



Qualification of innovative floating substructures for 10MW wind turbines and water depths greater than 50m

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Definitions & Abbreviations

AST	Administrative Support Team
PC	Project Coordinator
PM	Project Manager
WPL	Work Package Leader







Executive Summary

This handbook of LIFES50+ Management Procedures defines the general methodology and organisation of all work from the start of LIFES50+. It will be a living document and the methodology of work and the project management may be adjusted if deemed necessary as the project advances. Changes may be made by the Project Coordinator or Project Management Team with input and approval from the Steering Committee as required. The latest version of the document will be available on the project-internal website.

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1 Introduction

This handbook presents the LIFES50+ management procedures for the day to day proceedings of the project. The LIFES50+ Grant Agreement (GA) and Consortium Agreement (CA) form the basis for these management procedures and the GA and CA will be the primary source of reference in cases of dispute regarding the management procedures.

This handbook is the project beneficiaries' main source for day to day management procedures throughout the life of the project. Some issues (such as IPR, dissemination and quality assurance) are fully documented in dedicated deliverables. In these cases this deliverable makes reference to the dedicated deliverable and presents a synopsis. The reader is therefore able to use this deliverable in the day to day proceedings of LIFES50+ while he/she should use the dedicated deliverable (where available) or indeed the GA or CA, for further details.

The management procedures were presented at the LIFES50+ Kick-off meeting in Trondheim on June 10th 2015. The presentation given is available as a quick sheet on the project-internal website (<http://www.lifes50plus.eu/project>).

2 Management Structure

The LIFES50+ project has a diverse work programme with ambitious goals to be reached within relatively short project duration. The management structure should provide an efficient project management for the overall project, for each work package and for all the partners. This section presents an overview of the LIFES 50+ management structure including roles and responsibilities. A more detailed description of the LIFES 50+ management structure is found in the LIFES50+ Grant Agreement (Annex 1, part B, section 3.2) and the LIFES50+ Consortium Agreement (Section 6).

Figure 1 depicts the overall organisational structure of LIFES50+.



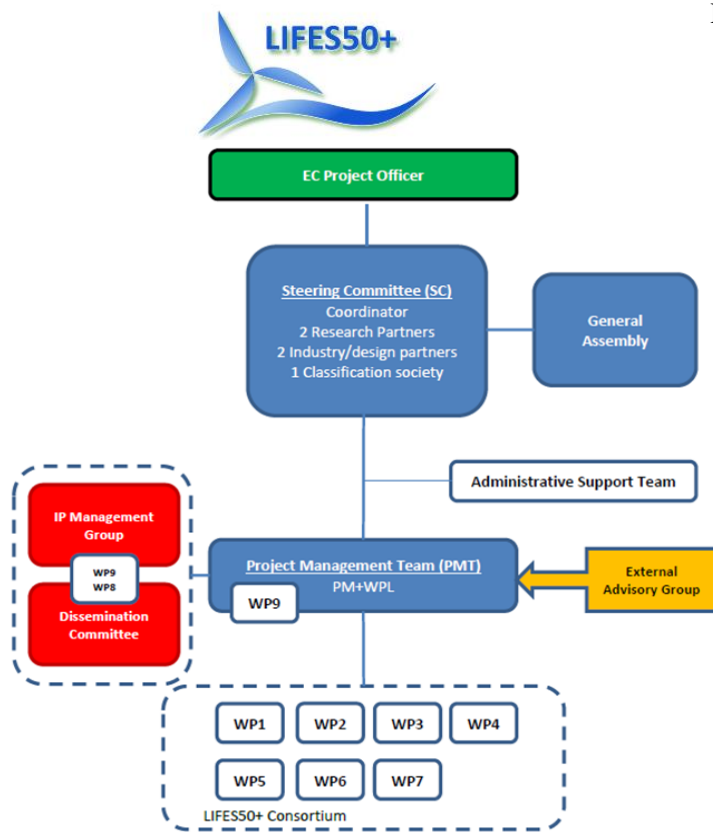


Figure 1 LIFES50+ Management structure

Table 1 depicts the different LIFES50+ management bodies, their composition and main responsibilities as well as to whom they report.

Management Body	Short Name	Participants	Main Responsibility	Reports to
Project Coordinator	PC	Petter Andreas Berthelsen (MARINTEK)	Overall administrative coordination and communication with EC	EC
Project Manager	PM	Jan Arthur Norbeck (MARINTEK)	Project Management of the entire project	PC SC
Administrative Support Team	AST	MARINTEK	Support the PC and the PM in administrative matters on a day to day basis	PC PM
Project Management Team	PMT	PM and WP-leaders (see LIFES 50+ DoA)	Technical coordination at project level	SC
Steering Committee	SC	MARINTEK DNV-GL Tecnalia DTU Iberdrola Dr. Tech. Olav Olsen	Major decisions regarding work plan, budget and contract amendments	EC
WP-leaders	WPL	One partner for each WP (see LIFES 50+ DoA)	Technical coordination of work at WP-level	PM
Task Leaders	TL	One partner for each Task (see	Technical coordination and Task level. Prepa-	WPL





		LIFES 50+ DoA)	ration of deliverables	
General Assembly	GA	One representative from each beneficiary	Provide guidance to SC and PMT	PMT SC
External Advisory Group	EAG	NREL (US) Statoil (NO)	Ensure industrial relevance of the project	PMT SC
Dissemination Group	DC	MARINTEK Ore-Catapult IDEOL	Provide guidelines for the dissemination. Provide review and approval of all dissemination activities throughout the project	SC
IP Management Group	IPG	MARINTEK Iberdrola	IPR Management including documentation of IP generated, potential formal protection of IP, etc.	GA SC

Table 1 LIFES50+ Management Bodies

2.1 LIFES 50+ Groups and Committees

In this section the Steering Committee, IP Management Group and the Dissemination Committee as well as the External Advisory Group are presented with responsibilities and contact persons as decided in the Consortium Plan, the General Assembly meeting at the project kick-off on June 10th 2015 as well as by appointment by the Project Coordinator and approval by the Steering Committee.

2.1.1 Steering Committee

The Steering Committee (SC) was elected at the General Assembly at the kick-off meeting on June 10th in accordance with composition requirements as defined by the LIFES50+ Grant Agreement and Consortium Agreement.

Name	Company	Type of organisation
Petter Andreas Berthelsen (chair)	MARINTEK	Project Coordinator
Kimon Argyriadis	DNV-GL	Classification Society
Germán Perez	Tecnalia	Research Partner
Thomas Buhl	DTU	Research Partner
Juan Amate López	Iberdrola	Industry/Design Partner
Kolbjørn Høyland	Dr. Tech. Olav Olsen	Industry/Design Partner

Table 2 LIFES50+ Steering Committee

The Steering Committee has the highest authority within the project and will meet twice a year or, if necessary, more often for follow-ups on project progress. The Project Coordinator chairs the SC and has the casting vote. The main responsibilities of the Steering Committee include:

- Make critical decisions for the project directions
- Provide executive decisions to the Project Management Team on technical and administrative matters in the project





- Approve work plans and budget issues
- Approve potential new partners
- Resolve potential conflicts

2.1.2 IP Management Group

The IP Management Group (IPG) consists of the MARINTEK (chair) and Iberdrola (legal advisor) as appointed in the Consortium Agreement. It should be noted that new partners may be suggested for inclusion in the IP Management Group by the Project Coordinator. The Steering Committee will approve/decline the Project Coordinator's suggestions.

The main responsibilities of the IP Management Group include:

- Ensuring partners are aware of procedures designed to record IP, maintain patentability and confidentiality
- Keeping track of potential protection of IP (hereunder patents)
- Ensuring necessary access to background and results
- Maintain a register of IP generated to ensure appropriate protection of potential patents and update the project consortium accordingly
- Provide guidance and support with regards to IPR and interpretation of the rules in the Grant Agreement and Consortium Agreement

2.1.3 Dissemination Committee

The Dissemination Committee was proposed by the Project Coordinator and approved by the Steering Committee on June 25th

Name	Company
Jo Stein Moen	MARINTEK
Lee Madigan	Ore-Catapult
Marie Bayard	IDEOL

Table 3 LIFES50+ Dissemination Committee

The main responsibilities of the Dissemination Committee include:

- Provide guidance for the dissemination
- Review of dissemination material from beneficiaries, such as journal papers, conference presentations, press releases, etc.
- Dissemination of project results through different activities such as workshops, webinars, conferences, press releases, etc.
- Ensure compliance with the rules stated in the Grant Agreement regarding dissemination in projects funded through Horizon2020





2.1.4 External Advisory Group

The External Advisory Group (EAG) consists of representatives from entities formally not part of the consortium, but with relevant background for advising on the work performed during the project. The EAG will be gathered upon request from the Steering Committee or Project Management Team and participate to relevant workshops and meetings. This group provides additional assurance of industry relevance of project outcome. As of today the EAG consists of Statoil (NO) and NREL (USA).

The main responsibilities of the EAG include:

- Provision of strategic advice in the project
- Provision of technical advice and options on the implementation of the project work and outcome
- Provision of expert advice and guidance to the project on industrial and business aspects
- Help to promote the project outcomes through their professional networks

The EAG will have access to limited parts of the project as decided by the Steering Committee.

2.2 Decision Making Process

The following decision making process has been defined:

- The Work Package Leader will make technical decisions at work package level
- For technical decisions affecting other work packages, the Work Package Leaders will make these decisions after consulting the Project Management Team. The Project Coordinator will make final decisions on project level.
- Important decisions regarding the overall directions taken by the project will be made by the Steering Committee (SC). If deemed necessary, the SC may seek advice from the General Assembly (GA).

3 Internal Communication Tools

Effective and efficient internal communication is vital to the LIFE50+ project. The inter-human relationships cannot be underestimated but are not subject to structural conditions outside a friendly reminder of the Project Coordinator's mantra: "Good communication is essential".

On a more material note, below we present the tools for internal communication in LIFES50+.

3.1 Project-Internal Website

LIFES 50+ will have a project-internal website (due M2) for structural information exchange (such as submission of deliverables, exchange of large-sized documents, etc.) This website will be password-protected and each member of the LIFES50+ consortium, as assigned by each beneficiary organisation, will be given access by his/her unique user name and password. This protected website¹ will be available under the same domain as the external project website and is accessed by the URL

<http://www.lifes50plus.eu/project>.

¹ This website is not qualified for storage of documents classified as "EU Restricted/Restreint UE" or above.





3.1.1 User Access

Access can be obtained by each beneficiary sending an e-mail to the website's administrator (admin@lifes50plus.eu) with a list of persons, including e-mails for whom they want access. It is each beneficiary's responsibility to inform the website administrator in case of termination of employment or other relevant reasons for revoking access rights for certain users. New users can be added at any stage.

Each user is able to add contact details to his/her profile and is encouraged to do so for easier communication between project participants.

Please note that only persons known to MARINTEK (persons already being involved in LIFES50+) can send requests for access as MARINTEK is unable to verify the legitimacy of unknown requests. This means that if a person currently not involved in LIFES50+ needs access to the internal website, this request will have to come from an already known participant of the project.

3.1.2 User Interface

The website will be organised around the LIFES50+ work package structure. Each work package will be given a root folder and each task will be given a sub-folder within the relevant work package. Work package leaders will be able to add other folders to his/her work package as he/she see fit. Information relevant for the overall project (such as templates, logo, and copies of officially submitted deliverables) will be kept at a top level.

3.1.3 Other Features

Other features may be added at later stages of the project. Any requests may be directed to the Project Manager who, in collaboration with the AST will decide on whether the request is feasible or not.

3.2 E-mail

E-mail communication is encouraged and envisaged as an important means of communication in LIFES50+. Please note that each e-mail should state "LIFES50+, WPx (and if possible, Tx) in the subject field.

An excel sheet with all project participants with contact details will be created and uploaded to the project-internal website. This list will also include work-package involvement, task involvement as well as eventual membership in the different groups and committees.





3.3 Live communication tools

Any live communication tool should be used actively to reduce the needs for travels. One should however recognise the weaknesses of such communication as compared to face to face meetings. Several meetings, as defined in the Consortium Agreement, are not eligible for anything but a physical meeting.

3.3.1 Teleconferences

No official teleconference tool will be available in LIFES50+ but any beneficiary is free (and encouraged) to host teleconferences as long as participation as external party does not come at an unacceptable high cost.

3.3.2 VoIP/Videoconferencing

No official internet-based tele/videoconference system will be available in LIFES50+ but users are free (and encouraged) to conduct meetings over SKYPE or similar if all participants have access to the system used.

3.3.3 Telephone

All beneficiaries are free to use telephone as a means of communication as they see fit. Project participants are encouraged to register their contact details on the project-internal website (see Section 3.1.1).

4 Intellectual Property and Exploitation

IP Management in LIFES50+ will be documented in deliverable D9.4 (due in M2). Documentation of exploitation (both potential and actual) will be initiated on basis of the IP Management procedures throughout the project and presented as part of the Final Report to the EC (see Section 7.1.3). Below we present an outline of the IP Management procedures.

These procedures are created to enable identification, documentation, tracking and protection of Intellectual Property derived from LIFES50+.

4.1 Keeping an inventory of potential IP per Task: The IP-i form

At the start-up of a Task, each Task Leader (TL) is requested to communicate the potential for new innovations that may lead to protectable IP and follow it up throughout the Task. Potential innovations in a Task should be documented in an IP-i form (Innovation Potential inventory form), see D9.4 Annex A for the IP-i form template. This template is also available in the project-internal website (<http://www.lifes50plus.eu/project>). Once completed the IP-i form should be sent to the IP Management Group via Øyvind Hellan (Oyvind.Hellan@marintek.sintef.no) with copy to Jan Arthur Norbeck (JanArthurNorbeck@marintek.sintef.no).





The completed IP-i form per Task is kept on file by the IP Management Group, with possibilities for updates by the Task Leaders as the Tasks proceed. Upon completion of a Task, the Task Leader should complete a final IP-i form, listing actual Intellectual Property derived from the Task. The final IP-i form is kept on file by the IP Management Group for documentation purposes.

4.2 Registering possible protectable IP: The PPI-d form

When a beneficiary (or a group of beneficiaries) identifies an actual innovation which should be investigated for possible protection, a PPI-d form (Possibly Protectable IP declaration) should be completed. The PPI-d form is found in D9.4 Annex B and is also available in the project-internal website.

Declaring a Possibly Protectable IP (filling in a PPI-d form) is in the hands of the beneficiaries and does not dependant on any initiative from the Task Leader. This in order to ensure that innovations cannot be suppressed by someone with a mere management function in the given Task.

A key issue in the PPI-d form is the ownership of the innovation. The partners need to manage the actual ownership issues themselves through a Joint Ownership Agreement.

Please note that the IPP-d form by no means qualifies as a formal protection of an IP. The full responsibility for protecting the IP (e.g. by means of a patent or similar) rests with the owner(s) of the IP.

The PPI-d form should be sent to the IP Management Group via Øyvind Hellan (Oyvind.Hellan@marintek.sintef.no) with copy to Jan Arthur Norbeck (JanArthurNorbeck@marintek.sintef.no) as the IP Management Group is obliged to keep an IP register. The IP Management Group will assess and follow up and potentially comment on each PPI-d form.

4.3 Protecting Intellectual Property

The following points describe the steps to be taken in the case of patenting or similar formal protection of IP.

1. Beneficiaries (owner(s) of Results) that intend to protect or file a patent² should declare their intent as soon as possible to the IP Management Group through the PPI-d form. In the case of a patent, they should submit a plan including a proposed shared Ownership for the case of joint ownership to the IP management Group as least 60 days before filing the patent(s)

² There is an obligation to establish ownership, to use and to protect results. Ownership may be transferred, but transfers to third parties outside Horizon2020 needs to inform the Commission 45 days prior to the dissemination. In such cases the Commission may assume ownership (GA Articles 26-28 and 30).





2. The IP management Group presents the proposal to all the partners in the Consortium. They have 30 days to express their views and to object. Any conflict of interest can be arbitrated by the IP Management Group, but may require external assistance in some cases.

Note that patenting is only one form of protection and that other forms may be more appropriate in some cases.

Beneficiaries (owner(s) of Results) should establish ownership and protection during the project to ensure that IP rights are established beyond the project lifetime.

There is also an obligation to report patents filings that take place after the termination of the project to the EU.

5 Quality Control and Preparation of Deliverables

Quality control and preparation of deliverables will be documented as part of deliverable D9.7 (due M2). Below we present a synopsis of the preparation of deliverables in LIFES50+.

It is of vital importance that the output in terms of official deliverables of the LIFES50+ project is of high quality and that it represents all beneficiaries' interests appropriately. For this reason, a deliverable template and a review procedure have been established.

5.1 LIFE50+ Deliverable Template

All LIFES50+ deliverables should be written in the official LIFES50+ deliverable template (D8.3, due M3). This template is in compliance with the rules stated in the Grant Agreement and it secures a consistent appearance of all LIFES50+ deliverables.

The LIFES50+ deliverable template will be available in word-format on the project-internal website.

Similar LIFES50+ templates have been created for dissemination material, other than official deliverables as well as minutes of meetings. The access and usage of these templates are described in deliverable D8.1 as part of the responsibility of WP8 Dissemination and Exploitation.





5.2 LIFES50+ Deliverable Review Procedure

Please note that the LIFES50+ review procedure will only take effect on deliverables due in M6 (November 2015) or later. This as deliverables due prior to M6 are mostly either results of preparatory actions (planning, project-internal) or project management guidelines.

The review procedure uses the official delivery month as a baseline and tracks backwards in time to identify deadlines for the different quality assurance activities (reviews). Table 4 depicts each step in the review procedure with reference to deadlines on basis of official delivery month.

About two and a half month prior to the deadline for official submission of a deliverable, the Project Manager will send the lead beneficiary a reminder, including a copy of Table 4.

The official delivery month (as defined in the LIFES50+ Description of Activity) of the deliverable is represented by "T". Unless agreed otherwise the term "delivery month" means "received by the recipient at 12:00 CET on the last workday in the project month T", where month 1 is June 2015. The official deadline for a deliverable due in M10 would therefore be Thursday 31st of March at 12:00 CET.

When	Responsible	Action	Receiver
T - 2 months	WP leader/Lead beneficiary	Name peer reviewers for deliverable	PM
T - 1 month	Lead beneficiary	Submit advanced draft or full deliverable	PM/Peer Reviewers
T - 2 weeks	Peer Reviewers	Submit feedback on deliverable	Lead beneficiary
T - 1 week	PM	Submit feedback and final approval	Lead beneficiary
T - 2 workdays	WP leader/Lead beneficiary	Upload final version to project- internal website	http://www.lifes50plus.eu/project
T	AST	Submission to European Committee	EC

Table 4 LIFES50+ Deliverable review procedure

The Lead beneficiary (responsible for the deliverable) is responsible for compliance with the review procedure. The WP-leader has an overall responsibility for all deliverables in his/her work package while the Project Coordinator has the overall responsibility for all deliverables in LIFES50+.

The PM and the Administrative Support Team will keep records of each deliverable, its assigned peer reviewers and the review process itself (see Annex A for an outline of the monitoring table).

Below each activity is described in detail.





5.2.1 Appointment of Peer Reviewers for Deliverable

Two months prior to the official delivery month (T – 2 months) the lead beneficiary (responsible for the deliverable), in collaboration with the relevant WP-leader, should appoint two peer reviewers for the deliverable in question. The appointment criteria are as follows:

1. The peer reviewers must be members of the consortium
2. The peer reviewers must not be involved in the writing of the deliverable
 - a. No task members from the task in which the deliverable is developed
3. The peer reviewers should be capable of performing a good review

The appointment of peer reviewers should be communicated to the Project Manager and the appointed peer reviewers. This communication should include the date for receipt of the deliverable and deadline for feedback. This so the peer reviewers are able to plan ahead as the time from receipt of deliverable for review to deadline for giving feedback is rather short.

Please note that there is no extra budget for peer reviews. The peer reviewers will have to perform the review within their existing budget in the LIFES50+ project. This means that in cases where certain beneficiaries are overloaded with peer reviewing activities the beneficiary can contact the PM for relief of such duties.

5.2.2 Submission of Advanced Draft or Full Deliverable for Review

One month prior to the official delivery month (T- 1 month) the lead beneficiary (responsible for the deliverable) must send an advanced draft, or ideally the full deliverable, to the peer reviewers and the PM. The lead beneficiary should also include the deadline date for submitting feedback. The receivers should confirm receipt, indicate whether or not the information sent is sufficient to perform a review and confirm that the deadline for submitting feedback will be kept.

The advanced draft or full deliverable must be sent in word-format so feedback can be incorporated directly into the deliverable.

5.2.3 Submission of Feedback from Peer Reviewers on Deliverable

Two weeks prior to the official delivery month (T- 2 weeks) the peer reviewers should send feedback to the lead beneficiary. The lead beneficiary should confirm receipt of the feedback (confirmation of receipt to peer reviewers should also be copied to the Project Manager for documentation purposes).

Feedback should be given directly in the deliverable as comments or in the text by using "Track Changes". Any other feedback can be given in a separate document or by e-mail.





The peer reviewers' feedback should focus on technical aspects of the deliverable in addition to completeness and readability.

5.2.4 Submission of Feedback and final approval from PM on Deliverable

One week prior to the official delivery month (T- 1 week) the Project Manager should send feedback and final approval to the lead beneficiary.

Feedback should be given directly in the deliverable as comments or in the text by using "Track Changes". Any other feedback can be given in a separate document or by e-mail.

The PM's feedback should focus on adherence to the LIFES50+ Description of Action, formal aspects such as correct usage of the official project template, etc. This in addition to readability and if possible, technical aspects and completeness

5.2.5 Submission of Final Version of Deliverable

Two work days prior to the official deadline (T-2 workdays) the lead beneficiary should upload the final deliverable to the project-internal website and inform the Project Manager that the upload is complete. The deliverable should be uploaded to the "Deliverable Folder" found under each work package.

A list of checkpoints has been created to be ticked off by the lead beneficiary before finalising the deliverable. These checkpoints are incorporated into the deliverable template so the lead beneficiary must tick off the list. The list will be read and deleted by the AST before official submission of the deliverable to the EC.

Checkpoint	✓
Appearance should be generally appealing and according to the LIFES50+ template.	<input type="checkbox"/>
The executive summary should give a short and to the point description of deliverable.	<input type="checkbox"/>
All abbreviations should be explained in footnotes or in separate list.	<input type="checkbox"/>
All references should be identified and listed.	<input type="checkbox"/>
The deliverable must clearly identify all contributions from partners. It must justify the resources used.	<input type="checkbox"/>
The deliverable must clearly identify the contributions to the state of art. It must justify the scientific contributions.	<input type="checkbox"/>
Each QA check should be signed off in the Document information on page 2.	<input type="checkbox"/>
A full spell check should be completed.	<input type="checkbox"/>

Table 5 Checkpoints before finalisation of Deliverable





The deliverable should be uploaded in word-format so the PM is able to make any final amendments. This however does not entail that the lead beneficiary should regard the deliverable as anything but final version.

Every public Deliverable shall be summarised into a single page public document³ (on letterhead). These documents will be uploaded on the external project website and distributed externally (e.g. at project events). They will ensure public awareness of everything the project is working on. It is the responsibility of the lead beneficiary to produce this document and submit it to the Project Manager for review by the Dissemination Committee.

5.2.6 Official Submission of Deliverable to EC

On the official due date of the deliverable (T, the last workday in the delivery month) the PM will make the official submission of the deliverable to EC in pdf-format. Submission will be done through the EC participant portal in accordance Horizon 2020 guidelines.

6 Dissemination

Dissemination in LIFES50+ will be thoroughly presented in deliverable D8.1 (due in M3). D8.1 outlines overall rules for dissemination (in accordance with the Grant Agreement and the Consortium Agreement).

The document also summarises the role of the External Advisory Group (EAG). The role and composition of the LIFES50+ Dissemination Committee is found in this deliverable in Section 2.1.3.

Below we present an outline of the Dissemination guidelines and procedures.

6.1 EC guidelines

These are described in the Grant Agreement (GA) Article 29.4, but key points include:

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

- Display the EU emblem
- Include the following text:
 - "This project has received funding from the *European Union's Horizon 2020 research and innovation programme* under grant agreement No 640741"

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

³ This in addition to the deliverable itself.





Any publicity made by the beneficiaries in respect of the project must specify that it reflects only the author's view and that the Commission is not liable for any use that may be made on the information contained therein.

6.2 Time schedule of submitting dissemination material for approval

Prior notice of any planned publication shall be given to the Dissemination Committee at least 60 calendar days before the publication, who will inform the IP Management Group and concerned Parties at least 45 days before the publication. Any objection to the planned publication shall be made in accordance with the EC-Grant Agreement in writing to the Project Coordinator, the Dissemination Committee and to the Party or Parties proposing the dissemination within 15 calendar days after receipt of the notice. If no objection is made within the time limit stated above, the publication is permitted.

Beneficiaries should notify the Project Manager when the activity has been completed to facilitate tracking of dissemination activities in LIFES50+. The Project Manager and the Administrative Support Team will upload presentations held and published articles (or summary, if not public) to the external project website.

6.3 Project logo and templates

MARINTEK will design a project logo (D8.2, due M1), which will be used for all dissemination material. In addition templates (D8.3, due M3) will be provided for project deliverables, presentations, progress reports, minutes of meetings, etc. All Deliverables and presentations done by any beneficiary shall be written in the appropriate template. This is the responsibility of each lead beneficiary.

The LIFES50+ project logo and all templates will be found on the project-internal website.

6.4 Targeted mailing list

Each beneficiary will contribute to a Targeted Mailing List (TML) by sending a list of relevant contacts to the Project Manager, who will put together a database. Additional contacts (i.e. workshop participants, from beneficiary's networks, etc.) can be added at any time throughout the project.

6.5 Press coverage and presentations at conferences

Beneficiaries intending to submit an abstract for a journal or conference should inform and send a draft to the Dissemination Committee via Petter Andreas Berthelsen (PetterAndreas.Berthelsen@marintek.sintef.no) with copy to Jan Arthur Norbeck (JanArthurNorbeck@marintek.sintef.no), at the latest 1 month in advance. The Dissemination Committee will review and approve/reject the material within two weeks of submission.





Beneficiaries are expected to put some notice of LIFES50+ on their organisation's website or in their newsletters⁴. When relevant, beneficiaries can also issue press releases after approval of the Dissemination Committee.

The Project Manager will document presentations held and articles published (or summary if not public).

6.6 Project Flyer

A project flyer (D8.5, due M6) will serve as a tangible introduction to the project and will be distributed to all LIFES50+ beneficiaries and at internal and external project events. The Project Manager will coordinate the proposal, the design, proofreading, and printing. The Dissemination Committee shall provide input and review the text. A poster version, that beneficiaries can use to display, will be available internally.

6.7 E-newsletters

Short newsletters will be produced at six-monthly intervals, with updates on the project developments and summary versions of the most recent Deliverables. The newsletters will be sent to the TML and be available on the external project website. The Project Manager will coordinate the sending, the Dissemination Committee will input on the text.

6.8 Final publication

The final publication of LIFES50+ will include the main findings and recommendations of the project's tasks. Its Executive Summary will also be designed as a separate document.

Each Work Package Leader is responsible for drafting the text on his/her work, and the Dissemination Committee will review and produce a final draft of the text. The Project Manager will suggest a structure and coordinate the design, proofreading and printing.

The final publication and its summary will be disseminated at the Final workshop and at subsequent events of the beneficiaries and can be downloaded from the external project website.

7 Reporting

This section presents the LIFES50+ reporting requirements, both in terms of internal progress reports and official EC reporting requirements.

7.1 Periodic and Final Reports

The LIFES50+ Grant Agreement (Article 20) specifies the reporting requirements imposed on the Project Coordinator and each beneficiary as well as third parties. An outline is presented below.

The Project Coordinator is responsible for the official submission of these reports but each beneficiary is required to contribute accordingly. Regarding financial information the LIFES50+ GA (Article 20)

⁴ Such a notice does not require approval by the Dissemination Committee





defines each beneficiary's responsibility while The Project Manager will provide reporting templates for the technical progress in order to secure all relevant information being reported to the Project Manager by Work Package Leaders.

7.1.1 Reporting Periods

LIFES50+ is divided into the following reporting periods (RP):

- RP1: From M1 to M16 (June 2015 to September 2016)
- RP2: From M17 to M28 (October 2016 to September 2017)
- RP3 From M29 to M40 (October 2017 to September 2018)

7.1.2 Periodic Reports – Requests for Interim Payments

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

The periodic report must include the following:

- Periodic technical report
 - Explanation of the work carried out by the beneficiaries
 - Overview of the progress towards the project objectives, including milestones and deliverables as defined in the LIFES50+ Description of Action as well as any exploitation and dissemination
 - Summary for publication by the Agency
 - The answers to the questionnaire, covering issues related to project implementation in the context of the Horizon 2020 KPIs and monitoring requirements
- Periodic financial report
 - Individual financial statement from each beneficiary and linked third party
 - Explanation of the use of resources and the information on subcontracting and in-kind contributions provided by third parties
 - Periodic summary financial statement

Each Work Package Leader is required to submit a periodic report regarding technical progress of the WP in question (on the periodic report template provided by the Project Manager) no later than 30 days following the end of each reporting period.

Each beneficiary is required to fill in form C through the EC participant portal no later than 30 days following the end of each reporting period. The form C for Reporting Period 3 counts as final financial report from each beneficiary.





7.1.3 Final Report – Request for payment of the balance

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

The final report must include the following:

- Final technical report with a summary for publication
 - Overview of the results and their exploitation and dissemination
 - Conclusions of the project
 - Socio-economic impact of the project
- Final financial report
 - Final summary financial statement
 - Certificate on the financial statements

Each Work Package Leader is required to submit a final report regarding the technical results of the WP in question (on the final report template provided by the Project Manager) no later than 30 days following the end of last reporting period.

7.2 Monthly Status Reports by WP-leaders

As proposed by the Project Manager and agreed by the beneficiaries during the LIFES50+ kick-off on June 10th 2015 each Work Package Leader will be required to submit a monthly status report from their respective work package to the Project Manager within 10 working days following the end of the month. A template will be provided by the Project Coordinator and made available on the project-internal website. In broad terms this status report will contain information on:

- Technical progress according to DoA
- Deviations
- Actions taken to mitigate deviations

The monthly status reports will be required from M6 (November 2015).





7.3 Overview of reporting requirements for the different roles in LIFES50+

Table 6 depicts the reporting requirements for each role in the LIFES50+ project.

Role	Type of Report	When	Receiver
Each beneficiary	Form C	M16+30days	EC
	Form C	M28+30days	EC
	Form C	M40+30days	EC
Each WP-leader	Periodic report	M16+30days	PM
	Periodic report	M28+30days	PM
	Periodic report	M40+30days	PM
	Final Report	M40+30days	PM
Project Coordinator	Monthly status report	M6-M40 (+10days)	PM
	Periodic report	M16+60days	EC
	Periodic report	M28+60days	EC
	Periodic report	M40+60days	EC
	Final report	M40+60days	EC

Table 6 Overview of reporting requirements for the different roles in LIFES50+

7.4 Dissemination and IP Generated – Updates

Any dissemination activities must be reported to the LIFES50+ Dissemination Group via the Project Manager, according to deadlines defined in deliverable D8.1 Dissemination Guidelines and Procedures (outline presented in this deliverable under Section 6.2)

Any identified potential Intellectual Property must be reported by the beneficiaries to the IP Management Group via the Project Manager, continuously (or as soon as possible) according to the IPR Guidelines defined in D9.4 (outline presented in this deliverable under Section 4).

8 Financial Provisions

This section covers a summary of and reference to Articles in the LIFES50+ Grant Agreement concerning the estimated budget, eligible costs, third parties and subcontracting and payment modalities.

8.1 Budget and Eligible Costs

The estimated budget is found in the LIFES50+ Grant Agreement in Annex 2. It contains the estimated eligible costs and the forms of costs broken down by beneficiary (and linked third party) and budget category (see GA Articles 5, 6 and 14). GA Annex 2 is the original source of the estimated budget for LIFES50+.

Definition of eligible costs is found in the GA, Article 6.





8.2 Third Parties and Sub-contracting

The Grant Agreement Article 8 states that the beneficiaries must have the appropriate resources to implement the action. If it is necessary to involve third parties the following Articles in the Grant Agreement apply:

GA Article	Use of third parties
Article 10	Purchase goods, work and services
Article 11	Use in-kind contributions provided by third parties against payment
Article 12	Use in-kind contributions provided by third parties free of charge
Article 13	Call upon subcontractors to implement action tasks described in the LIFES50+ DoA/GA Annex 1
Article 14	Call upon linked third parties ⁵ to implement action tasks described in the LIFES50+ DoA/GA Annex 1

Table 7 LIFES50+ involvement of third parties

8.3 Payment Modalities

Payments and payment arrangements are defined in the Grant Agreement (Article 21) with exception-procedures on basis of conditions stated in GA Article 47 (Suspension of payment deadline) and Article 48 (Suspension of payments). An outline is presented below.

The following payments will be made to the Project Coordinator:

- One pre-financing payment
- Two interim payments
- One payment of balance

8.3.1 Pre-financing payment

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 (see Section 8.3.3).

The pre-financing payment amount is in the GA set to 2,424,945.83 EUR. An amount of 363,741.88 corresponding to 5% of the maximum payment (see GA Article 5.1) is retained by the Agency from the pre-financing payment and transferred into the "Guarantee Fund".

⁵ The linked third parties in LIFES50+ are stated under Article 14 in the Grant Agreement





Pre-financing:	2 424 945,83 EUR
Guarantee Fund:	363 741,88 EUR
Actual Pre-financing:	2 061 203,95 EUR

Table 8 Pre-financing payment amount

The pre-financing payment was made to the Project Coordinator in compliance with the statement made in the GA and will be distributed to beneficiaries as pro rata payment based on budget. This as presented and approved in the LIFES50+ kick-off meeting on June 10th 2015.

8.3.2 Interim Payments

Two interim payments will be made to the Project Coordinator within 90 days from receiving the periodic reports (due in M16 and M28, see Section 7.1.2). Interim payments reimburse the eligible costs incurred for the implementation of the action during the corresponding reporting periods. Payment is subject to the approval of the periodic report.

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

1. Application of the reimbursement rates
2. Limit to 90% of the maximum grant amount

8.3.3 Payment of the Balance

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 GA Article 5.3), the payment of the balance takes the form of a recovery (see GA Article 44).

If the total amount of earlier payments is lower than the final grant amount, the *Agency* will pay the balance to the Project Coordinator within 90 days from receiving the final report (see GA Article 20.4). Payment is subject to the approval of the final report.

The amount due as the balance is calculated by the *Agency* by deducting the total amount of pre-financing and interim payments already made from the total final grant amount.

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

- If the balance is positive, the amount released from the Guarantee Fund will be paid in full to the Project Coordinator together with the amount due as balance
- If the balance is negative (payment of the balance taking the form of recovery) the amount released from the Guarantee Fund will be deducted from the amount released





If the resulting amount (negative balance plus Guarantee fund amount) is positive, it will be paid to the Project Coordinator. If the resulting amount is still negative, it will be recovered

9 Controls and Sanctions

The LIFES50+ project is subject to controls by the *Agency* and the Commission during and the implementation of the action and afterwards as well as potential sanctions on basis of these controls.

9.1 Checks, reviews, audits and evaluations

The LIFES50+ Grant Agreement Articles 22 and 23 covers the Agency or the Commissions rights to carry out checks. Below a summary is presented. Please note that all controls carried out will be formally notified to the Project Coordinator or the beneficiaries concerned. Third parties must be informed by the beneficiaries. The beneficiaries will be given a 30 day time frame for submitting formal observations after receiving the draft reports from the *Agency* or the Commission.

Any sanctions imposed on basis of these checks, reviews, audits and evaluations will be scrutinised in Section 9.3.

9.1.1 Right to carry out checks (GA Article 22.1.1)

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 Grant 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 GA 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.

9.1.2 Right to carry out reviews (GA Article 22.1.2)

The *Agency* or the Commission will, 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 Grant Agreement and continued scientific or technological relevance of the action.

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 Project Coordinator or beneficiary concerned of the identity of the external persons or bodies. They will have the right to object to the appointment on grounds of commercial confidentiality. The Project 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. For on-the-spot re-





views, the beneficiaries must allow access to their sites and premises and ensure that information requested is readily available. Information provided must be accurate, precise and complete and in the format requested.

9.1.3 Right to carry out audits (GA Article 22.1.3)

The *Agency* or the Commission will, 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 Grant Agreement.

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 Project Coordinator or beneficiary concerned of the identity of the external persons or bodies. They will have the right to object to the appointment on grounds of commercial confidentiality. The Project 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 Grant Agreement. For on-the-spot audits, the beneficiaries must allow access to their sites and premises and ensure that information requested is readily available. 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.

9.1.4 Right to evaluate the impact of the action (GA Article 23.1)

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. Such evaluations may be started during the implementation of the action and up to five years after the payment of the balance. 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 Project Coordinator or beneficiaries must provide any information relevant to evaluate the impact of the action.

9.2 Other control bodies

The European Anti-Fraud Office (OLAF) may, at any moment during implementation of the action or afterwards, carry out inspections, 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.

The European Court of Auditors (ECA) may, at any moment during implementation of the action or afterwards, carry out audits.





9.3 Sanctions

The LIFES50+ Grant Agreement Articles 42 through 49 covers sanctions. Below a summary is presented. Please note that any sanction imposed by the *Agency* will be notified to the beneficiaries concerned and observations/beneficiaries' response on the decision may be submitted within a time frame of 30 days after receiving the notification.

GA Article 42 – Rejection of ineligible costs

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 GA Article 6), in particular following checks, reviews, audits and investigations (see GA Article 22).

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

GA Article 43 – Reduction of the Grant

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

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

GA Article 44 – Recovery of undue amounts

The *Agency* will, after termination of 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 Grant Agreement.

Each beneficiary's financial responsibility in case of recovery under Article 44, is limited to its own dept. (including undue amounts paid by the *Agency* for costs declared by its linked third parties), except for the amount retained for the Guarantee Fund (see GA Article 21.4).

GA Article 45 – Administrative and financial penalties

Under GA Articles 109 and 131(4) of the Financial Regulation No 966(2012), the *Agency* may impose administrative and financial penalties if a beneficiary has committed substantial errors, irregularities or frauds or is in serious breach of its obligations under the Grant Agreement. False declarations about





information required under the Grant Agreement or for the submission of the proposal are also subject to such penalties.

Each beneficiary is responsible for paying the financial penalties imposed on it and the *Agency* or the Commission may, under certain conditions and limits, publish decisions imposing administrative or financial penalties.

Article 46 – Liability for damages

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

Except in case of force majeure (see GA 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 Grant Agreement. Each beneficiary is responsible for paying the damages claimed from it.

GA Article 47 – Suspension of payment deadline

The *Agency* may, at any moment, suspend the payment deadline (see GA Article 21.2 to 21.4) if a request for payment cannot be approved for reasons such as:

- The request for payment does not comply with the provisions of the Grant Agreement
- The technical reports of financial reports have not been submitted, are not complete or additional information is needed
- There is doubt about the eligibility of the costs declared in the financial statements and additional checks, reviews, audits or investigations are necessary

GA Article 48 – Suspension of payments

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:

- Has committed or is suspected of having committed substantial errors, irregularities, fraud or serious breach of obligations in the award procedures or under the Grant Agreement
- 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 Agreement (extension of findings from other grants to this grant; see GA Article 22.5.2)

GA Article 49 – Suspension of the action implementation





The beneficiaries may suspend implementation of the action or any part of it, if exceptional circumstances, in particular force majeure (see GA Article 51), make an implementation impossible or excessively difficult. In such a case, the Project Coordinator must immediately notify to the *Agency* the suspension hereunder the reasons why and the expected date of resumption.

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

- A beneficiary has committed or is suspected of having committed substantial errors, irregularities, fraud or serious breach of obligations in the awards procedure or under the Grant Agreement
- 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 made a material impact on this Grant Agreement (extension of findings from other grants to this grant; see GA Article 22.5.2).
- The action is suspected of having lost its scientific or technological relevance

10 Termination

The LIFES50+ Grant Agreement Article 50 covers termination of the Grant Agreement or of the participation of one or more beneficiaries. Below a summary is presented.

10.1 Termination of the Grant Agreement by the beneficiaries

The beneficiaries may terminate the Grant Agreement upon which the Project Officer must formally notify termination to the *Agency* (see GA Article 52) stating the reasons why and the date the termination will take effect. If no reasons are given or if the *Agency* considers the reasons do not justify termination, the Grant Agreement will be considered to have been "terminated improperly".

The Project Coordinator must, within 60 days from when the termination takes effect, submit a periodic report (from the open reporting period until termination) and the final report.

The *Agency* will calculate the final grant amount and the balance on the basis of the reports submitted. Only costs incurred until termination are eligible. Improper termination may lead to a reduction of the grant.

After termination, the beneficiaries' obligations (in particular GA Articles 20, 22, 23, Section 3 of Chapter 4, 36, 37, 38 and 40) continue to apply.

10.2 Termination of the participation of one or more beneficiaries, by the beneficiaries

The participation of one or more beneficiaries may be terminated by the Project Coordinator, on request of the beneficiary concerned or on behalf of the other beneficiaries. Please note that all decisions





made regarding termination will be subject to notification to the beneficiaries concerned and opportunity for comments and/or appeals will be given.

The Project Coordinator must formally notify termination to the *Agency* (see GA Article 52) and inform the beneficiary concerned. If the Project 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
- A request for amendment (see GA Article 55) with a proposal for reallocation of the tasks and the estimated budget of the beneficiary concerned (see GA Annexes 1 and 2)

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 Project Coordinator must, within 30 days from when the termination takes effect, submit:

- A report on the distribution of payments to the beneficiary concerned
- A "termination report" from the beneficiary concerned for the open reporting period until termination
 - Progress of work
 - Use of resources
 - Individual financial statement
 - If applicable, the certificate on the financial statement (see GA 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 GA Article 20.3).

The *Agency* will calculate the final balance of the beneficiary concerned and take actions of either payment of balance or request repayment of amounts unduly received.

Improper termination may lead to a reduction of the grant (see GA Article 43) or termination of the Grant Agreement (see GA Article 50).





10.3 Termination of the Grant Agreement or the participation of one or more beneficiaries, by the Agency

The Agency may terminate the Grant Agreement or the participation of one or more beneficiaries, if

- One or more beneficiaries do not accede to the Grant Agreement (see GA Article 56)
- A change to their legal, financial, technical, organisational or ownership situation (or those of its linked third parties) is likely to substantially affect or delay the implementation of the action or calls into question the decision to award the grant
- Following termination of participation for one or more beneficiaries, the necessary changes to the Grant Agreement would call into question the decision awarding the grant or breach the principle of equal treatment of applicants (see GA Article 55)
- Implementation of action is prevented by force majeure (see GA Article 51) or suspended by the Project Coordinator (see GA Article 49.1 and either
 - Resumption is impossible or
 - The necessary changes to the Grant Agreement would call into question the decision awarding the grant or breach the principle of equal treatment of applicants
- 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
- 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
- A beneficiary does not comply with the applicable national law on taxes and social security
- The action has lost scientific or technological relevance
- 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
- A beneficiary (or a natural person who has the power to represent or take decisions on its behalf) as, in the award procedure or under the Grant Agreement, committed
 - Substantial errors, irregularities fraud or
 - Serious breach of obligations, including improper implementation of the action, submission of false information, failure to provide required information, breach of ethical principles
- 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 material impact on this grant (extension of findings from other grants to this grant)

In case of the Agency's termination of the Grant Agreement, the Project Coordinator must, within 60 days from when the termination takes effect, submit a periodic report (from the open reporting period until termination) and the final report.

In case of the Agency's termination of participation of one or more beneficiaries, the Project Coordinator must, within 60 days from when the termination takes effect, submit:

- A report on the distribution of payments to the beneficiary concerned





- A "termination report" from the beneficiary concerned for the open reporting period until termination
 - Progress of work
 - Use of resources
 - Individual financial statement
 - If applicable, the certificate on the financial statement (see GA 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 GA Article 20.3).

The *Agency* will calculate the final grant amount and the balance on the basis of the reports submitted. Only costs incurred until termination are eligible.

After termination, the beneficiaries' obligations (in particular GA Articles 20, 22, 23, Section 3 of Chapter 4, 36, 37, 38 and 40) continue to apply.



11 Annex A: Deliverables Review and Submission Procedure

General Information						Quality Assurance					Submission of deliverable					
WP No	D No	Deliverable Name	Due Month	Lead Beneficiary	Type	Dissemination Level	Date for appointment of PR	Peer Reviewers	Date for receipt by Peer Reviewers	Received by Peer Reviewers?	Approved by Peer Reviewers?	Approved by PM?	Date for handover to PM	Handover to PM complete?	Uploaded to EU participant portal?	Approved by EC?
WP5	D5.1	Design Brief	10	RAMBOL	Report	CONFIDENTIAL	2015-01-31	Peer Reviewer 1 Peer Reviewer 2	2016-02-29				2016-03-29			
	D5.2	Specification for industrialization	21	RAMBOL	Report	CONFIDENTIAL	30.12.2016	Peer Reviewer 1 Peer Reviewer 2	2017-01-31				2017-02-24			
	D5.3	Design Report – steel and/or concrete design	40	RAMBOL	Report	CONFIDENTIAL	2018-07-31	Peer Reviewer 1 Peer Reviewer 2	2018-08-31				2018-09-26			
	D5.4	Design Report – fabrication and installation	40	RAMBOL	Report	CONFIDENTIAL	2018-07-31	Peer Reviewer 1 Peer Reviewer 2	2018-08-31				2018-09-26			
	D5.5	Overall summary of the industrialization process	40	RAMBOL	Report	PUBLIC	2018-07-31	Peer Reviewer 1 Peer Reviewer 2	2018-08-31				2018-09-26			

