed by CIVITAS which may be of value under SATELLITE.

Relevant previous projects or activities

Name	Short description	Relevance to SATELLITE
ELTIS – European Local Transport Information Service and supporting the uptake of SUMP (2013-2015)	<p>Eltis facilitates the exchange of information, knowledge and experiences in the field of urban mobility in Europe. It is aimed at individuals working in the field of transport as well as in related disciplines, including urban and regional development, health, energy and environmental sciences. Created more than 10 years ago, Eltis is now Europe's main portal on urban mobility. The SUMP portal www.mobilityplans.eu supports local authorities across Europe in developing Sustainable Urban Mobility Plans. It was integrated in the Eltis portal during this contract. www.eltis.org</p>	Eltis is the main hub for sustainable urban mobility in Europe. ICLEI has maintained the Eltis website, connecting it to the various other European projects on sustainable urban mobility and various other sources. ICLEI will ensure close links between SATELLITE and Eltis as it has also obtained the new Eltis contract for 2015-2017.
SOLUTIONS - Implementing innovative and green urban transport solutions in Europe and beyond (2013-2016)	<p>The main focus of the SOLUTIONS project is on the exchange between cities from Europe, Latin America and the Mediterranean. SOLUTIONS brings together some of the leading experts and city networks from these regions, aiming to foster knowledge exchange and boost the uptake of innovative sustainable urban mobility solutions through further exploitation of existing knowledge.</p> <p>www.urban-mobility-solutions.eu</p>	ICLEI's experience with SOLUTIONS indicates its skills and ability to work on sustainable urban mobility in a global context, e.g. links between Europe and China. As SATELLITE aims to improve visibility of CIVITAS experience outside Europe and encourage international exchange, ICLEI's involvement in the project is especially relevant.
CIVITAS VANGUARD (2008-2013)	<p>CIVITAS VANGUARD was the CIVITAS CSA for the CIVITAS Plus phase within FP7. It provided coordination and dissemination support for the implementation of collaborative projects in the CIVITAS Initiative. ICLEI's role in the project was to deliver an effective communication strategy, including a website, newsletters and other dissemination activities.</p> <p>www.civitas.eu</p>	In SATELLITE ICLEI would have a similar role as in VANGUARD. ICLEI would again be responsible for the WP on communication and dissemination.
CIVITAS CAPITAL (2013-2016)	<p>The strategic goals of CIVITAS CAPITAL are: 1. To consolidate existing knowledge and lessons learnt and to provide recommendations for successful continuation of CIVITAS, 2. To create a dynamic knowledge centre as a means of structured dialogue and exchange among CIVITAS stakeholders, 3. To facilitate a structured transfer of CIVITAS measures based on practical experiences, 4. To establish five new and manage the existing five CIVINETs serving as delivery channels and activation mechanism of stakeholders.</p> <p>www.civitas.eu</p>	CAPITAL is helping CIVITAS to build the bridge towards a more advanced identity within Horizon 2020, which SATELLITE will further extend. ICLEI has set up the Exchange Hub for internal coordination and will continue to coordinate its use under SATELLITE. ICLEI is furthermore involved in the promotional and results publications activities.

Name	Short description	Relevance to SATELLITE
European Mobility Week (annually) (2012-2017)	Organised with the support of the EC, the aim of European Mobility Week (EMW), which runs from 16-22 September every year, is to encourage European local authorities to introduce and promote sustainable transport measures, and to invite citizens to try out alternatives to the private car. ICLEI has been part of its Coordination Secretariat since 2012. Since its introduction in 2002, the impact of EMW has been steadily growing, both across Europe and around the world. In 2014, a total of 2013 cities from 44 countries officially registered for the campaign.	ICLEI has been part of the EMW Coordination Secretariat since 2012. In the current contract the EMW includes the SUMP awards and year-through activities. ICLEI is mainly involved in the web development and maintenance and social media work.

Partner 5: Regional Environmental Center for Central and Eastern Europe

Partner short name: REC

Company website: www.rec.org


Description of the legal entity and main tasks

The Regional Environmental Center for Central and Eastern Europe (REC) is a not-for-profit international organisation with a mission to assist in solving environmental problems. Governed to-date by 32 countries and the European Commission, the REC works in various fields of sustainable development, building bridges between solutions and stakeholders on matters such as climate change, sustainable urban mobility, smart cities and energy efficiency. REC was established in 1990 and today has a local staff of 160 people in 17 countries (with half based at its head office in Hungary) from Estonia to Turkey. Countless further experts across its region of work collaborate with REC on a sub-contractual basis. The REC's working language is English.


REC coordinated the CIVITAS VANGUARD support action between 2008-2015, and within this capacity hosted the CIVITAS and Political Advisory Committee (PAC) Secretariats until Dec. 2013, organised four CIVITAS Forum conferences besides the Award ceremonies between 2009 and 2012. As a partner within CIVITAS CATALIST it was responsible for Forum network development which included outreach to potential member cities. In the VANGUARD project review, the EC noted REC "has remained an important and reliable partner for the participating cities and the EC in the implementation of the CIVITAS Initiative. VANGUARD has profited from a strong and motivated consortium and a very experienced, pro-active, and highly committed project coordinator and his colleagues at the Regional Environmental Center." Until 2013 REC also co-ran the secretariat of the EC's 'SMART Cities Stakeholder Platform' and its Working Group for Mobility and Transport. Currently, REC is part of the European Mobility Week Secretariat (until 2017) through which it ensures the vitality of Europe's national coordinators to support the campaign's implementation at the local level in cities. To this end it continuously liaises and encourages national representatives and where absent, seeks to remedy this shortfall through dialogue with national governments. This process is supported by REC's local presence in central and eastern Europe which renders it in an advantageous position to support CIVINET networks for Hungarian-speaking cities, Czech/Slovak, Polish (incorporating parts of Ukraine), ex-Yugoslavia (the Slovenia-Croatia network is currently led by REC), and in case of expansion, Turkey (envisaging eventually other Turkic speaking areas), Romanian (encompassing Moldova), and Albanian speaking city networks (incl. Kosovo and Macedonia).

Under SATELLITE REC will lead WP6 Structured networking and will (again) be responsible for the CIVITAS Secretariat, organising the CIVITAS Forum conferences, the CIVITAS Award ceremonies and will support the Political Advisory Committee as rapporteur. In addition, REC will serve as secretariat to the CIVINET networks.

Curriculum vitae or description of the profile of the persons

	Organisation	REC
	Name	Simpson
	First Name	Jerome
	Function	Senior Expert, Smart Cities and Mobility
	Gender	Male
Education		BSc Information Science

Profile	<p>Jerome is a senior expert within the Smart Cities & Mobility unit at REC and also leads this topic area. Born and raised in the UK, he holds a BSc degree in Information Science which was obtained from Leeds Metropolitan University before graduating at the International Space University. He has lived in Hungary since 1994, putting his knowledge management skills to noble use since 1995 for the benefit of civil society, cleaner, safer and smarter cities and the environment. He managed the CIVITAS support action project VANGUARD (organising for instance the annual CIVITAS Forum conferences) besides the two year European Institute of Innovation and Technology-funded project "SKYE: Supporting KIC InnoEnergy in its outreach and take up activities in the 'new' EU and beyond". Current projects include secretariat services to the pan-European Mobility Week campaign (which introduces permanent smart mobility initiatives each year alongside soft campaign measures), undertaking continuous liaison with all the national coordinators. Jerome also oversees implementation of the REC's first organisational mobility plan which incorporates a website highlighting its staff's CO₂ footprint, modal split and also offers a ride-sharing scheme/platform. Having led various teams at REC since 1995, currently Smart City and Mobility, he has also organised training courses, designed and edited multi-lingual resource material, conducted technology transfer assessments, prepared strategies and mobility plans, and published widely, from news pieces to best-practice guides. He is a seasoned REC project manager who is a native English speaker with 20 years of professional experience in project/study management in central and eastern Europe for and on behalf of various clients which have also included the EEA and UNEP.</p>
Input to SATELLITE	Jerome will manage REC's contribution to SATELLITE leading on the Forum Conference organisation as well as CIVINET relations.

	Organisation	REC
	Name	Mezei
	First Name	Csaba
	Function	Expert, Smart Cities and Mobility
	Gender	Male

Education	BA Education
Profile	<p>Csaba Mezei works as an expert in the REC, where he manages projects related to urban science-related issues (most importantly advanced forms of mobility), coordination (e.g. within VANGUARD the international secretariat of the EC's CIVITAS Initiative) and information dissemination. He currently manages the Hungarian implementation of projects such as Traffic Snake Game Network, and SEISMIC (Societal Engagement in Science, Mutual learning in Cities) project in which he coordinates a broad network of Hungarian urban/social innovation stakeholders and organises regular consultations, workshops and conferences. Csaba runs a regional campaign promoting car sharing as a sustainable transport mode in Central and Eastern Europe. Formerly Csaba was the director of Greenpeace Hungary.</p>
Input to SATELLITE	Csaba will manage the CIVITAS Secretariat (as he did between 2009-2013) as well as the CIVITAS Award series.

Name	Short description	Relevance to SATELLITE
Mobile 2020 – Keeping Balance	Mobile2020, implemented between 2011 and 2014, enabled stakeholders in small and medium sized cities in 11 central European countries to increase their share of biking as a mode of everyday transport to reach a significant share of cycling by the year 2020. REC as work package leader for evaluation also published a glossy 75 page report entitled 'Keeping Balance' summarising the project's accomplishments, assesses the current state of play of everyday cycling in the region, and proposes ways to increase its popularity among new generation of travellers.	Mobile 2020 capacity built city representatives in regards to cycling infrastructure, a topic of interest to the CIVITAS Thematic Group on less car-dependent lifestyles.
Compilation of "transport success stories" highlighting the successful measures that have reduced the health and environmental impacts of transport	On behalf of the European Environment Agency, REC, in partnership with Transport and Mobility Leuven and University of the West of England produced 12 success stories on sustainable urban transport in mid-2015. Those stories included quantitative environmental results (emission reductions, air quality improvements, noise reductions, etc.). Case studies were sourced from across the European Union and followed a template. The document included a set of 'Lessons Learned.'	An important part of CIVITAS is to disseminate success stories on sustainable urban transport in regards to quantitative environmental impacts. REC contributed to 12 such cases, sourced from CIVITAS cities, for the European Environment Agency.
European Mobility Week Annual Participation Report	In 2012 REC prepared the annual European Mobility Week participation report, which maps the engagement of cities participating in the campaign across Europe. It will prepare that for 2015-2017. The 2012 edition is available online at: www.mobilityweek.eu/fileadmin/files/docs/Participation_Report_2012_final.pdf	Mobility Week makes an important contribution to behavioural change and is a so-called soft measure that falls under the remit of 'mobility management'. Evaluating Mobility Week participation parallels objectively and subjectively evaluating participation in the CIVITAS Forum annual conferences.
AENEAS Good Practice and Study Tour Catalogues	As work package leader for dissemination and in charge of on-line content for the Attaining ENergy Efficient Mobility in an Aging Society project (2008-2011), REC documented good practices from AENEAS cities within a study tour catalogue in an attractive travel guide format. It also established the project website, populated a Good Practice Exchange Ring (a searchable database with examples from inside and outside AENEAS) and was responsible for the project's corporate branding. The study tour catalogue is online at: www.aeneas-project.eu/docs/AENEAS_StudyTourCatalogue.pdf	SATELLITE will share and exchange good practice through both documents and events. AENEAS did this in the realm of mobility management for aging societies.
CIVITAS Measure Directory	In 2014, REC as coordinator of the CIVITAS VANGUARD support action to CIVITAS Plus (2008-2012) served as supervising editor of 'the CIVITAS Measure Directory: 10 Years of CIVITAS from Aalborg to Zagreb.' The directory, which serves as a reference guide to over 650 sustainable urban mobility research and demonstration measures implemented by 58 European cities between 2002 and 2012 was published (in conjunction with the consortium and) on behalf of the CIVITAS Initiative. It is online at: www.civitas.eu .	The CIVITAS Measure Directory will remain an important resource for the work of SATELLITE in its mapping of all the demonstration measures implemented by CIVITAS cities.

Relevant previous projects or activities

Name	Short description	Relevance to SATELLITE
SmartMove	<p>REC is dissemination work package leader for this 30 month Intelligent Energy Europe project which started in early 2014 and addresses peri-urban transport services. SmartMove encourages a shift from car to public transport through personalised marketing campaigns focusing on the needs of travellers in eight rural regions in Austria, Germany, Greece, Poland, Spain and Portugal. Its focus is on the use of “public transport feeder systems”, which enable people to connect to their nearest public transport routes. REC is responsible for the project’s corporate branding, on-line content (including social media), national and regional exploitation events, published material (incl. e-newsletter), conference presentations, as well as activities designed to map and overcome barriers through the engagement with different stakeholder groups. The project website is at: www.smartmove-project.eu</p> <p>REC is Dissemination work package leader.</p>	<p>Personalised travel planning falls under the aegis of the CIVITAS Thematic Group on Mobility Management. Sharing the results of measure success (and failure) is a key part of CIVITAS results publications as well as the CIVITAS Forum conferences.</p>
CIVITAS VANGUARD	<p>Besides acting as consortium leader of this CIVITAS Plus phase support action, REC was in charge of the “CIVITAS community support” work package which involved running the CIVITAS Secretariat as well as the Secretariat of the CIVITAS Political Advisory Committee. It organised the annual CIVITAS Forum conferences and the CIVITAS Awards. At the same time REC assumed responsibility for overall coordination of projects which supported the CIVITAS Plus phase of the initiative and oversaw the relaunch of the CIVITAS website in 2011 at www.civitas.eu following the establishment of a so-called Website Task Force that consulted across the initiative.</p>	<p>Within SATELLITE REC will continue to lead or contribute to the same tasks it undertook on VANGUARD (i.e. Forum conference organisation, PAC, Awards and Secretariat).</p>
SKYE	<p>REC coordinates this 24 month assignment which supports the European Institution of Innovation and Technology and its Knowledge Innovation Community (KIC) ‘InnoEnergy’ in its outreach to potential innovation project partners and students of its Master School in the ‘new’ EU and beyond. REC builds bridges and creates new relations for KIC InnoEnergy with academia, research centres and innovative SMEs active within the field of sustainable energy. It brings added value to them by strengthening their innovation and entrepreneurship potential. Services are implemented in 20 countries across the EU’s new member states as well as within candidate, accession and European Partnership countries. A technology guide and inventory of energy technology investors was published, besides a survey mapping “Challenges to Innovators’ Engagement in Energy Technology Research and Development in the New EU Member States”.</p>	<p>Under the SKYE project REC reached out to relevant stakeholders while under SATELLITE, REC will reach out to potential new CIVITAS member cities through the CIVITAS Forum Network expansion strategy (MS6.4).</p>
European Mobility Week (EMW)	<p>REC as part of the European Coordination (Secretariat) assists the management of the European Mobility Week campaign across Europe. The week runs from 16-22.09. every year and is Europe’s largest campaign for promoting non-motorised forms of transport (walking, cycling) as well as collective transport (public transport, car sharing/pooling, taxis) over individual car use in Europe’s urban environments. REC’s specific role is to support the continuous engagement and where need be re-engagement of national coordinators and cities in over 30 countries.</p>	<p>The EMW makes an important contribution to behavioural change and is a so-called soft measure that falls under the remit of ‘mobility management’. REC’s role in supporting the continuous (re-)engagement of national coordinators in EMW countries will be akin to its foreseen role in SATELLITE, liaising with the CIVINETs as grantees.</p>

Name	Short description	Relevance to SATELLITE
SEISMIC	The 'Societal Engagement in Science, Mutual learning in Cities' project sees REC lead the 'Communications' WP including a pan-European information campaign. The project aims to bridge the gap between the scientific community and society in 10 countries across Europe by engaging urban stakeholders from civil society, business, NGOs, youth, media, museums but also from research and policy. In SEISMIC REC offers an integrated set of products and services that increase information exchange among the project's target groups and broadly disseminates the project's research results. This is achieved within the framework of a communications strategy, which will provide a framework for the development of the project's visual identity, a project launch event, website (www.seismicproject.eu) and social network presence, educational guide, fact sheets, press releases, digital newsletters, conference and exhibition presence and policy brief.	REC's experience as the responsible partner for communications within SEISMIC stands it in good stead to serve as an effective communicator within SATELLITE on behalf of the CIVITAS Secretariat, to celebrate the best CIVITAS cities and measures within the Awards series and in its liaison with the CIVITAS national and regional networks.

Partner 6: Transport & Mobility Leuven

Partner short name: TML

Company website: www.tmlleuven.be

Description of the legal entity and main tasks

Transport & Mobility Leuven NV (TML) conducts applied research to support policy decisions. It is our mission to help society by offering scientifically sound analyses. To this end, we rely on quantitative research: modelling, statistical analyses, simulations, and prognoses.

Our research fields are traffic, passenger and freight transport and the related economic impact and environmental problems. The integration between passenger and freight transport, economics and environment gives us a unique position within Europe.

Transport & Mobility Leuven was founded in 2002. Our shareholders are the KU Leuven (www.kuleuven.be), a Belgian university, and TNO, a Dutch research institute (www.tno.nl). The knowledge of both institutes has been bundled and further applied to support policy decisions. Our excellent relations with our shareholders guarantees that TML is always up-to-date with the most recent state-of-the-art.


Our focus is both scientific as operational: we are the bridge between the university and society. Our clients are the European Commission (DG ENTR, DG MOVE, DG ENER, DG CLIMA, DG TAXUD, DG REGIO, DG SANCO), national governments and administrations, local and regional authorities as well as sector associations and non-profit organisations. Our strong knowledge of technological innovations and our high attention towards the user and the stakeholders involved results in a clear understanding in the efficiency and impact of mobility measures.

The experiences of TML the last 10 years are further completed with the experiences of Dirk Engels and Gitte Van Den Bergh who joined TML 3 years ago and participated in many projects as Evaluation Manager, Project manager or supporting expert (e.g. CHAMP, QUEST, CIVITAS ELAN, CIVITAS VIVALDI).


These skills are the basis for a strong support of Transport & Mobility to the CIVITAS SATELLITE project. The strong scientific and operational experiences in evaluation of the design and implementation of new mobility solutions together with the specific experience with CIVITAS evaluation work, will assure a performant implementation of the coordination of the CIVITAS evaluation activities. The technical knowledge in mobility, economics, traffic safety and cost-benefit analyses will be guarantee a performant support of the training and capacity building activities in the SATELLITE project.

TML will develop and implement WP2 Evaluation, coordinating and synthesising the CIVITAS evaluation work in the CIVITAS IA projects including the findings of the RIA projects. TML will also be involved in all other WPs, e.g. leading one Advisory Groups under WP6 and the Thematic Group on Safety and Security (under WP4), and developing one e-course/webinar pair under WP3.


Curriculum vitae or description of the profile of the persons

	Organisation	TML
	Name	Engels
	First Name	Dirk
	Function	Senior Expert
	Gender	Male

Education	Master of Science in Transport Engineering , KU Leuven
Profile	Dirk Engels is MER expert for the Flemish Government, LNE, in the field 'Human', Mobility, assigned to draw up a report on environmental effects. He also followed a post graduate course 'Urbanism and Spatial Planning'. He worked for 25 years for TRITEL as a project manager and director. He supports TML as independent mobility expert with his broad expertise in the design and management of traffic systems and traffic modelling. He played an active role in a wide range of studies on urban, regional and EU level making mobility impact studies and Sustainable Urban Mobility Plans and designing multi-modal transport systems. He also participated actively in a large number of studies on EU level as Evaluation Manager, Project manager or supporting expert (e.g. CHAMP, QUEST, CIVITAS ELAN, CIVITAS VIVALDI).
Input to SATELLITE	Coordination of TML's support for the CIVITAS SATELLITE project. Development and implementation of the WP 'Evaluation' and coordination of the CIVITAS evaluation work in the IA projects with an interaction with the RIA projects.

	Organisation	TML
	Name	Van Den Bergh
	First Name	Gitte
	Function	Expert impact assessment
	Gender	Female

Education	Master of Science in Physics - Additional studies in Informatics
Profile	Gitte Van Den Bergh graduated with a degree in Physics and also obtained a degree in Additional studies in Informatics. After her studies she joined TRITEL (later Tractebel Engineering), where she specialised in the use and development of macroscopic traffic models. She also contributed to the development of various urban models, the modelling of port-related traffic flows and the simulation of parking behaviour. Currently she works at TML as a researcher in traffic and transport models.
Input to SATELLITE	Support of the evaluation coordination work.

	Organisation	TML
	Name	Akkermans
	First Name	Lars
	Function	Expert Mobility & Safety
	Gender	Male

Education	Master in Psychology
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Profile	Lars works as researcher at TML specialised in modelling human behaviour. His main area of expertise is the analysis of the mobility and safety effects that result from the introduction of new technologies and policies. Changes in human behaviour, and the associated impacts on society and the environment are central in his work. Past projects include the effects from vehicle technology, road infrastructure, legislation (both national and European) on mobility, and as such includes the monetisation of costs and benefits. Before joining TML, he worked for the Belgian Road Safety Institute and TNO Human Factors as a researcher, specialised in road safety. He also functioned as the safety expert representing Belgian in the European SUPREME project.
Input to SATELLITE	Expert support on Mobility and Safety

Relevant previous publications and products

Name	Short description	Relevance to SATELLITE
Engels D., Meerschaert V., "Sustainable mobile cities in the EU", Flemish Government, 2011	Presentation of a methodology to analyse the city efforts to work out and implement a sustainable mobility strategy, best cases of urban mobility approaches and guidelines for sustainable mobility measures.	The publication is a strong example of the good presentation of conclusions on the effectiveness of urban mobility measures (presented at the Polis and UITP conferences) important as a reference for the CIVITAS work to come to user-oriented evaluation conclusions and effective policy recommendations.
Maerivoet S. et al., "A Field Trial on Smart Mobility", 19 th ITS World Congress, Wenen, Oostenrijk, October 2012	Discussion of the impact of intelligent road charging concepts on the liveability of urban and suburban areas focusing on the way the travel behaviour can be managed and changed.	Strong example of the evaluation of demand management measures as a reference for the CIVITAS work.
Maerivoet S., Akkermans L., Carlier K., and Desaegeher M., "A study on co-modality and eco-driving mobility", Transport Research Arena (TRA2014), Paris, France, April 2014	Conclusions on the role of the car and more specific e-vehicles in urban environment, linking this to travel behaviour of citizens. Analysis of public transport offer in relation to travel choices resulting in a better understanding of the link between mental shift and modal shift.	The developed model describing the link between transport offer and observed mobility behaviour contributes to a better understanding of the mobility behaviour in reaction of mobility measures. Elements to improve the CIVITAS framework will be considered.

Relevant previous projects or activities

Name	Short description	Relevance to SATELLITE
TRANSPHORM	<p>The main objective of the EU research project TRANSPHORM is to assess health impacts of transport-related airborne particulate matter (PM). Integrated assessment tools are developed for scales ranging from city to European. The budget is 9 million euro and involves 20 partners from 12 countries.</p> <p>The TRANSPHORM project delivers an integrated methodology to assess policies, measures or strategies that reduce health impacts of transport-related PM emissions. The developed tool will be used to generate mitigation and adaptation strategies for European cities and to make policy recommendations for the EC.</p>	<p>Important as a reference for effective assessment of mobility measures on environmental indicators.</p> <p>The cooperation with cities to evaluate in detail their measures is a strong experience for the improvement and implementation of the CIVITAS framework.</p> <p>The building up of a European scenario in which these measures are implemented, is a strong example of an assessment of the European value of mobility measures.</p> <p>The Transphorm database presents a good reference of the mobility context in the European cities.</p>

Name	Short description	Relevance to SATELLITE
CIVITAS ELAN	Dirk Engels coordinated the evaluation work in the CIVITAS ELAN project. In this a large range of mobility measures implemented in 5 EU cities (Ljubljana, Zagreb, Gent, Brno, Porto) were evaluated in the framework of the CIVITAS-ELAN project. The evaluation focused both on impact and process evaluation with a specific attention to the process of participation.	This coordination work of the evaluation activities on city and measure level is the basis for an insight understanding of the existing CIVITAS evaluation framework and the needs to optimise it and to implement it in a more efficient way.
ERSAP	The EC is working on a new European Road Safety Action Programme. This programme runs from 2011 until 2020. TML and TRT assisted in the preparation of this programme. To achieve this, two steps were taken: First, TRT carried out an analysis of the effectiveness of the different actions that were already part of the current European Road Safety Action Programme (2003-2010). TML developed several models based on experience gained during the ASSESS project. These models were used to compare several different scenarios that represent different government policies. This comparison of different policies will then be used by the EC to define the newest set of actions that are envisaged to be the most effective measures for the future and to include them in the next European Road Safety Action Programme (2011-2020).	The evaluation of safety measures present important findings on the value of specific measures. Approach gives input in an improved CIVITAS approach. The specific attention to the best combination of measures, is important for the CIVITAS goal to understand the impact and best mix of clusters of measures.
OPTIMISM	OPTIMISM's main outcome was the development of different sets of strategies and methodologies for optimizing transport systems based on co-modality and ICT solutions. OPTIMISM also took into consideration the passenger needs and the Low Carbon Europe objective. The main scope was to provide a scientifically documented insight of the transport system and people's travel choices via the study of social behaviour, mobility patterns and business models. TML was responsible for the creation of a methodology that can be used to unify the different available or future data sources in relation to travel behaviour. Furthermore, we used macro models (such as TREMOVE) to estimate the impact of future ICT solutions in relation to co-modality on greenhouse gas emissions.	The selection and analyse of indicators for measures on persons mobility is a good reference for the CIVITAS work on this. The specific attention on the comparability and variation of different urban environment contributes in our understanding of transferability processes.

Partner 7: UITP

Partner short name: UITP

Company website: www.uitp.org

Description of the legal entity and main tasks

Since 1885, UITP is the international network for public transport authorities and operators, policy decision-makers, scientific institutes and the public transport supply and service industry. It is a platform for worldwide cooperation, business development and the sharing of know-how between its 1,400 company members from 96 countries. UITP is the global advocate of public transport and sustainable mobility, and the promoter of innovations in the sector.


Although it is a worldwide association, thanks to its international organisation and relevant membership, UITP is recognised by the EU institutions as an association representative of the urban, suburban and regional passenger public transport operators and organising authorities.

UITP is active in the three major pillars handled by the EC: Legislation; Standardisation; Research and Innovation.


UITP has been for long involved in EU research projects aiming at developing technical harmonisation and innovation either for given modes (e.g. urban rail or bus) or for transverse issues, both as project partner and project coordinator.

UITP is the main actor in Europe representing all public transport stakeholder categories, and its expertise will contribute to the SATELLITE activities relative to public transport, including cooperation with the CIVITAS 2020 projects, evaluation, policy recommendations, dissemination, the Advisory Groups and the CIVITAS Thematic Groups on "Collective passenger transport" and "Clean fuels and low emission vehicles". The UITP network composed by 12 regional offices will be also an opportunity to foster the international cooperation aspects of the SATELLITE project.

Curriculum vitae or description of the profile of the persons


	Organisation	International Association of Public Transport
	Name	Guida
	First Name	Umberto
	Function	Deputy Director of European Department in charge of EU Projects
	Gender	Male

Education	Master of Science in System Engineering with main focus on IT, Aerospace and Transport arguments
Profile	Umberto Guida is the Deputy Director of the European Department of UITP, in charge of EU funded projects unit coordination. He manages and oversees UITP activities in EU funded projects. He represents UITP within ERTRAC and ERRAC and coordinates the ZeEUS project. Since 1999 Umberto has been involved as partner, work package leader and project coordinator, in many research and Innovation projects related to aerospace, maritime, rail and road transport, and funded by the main European institutions and Private investors. Prior to joining UITP, he was Business Development Manager in ESSP in the period 2004-2008. Before, he worked as system engineer and project manager at Alenia Spazio, responsible for the Galileo application development unit.
Input to SATELLITE	UITP senior expertise, clean vehicles, recommendation and policies

	Organisation	International Association of Public Transport
	Name	Skonieczki
	First Name	Patrick
	Function	Project Manager
	Gender	Male

Education	Master of Science in Urban and Regional Planning, Stockholm University
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Profile	Patrick Skonieczki joined UITP in 2012 where he has managed a number of working bodies – the Combined Mobility Platform, the Transport & Urban Life Commission, and the Academic Network. From 2012 to 2015 he also worked on the UITP coordinated NODES project on multimodal transport interchanges. He represents UITP within the projects CIVITAS CAPITAL and OPTICITIES. Before joining UITP, he gained work experience with EUROCITIES and the Committee of the Regions.
Input to SATELLITE	UITP SATELLITE activities coordinator, combined mobility expertise, dissemination contribution, in charge of Thematic Groups

	Organisation	International Association of Public Transport
	Name	Bousse
	First Name	Yannick
	Function	Project Manager
	Gender	Male

Education	Master of Science in Urban Sustainability, University of Reading
Profile	Yannick Bousse works as a Project Manager for the international association of public transport, UITP. He joined UITP in June 2015 being responsible for EU Horizon 2020 bus projects ELIPTIC and EBSF_2. Before joining UITP he worked at Polis and EUROCITIES on EU sustainable urban mobility projects and policy dossiers. Projects included CIVITAS CAPITAL, CIVITAS VANGUARD, TIDE, OPTICITIES and policy dossiers such as the urban mobility package, the weights and dimensions directive and TEN-T.
Input to SATELLITE	Dissemination and networking contribution, clean vehicles expertise

Relevant previous publications and products

Name	Short description	Relevance to SATELLITE
Public Transport Trends Report	The report focuses on the most significant developments that already have an effect on the mobility market in general and public transport in particular. It presents the hot topics across a spectrum of issues that PT needs to focus on over the next two years.	Main elements of the report are the reference for the identification of the next trends in Public Transport, which will be needed input for all the CIVITAS Thematic Groups related to PT.
Millennium Cities Database for Sustainable Transport	The MCD gathers data from 100 cities. Such data are related to demographics, economics, urban structure, private vehicle numbers and use, taxis, road networks, parking, public transport networks, individual mobility and choice of transport mode, overall efficiency of the transport system and its environmental impact. The MCD enables each user to assess the performances of their city and their transport network, as measured via 230 indicators, and to build a set of arguments adapted to their particular circumstances.	Useful information source for the assessment and evaluation in WP2 of SATELLITE.

Name	Short description	Relevance to SATELLITE
CIVITAS CAPITAL	<p>The FP7 project CIVITAS CAPITAL is one of the two current CIVITAS Support Actions. CAPITAL capitalises systematically on the results of CIVITAS and initiates and support a mainstreaming process of CIVITAS principles based on a strengthened community of stakeholders. CAPITAL pools existing knowledge through groups dedicated to specific topics that produce best-practice guides. The project creates a more structured link with large-scale deployment in support of Transport White Paper goals.</p> <p>UITP leads the Advisory Group on Combined Mobility.</p> <p>Further information: www.civitas.eu</p>	<p>CAPITAL is helping CIVITAS to build the bridge towards a more advanced identity within Horizon 2020, which SATELLITE will further extend. CAPITAL also includes a diverse training programme and manages an Activity Fund support the transfer of measures to other cities and support CIVINET activities, thus allowing more cities to implement successful urban mobility measures.</p>

Relevant previous projects or activities

Name	Short description	Relevance to SATELLITE
ZeEUS	<p>Bringing electrification to the heart of the bus network by extending the fully-electric solution to the core part of the urban bus network. ZeEUS demonstrates the feasibility of several electric solutions for high capacity buses in live operational scenarios across Europe. With around 70 series and pre-series vehicles taking part in the ZeEUS demonstrations, a meaningful evaluation of the real impact of the electric solution on the operations is performed. Aiming at facilitating the market uptake of electric buses, this analysis contributes to the development of tools to support decision makers on "if", "how" and "when" to introduce electric buses in the core part of the bus network.</p>	<p>ZeEUS is the reference project about electric buses, providing a wide set of guidelines and tools to support decision makers in moving towards high capacity electric buses.</p> <p>It will be one of the main sources for the CIVITAS Thematic Group on clean vehicles.</p>
NODES	<p>A Toolbox to help European cities in the design and operation of new or upgraded interchanges</p> <p>NODES Toolbox support European cities, transport authorities and operators in the design and operation of new or upgraded public transport interchanges. These tools are identified under five topics: land use and infrastructure, design, intermodality and ICT, management and business models, energy and environment.</p> <p>A benchmark tool also allows interchange stakeholders to better understand the performance of their interchange and to be directed towards a NODES tool in order to improve its efficiency.</p>	<p>NODES' benchmarking method and the developed tools for urban nodes will be one of the input for the different activities relative to multimodality and nodes.</p>
ELIPTIC	<p>The overall aim of ELIPTIC is to show how costs and energy can be saved by electrifying public transport and optimising the use of existing infrastructure and rolling stock through developing new use concepts and business cases, especially by bringing connecting traditionally separated domains together through developing innovative use concepts and business cases. ELIPTIC will advocate electric public transport sector at the political level and help develop political support for the electrification of public transport across Europe.</p>	<p>UITP is responsible for the Dissemination & Networking work package of this recently started CIVITAS 2020 project. UITP will ensure close cooperation and exchange between ELIPTIC and SATELLITE.</p>

4.2 Third parties involved in the project

For Polis, Rupprecht, EUROCITIES, ICLEI, TML and UITP no Third Parties will be involved.

Partner REC will subcontract certain tasks, as highlighted in the table below.

REC	
Does the participant plan to subcontract certain tasks?	Y
<p>Within WP6 REC has reserved subcontracting budget for a competitive CIVINET Activity Fund to support activities of the current CIVINETs and in support of starting new networks. The CIVINET Activity Fund will comprise a sum of 250,000€ (see task 6.4). Flexibility will be maintained and resources could be reallocated from other cost categories, at the request of the EC.</p> <p>Also within WP6, a subcontracting budget of 20,000€ is allocated to REC to cover fees of Forum moderators or keynote speakers at the Forum conferences.</p>	
Does the participant envisage that part of its work is performed by linked third parties?	N
Does the participant envisage the use of contributions in kind provided by third parties (Articles 11 and 12 of the General Model Grant Agreement)?	N

The beneficiaries must base their contracts/subcontracts on the 'best value-for-money' considering the quality of the service proposed (also called 'best price-quality ratio') or on the lowest price. Beneficiaries that are 'contracting authorities' or 'contracting entities' (within the meaning of the EU public procurement Directives 2004/18/EC and 2004/17/EC—or any EU legislation that replaces these Directives) must moreover comply with the applicable national law on public procurement.

These rules normally provide for a special procurement procedure for the types of contracts they cover.

5. Ethics and security

5.1 Ethics

The CIVITAS SATELLITE project embeds the process of ethical compliance into its whole work programme, for the whole project life cycle. The ethical issues within SATELLITE arise within the detail of the work, and not with the overall *raison d'être* of the project itself, which is part of the EC Horizon 2020 programme, Mobility for Growth sub-programme. Adopting the Commission's guidelines, the detailed ethical aspects of the project will be addressed during the developmental phases of the project. The fulfilment of ethical conditions will therefore be considered part of the Grant Agreement and not fully compliant before the Grant signature. The ethical issues relating to the project are outlined below. The issues relate primarily to the involvement of humans and personal data in some areas of the project's work.

The ethical compliance in SATELLITE has two dimensions – ethical principles and ethical law.

- Ethical principles provide the basis for conducting the project. The obligation on all SATELLITE beneficiaries is to ensure that the project completes its work without breaching the integrity of its coordination and support activities: for example, that the evidence produced is based on sound analysis and rational argument, that the work was conducted in a professional and fair manner, that the evidence was not biased and that there was no misconduct in the way the activities were undertaken.
- Ethical legislation at national, European and international levels will provide the basis for any activities in SATELLITE. Necessary approvals in writing will have to be obtained prior to any participation and consultation of humans.

CIVITAS SATELLITE will rigorously apply Horizon 2020 ethical standards in all dimensions of the project's work, in addition to national standards relating to the SATELLITE partners and (where relevant) international standards.

The Ethics Summary Report states that the project "should indicate how they will address issues of informed consent and the privacy and safe storage and analysis of personal data" and highlights the following requirements:

Detailed information must be provided on the informed consent procedures that will be implemented for the participation of humans / Detailed information on the informed consent procedures that will be implemented in regard to the collection, storage and protection of personal data must be submitted on request.

"Informed consent" within CIVITAS SATELLITE means that external experts, practitioners, stakeholders, citizens or any person outside the project who is asked to participate in project activities (surveys, interviews, questionnaires, workshops, etc.) have a clear appreciation and understanding of the facts, implications and future consequences of any input and information they provide to the consortium.

Therefore, whenever external people will be involved in CIVITAS SATELLITE, the following procedure will be taken:

- In a language and in terms fully understandable to them, participants will be informed about the purpose, methods and implications of the survey and what use will be made of the information they provide
- They will be formally asked to respond on a voluntary basis;
- They will be able to choose whether they want to provide their personal data or not;
- They will be asked to sign an 'informed consent form', which will be included in Deliverable 8.1 and 8.2.

All information in public reports will be presented in anonymized way ensuring that none of the inputs/views can be traced directly to a person or entity.

Further detailed information on the informed consent procedures that will be implemented in regard to the collection, storage and protection of personal data will be submitted on request.

The applicants must commit to obtaining opinion or confirmation by the competent Institutional Data Protection Officer and/or authorisation or notification by the National Data Protection Authority / If the position of a Data Protection Officer is established, their opinion/confirmation that all data collection and processing will be carried according to EU and national legislation, should be submitted

Project partners confirm that within the first three months of the project they will go through the process of obtaining the notification by the Data Protection Authorities that all data collection and processing will be carried out according to EU and national legislation. The result of this process, with the obtained authorisations from the respective countries concerned, i.e. Belgium, Germany and Hungary, will be part of Deliverable 8.1 and 8.2.

Justification must be given in case of collection and/or processing of personal sensitive data.

No such collection and/or processing of personal sensitive data is planned. No medical research will be conducted whatsoever and no vulnerable groups (e.g. children, elderly, people of ill health, disabled people) will play a role as informants in any of SATELLITE's activities. All participants in SATELLITE's impact and process evaluation activities will be given a written "Informed Consent Agreement", which specifies the promise to release only anonymised data into the public realm. The key between real names and pseudonyms will be stored in an encrypted database.

Detailed information must be provided on the procedures that will be implemented for data collection, storage, protection, retention and destruction and confirmation that they comply with national and EU legislation

Most of the data collected within SATELLITE are secondary in the sense that SATELLITE is collecting and synthesising information and data from other H2020 projects (and primarily collected by the respective projects meeting similar ethics requirements) into one integrated database and reusing these data.

SATELLITE will consult and gather information on RIA and IA projects and CIVINETs in WP1 and track the data as it is updated to analyse outputs, trends, and trajectories in the work and user needs of CIVITAS. In WP2, SATELLITE will collect and process the evaluation results of the CIVITAS IA (and to a lesser extent RIA) projects and synthesise these data. The basic unit for this information is the Measures Evaluation Result Sheets (MERS), which contain before and after data on the mobility situation in cities and describe the evaluation approach and implementation process. Similar data will be collected on clusters of measures, cities, measure types, specific aspects of implementation processes. Unless otherwise specified in the informed consent form, these data will be used only in the context of CIVITAS SATELLITE. This large set of data will be managed in layered and interlinked databases:

- Database with the MERSs with identification keys (e.g. theme, clusters of measures, city, implementation period, operational period and version status of the MERSs)
- Integrated Evaluation Result Sheets (IERS) referring to linked MERSs with a range of identification keys and version status

The other WPs will add further relevant data, e.g. context data on transferability, stakeholder information, expert knowledge linked to the themes of the TGs, etc. In this way SATELLITE will organise efficient storage of data, with easy and efficient access for its evaluation work and for the other WPs. The basic data of previous CIVITAS projects will also be included, resulting in a compilation of CIVITAS experience. Actors in the CIVITAS community may access specific parts of this database.

In terms of analysis, synthesis, data storage and dissemination, the following key rules apply: (i) That it is well documented and approved who has access to use and receive the information, (ii) that in general no results will be published with any direct link to personal individualised data, and (iii) that there will be no dissemination of personal information without written consent. The analysis of data will not reveal or publish the intelligence from specific respondents to questionnaires or interviews/discussions. The respondents will be anonymous codes and the addresses coded by broad areas to prevent tracking (there is a good body of experience on how to avoid data tracking).

For all these data collection activities, compliance with ethical principles and the applicable international, EU and national law (in particular, EU Directive 95/46/EC) will be guaranteed.

SATELLITE will collect and process data only if and insofar as it is really necessary for its activities, and this will not involve sensitive data (e.g. health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction), nor tracking the location or observation of people. Though SATELLITE will track and analyse web content views and event participation, this will be done with the aforementioned stringent data protection processes in place. For example, when registering for an e-course or webinar (WP3), an informed consent form will be part of the registration process, in such that demographic information collected is done only with the awareness of the participant. Data gathered will be processed and stored according to principles and conditions aimed at limiting the impact on the persons concerned and ensure data quality and confidentiality. SATELLITE will make sure that all the necessary notifications/authorisations for collecting and processing the data (e.g. free and fully informed consent of the persons concerned) will be obtained.

Finally, SATELLITE will ensure that data are kept securely and that publication (including publication on the internet) does not lead (either directly or indirectly) to a breach of agreed confidentiality and anonymity.

The applicant must explicitly confirm that the data used are publicly available

This is confirmed.

5.2 Security

The SATELLITE project will involve:

- activities or results raising security issues: NO
- 'EU-classified information' as background or results: NO

Abbreviations

AG	CIVITAS Advisory Group
CoP	“community of practice” approach
DLG	Dissemination Liaison Group
EC	European Commission
ELG	Evaluation Liaison Group
IA	Innovation Action
IERS	Integrated Evaluation Result Sheets
MERS	Measure Evaluation Results Sheet
MERT	Measure Evaluation Results Template
PAC	Political Advisory Committee
PC	Project Coordinator
PEM	Project Evaluation Manager
PM	Project Manager
PMs	Person-months
RIA	Research and Innovation Action
TG	CIVITAS Thematic Group
TRB	Transport Research Board
WP	Work package

Annex I – Letters of Support

A. From Research and Innovation Action (RIA) projects

Reference in SATELLITE's Annex B text (chapter 3): Task 1.2 CIVITAS 2020 Coordination and Cooperation Platform

Letters of Support have been provided by:

- CIPTEC
- CITYLAB
- CREATE
- ELIPTIC
- EMPOWER
- FLOW
- SUCCESS
- TRACE
- U-TURN

NOVELOG did not sign the letter due to the involvement of one of its Management Board members in a competing MG5.5b bid.

B. From existing CIVINETs

Reference in SATELLITE's Annex B text (chapter 3): Task 6.4 CIVINET liaison and Activity Fund

Letters of Support have been provided by:

- CIVINET German-speaking areas
- CIVINET Hungary (Magyar)
- CIVINET Italia
- CIVINET Netherlands/Flanders
- CIVINET Poland
- CIVINET Slovenia-Croatia
- CIVINET UK & Ireland

C. From organisations interested in establishing new CIVINETs

Reference in SATELLITE's Annex B text (chapter 3): Task 6.4 CIVINET liaison and Activity Fund

Letters of Support have been provided by:

- OER – Energy Cities Romania and European Integrated Projects (EIP) for the establishment of a CIVINET Romania-Moldova
- Union of the Baltic Cities (UBC) for the establishment of a Nordic-Baltic CIVINET (Scandinavia & Baltic states)

ESTIMATED BUDGET FOR THE ACTION (page 1 of 2)

	Estimated eligible ¹ costs (per budget category)								EU contribution			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	Total costs	Reimbursement rate %	Maximum EU contribution ³	Maximum grant amount ⁴	Information for indirect costs	Information for auditors	Other information:
	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				D.1 Travel D.2 Equipment D.3 Other goods and services D.4 Costs of large research infrastructure						Estimated costs of in-kind contributions not used on premises	Declaration of costs under Point D.4	Estimated costs of beneficiaries/ linked third parties not receiving EU funding
Form of costs ⁶	Actual	Unit ⁷	Unit ⁸		Actual	Actual	Actual	Flat-rate ⁹							
								25%							
	(a)	Total (b)	No hours	Total (c)	(d)	(e)	(f)	(g)=0,25x ((a)+(b)+(c)+(f) +[(h1)+(h2)]-(m))	(i)= (a)+(b)+(c)+(d)+(e)+(f)+(g)+(h1)+(h2)+(h3)	(j)	(k)	(l)	(m)	Yes/No	
1. POLIS	325500.00	0.00	0	0.00	0.00	0.00	33300.00	89700.00	448500.00	100.00	448500.00	448500.00	0.00	No	
2. RUPPRECHT	418000.00	0.00	0	0.00	0.00	0.00	46362.00	116090.50	580452.50	100.00	580452.50	580452.50	0.00	No	
3. EUROCITIES ASBL	210000.00	0.00	0	0.00	0.00	0.00	58800.00	67200.00	336000.00	100.00	336000.00	336000.00	0.00	No	
4. ICLEI EURO	199500.00	0.00	0	0.00	0.00	0.00	43100.00	60650.00	303250.00	100.00	303250.00	303250.00	0.00	No	
5. REC	172425.00	0.00	0	0.00	270000.00	0.00	157500.00	82481.25	682406.25	100.00	682406.25	682406.25	0.00	No	
6. TML	377150.00	0.00	0	0.00	0.00	0.00	20600.00	99437.50	497187.50	100.00	497187.50	497187.50	0.00	No	
7. UITP	101250.00	0.00	0	0.00	0.00	0.00	18000.00	29812.50	149062.50	100.00	149062.50	149062.50	0.00	No	
Total consortium	1803825.00	0.00		0.00	270000.00	0.00	377662.00	545371.75	2996858.75		2996858.75	2996858.75	0.00		0.00

ESTIMATED BUDGET FOR THE ACTION (page 2 of 2)

- (1) See Article 6 for the eligibility conditions
- (2) The indirect costs covered by the operating grant (received under any EU or Euratom funding programme; see Article 6.5.(b)) are ineligible under the GA. Therefore, a beneficiary that receives an operating grant during the action's duration cannot declare indirect costs for the year(s)/reporting period(s) covered by the operating grant (see Article 6.2.E).
- (3) This is the theoretical amount of EU contribution that the system calculates automatically (by multiplying all the budgeted costs by the reimbursement rate). This theoretical amount is capped by the 'maximum grant amount' (that the Commission/Agency decided to grant for the action) (see Article 5.1).
- (4) The 'maximum grant amount' is the maximum grant amount decided by the Commission/Agency. It normally corresponds to the requested grant, but may be lower.
- (5) Depending on its type, this specific cost category will or will not cover indirect costs. Specific unit costs that include indirect costs are: costs for energy efficiency measures in buildings, access costs for providing trans-national access to research infrastructure and costs for clinical studies.
- (6) See Article 5 for the forms of costs
- (7) Unit : hours worked on the action; costs per unit (hourly rate) : calculated according to beneficiary's usual accounting practice
- (8) See Annex 2a 'Additional information on the estimated budget' for the details (costs per hour (hourly rate)).
- (9) 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
- (10) See Annex 2a 'Additional information on the estimated budget' for the details (units, costs per unit).
- (11) See Annex 2a 'Additional information on the estimated budget' for the details (units, costs per unit, estimated number of units, etc)
- (12) Only specific unit costs that do not include indirect costs
- (13) See Article 9 for beneficiaries not receiving EU funding
- (14) Only for linked third parties that receive EU funding

ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

RUPPRECHT CONSULT - FORSCHUNG & BERATUNG GMBH (RUPPRECHT) GMBH, HRB30833, established in CLEVER STRASSE 13-15, KOELN 50668, Germany, DE198534371 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become *beneficiary* No ('2')

in Grant Agreement No 713813 ('the Agreement')

between POLIS - PROMOTION OF OPERATIONAL LINKS WITH INTEGRATED SERVICES, ASSOCIATION INTERNATIONALE **and** *the Innovation and Networks Executive Agency (INEA) ('the Agency')*, under the power delegated by the European Commission ('the Commission'),

for the action entitled 'Support Action Towards Evaluation, Learning, Local Innovation, Transfer and Excellence (CIVITAS SATELLITE)'.

and mandates

the *coordinator* to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

Siegfried RUPPRECHT with ECAS id nrusiegf signed in the Participant Portal on 16/06/2016 at 16:41:29 (transaction id SigId-66203-MJPGh3Oj3CYryYqdoVU1ELmOhC2QweudZzgQLYaZezT6ZxX7c70Bbb5BGLI8AUsin29v45etHj8KyzWohlWOwuG-Jj71zxYb8yrCzGM5MsUFAs-hMdzqHJfgLEvIrQ9o01sYGDm7PMrZklGf7TkKC0xqfN). Timestamp by third party at Thu Jun 16 17:41:35 CEST 2016

ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

EUROCITIES ASBL (EUROCITIES ASBL) ASBL, 447820987, established in SQUARE DE MEEUS 1, BRUXELLES 1000, Belgium, BE0447820987 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become *beneficiary* No ('3')

in Grant Agreement No 713813 ('the Agreement')

between POLIS - PROMOTION OF OPERATIONAL LINKS WITH INTEGRATED SERVICES, ASSOCIATION INTERNATIONALE **and** *the Innovation and Networks Executive Agency (INEA) ('the Agency'), under the power delegated by the European Commission ('the Commission'),*

for the action entitled 'Support Action Towards Evaluation, Learning, Local Innovation, Transfer and Excellence (CIVITAS SATELLITE)'.

and mandates

the *coordinator* to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

Anna Lisa BONI with ECAS id nboalisa signed in the Participant Portal on 16/06/2016 at 09:23:03 (transaction id SigId-56083-913TQ66M0MWzoGzec6Dzzn6OnBVXesdZxPzyglFa9l13CXV7HAskk1ikZc9we2oaCSHQrdzWQ41MuvP0yL1zUiUC-Jj71zxYb8yrCzGM5MsUFAs-fmhsx7eF5ZNhOuEdlWlztQuUkzTX3HcSZikLxJXok5m). Timestamp by third party at Thu Jun 16 10:23:14 CEST 2016

ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

ICLEI EUROPEAN SECRETARIAT GMBH (ICLEI EUROPASEKRETARIAT GMBH)* (ICLEI EURO) GMBH, HRB4188, established in Leopoldring 3, Freiburg 79098, Germany, DE153445986 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become *beneficiary* No ('4')

in Grant Agreement No 713813 ('the Agreement')

between POLIS - PROMOTION OF OPERATIONAL LINKS WITH INTEGRATED SERVICES, ASSOCIATION INTERNATIONALE **and** *the Innovation and Networks Executive Agency (INEA) ('the Agency'), under the power delegated by the European Commission ('the Commission'),*

for the action entitled 'Support Action Towards Evaluation, Learning, Local Innovation, Transfer and Excellence (CIVITAS SATELLITE)'.

and mandates

the *coordinator* to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

Wolfgang TEUBNER with ECAS id nteubnwg signed in the Participant Portal on 21/06/2016 at 09:13:44 (transaction id SigId-96096-UdW68slVvRyNOdQoB88aa18abcoiJYR0vX2JT8ZPkZkRDBZA4Zn2CyTruNB9of6eTeez16zftL0OzyZGzaHxx5m~Jj71zxYb8yrCzGM5MsUFAsM9XvtClg9zWztMo3UmPkBHZsSrx8RmJ6zllGwIPHqI80). Timestamp by third party at Tue Jun 21 10:13:52 CEST 2016

ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

REGIONAL ENVIRONMENTAL CENTER FOR CENTRAL AND EASTERN EUROPE - REC (REC), n/a, established in Ady Endre ut 9-11, SZENTENDRE 2000, Hungary, 30058697151 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become *beneficiary* No ('5')

in Grant Agreement No 713813 ('the Agreement')

between POLIS - PROMOTION OF OPERATIONAL LINKS WITH INTEGRATED SERVICES, ASSOCIATION INTERNATIONALE **and** *the Innovation and Networks Executive Agency (INEA)* ('the Agency'), under the power delegated by the European Commission ('the Commission'),

for the action entitled 'Support Action Towards Evaluation, Learning, Local Innovation, Transfer and Excellence (CIVITAS SATELLITE)'.

and mandates

the *coordinator* to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

Szigeti Bonifert MARTA with ECAS id nmartasz signed in the Participant Portal on 13/06/2016 at 10:43:47 (transaction id SigId-18057-51eC3JUeBwpXzIjgflp3LNgMQkCE7zvbP7FA4LJI4BzWr4TG7EayYDKrOUlRZVC3RqGN0bBKnnkDZ7hRSF5kOzK-Jj71zxYb8yrCzGM5MsUFA-sq7zL3RBx0OocPR5oHBnkC42XvqVzuD5asBR8f1XhoyEW). Timestamp by third party at Mon Jun 13 11:43:55 CEST 2016

ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

TRANSPORT & MOBILITY LEUVEN NV (TML) NV, 476966024, established in DIESTSESTEENWEG 57, LEUVEN 3010, Belgium, BE0476966024 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become *beneficiary* No ('6')

in Grant Agreement No 713813 ('the Agreement')

between POLIS - PROMOTION OF OPERATIONAL LINKS WITH INTEGRATED SERVICES, ASSOCIATION INTERNATIONALE **and** *the Innovation and Networks Executive Agency (INEA) ('the Agency'), under the power delegated by the European Commission ('the Commission'),*

for the action entitled 'Support Action Towards Evaluation, Learning, Local Innovation, Transfer and Excellence (CIVITAS SATELLITE)'.

and mandates

the *coordinator* to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

Griet DE CEUSTER with ECAS id ndeceugr signed in the Participant Portal on 12/06/2016 at 14:21:51 (transaction id SigId-13986-TPzqhwI7zzZ1wd0QJk6J4IQ6wk4xMIGxIqVlqvPGq5YEznYBzw3WYytRczm0mltmoV1Aa0SCXDHDpITduBmn35HG-Jj71zxYb8yrCzGM5MsUFAs-Z665jTnVoMo38VZFt2SIPKzZ2Z6ze1tdnbdYL7sMkEDW). Timestamp by third party at Sun Jun 12 15:21:58 CEST 2016

ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

UNION INTERNATIONALE DES TRANSPORTS PUBLICS (UITP) AISBL, 544198506, established in RUE SAINTE MARIE 6, BRUXELLES 1080, Belgium, BE0544198506 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become *beneficiary* No ('7')

in Grant Agreement No 713813 ('the Agreement')

between POLIS - PROMOTION OF OPERATIONAL LINKS WITH INTEGRATED SERVICES, ASSOCIATION INTERNATIONALE **and** *the Innovation and Networks Executive Agency (INEA) ('the Agency'), under the power delegated by the European Commission ('the Commission'),*

for the action entitled 'Support Action Towards Evaluation, Learning, Local Innovation, Transfer and Excellence (CIVITAS SATELLITE)'.

and mandates

the *coordinator* to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

Dominique ATLAN with ECAS id natlando signed in the Participant Portal on 20/06/2016 at 15:22:27 (transaction id SigId-89949-NEfQZV0IAxzOY2cd9HfU6uCiFZrdQVynTcLBDh43zpzWaSCcWMmbwyDbRKzWzxGJThawLbzb6XL4F8RuVMRbOIFW-Jj71zxYb8yrCzGM5MsUFAs-MzOmQPzUw35PT2QuNS41ugtyzzeojdotfIZryuJ6QjFV). Timestamp by third party at Mon Jun 20 16:22:34 CEST 2016

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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	EU contribution				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 : Costs of in-kind contributions not used on premises
	A.1 Employees (or equivalent)		A.4 SME owners without salary				D.1 Travel	[D.4 Costs of large research infrastructure]		[F.1 Costs of ...]			Receipts of the action, to be reported in the last reporting period, according to Article 5.3.3					
	A.2 Natural persons under direct contract		A.5 Beneficiaries that are natural persons without salary				D.2 Equipment											
	A.3 Seconded persons						D.3 Other goods and services											
[A.6 Personnel for providing access to research infrastructure]																		
Form of costs ⁴	Actual	Unit	Unit		Actual	Actual	Actual	Actual	Flat-rate ⁵	Unit		Unit						
									25%									
	a	Total b	No hours	Total c	d	[e]	f	[g]	h=0,25 x (a+b+c+f+[g] + [i1] ⁶ +[i2] ⁶ - o)	No units	Total [i1]	Total [i2]	j = a+b+c+d+[e] +f+[g] +h+[i1] +[i2]	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.E). If you have received an operating grant during this reporting period, you cannot claim any indirect costs.

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 have to be less (e.g. if you and the other beneficiaries are above budget, if the 90% limit (see Article 21) is reached, etc).

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

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

ANNEX 5

MODEL FOR THE CERTIFICATE ON THE FINANCIAL STATEMENTS

- For options [*in italics in square brackets*]: choose the applicable option. Options not chosen should be deleted.
- For fields in [grey in square brackets]: enter the appropriate data

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TERMS OF REFERENCE FOR AN INDEPENDENT REPORT OF FACTUAL FINDINGS ON COSTS DECLARED UNDER A GRANT AGREEMENT FINANCED UNDER THE HORIZON 2020 RESEARCH FRAMEWORK PROGRAMME..... 2

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H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

Terms of Reference for an Independent Report of Factual Findings on costs declared under a Grant Agreement financed under the Horizon 2020 Research and Innovation Framework Programme

This document sets out the ‘**Terms of Reference (ToR)**’ under which

[OPTION 1: [insert name of the beneficiary] (*‘the Beneficiary’*)] [OPTION 2: [insert name of the linked third party] (*‘the Linked Third Party’*), third party linked to the Beneficiary [insert name of the beneficiary] (*‘the Beneficiary’*)]

agrees to engage

[insert legal name of the auditor] (*‘the Auditor’*)

to produce an independent report of factual findings (*‘the Report’*) concerning the Financial Statement(s)¹ drawn up by the [Beneficiary] [Linked Third Party] for the Horizon 2020 grant agreement [insert number of the grant agreement, title of the action, acronym and duration from/to] (*‘the Agreement’*), and

to issue a Certificate on the Financial Statements’ (*‘CFS’*) referred to in Article 20.4 of the Agreement based on the compulsory reporting template stipulated by the Commission.

The Agreement has been concluded under the Horizon 2020 Research and Innovation Framework Programme (H2020) between the Beneficiary and [OPTION 1: *the European Union, represented by the European Commission (‘the Commission’)*][OPTION 2: *the European Atomic Energy Community (Euratom,) represented by the European Commission (‘the Commission’)*][OPTION 3: *the [Research Executive Agency (REA)] [European Research Council Executive Agency (ERCEA)] [Innovation and Networks Executive Agency (INEA)] [Executive Agency for Small and Medium-sized Enterprises (EASME)] (‘the Agency’), under the powers delegated by the European Commission (‘the Commission’).*]

¹ By which costs under the Agreement are declared (see template ‘Model Financial Statements’ in Annex 4 to the Grant Agreement).

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

The *[Commission]* *[Agency]* is mentioned as a signatory of the Agreement with the Beneficiary only.
The *[European Union]**[Euratom]**[Agency]* is not a party to this engagement.

1.1 Subject of the engagement

The coordinator must submit to the *[Commission]**[Agency]* the final report within 60 days following the end of the last reporting period which should include, amongst other documents, a CFS for each beneficiary and for each linked third party that requests a total contribution of EUR 325 000 or more, as reimbursement of actual costs and unit costs calculated on the basis of its usual cost accounting practices (see Article 20.4 of the Agreement). The CFS must cover all reporting periods of the beneficiary or linked third party indicated above.

The Beneficiary must submit to the coordinator the CFS for itself and for its linked third party(ies), if the CFS must be included in the final report according to Article 20.4 of the Agreement..

The CFS is composed of two separate documents:

- The Terms of Reference ('the ToR') to be signed by the *[Beneficiary]* *[Linked Third Party]* and the Auditor;
- The Auditor's Independent Report of Factual Findings ('the Report') to be issued on the Auditor's letterhead, dated, stamped and signed by the Auditor (or the competent public officer) which includes the agreed-upon procedures ('the Procedures') to be performed by the Auditor, and the standard factual findings ('the Findings') to be confirmed by the Auditor.

If the CFS must be included in the final report according to Article 20.4 of the Agreement, the request for payment of the balance relating to the Agreement cannot be made without the CFS. However, the payment for reimbursement of costs covered by the CFS does not preclude the *[Commission]*,*[Agency]*, the European Anti-Fraud Office and the European Court of Auditors from carrying out checks, reviews, audits and investigations in accordance with Article 22 of the Agreement.

1.2 Responsibilities

The *[Beneficiary]* *[Linked Third Party]*:

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

- must draw up the Financial Statement(s) for the action financed by the Agreement in compliance with the obligations under the Agreement. The Financial Statement(s) must be drawn up according to the *[Beneficiary's] [Linked Third Party's]* accounting and book-keeping system and the underlying accounts and records;
- must send the Financial Statement(s) to the Auditor;
- is responsible and liable for the accuracy of the Financial Statement(s);
- is responsible for the completeness and accuracy of the information provided to enable the Auditor to carry out the Procedures. It must provide the Auditor with a written representation letter supporting these statements. The written representation letter must state the period covered by the statements and must be dated;
- accepts that the Auditor cannot carry out the Procedures unless it is given full access to the *[Beneficiary's] [Linked Third Party's]* staff and accounting as well as any other relevant records and documentation.

The Auditor:

- *[Option 1 by default: is qualified to carry out statutory audits of accounting documents in accordance with Directive 2006/43/EC of the European Parliament and of the Council of 17 May 2006 on statutory audits of annual accounts and consolidated accounts, amending Council Directives 78/660/EEC and 83/349/EEC and repealing Council Directive 84/253/EEC or similar national regulations].*
- *[Option 2 if the Beneficiary or Linked Third Party has an independent Public Officer: is a competent and independent Public Officer for which the relevant national authorities have established the legal capacity to audit the Beneficiary].*
- *[Option 3 if the Beneficiary or Linked Third Party is an international organisation: is an [internal] [external] auditor in accordance with the internal financial regulations and procedures of the international organisation].*

The Auditor:

- must be independent from the Beneficiary *[and the Linked Third Party]*, in particular, it must not have been involved in preparing the *[Beneficiary's] [Linked Third Party's]* Financial Statement(s);
- must plan work so that the Procedures may be carried out and the Findings may be assessed;
- must adhere to the Procedures laid down and the compulsory report format;
- must carry out the engagement in accordance with this ToR;
- must document matters which are important to support the Report;
- must base its Report on the evidence gathered;
- must submit the Report to the *[Beneficiary] [Linked Third Party]*.

The Commission sets out the Procedures to be carried out by the Auditor. The Auditor is not responsible for their suitability or pertinence. As this engagement is not an assurance engagement, the Auditor does not provide an audit opinion or a statement of assurance.

1.3 Applicable Standards

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The Auditor must comply with these Terms of Reference and with²:

- the International Standard on Related Services ('ISRS') 4400 *Engagements to perform Agreed-upon Procedures regarding Financial Information* as issued by the International Auditing and Assurance Standards Board (IAASB);
- the *Code of Ethics for Professional Accountants* issued by the International Ethics Standards Board for Accountants (IESBA). Although ISRS 4400 states that independence is not a requirement for engagements to carry out agreed-upon procedures, the [Commission][Agency] requires that the Auditor also complies with the Code's independence requirements.

The Auditor's Report must state that there is no conflict of interests in establishing this Report between the Auditor and the Beneficiary *[and the Linked Third Party]*, and must specify - if the service is invoiced - the total fee paid to the Auditor for providing the Report.

1.4 Reporting

The Report must be written in the language of the Agreement (see Article 20.7).

Under Article 22 of the Agreement, the [Commission] [Agency], the European Anti-Fraud Office and the Court of Auditors have the right to audit any work that is carried out under the action and for which costs are declared from [the European Union] [Euratom] budget. This includes work related to this engagement. The Auditor must provide access to all working papers (e.g. recalculation of hourly rates, verification of the time declared for the action) related to this assignment if the [Commission] [Agency], the European Anti-Fraud Office or the European Court of Auditors requests them.

1.5 Timing

The Report must be provided by [dd Month yyyy].

² Supreme Audit Institutions applying INTOSAI-standards may carry out the Procedures according to the corresponding International Standards of Supreme Audit Institutions and code of ethics issued by INTOSAI instead of the International Standard on Related Services ('ISRS') 4400 and the Code of Ethics for Professional Accountants issued by the IAASB and the IESBA.

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1.6 Other terms

[The [Beneficiary] [Linked Third Party] and the Auditor can use this section to agree other specific terms, such as the Auditor's fees, liability, applicable law, etc. Those specific terms must not contradict the terms specified above.]

[legal name of the Auditor]

[legal name of the [Beneficiary][Linked Third Party]]

[name & function of authorised representative] [name & function of authorised representative]

[dd Month yyyy]

[dd Month yyyy]

Signature of the Auditor

Signature of the [Beneficiary][Linked Third Party]

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**Independent Report of Factual Findings on costs declared under Horizon 2020 Research and
Innovation Framework Programme**

(To be printed on the Auditor's letterhead)

To

[name of contact person(s)], [Position]

[*Beneficiary's* *Linked Third Party's* name]

[Address]

[dd Month yyyy]

Dear [Name of contact person(s)],

As agreed under the terms of reference dated [dd Month yyyy]

with [OPTION 1: *insert name of the beneficiary*] ('the Beneficiary')] [OPTION 2: *insert name of the
linked third party*] ('the Linked Third Party'), third party linked to the Beneficiary [*insert name of the
beneficiary*] ('the Beneficiary'),

we

[name of the auditor] ('the Auditor'),

established at

[full address/city/state/province/country],

represented by

[name and function of an authorised representative],

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have carried out the procedures agreed with you regarding the costs declared in the Financial Statement(s)³ of the [Beneficiary] [Linked Third Party] concerning the grant agreement

[insert grant agreement reference: number, title of the action and acronym] ('the Agreement'),

with a total cost declared of

[total amount] EUR,

and a total of actual costs and 'direct personnel costs declared as unit costs calculated in accordance with the [Beneficiary's] [Linked Third Party's] usual cost accounting practices' declared of

[sum of total actual costs and total direct personnel costs declared as unit costs calculated in accordance with the [Beneficiary's] [Linked Third Party's] usual cost accounting practices] EUR

and **hereby provide our Independent Report of Factual Findings ('the Report')** using the compulsory report format agreed with you.

The Report

Our engagement was carried out in accordance with the terms of reference ('the ToR') appended to this Report. The Report includes the agreed-upon procedures ('the Procedures') carried out and the standard factual findings ('the Findings') examined.

The Procedures were carried out solely to assist the [Commission] [Agency] in evaluating whether the [Beneficiary's] [Linked Third Party's] costs in the accompanying Financial Statement(s) were declared in accordance with the Agreement. The [Commission] [Agency] draws its own conclusions from the Report and any additional information it may require.

³ By which the Beneficiary declares costs under the Agreement (see template 'Model Financial Statement' in Annex 4 to the Agreement).

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The scope of the Procedures was defined by the Commission. Therefore, the Auditor is not responsible for their suitability or pertinence. Since the Procedures carried out constitute neither an audit nor a review made in accordance with International Standards on Auditing or International Standards on Review Engagements, the Auditor does not give a statement of assurance on the Financial Statements.

Had the Auditor carried out additional procedures or an audit of the [Beneficiary's] [Linked Third Party's] Financial Statements in accordance with International Standards on Auditing or International Standards on Review Engagements, other matters might have come to its attention and would have been included in the Report.

Not applicable Findings

We examined the Financial Statement(s) stated above and considered the following Findings not applicable:

Explanation (to be removed from the Report):

If a Finding was not applicable, it must be marked as 'N.A.' ('Not applicable') in the corresponding row on the right-hand column of the table and means that the Finding did not have to be corroborated by the Auditor and the related Procedure(s) did not have to be carried out.

The reasons of the non-application of a certain Finding must be obvious i.e.

- i) if no cost was declared under a certain category then the related Finding(s) and Procedure(s) are not applicable;*
- ii) if the condition set to apply certain Procedure(s) are not met the related Finding(s) and those Procedure(s) are not applicable. For instance, for 'beneficiaries with accounts established in a currency other than euro' the Procedure and Finding related to 'beneficiaries with accounts established in euro' are not applicable. Similarly, if no additional remuneration is paid, the related Finding(s) and Procedure(s) for additional remuneration are not applicable.*

List here all Findings considered not applicable for the present engagement and explain the reasons of the non-applicability.

....

Exceptions

Apart from the exceptions listed below, the [Beneficiary] [Linked Third Party] provided the Auditor all the documentation and accounting information needed by the Auditor to carry out the requested Procedures and evaluate the Findings.

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Explanation (to be removed from the Report):

- If the Auditor was not able to successfully complete a procedure requested, it must be marked as 'E' ('Exception') in the corresponding row on the right-hand column of the table. The reason such as the inability to reconcile key information or the unavailability of data that prevents the Auditor from carrying out the Procedure must be indicated below.
- If the Auditor cannot corroborate a standard finding after having carried out the corresponding procedure, it must also be marked as 'E' ('Exception') and, where possible, the reasons why the Finding was not fulfilled and its possible impact must be explained here below.

List here any exceptions and add any information on the cause and possible consequences of each exception, if known. If the exception is quantifiable, include the corresponding amount.

....

Example (to be removed from the Report):

1. The Beneficiary was unable to substantiate the Finding number 1 on ... because
2. Finding number 30 was not fulfilled because the methodology used by the Beneficiary to calculate unit costs was different from the one approved by the Commission. The differences were as follows: ...
3. After carrying out the agreed procedures to confirm the Finding number 31, the Auditor found a difference of _____ EUR. The difference can be explained by ...

Further Remarks

In addition to reporting on the results of the specific procedures carried out, the Auditor would like to make the following general remarks:

Example (to be removed from the Report):

1. Regarding Finding number 8 the conditions for additional remuneration were considered as fulfilled because ...
2. In order to be able to confirm the Finding number 15 we carried out the following additional procedures:

Use of this Report

This Report may be used only for the purpose described in the above objective. It was prepared solely for the confidential use of the [Beneficiary] [Linked Third Party] and the [Commission] [Agency], and only to be submitted to the [Commission] [Agency] in connection with the requirements set out in Article 20.4 of the Agreement. The Report may not be used by the [Beneficiary] [Linked Third Party] or by the [Commission] [Agency] for any other purpose, nor may it

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be distributed to any other parties. The [Commission] [Agency] may only disclose the Report to authorised parties, in particular to the European Anti-Fraud Office (OLAF) and the European Court of Auditors.

This Report relates only to the Financial Statement(s) submitted to the [Commission] [Agency] by the [Beneficiary] [Linked Third Party] for the Agreement. Therefore, it does not extend to any other of the [Beneficiary's] [Linked Third Party's] Financial Statement(s).

There was no conflict of interest⁴ between the Auditor and the Beneficiary [and Linked Third Party] in establishing this Report. The total fee paid to the Auditor for providing the Report was EUR [] (including EUR [] of deductible VAT).

We look forward to discussing our Report with you and would be pleased to provide any further information or assistance.

[legal name of the Auditor]

[name and function of an authorised representative]

[dd Month yyyy]

Signature of the Auditor

⁴ A conflict of interest arises when the Auditor's objectivity to establish the certificate is compromised in fact or in appearance when the Auditor for instance:

- was involved in the preparation of the Financial Statements;
- stands to benefit directly should the certificate be accepted;
- has a close relationship with any person representing the beneficiary;
- is a director, trustee or partner of the beneficiary; or
- is in any other situation that compromises his or her independence or ability to establish the certificate impartially.

Agreed-upon procedures to be performed and standard factual findings to be confirmed by the Auditor

The European Commission reserves the right to i) provide the auditor with additional guidance regarding the procedures to be followed or the facts to be ascertained and the way in which to present them (this may include sample coverage and findings) or to ii) change the procedures, by notifying the Beneficiary in writing. The procedures carried out by the auditor to confirm the standard factual finding are listed in the table below.

If this certificate relates to a Linked Third Party, any reference here below to 'the Beneficiary' is to be considered as a reference to 'the Linked Third Party'.

The 'result' column has three different options: 'C', 'E' and 'N.A.':

- 'C' stands for 'confirmed' and means that the auditor can confirm the 'standard factual finding' and, therefore, there is no exception to be reported.
- 'E' stands for 'exception' and means that the Auditor carried out the procedures but cannot confirm the 'standard factual finding', or that the Auditor was not able to carry out a specific procedure (e.g. because it was impossible to reconcile key information or data were unavailable),
- 'N.A.' stands for 'not applicable' and means that the Finding did not have to be examined by the Auditor and the related Procedure(s) did not have to be carried out. The reasons of the non-application of a certain Finding must be obvious i.e. i) if no cost was declared under a certain category then the related Finding(s) and Procedure(s) are not applicable; ii) if the condition set to apply certain Procedure(s) are not met then the related Finding(s) and Procedure(s) are not applicable. For instance, for 'beneficiaries with accounts established in a currency other than the euro' the Procedure related to 'beneficiaries with accounts established in euro' is not applicable. Similarly, if no additional remuneration is paid, the related Finding(s) and Procedure(s) for additional remuneration are not applicable.

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
A	ACTUAL PERSONNEL COSTS AND UNIT COSTS CALCULATED BY THE BENEFICIARY IN ACCORDANCE WITH ITS USUAL COST ACCOUNTING PRACTICE		

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>The Auditor draws a sample of persons whose costs were declared in the Financial Statement(s) to carry out the procedures indicated in the consecutive points of this section A.</p> <p><i>(The sample should be selected randomly so that it is representative. Full coverage is required if there are fewer than 10 people (including employees, natural persons working under a direct contract and personnel seconded by a third party), otherwise the sample should have a minimum of 10 people, or 10% of the total, whichever number is the highest)</i></p> <p>The Auditor sampled [] people out of the total of [] people.</p>		
A.1	<p>PERSONNEL COSTS</p> <p><u>For the persons included in the sample and working under an employment contract or equivalent act (general procedures for individual actual personnel costs and personnel costs declared as unit costs)</u></p> <p>To confirm standard factual findings 1-5 listed in the next column, the Auditor reviewed following information/documents provided by the Beneficiary:</p> <ul style="list-style-type: none"> ○ a list of the persons included in the sample indicating the period(s) during which they worked for the action, their position (classification or category) and type of contract; ○ the payslips of the employees included in the sample; ○ reconciliation of the personnel costs declared in the Financial Statement(s) with the accounting system (project accounting and general ledger) and payroll system; ○ information concerning the employment status and employment conditions of personnel included in the sample, in particular their employment contracts or equivalent; 	1) The employees were i) directly hired by the Beneficiary in accordance with its national legislation, ii) under the Beneficiary's sole technical supervision and responsibility and iii) remunerated in accordance with the Beneficiary's usual practices.	
		2) Personnel costs were recorded in the Beneficiary's accounts/payroll system.	
		3) Costs were adequately supported and reconciled with the accounts and payroll	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> the Beneficiary's usual policy regarding payroll matters (e.g. salary policy, overtime policy, variable pay); applicable national law on taxes, labour and social security and any other document that supports the personnel costs declared. <p>The Auditor also verified the eligibility of all components of the retribution (see Article 6 GA) and recalculated the personnel costs for employees included in the sample.</p>	records.	
		4) Personnel costs did not contain any ineligible elements.	
		5) There were no discrepancies between the personnel costs charged to the action and the costs recalculated by the Auditor.	
	<p><i>Further procedures if 'additional remuneration' is paid</i></p> <p>To confirm standard factual findings 6-9 listed in the next column, the Auditor:</p> <ul style="list-style-type: none"> reviewed relevant documents provided by the Beneficiary (legal form, legal/statutory obligations, the Beneficiary's usual policy on additional remuneration, criteria used for its calculation...); recalculated the amount of additional remuneration eligible for the action based on the supporting documents received (full-time or part-time work, exclusive or non-exclusive dedication to the action, etc.) to arrive at the applicable FTE/year and pro-rata rate (see data collected in the course of carrying out the procedures under A.2 'Productive hours' and A.4 'Time recording system'). 	6) The Beneficiary paying "additional remuneration" was a non-profit legal entity.	
		7) The amount of additional remuneration paid corresponded to the Beneficiary's usual remuneration practices and was consistently paid whenever the same kind of work or expertise was required.	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p><i>IF ANY PART OF THE REMUNERATION PAID TO THE EMPLOYEE IS NOT MANDATORY ACCORDING TO THE NATIONAL LAW OR THE EMPLOYMENT CONTRACT ("ADDITIONAL REMUNERATION") AND IS ELIGIBLE UNDER THE PROVISIONS OF ARTICLE 6.2.A.1, THIS CAN BE CHARGED AS ELIGIBLE COST TO THE ACTION UP TO THE FOLLOWING AMOUNT:</i></p> <p>(A) <i>IF THE PERSON WORKS FULL TIME AND EXCLUSIVELY ON THE ACTION DURING THE FULL YEAR: UP TO EUR 8 000/YEAR;</i></p> <p>(B) <i>IF THE PERSON WORKS EXCLUSIVELY ON THE ACTION BUT NOT FULL-TIME OR NOT FOR THE FULL YEAR: UP TO THE CORRESPONDING PRO-RATA AMOUNT OF EUR 8 000, OR</i></p> <p>(C) <i>IF THE PERSON DOES NOT WORK EXCLUSIVELY ON THE ACTION: UP TO A PRO-RATA AMOUNT CALCULATED IN ACCORDANCE TO ARTICLE 6.2.A.1.</i></p>	8) The criteria used to calculate the additional remuneration were objective and generally applied by the Beneficiary regardless of the source of funding used.	
		9) The amount of additional remuneration included in the personnel costs charged to the action was capped at EUR 8,000 per FTE/year (up to the equivalent pro-rata amount if the person did not work on the action full-time during the year or did not work exclusively on the action).	
	<p><i>Additional procedures in case "unit costs calculated by the Beneficiary in accordance with its usual cost accounting practices" is applied:</i></p> <p>Apart from carrying out the procedures indicated above to confirm standard factual findings 1-5 and, if applicable, also 6-9, the Auditor carried out following procedures to confirm standard factual findings 10-13 listed in the next column:</p>	10) The personnel costs included in the Financial Statement were calculated in accordance with the Beneficiary's usual cost accounting practice. This methodology was consistently used in all H2020 actions.	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> obtained a description of the Beneficiary's usual cost accounting practice to calculate unit costs; reviewed whether the Beneficiary's usual cost accounting practice was applied for the Financial Statements subject of the present CFS; verified the employees included in the sample were charged under the correct category (in accordance with the criteria used by the Beneficiary to establish personnel categories) by reviewing the contract/HR-record or analytical accounting records; verified that there is no difference between the total amount of personnel costs used in calculating the cost per unit and the total amount of personnel costs recorded in the statutory accounts; verified whether actual personnel costs were adjusted on the basis of budgeted or estimated elements and, if so, verified whether those elements used are actually relevant for the calculation, objective and supported by documents. 	11) The employees were charged under the correct category.	
		12) Total personnel costs used in calculating the unit costs were consistent with the expenses recorded in the statutory accounts.	
		13) Any estimated or budgeted element used by the Beneficiary in its unit-cost calculation were relevant for calculating personnel costs and corresponded to objective and verifiable information.	
	<p><u>For natural persons included in the sample and working with the Beneficiary under a direct contract other than an employment contract, such as consultants (no subcontractors).</u></p> <p>To confirm standard factual findings 14-18 listed in the next column the Auditor reviewed following information/documents provided by the Beneficiary:</p> <ul style="list-style-type: none"> the contracts, especially the cost, contract duration, work description, place of work, ownership of the results and reporting obligations to the Beneficiary; 	14) The natural persons reported to the Beneficiary (worked under the Beneficiary's instructions).	
		15) They worked on the Beneficiary's premises (unless otherwise agreed with the Beneficiary).	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> the employment conditions of staff in the same category to compare costs and; any other document that supports the costs declared and its registration (e.g. invoices, accounting records, etc.). 	16) The results of work carried out belong to the Beneficiary.	
		17) Their costs were not significantly different from those for staff who performed similar tasks under an employment contract with the Beneficiary.	
		18) The costs were supported by audit evidence and registered in the accounts.	
	<p><u>For personnel seconded by a third party and included in the sample (not subcontractors)</u></p> <p>To confirm standard factual findings 19-22 listed in the next column, the Auditor reviewed following information/documents provided by the Beneficiary:</p> <ul style="list-style-type: none"> their secondment contract(s) notably regarding costs, duration, work description, place of work and ownership of the results; if there is reimbursement by the Beneficiary to the third party for the resource made available (in-kind contribution against payment): any documentation that supports the costs declared (e.g. contract, invoice, bank payment, and proof of registration in its accounting/payroll, etc.) and reconciliation of the Financial Statement(s) with the accounting system (project accounting and general ledger) as well as any proof that the amount invoiced by the third party did not include any profit; 	19) Seconded personnel reported to the Beneficiary and worked on the Beneficiary's premises (unless otherwise agreed with the Beneficiary).	
		20) The results of work carried out belong to the Beneficiary.	
		<p><i>If personnel is seconded against payment:</i></p> <p>21) The costs declared were supported with documentation and recorded in the</p>	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> ○ if there is no reimbursement by the Beneficiary to the third party for the resource made available (in-kind contribution free of charge): a proof of the actual cost borne by the Third Party for the resource made available free of charge to the Beneficiary such as a statement of costs incurred by the Third Party and proof of the registration in the Third Party's accounting/payroll; ○ any other document that supports the costs declared (e.g. invoices, etc.). 	<p>Beneficiary's accounts. The third party did not include any profit.</p> <p><i>If personnel is seconded free of charge:</i></p> <p>22) The costs declared did not exceed the third party's cost as recorded in the accounts of the third party and were supported with documentation.</p>	
A.2	<p>PRODUCTIVE HOURS</p> <p>To confirm standard factual findings 23-28 listed in the next column, the Auditor reviewed relevant documents, especially national legislation, labour agreements and contracts and time records of the persons included in the sample, to verify that:</p> <ul style="list-style-type: none"> ○ the annual productive hours applied were calculated in accordance with one of the methods described below, ○ the full-time equivalent (FTEs) ratios for employees not working full-time were correctly calculated. 	<p>23) The Beneficiary applied method <i>[choose one option and delete the others]</i></p> <p>[A: 1720 hours]</p> <p>[B: the 'total number of hours worked']</p> <p>[C: 'annual productive hours' used correspond to usual accounting practices]</p>	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>If the Beneficiary applied method B, the auditor verified that the correctness in which the total number of hours worked was calculated and that the contracts specified the annual workable hours.</p> <p>If the Beneficiary applied method C, the auditor verified that the ‘annual productive hours’ applied when calculating the hourly rate were equivalent to at least 90 % of the ‘standard annual workable hours’. The Auditor can only do this if the calculation of the standard annual workable hours can be supported by records, such as national legislation, labour agreements, and contracts.</p> <p><i>BENEFICIARY'S PRODUCTIVE HOURS' FOR PERSONS WORKING FULL TIME SHALL BE ONE OF THE FOLLOWING METHODS:</i></p> <p>A. 1720 ANNUAL PRODUCTIVE HOURS (PRO-RATA FOR PERSONS NOT WORKING FULL-TIME)</p> <p>B. THE TOTAL NUMBER OF HOURS WORKED BY THE PERSON FOR THE BENEFICIARY IN THE YEAR (THIS METHOD IS ALSO REFERRED TO AS ‘TOTAL NUMBER OF HOURS WORKED’ IN THE NEXT COLUMN). THE CALCULATION OF THE TOTAL NUMBER OF HOURS WORKED WAS DONE AS FOLLOWS: ANNUAL WORKABLE HOURS OF THE PERSON ACCORDING TO THE EMPLOYMENT CONTRACT, APPLICABLE LABOUR AGREEMENT OR NATIONAL LAW PLUS OVERTIME WORKED MINUS ABSENCES (SUCH AS SICK LEAVE OR SPECIAL LEAVE).</p>	24) Productive hours were calculated annually.	
		25) For employees not working full-time the full-time equivalent (FTE) ratio was correctly applied.	
		<p><i>If the Beneficiary applied method B.</i></p> <p>26) The calculation of the number of ‘annual workable hours’, overtime and absences was verifiable based on the documents provided by the Beneficiary.</p>	
		<p><i>If the Beneficiary applied method C.</i></p> <p>27) The calculation of the number of ‘standard annual workable hours’ was verifiable based on the documents provided by the Beneficiary.</p>	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p><i>C. THE STANDARD NUMBER OF ANNUAL HOURS GENERALLY APPLIED BY THE BENEFICIARY FOR ITS PERSONNEL IN ACCORDANCE WITH ITS USUAL COST ACCOUNTING PRACTICES (THIS METHOD IS ALSO REFERRED TO AS 'TOTAL ANNUAL PRODUCTIVE HOURS' IN THE NEXT COLUMN). THIS NUMBER MUST BE AT LEAST 90% OF THE STANDARD ANNUAL WORKABLE HOURS.</i></p> <p><i>'ANNUAL WORKABLE HOURS' MEANS THE PERIOD DURING WHICH THE PERSONNEL MUST BE WORKING, AT THE EMPLOYER'S DISPOSAL AND CARRYING OUT HIS/HER ACTIVITY OR DUTIES UNDER THE EMPLOYMENT CONTRACT, APPLICABLE COLLECTIVE LABOUR AGREEMENT OR NATIONAL WORKING TIME LEGISLATION.</i></p>	28) The 'annual productive hours' used for calculating the hourly rate were consistent with the usual cost accounting practices of the Beneficiary and were equivalent to at least 90 % of the 'annual workable hours'.	
A.3	<p>HOURLY PERSONNEL RATES</p> <p><u>I) For unit costs calculated in accordance to the Beneficiary's usual cost accounting practice (unit costs):</u></p> <p>If the Beneficiary has a "Certificate on Methodology to calculate unit costs " (CoMUC) approved by the Commission, the Beneficiary provides the Auditor with a description of the approved methodology and the Commission's letter of acceptance. The Auditor verified that the Beneficiary has indeed used the methodology approved. If so, no further verification is necessary.</p> <p>If the Beneficiary does not have a "Certificate on Methodology" (CoMUC) approved by the</p>	<p>29) The Beneficiary applied [choose one option and delete the other]:</p> <p>[Option I: "Unit costs (hourly rates) were calculated in accordance with the Beneficiary's usual cost accounting practices"]</p> <p>[Option II: Individual hourly rates were applied]</p>	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>Commission, or if the methodology approved was not applied, then the Auditor:</p> <ul style="list-style-type: none"> ○ reviewed the documentation provided by the Beneficiary, including manuals and internal guidelines that explain how to calculate hourly rates; ○ recalculated the unit costs (hourly rates) of staff included in the sample following the results of the procedures carried out in A.1 and A.2. <p><u>II) For individual hourly rates:</u></p> <p>The Auditor:</p> <ul style="list-style-type: none"> ○ reviewed the documentation provided by the Beneficiary, including manuals and internal guidelines that explain how to calculate hourly rates; ○ recalculated the hourly rates of staff included in the sample following the results of the procedures carried out in A.1 and A.2. 	<p><i>For option I concerning unit costs and if the Beneficiary applies the methodology approved by the Commission (CoMUC):</i></p> <p>30) The Beneficiary used the Commission-approved methodology to calculate hourly rates. It corresponded to the organisation's usual cost accounting practices and was applied consistently for all activities irrespective of the source of funding.</p>	
	<p><u>“UNIT COSTS CALCULATED BY THE BENEFICIARY IN ACCORDANCE WITH ITS USUAL COST ACCOUNTING PRACTICES”:</u></p> <p><i>IT IS CALCULATED BY DIVIDING THE TOTAL AMOUNT OF PERSONNEL COSTS OF THE CATEGORY TO WHICH THE EMPLOYEE BELONGS VERIFIED IN LINE WITH PROCEDURE A.1 BY THE NUMBER OF FTE AND THE ANNUAL TOTAL PRODUCTIVE HOURS OF THE SAME CATEGORY CALCULATED BY THE BENEFICIARY IN ACCORDANCE WITH PROCEDURE A.2.</i></p> <p><u>HOURLY RATE FOR INDIVIDUAL ACTUAL PERSONAL COSTS:</u></p> <p><i>IT IS CALCULATED BY DIVIDING THE TOTAL AMOUNT OF PERSONNEL COSTS OF AN EMPLOYEE VERIFIED IN LINE WITH</i></p>	<p><i>For option I concerning unit costs and if the Beneficiary applies a methodology not approved by the Commission:</i></p> <p>31) The unit costs re-calculated by the Auditor were the same as the rates applied by the Beneficiary.</p>	
		<p><i>For option II concerning individual hourly rates:</i></p>	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<i>PROCEDURE A.1 BY THE NUMBER OF ANNUAL PRODUCTIVE HOURS VERIFIED IN LINE WITH PROCEDURE A.2.</i>	32) The individual rates re-calculated by the Auditor were the same as the rates applied by the Beneficiary.	
A.4	TIME RECORDING SYSTEM To verify that the time recording system ensures the fulfilment of all minimum requirements and that the hours declared for the action were correct, accurate and properly authorised and supported by documentation, the Auditor made the following checks for the persons included in the sample that declare time as worked for the action on the basis of time records: <ul style="list-style-type: none"> ○ description of the time recording system provided by the Beneficiary (registration, authorisation, processing in the HR-system); ○ its actual implementation; ○ time records were signed at least monthly by the employees (on paper or electronically) and authorised by the project manager or another manager; ○ the hours declared were worked within the project period; ○ there were no hours declared as worked for the action if HR-records showed absence due to holidays or sickness (further cross-checks with travels are carried out in B.1 below) ; 	33) All persons recorded their time dedicated to the action on a daily/ weekly/ monthly basis using a paper/computer-based system. <i>(delete the answers that are not applicable)</i>	
		34) Their time-records were authorised at least monthly by the project manager or other superior.	
		35) Hours declared were worked within the project period and were consistent with the presences/absences recorded in HR-records.	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> the hours charged to the action matched those in the time recording system. <p><i>ONLY THE HOURS WORKED ON THE ACTION CAN BE CHARGED. ALL WORKING TIME TO BE CHARGED SHOULD BE RECORDED THROUGHOUT THE DURATION OF THE PROJECT, ADEQUATELY SUPPORTED BY EVIDENCE OF THEIR REALITY AND RELIABILITY (SEE SPECIFIC PROVISIONS BELOW FOR PERSONS WORKING EXCLUSIVELY FOR THE ACTION WITHOUT TIME RECORDS).</i></p>	36) There were no discrepancies between the number of hours charged to the action and the number of hours recorded.	
	<p><u>If the persons are working exclusively for the action and without time records</u></p> <p>For the persons selected that worked exclusively for the action without time records, the Auditor verified evidence available demonstrating that they were in reality exclusively dedicated to the action and that the Beneficiary signed a declaration confirming that they have worked exclusively for the action.</p>	37) The exclusive dedication is supported by a declaration signed by the Beneficiary's and by any other evidence gathered.	
B	COSTS OF SUBCONTRACTING		
B.1	<p>The Auditor obtained the detail/breakdown of subcontracting costs and sampled [] cost items selected randomly (<i>full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest</i>).</p> <p>To confirm standard factual findings 38-42 listed in the next column, the Auditor reviewed the</p>	38) The use of claimed subcontracting costs was foreseen in Annex 1 and costs were declared in the Financial Statements under the subcontracting category.	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>following for the items included in the sample:</p> <ul style="list-style-type: none"> the use of subcontractors was foreseen in Annex 1; subcontracting costs were declared in the subcontracting category of the Financial Statement; supporting documents on the selection and award procedure were followed; the Beneficiary ensured best value for money (key elements to appreciate the respect of this principle are the award of the subcontract to the bid offering best price-quality ratio, under conditions of transparency and equal treatment. In case an existing framework contract was used the Beneficiary ensured it was established on the basis of the principle of best value for money under conditions of transparency and equal treatment). <p>In particular,</p> <ol style="list-style-type: none"> if the Beneficiary acted as a contracting authority within the meaning of Directive 2004/18/EC or of Directive 2004/17/EC, the Auditor verified that the applicable national law on public procurement was followed and that the subcontracting complied with the Terms and Conditions of the Agreement. if the Beneficiary did not fall under the above-mentioned category the Auditor verified that the Beneficiary followed their usual procurement rules and respected the Terms and Conditions of the Agreement.. <p>For the items included in the sample the Auditor also verified that:</p> <ul style="list-style-type: none"> the subcontracts were not awarded to other Beneficiaries in the consortium; 	<p>39) There were documents of requests to different providers, different offers and assessment of the offers before selection of the provider in line with internal procedures and procurement rules. Subcontracts were awarded in accordance with the principle of best value for money.</p> <p><i>(When different offers were not collected the Auditor explains the reasons provided by the Beneficiary under the caption "Exceptions" of the Report. The Commission will analyse this information to evaluate whether these costs might be accepted as eligible)</i></p>	
		<p>40) The subcontracts were not awarded to other Beneficiaries of the consortium.</p>	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> ○ there were signed agreements between the Beneficiary and the subcontractor; ○ there was evidence that the services were provided by subcontractor; 	41) All subcontracts were supported by signed agreements between the Beneficiary and the subcontractor.	
		42) There was evidence that the services were provided by the subcontractors.	
C	COSTS OF PROVIDING FINANCIAL SUPPORT TO THIRD PARTIES		
C.1	<p>The Auditor obtained the detail/breakdown of the costs of providing financial support to third parties and sampled [] cost items selected randomly (<i>full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest</i>).</p> <p>The Auditor verified that the following minimum conditions were met:</p> <ul style="list-style-type: none"> a) the maximum amount of financial support for each third party did not exceed EUR 60 000, unless explicitly mentioned in Annex 1; b) the financial support to third parties was agreed in Annex 1 of the Agreement and the other provisions on financial support to third parties included in Annex 1 were 	43) All minimum conditions were met	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	respected.		

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D	OTHER ACTUAL DIRECT COSTS		
D.1	<p>COSTS OF TRAVEL AND RELATED SUBSISTENCE ALLOWANCES</p> <p>The Auditor sampled [] cost items selected randomly <i>(full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is the highest).</i></p> <p>The Auditor inspected the sample and verified that:</p> <ul style="list-style-type: none"> ○ travel and subsistence costs were consistent with the Beneficiary's usual policy for travel. In this context, the Beneficiary provided evidence of its normal policy for travel costs (e.g. use of first class tickets, reimbursement by the Beneficiary on the basis of actual costs, a lump sum or per diem) to enable the Auditor to compare the travel costs charged with this policy; ○ travel costs are correctly identified and allocated to the action (e.g. trips are directly linked to the action) by reviewing relevant supporting documents such as minutes of meetings, workshops or conferences, their registration in the correct project account, their consistency with time records or with the dates/duration of the workshop/conference; ○ no ineligible costs or excessive or reckless expenditure was declared. 	44) Costs were incurred, approved and reimbursed in line with the Beneficiary's usual policy for travels.	
		45) There was a link between the trip and the action.	
		46) The supporting documents were consistent with each other regarding subject of the trip, dates, duration and reconciled with time records and accounting.	
		47) No ineligible costs or excessive or reckless expenditure was declared.	
D.2	<p>DEPRECIATION COSTS FOR EQUIPMENT, INFRASTRUCTURE OR OTHER ASSETS</p> <p>The Auditor sampled [] cost items selected randomly <i>(full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is the highest).</i></p> <p>For “equipment, infrastructure or other assets” [from now on called “asset(s)”] selected in the</p>	48) Procurement rules, principles and guides were followed.	
		49) There was a link between the grant agreement and the asset charged to the action.	

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	<p>sample the Auditor verified that:</p> <ul style="list-style-type: none"> ○ the assets were acquired in conformity with the Beneficiary's internal guidelines and procedures; ○ they were correctly allocated to the action (with supporting documents such as delivery note invoice or any other proof demonstrating the link to the action) ○ they were entered in the accounting system; ○ the extent to which the assets were used for the action (as a percentage) was supported by reliable documentation (e.g. usage overview table); <p>The Auditor recalculated the depreciation costs and verified that they were in line with the applicable rules in the Beneficiary's country and with the Beneficiary's usual accounting policy (e.g. depreciation calculated on the acquisition value).</p> <p>The Auditor verified that no ineligible costs such as deductible VAT, exchange rate losses, excessive or reckless expenditure were declared (see Article 6.5 GA).</p>	50) The asset charged to the action was traceable to the accounting records and the underlying documents.	
		51) The depreciation method used to charge the asset to the action was in line with the applicable rules of the Beneficiary's country and the Beneficiary's usual accounting policy.	
		52) The amount charged corresponded to the actual usage for the action.	
		53) No ineligible costs or excessive or reckless expenditure were declared.	
D.3	<p>COSTS OF OTHER GOODS AND SERVICES</p> <p>The Auditor sampled [] cost items selected randomly (<i>full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest</i>).</p> <p>For the purchase of goods, works or services included in the sample the Auditor verified that:</p> <ul style="list-style-type: none"> ○ the contracts did not cover tasks described in Annex 1; 	54) Contracts for works or services did not cover tasks described in Annex 1.	
		55) Costs were allocated to the correct action and the goods were not placed in the inventory of durable equipment.	

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	<ul style="list-style-type: none"> ○ they were correctly identified, allocated to the proper action, entered in the accounting system (traceable to underlying documents such as purchase orders, invoices and accounting); ○ the goods were not placed in the inventory of durable equipment; ○ the costs charged to the action were accounted in line with the Beneficiary's usual accounting practices; ○ no ineligible costs or excessive or reckless expenditure were declared (see Article 6 GA). <p>In addition, the Auditor verified that these goods and services were acquired in conformity with the Beneficiary's internal guidelines and procedures, in particular:</p> <ul style="list-style-type: none"> ○ if Beneficiary acted as a contracting authority within the meaning of Directive 2004/18/EC or of Directive 2004/17/EC, the Auditor verified that the applicable national law on public procurement was followed and that the procurement contract complied with the Terms and Conditions of the Agreement. ○ if the Beneficiary did not fall into the category above, the Auditor verified that the Beneficiary followed their usual procurement rules and respected the Terms and Conditions of the Agreement. <p>For the items included in the sample the Auditor also verified that:</p> <ul style="list-style-type: none"> ○ the Beneficiary ensured best value for money (key elements to appreciate the respect of this principle are the award of the contract to the bid offering best price-quality ratio, under conditions of transparency and equal treatment. In case an existing framework contract was used the Auditor also verified that the Beneficiary ensured it was established on the basis of the principle of best value for money under conditions of transparency and equal treatment); <p><i>SUCH GOODS AND SERVICES INCLUDE, FOR INSTANCE, CONSUMABLES AND SUPPLIES, DISSEMINATION (INCLUDING OPEN ACCESS), PROTECTION OF RESULTS, SPECIFIC EVALUATION OF THE ACTION IF IT IS REQUIRED BY THE</i></p>	<p>56) The costs were charged in line with the Beneficiary's accounting policy and were adequately supported.</p> <p>57) No ineligible costs or excessive or reckless expenditure were declared. For internal invoices/charges only the cost element was charged, without any mark-ups.</p> <p>58) Procurement rules, principles and guides were followed. There were documents of requests to different providers, different offers and assessment of the offers before selection of the provider in line with internal procedures and procurement rules. The purchases were made in accordance with the principle of best value for money.</p> <p><i>(When different offers were not collected the Auditor explains the reasons provided by the Beneficiary under the</i></p>	
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	AGREEMENT, CERTIFICATES ON THE FINANCIAL STATEMENTS IF THEY ARE REQUIRED BY THE AGREEMENT AND CERTIFICATES ON THE METHODOLOGY, TRANSLATIONS, REPRODUCTION.	<i>caption “Exceptions” of the Report. The Commission will analyse this information to evaluate whether these costs might be accepted as eligible)</i>	
D.4	AGGREGATED CAPITALISED AND OPERATING COSTS OF RESEARCH INFRASTRUCTURE The Auditor ensured the existence of a positive ex-ante assessment (issued by the EC Services) of the cost accounting methodology of the Beneficiary allowing it to apply the guidelines on direct costing for large research infrastructures in Horizon 2020. <i>In the cases that a positive ex-ante assessment has been issued (see the standard factual findings 59-60 on the next column),</i> The Auditor ensured that the beneficiary has applied consistently the methodology that is explained and approved in the positive ex ante assessment; <i>In the cases that a positive ex-ante assessment has NOT been issued (see the standard factual findings 61 on the next column),</i> The Auditor verified that no costs of Large Research Infrastructure have been charged as direct costs in any costs category;	59) The costs declared as direct costs for Large Research Infrastructures (in the appropriate line of the Financial Statement) comply with the methodology described in the positive ex-ante assessment report.	
		60) Any difference between the methodology applied and the one positively assessed was extensively described and adjusted accordingly.	
		61) The direct costs declared were free from any indirect costs items related to the Large Research Infrastructure.	

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	<p><i>In the cases that a draft ex-ante assessment report has been issued with recommendation for further changes (see the standard factual findings 61 on the next column),</i></p> <ul style="list-style-type: none"> The Auditor followed the same procedure as above (when a positive ex-ante assessment has NOT yet been issued) and paid particular attention (testing reinforced) to the cost items for which the draft ex-ante assessment either rejected the inclusion as direct costs for Large Research Infrastructures or issued recommendations. 		
E	USE OF EXCHANGE RATES		
E.1	<p>a) For Beneficiaries with accounts established in a currency other than euros</p> <p>The Auditor sampled [] cost items selected randomly and verified that the exchange rates used for converting other currencies into euros were in accordance with the following rules established in the Agreement (full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest):</p> <p><i>COSTS INCURRED IN ANOTHER CURRENCY SHALL BE CONVERTED INTO EURO AT THE AVERAGE OF THE DAILY EXCHANGE RATES PUBLISHED IN THE C SERIES OF OFFICIAL JOURNAL OF THE EUROPEAN UNION (https://www.ecb.int/stats/exchange/eurofxref/html/index.en.html), DETERMINED OVER THE CORRESPONDING REPORTING PERIOD.</i></p> <p><i>IF NO DAILY EURO EXCHANGE RATE IS PUBLISHED IN THE OFFICIAL JOURNAL OF THE EUROPEAN UNION FOR THE CURRENCY IN QUESTION, CONVERSION SHALL BE MADE AT THE AVERAGE OF THE MONTHLY ACCOUNTING RATES ESTABLISHED BY THE COMMISSION AND PUBLISHED ON ITS WEBSITE (http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/inforeuro_en.cfm),</i></p>	62) The exchange rates used to convert other currencies into Euros were in accordance with the rules established of the Grant Agreement and there was no difference in the final figures.	

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	DETERMINED OVER THE CORRESPONDING REPORTING PERIOD.		
	<p><u>b) For Beneficiaries with accounts established in euros</u></p> <p>The Auditor sampled [] cost items selected randomly and verified that the exchange rates used for converting other currencies into euros were in accordance with the following rules established in the Agreement (full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest):</p> <p><i>COSTS INCURRED IN ANOTHER CURRENCY SHALL BE CONVERTED INTO EURO BY APPLYING THE BENEFICIARY'S USUAL ACCOUNTING PRACTICES.</i></p>	63) The Beneficiary applied its usual accounting practices.	

[legal name of the audit firm]**[name and function of an authorised representative]****[dd Month yyyy]****<Signature of the Auditor>**

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ANNEX 6

MODEL FOR THE CERTIFICATE ON THE METHODOLOGY

- For options [*in italics in square brackets*]: choose the applicable option. Options not chosen should be deleted.
- For fields in [grey in square brackets]: enter the appropriate data.

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Terms of reference for an audit engagement for a methodology certificate in connection with one or more grant agreements financed under the Horizon 2020 Research and Innovation Framework Programme

This document sets out the ‘**Terms of Reference (ToR)**’ under which

[OPTION 1: *[insert name of the beneficiary]* (‘the Beneficiary’)] [OPTION 2: *[insert name of the linked third party]* (‘the Linked Third Party’), third party linked to the Beneficiary *[insert name of the beneficiary]* (‘the Beneficiary’)]

agrees to engage

[insert legal name of the auditor] (‘the Auditor’)

to produce an independent report of factual findings (‘the Report’) concerning the *[Beneficiary’s]* *[Linked Third Party’s]* usual accounting practices for calculating and claiming direct personnel costs declared as unit costs (‘the Methodology’) in connection with grant agreements financed under the Horizon 2020 Research and Innovation Framework Programme.

The procedures to be carried out for the assessment of the methodology will be based on the grant agreement(s) detailed below:

[title and number of the grant agreement(s)] (‘the Agreement(s)’)

The Agreement(s) has(have) been concluded between the Beneficiary and [OPTION 1: *the European Union, represented by the European Commission* (‘the Commission’)] [OPTION 2: *the European Atomic Energy Community (Euratom), represented by the European Commission* (‘the Commission’)] [OPTION 3: *the [Research Executive Agency (REA)] [European Research Council Executive Agency (ERCEA)] [Innovation and Networks Executive Agency (INEA)] [Executive Agency for Small and Medium-sized Enterprises (EASME)]* (‘the Agency’), under the powers delegated by the European Commission (‘the Commission’)].

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The *[Commission] [Agency]* is mentioned as a signatory of the Agreement with the Beneficiary only.
The *[European Union] [Euratom] [Agency]* is not a party to this engagement.

1.1 Subject of the engagement

According to Article 18.1.2 of the Agreement, beneficiaries *[and linked third parties]* that declare direct personnel costs as unit costs calculated in accordance with their usual cost accounting practices may submit to the *[Commission] [Agency]*, for approval, a certificate on the methodology ('CoMUC') stating that there are adequate records and documentation to prove that their cost accounting practices used comply with the conditions set out in Point A of Article 6.2.

The subject of this engagement is the CoMUC which is composed of two separate documents:

- the Terms of Reference ('the ToR') to be signed by the *[Beneficiary] [Linked Third Party]* and the Auditor;
- the Auditor's Independent Report of Factual Findings ('the Report') issued on the Auditor's letterhead, dated, stamped and signed by the Auditor which includes; the standard statements ('the Statements') evaluated and signed by the *[Beneficiary] [Linked Third Party]*, the agreed-upon procedures ('the Procedures') performed by the Auditor and the standard factual findings ('the Findings') assessed by the Auditor. The Statements, Procedures and Findings are summarised in the table that forms part of the Report.

The information provided through the Statements, the Procedures and the Findings will enable the Commission to draw conclusions regarding the existence of the *[Beneficiary's] [Linked Third Party's]* usual cost accounting practice and its suitability to ensure that direct personnel costs claimed on that basis comply with the provisions of the Agreement. The Commission draws its own conclusions from the Report and any additional information it may require.

1.2 Responsibilities

The parties to this agreement are the *[Beneficiary] [Linked Third Party]* and the Auditor.

The *[Beneficiary] [Linked Third Party]*:

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- is responsible for preparing financial statements for the Agreement(s) ('the Financial Statements') in compliance with those Agreements;
- is responsible for providing the Financial Statement(s) to the Auditor and enabling the Auditor to reconcile them with the [Beneficiary's] [Linked Third Party's] accounting and bookkeeping system and the underlying accounts and records. The Financial Statement(s) will be used as a basis for the procedures which the Auditor will carry out under this ToR;
- is responsible for its Methodology and liable for the accuracy of the Financial Statement(s);
- is responsible for endorsing or refuting the Statements indicated under the heading 'Statements to be made by the Beneficiary/ Linked Third Party' in the first column of the table that forms part of the Report;
- must provide the Auditor with a signed and dated representation letter;
- accepts that the ability of the Auditor to carry out the Procedures effectively depends upon the [Beneficiary] [Linked Third Party] providing full and free access to the [Beneficiary's] [Linked Third Party's] staff and to its accounting and other relevant records.

The Auditor:

- *[Option 1 by default: is qualified to carry out statutory audits of accounting documents in accordance with Directive 2006/43/EC of the European Parliament and of the Council of 17 May 2006 on statutory audits of annual accounts and consolidated accounts, amending Council Directives 78/660/EEC and 83/349/EEC and repealing Council Directive 84/253/EEC or similar national regulations].*
- *[Option 2 if the Beneficiary or Linked Third Party has an independent Public Officer: is a competent and independent Public Officer for which the relevant national authorities have established the legal capacity to audit the Beneficiary].*
- *[Option 3 if the Beneficiary or Linked Third Party is an international organisation: is an [internal] [external] auditor in accordance with the internal financial regulations and procedures of the international organisation].*

The Auditor:

- must be independent from the Beneficiary *[and the Linked Third Party]*, in particular, it must not have been involved in preparing the Beneficiary's *[and Linked Third Party's]* Financial Statement(s);
- must plan work so that the Procedures may be carried out and the Findings may be assessed;
- must adhere to the Procedures laid down and the compulsory report format;
- must carry out the engagement in accordance with these ToR;
- must document matters which are important to support the Report;
- must base its Report on the evidence gathered;
- must submit the Report to the *[Beneficiary] [Linked Third Party]*.

The Commission sets out the Procedures to be carried out and the Findings to be endorsed by the Auditor. The Auditor is not responsible for their suitability or pertinence. As this engagement is not an assurance engagement the Auditor does not provide an audit opinion or a statement of assurance.

1.3 Applicable Standards

The Auditor must comply with these Terms of Reference and with¹:

- the International Standard on Related Services ('ISRS') 4400 *Engagements to perform Agreed-upon Procedures regarding Financial Information* as issued by the International Auditing and Assurance Standards Board (IAASB);
- the *Code of Ethics for Professional Accountants* issued by the International Ethics Standards Board for Accountants (IESBA). Although ISRS 4400 states that independence is not a requirement for engagements to carry out agreed-upon procedures, the Commission requires that the Auditor also complies with the Code's independence requirements.

The Auditor's Report must state that there was no conflict of interests in establishing this Report between the Auditor and the Beneficiary *[and the Linked Third Party]* that could have a bearing on the Report, and must specify – if the service is invoiced - the total fee paid to the Auditor for providing the Report.

1.4 Reporting

The Report must be written in the language of the Agreement (see Article 20.7 of the Agreement).

Under Article 22 of the Agreement, the Commission, *[the Agency]*, the European Anti-Fraud Office and the Court of Auditors have the right to audit any work that is carried out under the action and for which costs are claimed from *[the European Union]* *[Euratom]* budget. This includes work related to this engagement. The Auditor must provide access to all working papers related to this assignment if the Commission, *[the Agency]*, the European Anti-Fraud Office or the European Court of Auditors requests them.

1.5 Timing

The Report must be provided by [dd Month yyyy].

¹ Supreme Audit Institutions applying INTOSAI-standards may carry out the Procedures according to the corresponding International Standards of Supreme Audit Institutions and code of ethics issued by INTOSAI instead of the International Standard on Related Services ('ISRS') 4400 and the Code of Ethics for Professional Accountants issued by the IAASB and the IESBA.

1.6 Other Terms

[The [Beneficiary] [Linked Third Party] and the Auditor can use this section to agree other specific terms, such as the Auditor's fees, liability, applicable law, etc. Those specific terms must not contradict the terms specified above.]

[legal name of the Auditor]

[legal name of the [Beneficiary] [Linked Third Party]]

[name & title of authorised representative]

[name & title of authorised representative]

[dd Month yyyy]

[dd Month yyyy]

Signature of the Auditor Signature

Signature of the [Beneficiary] [Linked Third Party]

Independent report of factual findings on the methodology concerning grant agreements financed under the Horizon 2020 Research and Innovation Framework Programme

(To be printed on letterhead paper of the auditor)

To

[name of contact person(s)], [Position]

[[Beneficiary's] [Linked Third Party's] name]

[Address]

[dd Month yyyy]

Dear [Name of contact person(s)],

As agreed under the terms of reference dated [dd Month yyyy]

with [OPTION 1: [insert name of the beneficiary] ('the Beneficiary')] [OPTION 2: [insert name of the linked third party] ('the Linked Third Party'), third party linked to the Beneficiary [insert name of the beneficiary] ('the Beneficiary')],

we

[name of the auditor] ('the Auditor'),

established at

[full address/city/state/province/country],

represented by

[name and function of an authorised representative],

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have carried out the agreed-upon procedures ('the Procedures') and provide hereby our Independent Report of Factual Findings ('the Report'), concerning the *[Beneficiary's] [Linked Third Party's]* usual accounting practices for calculating and declaring direct personnel costs declared as unit costs ('the Methodology').

You requested certain procedures to be carried out in connection with the grant(s)

[title and number of the grant agreement(s)] ('the Agreement(s)').

The Report

Our engagement was carried out in accordance with the terms of reference ('the ToR') appended to this Report. The Report includes: the standard statements ('the Statements') made by the *[Beneficiary] [Linked Third Party]*, the agreed-upon procedures ('the Procedures') carried out and the standard factual findings ('the Findings') confirmed by us.

The engagement involved carrying out the Procedures and assessing the Findings and the documentation requested appended to this Report, the results of which the Commission uses to draw conclusions regarding the acceptability of the Methodology applied by the *[Beneficiary] [Linked Third Party]*.

The Report covers the methodology used from [dd Month yyyy]. In the event that the *[Beneficiary] [Linked Third Party]* changes this methodology, the Report will not be applicable to any Financial Statement² submitted thereafter.

The scope of the Procedures and the definition of the standard statements and findings were determined solely by the Commission. Therefore, the Auditor is not responsible for their suitability or pertinence.

Since the Procedures carried out constitute neither an audit nor a review made in accordance with International Standards on Auditing or International Standards on Review Engagements, we do not

² Financial Statement in this context refers solely to Annex 4 of the Agreement by which the Beneficiary declares costs under the Agreement.

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give a statement of assurance on the costs declared on the basis of the [Beneficiary's] [Linked Third Party's] Methodology. Had we carried out additional procedures or had we performed an audit or review in accordance with these standards, other matters might have come to its attention and would have been included in the Report.

Exceptions

Apart from the exceptions listed below, the [Beneficiary] [Linked Third Party] agreed with the standard Statements and provided the Auditor all the documentation and accounting information needed by the Auditor to carry out the requested Procedures and corroborate the standard Findings.

List here any exception and add any information on the cause and possible consequences of each exception, if known. If the exception is quantifiable, also indicate the corresponding amount.

....

Explanation of possible exceptions in the form of examples (to be removed from the Report):

- i. the [Beneficiary] [Linked Third Party] did not agree with the standard Statement number ... because...;*
- ii. the Auditor could not carry out the procedure ... established because (e.g. due to the inability to reconcile key information or the unavailability or inconsistency of data);*
- iii. the Auditor could not confirm or corroborate the standard Finding number ... because*

Remarks

We would like to add the following remarks relevant for the proper understanding of the Methodology applied by the [Beneficiary] [Linked Third Party] or the results reported:

Example (to be removed from the Report):

Regarding the methodology applied to calculate hourly rates ...

Regarding standard Finding 15 it has to be noted that ...

The [Beneficiary] [Linked Third Party] explained the deviation from the benchmark statement XXIV concerning time recording for personnel with no exclusive dedication to the action in the following manner:

...

Annexes

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Please provide the following documents to the auditor and annex them to the report when submitting this CoMUC to the Commission:

1. Brief description of the methodology for calculating personnel costs, productive hours and hourly rates;
2. Brief description of the time recording system in place;
3. An example of the time records used by the [Beneficiary] [Linked Third Party];
4. Description of any budgeted or estimated elements applied, together with an explanation as to why they are relevant for calculating the personnel costs and how they are based on objective and verifiable information;
5. A summary sheet with the hourly rate for direct personnel declared by the [Beneficiary] [Linked Third Party] and recalculated by the Auditor for each staff member included in the sample (the names do not need to be reported);
6. A comparative table summarising for each person selected in the sample a) the time claimed by the [Beneficiary] [Linked Third Party] in the Financial Statement(s) and b) the time according to the time record verified by the Auditor;
7. A copy of the letter of representation provided to the Auditor.

Use of this Report

This Report has been drawn up solely for the purpose given under Point 1.1 Reasons for the engagement.

The Report:

- is confidential and is intended to be submitted to the Commission by the [Beneficiary] [Linked Third Party] in connection with Article 18.1.2 of the Agreement;
- may not be used by the [Beneficiary] [Linked Third Party] or by the Commission for any other purpose, nor distributed to any other parties;
- may be disclosed by the Commission only to authorised parties, in particular the European Anti-Fraud Office (OLAF) and the European Court of Auditors.
- relates only to the usual cost accounting practices specified above and does not constitute a report on the Financial Statements of the [Beneficiary] [Linked Third Party].

No conflict of interest³ exists between the Auditor and the Beneficiary [and the Linked Third Party] that could have a bearing on the Report. The total fee paid to the Auditor for producing the Report was EUR [] (including EUR [] of deductible VAT).

³ A conflict of interest arises when the Auditor's objectivity to establish the certificate is compromised in fact or in appearance when the Auditor for instance:

- was involved in the preparation of the Financial Statements;

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We look forward to discussing our Report with you and would be pleased to provide any further information or assistance which may be required.

Yours sincerely

[legal name of the Auditor]

[name and title of the authorised representative]

[dd Month yyyy]

Signature of the Auditor

-
- stands to benefit directly should the certificate be accepted;
 - has a close relationship with any person representing the beneficiary;
 - is a director, trustee or partner of the beneficiary; or
 - is in any other situation that compromises his or her independence or ability to establish the certificate impartially.

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Statements to be made by the Beneficiary/Linked Third Party ('the Statements') and Procedures to be carried out by the Auditor ('the Procedures') and standard factual findings ('the Findings') to be confirmed by the Auditor

The Commission reserves the right to provide the auditor with guidance regarding the Statements to be made, the Procedures to be carried out or the Findings to be ascertained and the way in which to present them. The Commission reserves the right to vary the Statements, Procedures or Findings by written notification to the Beneficiary/Linked Third Party to adapt the procedures to changes in the grant agreement(s) or to any other circumstances.

If this methodology certificate relates to the Linked Third Party's usual accounting practices for calculating and claiming direct personnel costs declared as unit costs any reference here below to 'the Beneficiary' is to be considered as a reference to 'the Linked Third Party'.

Please explain any discrepancies in the body of the Report.	
Statements to be made by Beneficiary	Procedures to be carried out and Findings to be confirmed by the Auditor
A. Use of the Methodology I. The cost accounting practice described below has been in use since [dd Month yyyy]. II. The next planned alteration to the methodology used by the Beneficiary will be from [dd Month yyyy].	Procedure: ✓ The Auditor checked these dates against the documentation the Beneficiary has provided. Factual finding: 1. The dates provided by the Beneficiary were consistent with the documentation.
B. Description of the Methodology III. The methodology to calculate unit costs is being used in a consistent manner and is reflected in the relevant procedures. <i>[Please describe the methodology your entity uses to calculate <u>personnel</u> costs, productive hours and hourly rates, present your description to the Auditor and annex it to this certificate]</i> <i>[If the statement of section "B. Description of the methodology" cannot be endorsed by the Beneficiary or there is no written methodology to calculate unit costs it should be listed here below and reported as exception by the Auditor in the main Report of</i>	Procedure: ✓ The Auditor reviewed the description, the relevant manuals and/or internal guidance documents describing the methodology. Factual finding: 2. The brief description was consistent with the relevant manuals, internal guidance and/or other documentary evidence the Auditor has reviewed. 3. The methodology was generally applied by the Beneficiary as part of its usual costs accounting practices.

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Please explain any discrepancies in the body of the Report.	
Statements to be made by Beneficiary	Procedures to be carried out and Findings to be confirmed by the Auditor
Factual Findings: - ...]	
C. Personnel costs <u>General</u> IV. The unit costs (hourly rates) are limited to salaries including during parental leave, social security contributions, taxes and other costs included in the remuneration required under national law and the employment contract or equivalent appointing act; V. Employees are hired directly by the Beneficiary in accordance with national law, and work under its sole supervision and responsibility; VI. The Beneficiary remunerates its employees in accordance with its usual practices. This means that personnel costs are charged in line with the Beneficiary's usual payroll policy (e.g. salary policy, overtime policy, variable pay) and no special conditions exist for employees assigned to tasks relating to the European Union or Euratom, unless explicitly provided for in the grant agreement(s); VII. The Beneficiary allocates its employees to the relevant group/category/cost centre for the purpose of the unit cost calculation in line with the usual cost accounting practice; VIII. Personnel costs are based on the payroll system and accounting system. IX. Any exceptional adjustments of actual personnel costs resulted from relevant budgeted or estimated elements and were based on objective and verifiable information. <i>[Please describe the 'budgeted or estimated elements' and their relevance to personnel costs, and explain how they were reasonable and based on objective and verifiable information, present your explanation to the Auditor and annex it to this certificate].</i> X. Personnel costs claimed do not contain any of the following ineligible costs: costs related to return on capital; debt and debt service charges; provisions for future losses	Procedure: <i>The Auditor draws a sample of employees to carry out the procedures indicated in this section C and the following sections D to F.</i> <i>[The Auditor has drawn a random sample of 10 full-time equivalents made up of employees assigned to the action(s). If fewer than 10 full-time equivalents are assigned to the action(s), the Auditor has selected a sample of 10 full-time equivalents consisting of all employees assigned to the action(s), complemented by other employees irrespective of their assignments.]. For this sample:</i> <ul style="list-style-type: none"> ✓ the Auditor reviewed all documents relating to personnel costs such as employment contracts, payslips, payroll policy (e.g. salary policy, overtime policy, variable pay policy), accounting and payroll records, applicable national tax, labour and social security law and any other documents corroborating the personnel costs claimed; ✓ in particular, the Auditor reviewed the employment contracts of the employees in the sample to verify that: <ul style="list-style-type: none"> i. they were employed directly by the Beneficiary in accordance with applicable national legislation; ii. they were working under the sole technical supervision and responsibility of the latter; iii. they were remunerated in accordance with the Beneficiary's usual practices; iv. they were allocated to the correct group/category/cost centre for the purposes of calculating the unit cost in line with the Beneficiary's usual cost accounting practices; ✓ the Auditor verified that any ineligible items or any costs claimed under other costs categories or costs covered by other types of grant or by other grants financed from the European Union budget have not been taken

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Please explain any discrepancies in the body of the Report.	
Statements to be made by Beneficiary	Procedures to be carried out and Findings to be confirmed by the Auditor
<p>or debts; interest owed; doubtful debts; currency exchange losses; bank costs charged by the Beneficiary's bank for transfers from the Commission/Agency; excessive or reckless expenditure; deductible VAT or costs incurred during suspension of the implementation of the action.</p> <p>XI. Personnel costs were not declared under another EU or Euratom grant (including grants awarded by a Member State and financed by the EU budget and grants awarded by bodies other than the Commission/Agency for the purpose of implementing the EU budget).</p> <p><u>If additional remuneration as referred to in the grant agreement(s) is paid</u></p> <p>XII. The Beneficiary is a non-profit legal entity;</p> <p>XIII. The additional remuneration is part of the beneficiary's usual remuneration practices and paid consistently whenever the relevant work or expertise is required;</p> <p>XIV. The criteria used to calculate the additional remuneration are objective and generally applied regardless of the source of funding;</p> <p>XV. The additional remuneration included in the personnel costs used to calculate the hourly rates for the grant agreement(s) is capped at EUR 8 000 per full-time equivalent (reduced proportionately if the employee is not assigned exclusively to the action).</p> <p><i>[If certain statement(s) of section "C. Personnel costs" cannot be endorsed by the Beneficiary they should be listed here below and reported as exception by the Auditor in the main Report of</i></p>	<p>into account when calculating the personnel costs;</p> <ul style="list-style-type: none"> ✓ the Auditor numerically reconciled the total amount of personnel costs used to calculate the unit cost with the total amount of personnel costs recorded in the statutory accounts and the payroll system. ✓ to the extent that actual personnel costs were adjusted on the basis of budgeted or estimated elements, the Auditor carefully examined those elements and checked the information source to confirm that they correspond to objective and verifiable information; ✓ if additional remuneration has been claimed, the Auditor verified that the Beneficiary was a non-profit legal entity, that the amount was capped at EUR 8000 per full-time equivalent and that it was reduced proportionately for employees not assigned exclusively to the action(s). ✓ the Auditor recalculated the personnel costs for the employees in the sample. <p>Factual finding:</p> <ol style="list-style-type: none"> 4. All the components of the remuneration that have been claimed as personnel costs are supported by underlying documentation. 5. The employees in the sample were employed directly by the Beneficiary in accordance with applicable national law and were working under its sole supervision and responsibility. 6. Their employment contracts were in line with the Beneficiary's usual policy; 7. Personnel costs were duly documented and consisted solely of salaries, social security contributions (pension contributions, health insurance, unemployment fund contributions, etc.), taxes and other statutory costs included in the remuneration (holiday pay, thirteenth month's pay, etc.); 8. The totals used to calculate the personnel unit costs are consistent with those registered in the payroll and accounting records; 9. To the extent that actual personnel costs were adjusted on the basis of budgeted or estimated elements, those elements were

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Please explain any discrepancies in the body of the Report.	
Statements to be made by Beneficiary	Procedures to be carried out and Findings to be confirmed by the Auditor
<p>Factual Findings:</p> <p>- ...]</p>	<p>relevant for calculating the personnel costs and correspond to objective and verifiable information. The budgeted or estimated elements used are: — (indicate the elements and their values).</p> <p>10. Personnel costs contained no ineligible elements;</p> <p>11. Specific conditions for eligibility were fulfilled when additional remuneration was paid: a) the Beneficiary is registered in the grant agreements as a non-profit legal entity; b) it was paid according to objective criteria generally applied regardless of the source of funding used and c) remuneration was capped at EUR 8000 per full-time equivalent (or up to up to the equivalent pro-rata amount if the person did not work on the action full-time during the year or did not work exclusively on the action).</p>
<p>D. Productive hours</p> <p>XVI. The number of productive hours per full-time employee applied is <i>[delete as appropriate]</i>:</p> <p>A. 1720 productive hours per year for a person working full-time (corresponding pro-rata for persons not working full time).</p> <p>B. the total number of hours worked in the year by a person for the Beneficiary</p> <p>C. the standard number of annual hours generally applied by the beneficiary for its personnel in accordance with its usual cost accounting practices. This number must be at least 90% of the standard annual workable hours.</p> <p><u>If method B is applied</u></p> <p>XVII. The calculation of the total number of hours worked was done as follows: annual workable hours of the person according to the employment contract, applicable labour agreement or national law plus overtime worked minus absences (such as sick leave and special leave).</p> <p>XVIII. 'Annual workable hours' are hours</p>	<p>Procedure (same sample basis as for Section C: Personnel costs):</p> <ul style="list-style-type: none"> ✓ The Auditor verified that the number of productive hours applied is in accordance with method A, B or C. ✓ The Auditor checked that the number of productive hours per full-time employee is correct and that it is reduced proportionately for employees not exclusively assigned to the action(s). ✓ If method B is applied the Auditor verified i) the manner in which the total number of hours worked was done and ii) that the contract specified the annual workable hours by inspecting all the relevant documents, national legislation, labour agreements and contracts. ✓ If method C is applied the Auditor reviewed the manner in which the standard number of working hours per year has been calculated by inspecting all the relevant documents, national legislation, labour agreements and contracts and verified that the number of productive hours per year used for these calculations was at least 90% of the standard number of working hours per year.

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Please explain any discrepancies in the body of the Report.	
Statements to be made by Beneficiary	Procedures to be carried out and Findings to be confirmed by the Auditor
<p>during which the personnel must be working, at the employer's disposal and carrying out his/her activity or duties under the employment contract, applicable collective labour agreement or national working time legislation.</p> <p>XIX. The contract (applicable collective labour agreement or national working time legislation) do specify the working time enabling to calculate the annual workable hours.</p> <p><u>If method C is applied</u></p> <p>XX. The standard number of productive hours per year is that of a full-time equivalent; for employees not assigned exclusively to the action(s) this number is reduced proportionately.</p> <p>XXI. The number of productive hours per year on which the hourly rate is based i) corresponds to the Beneficiary's usual accounting practices; ii) is at least 90% of the standard number of workable (working) hours per year.</p> <p>XXII. Standard workable (working) hours are hours during which personnel are at the Beneficiary's disposal performing the duties described in the relevant employment contract, collective labour agreement or national labour legislation. The number of standard annual workable (working) hours that the Beneficiary claims is supported by labour contracts, national legislation and other documentary evidence.</p> <p><u>[If certain statement(s) of section "D. Productive hours" cannot be endorsed by the Beneficiary they should be listed here below and reported as exception by the Auditor:</u></p> <p>- ...]</p>	<p>Factual finding:</p> <p><u>General</u></p> <p>12. The Beneficiary applied a number of productive hours consistent with method A, B or C detailed in the left-hand column.</p> <p>13. The number of productive hours per year per full-time employee was accurate and was proportionately reduced for employees not working full-time or exclusively for the action.</p> <p><u>If method B is applied</u></p> <p>14. The number of 'annual workable hours', overtime and absences was verifiable based on the documents provided by the Beneficiary and the calculation of the total number of hours worked was accurate.</p> <p>15. The contract specified the working time enabling to calculate the annual workable hours.</p> <p><u>If method C is applied</u></p> <p>16. The calculation of the number of productive hours per year corresponded to the usual costs accounting practice of the Beneficiary.</p> <p>17. The calculation of the standard number of workable (working) hours per year was corroborated by the documents presented by the Beneficiary.</p> <p>18. The number of productive hours per year used for the calculation of the hourly rate was at least 90% of the number of workable (working) hours per year.</p>
<p>E. Hourly rates</p> <p>The hourly rates are correct because:</p> <p>XXIII. Hourly rates are correctly calculated since they result from dividing annual personnel</p>	<p>Procedure</p> <p>✓ The Auditor has obtained a list of all personnel rates calculated by the Beneficiary in accordance with the methodology used.</p> <p>✓ The Auditor has obtained a list of all the relevant employees, based on which the</p>

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Please explain any discrepancies in the body of the Report.	
Statements to be made by Beneficiary	Procedures to be carried out and Findings to be confirmed by the Auditor
<p>costs by the productive hours of a given year and group (e.g. staff category or department or cost centre depending on the methodology applied) and they are in line with the statements made in section C. and D. above.</p> <p><i>[If the statement of section 'E. Hourly rates' cannot be endorsed by the Beneficiary they should be listed here below and reported as exception by the Auditor:</i></p> <p>- ...]</p>	<p>personnel rate(s) are calculated.</p> <p>For 10 full-time equivalent employees selected at random (same sample basis as Section C: Personnel costs):</p> <ul style="list-style-type: none"> ✓ The Auditor recalculated the hourly rates. ✓ The Auditor verified that the methodology applied corresponds to the usual accounting practices of the organisation and is applied consistently for all activities of the organisation on the basis of objective criteria irrespective of the source of funding. <p>Factual finding:</p> <p>19. No differences arose from the recalculation of the hourly rate for the employees included in the sample.</p>
<p>F. Time recording</p> <p>XXIV. Time recording is in place for all persons with no exclusive dedication to one Horizon 2020 action. At least all hours worked in connection with the grant agreement(s) are registered on a daily/weekly/monthly basis <i>[delete as appropriate]</i> using a paper/computer-based system <i>[delete as appropriate]</i>;</p> <p>XXV. For persons exclusively assigned to one Horizon 2020 activity the Beneficiary has either signed a declaration to that effect or has put arrangements in place to record their working time;</p> <p>XXVI. Records of time worked have been signed by the person concerned (on paper or electronically) and approved by the action manager or line manager at least monthly;</p> <p>XXVII. Measures are in place to prevent staff from:</p> <ul style="list-style-type: none"> i. recording the same hours twice, ii. recording working hours during absence periods (e.g. holidays, sick leave), iii. recording more than the number of productive hours per year used to calculate the hourly rates, and 	<p>Procedure</p> <ul style="list-style-type: none"> ✓ The Auditor reviewed the brief description, all relevant manuals and/or internal guidance describing the methodology used to record time. <p>The Auditor reviewed the time records of the random sample of 10 full-time equivalents referred to under Section C: Personnel costs, and verified in particular:</p> <ul style="list-style-type: none"> ✓ that time records were available for all persons with not exclusive assignment to the action; ✓ that time records were available for persons working exclusively for a Horizon 2020 action, or, alternatively, that a declaration signed by the Beneficiary was available for them certifying that they were working exclusively for a Horizon 2020 action; ✓ that time records were signed and approved in due time and that all minimum requirements were fulfilled; ✓ that the persons worked for the action in the periods claimed; ✓ that no more hours were claimed than the productive hours used to calculate the hourly

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Statements to be made by Beneficiary	Procedures to be carried out and Findings to be confirmed by the Auditor
<p>iv. recording hours worked outside the action period.</p> <p>XXVIII. No working time was recorded outside the action period;</p> <p>XXIX. No more hours were claimed than the productive hours used to calculate the hourly personnel rates.</p> <p><i>[Please provide a brief description of the <u>time recording system</u> in place together with the measures applied to ensure its reliability to the Auditor and annex it to the present certificate⁴].</i></p> <p><i>[If certain statement(s) of section “F. Time recording” cannot be endorsed by the Beneficiary they should be listed here below and reported as exception by the Auditor:</i></p> <p>- ...]</p>	<p>personnel rates;</p> <ul style="list-style-type: none"> ✓ that internal controls were in place to prevent that time is recorded twice, during absences for holidays or sick leave; that more hours are claimed per person per year for Horizon 2020 actions than the number of productive hours per year used to calculate the hourly rates; that working time is recorded outside the action period; ✓ the Auditor cross-checked the information with human-resources records to verify consistency and to ensure that the internal controls have been effective. In addition, the Auditor has verified that no more hours were charged to Horizon 2020 actions per person per year than the number of productive hours per year used to calculate the hourly rates, and verified that no time worked outside the action period was charged to the action. <p>Factual finding:</p> <ol style="list-style-type: none"> 20. The brief description, manuals and/or internal guidance on time recording provided by the Beneficiary were consistent with management reports/records and other documents reviewed and were generally applied by the Beneficiary to produce the financial statements. 21. For the random sample time was recorded or, in the case of employees working exclusively for the action, either a signed declaration or time records were available; 22. For the random sample the time records were signed by the employee and the action manager/line manager, at least monthly. 23. Working time claimed for the action occurred in the periods claimed; 24. No more hours were claimed than the number productive hours used to calculate the hourly

⁴ The description of the time recording system must state among others information on the content of the time records, its coverage (full or action time-recording, for all personnel or only for personnel involved in H2020 actions), its degree of detail (whether there is a reference to the particular tasks accomplished), its form, periodicity of the time registration and authorisation (paper or a computer-based system; on a daily, weekly or monthly basis; signed and countersigned by whom), controls applied to prevent double-charging of time or ensure consistency with HR-records such as absences and travels as well as its information flow up to its use for the preparation of the Financial Statements.

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<i>Please explain any discrepancies in the body of the Report.</i>	
Statements to be made by Beneficiary	Procedures to be carried out and Findings to be confirmed by the Auditor
	<p>personnel rates;</p> <p>25. There is proof that the Beneficiary has checked that working time has not been claimed twice, that it is consistent with absence records and the number of productive hours per year, and that no working time has been claimed outside the action period.</p> <p>26. Working time claimed is consistent with that on record at the human-resources department.</p>

[official name of the [Beneficiary] [Linked Third Party]]

[official name of the Auditor]

[name and title of authorised representative]

[name and title of authorised representative]

[dd Month yyyy]

[dd Month yyyy]

<Signature of the [Beneficiary] [Linked Third Party]>

<Signature of the Auditor>



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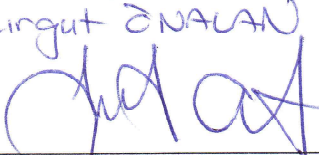
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PROJECT REALIZATION INFORMATION FORM

Information about the projects conducted by our company is shared below.

Administration Name	Name of The Work and Tender Registration Number	Contract Price	The Amount Paid of Satisfactorily Completed During the Reference Period	Remaining Amount
DIYARBAKIR METROPOLITAN MUNICIPALITY	DIYARBAKIR METROPOLITAN MUNICIPALITY 2040 VISION SUSTAINABLE TRANSPORTATION MASTER PLAN UPDATING AND PREPARING HIGHWAY AND RAIL SYSTEM PREVENTION PROJECTS CONSULTANCY SERVICE PROCUREMENT	₺ 6.147.500,00 (€ 703,955.20)	₺ 5.977.500,00 (€ 684,488.37)	₺ 170.000,00 (€ 19,466.84)

Prepared
Accounting Manager Turgut ZNANAN 

Approving
Sworn-In Certified Public Accountant Nesih ÇAM 15.10.2021

