



PROJECT HANDBOOK | D1.1

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1. PROJECT HANDBOOK

The purpose of this project handbook is to facilitate efficient work for all partners in the project. It is a document for internal use and should be seen as a helping tool in the day-to-day project management of SMARTSET.

The project handbook gives a short overview of the project as it is described in the Grant Agreement. It provides overviews of the reporting and financial routines. It describes procedures for quality check and internal communication.

For more detailed information please consult the following (electronic) documents or websites:

Document	Content
European Commission Grant agreement (EC-GA)	Grant Agreement for the SMARTSET project between the European Commission and the Lead partner, (contract number IEE/11/951/SI2.615948), including annexes: Annex I (Description of the Action), Annex II (Budget), Annex III (Reporting and Financial Statements).
Consortium agreement (CA)	Complementary agreement complementary to the EC-GA.
Financial guidelines for IEE-projects	http://ec.europa.eu/energy/intelligent/managing-projects/day-to-day-management/financial-guidance/index_en.htm

The project handbook is a deliverable (D1.1) within WP1.

2. PROJECT APPROACH AND STRUCTURE

This first chapter describes the aims of the project.

2.1. Aims of SMARTSET

The central aim of SMARTSET is to reduce energy consumption and emissions from freight transport by introducing freight delivery schemes based on Urban Freight Terminals. SMARTSET will result in freight optimisation schemes focusing on Urban Freight Terminals (UFT) that:

- Enhance freight terminal efficiency, particularly with regards to the last mile.
- Reduce the energy impact of freight transport in the SMARTSET sites.
- Increase the uptake of cleaner and energy efficient vehicles for the last mile delivery as well as shift freight transport to more energy-efficient modes for longer distance transport.

The aims above will be achieved with the following specific objectives during the project duration:

1. Develop sustainable market-driven business models for UFT's to enable sustainable last mile urban distribution and long distance transport where rail can replace road vehicles.
2. Develop incentives and regulations which may shift transport demand in favour of UFT distribution schemes
3. Increase the number of freight vehicles using clean and energy-efficient fuels.
4. Capacity building within the consortium and creation of networks with stakeholders in the project and external actors to improve dialogue and acceptance of proactive freight schemes.
5. Transfer knowledge from on various aspects of UFT's and business models to develop more sustainable distribution networks.

3. LIST OF PARTNERS

This chapter lists the partners of the project.

Partner nr.	Partner name	Short name	Country	Lead functions
CO1	Göteborgs kommun	Gothenburg	SE	Project coordinator (PC), WP1-leader, WP8-leader, Site leader Gothenburg
CB 2	Swedish Transport Administration	Trafikverket	SE	
CB 3	City of Sundsvall	Sundsvall	SE	
CB 4	Gruppo CLAS	CLAS	IT	WP2-leader
CB 5	Interporto Padova spa	Interporto	IT	
CB 6	Senatsverwaltung Fur Stadtentwicklung	SenStadtUm	DE	Site leader Berlin
CB 7	Technische Hochschule Wildau	Wildau University	DE	
CB 8	Stadt Graz	Graz	AT	
CB 9	University of Newcastle Upon Tyne	UNEW	UK	WP4-leader, Site leader Newcastle
CB 10	Comune Di Forli	Forli	IT	
CB 11	Roma Servizi Mobilità, RSM	RSM	IT	WP3-leader
CB 12	Forschungsgesellschaft Mobilitaet – Austrian Mobility Research, FGM-AMOR	FGM-AMOR	AT	WP5-leader, WP7-leader
CB 13	Trivector Traffic AB	Trivector	SE	WP6-leader
CB 14	Comune Di Roma	Rome	IT	

3.1. Roles in the project

Roles in the project such as partner, WP-leader, Site leader, are further defined in the CA.

4. PROJECT STRUCTURE

This chapter gives a very brief overview of the project deliverables and tasks per WP and partner. For detailed information, consult ANNEX I.

Any changes of deadlines of deliverables should be updated in this document, as far as possible. For questions regarding the deadlines, contact PC (Gothenburg).

4.1. WP1 Project management

4.1.1. WP-leader

Gothenburg

4.1.2. Deliverables

D.1.1: Project handbook (~~M3~~) (M4)

D.1.2: Final publishable report (to be included in the Final report) (M 36)

D.1.3: Risk management plan (~~M3~~) (M4)

4.1.3. Tasks

Partner	Tasks per partner	Related to tasks
Gothenburg	<ul style="list-style-type: none"> • Work package leader • Leader of PMG (Project management group) • Responsible for communication with EACI • Responsible for all deliverables in WP 1 • Host of project meeting (M1 and M36) 	All tasks
Trafikverket	<ul style="list-style-type: none"> • Member of PMG • Input to all Deliverables in WP 1 	All tasks
Sundsvall	<ul style="list-style-type: none"> • Member of PMG • Input to all Deliverables in WP 1 	All tasks
CLAS	<ul style="list-style-type: none"> • Member of PMG • Input to all Deliverables in WP 1 • Host of project meeting (M30) 	All tasks
Interporto	<ul style="list-style-type: none"> • Member of PMG • Input to all Deliverables in WP 1 	All tasks
SenStadtUM	<ul style="list-style-type: none"> • Member of PMG • Input to all Deliverables in WP 1 • Host of project meeting (M12) 	All tasks
Wildau University	<ul style="list-style-type: none"> • Member of PMG • Input to all Deliverables in WP 1 	All tasks
Graz	<ul style="list-style-type: none"> • Member of PMG 	All tasks

	<ul style="list-style-type: none"> • Input to all Deliverables in WP 1 • Host of project meeting (M6) 	
UNEW	<ul style="list-style-type: none"> • Member of PMG • Input to all Deliverables in WP 1 • Host of project meeting (M18) 	All tasks
Forlí	<ul style="list-style-type: none"> • Member of PMG • Input to all Deliverables in WP 1 	All tasks
RSM	<ul style="list-style-type: none"> • Member of PMG • Input to all Deliverables in WP 1 • Host of project meeting (M24) 	All tasks
FGM-AMOR	<ul style="list-style-type: none"> • Member of PMG • Responsible for D1.5 • Input to all other Deliverables in WP 1 	All tasks
Trivector	<ul style="list-style-type: none"> • Member of PMG • Input to all Deliverables in WP 1 	All tasks

4.2. WP 2 Cooperative Market-driven Business Solutions

4.2.1. WP-leader

CLAS

4.2.2. Deliverables

D.2.1: Key success factors and lessons learnt for main business models in use for urban logistics and urban terminals (~~M3~~) (M5)

D.2.2: Report on local freight committees (M24)

D.2.3: Small scale demonstrations - action plan and guide for demonstrators for start and organization of business model (M6)

D.2.4 Report on the market-driven business models developed and tested in SMARTSET freight terminals (M32)

D.2.5: Small scale demonstrations: key findings and conclusion across all sites, scope for replication and demonstration scaling up (M30)

D.2.6: Market analysis in each terminal site (M9)

D.2.7 Deployment plan for all local sites (M32)

4.2.3. Tasks

Partner	Tasks per partner	Related to tasks
CLAS	<ul style="list-style-type: none"> • Work package leader • General coordination of the WP 	2.1, 2.2, 2.3, 2.4

	<ul style="list-style-type: none"> • Definition of the methodological framework, demonstration action plans and demonstration guide • Coordination of reporting of key findings 	
Gothenburg	<ul style="list-style-type: none"> • Extension of existing freight transport group • Business model for a micro terminal in the city centre 	All tasks
Trafikverket	<ul style="list-style-type: none"> • Focus groups with shopkeepers of the inner city as well as responsible bodies from public institutions • Business case with an intermodal transport solution which will supply the neighbouring shopping center in Birsta with consolidated deliveries with perishables and durable consumer goods • Extend a service by rail in Sundsvall for freight to be delivered in urban area. 	2.1, 2.2, 2.3
Sundsvall		2.1, 2.2, 2.3
Interporto	<ul style="list-style-type: none"> • Re-establishing of the freight committee • Business models for integration of parcel delivery and perishable goods in Cityporto range of services, extension of delivery services to non-urban areas • Integration with the rail-road transshipment activity currently performed in Padua intermodal terminal 	2.1, 2.3
SenStadtUM	<ul style="list-style-type: none"> • Constitution of a local board to facilitate the terminal Tempelhof Concept for the feasibility study "Berlin-Tempelhof" • Calculation of environmental figures for the study 	All tasks
Wildau University	<ul style="list-style-type: none"> • Technical support of SenStadtUm • Derivation of "Lessons learned and barriers" from city terminal Westhafen as well as the Freight villages (GVZ) in the outskirts of Berlin • Elaboration of the feasibility study and a suitable business model, as well as long-haul supply for "Berlin-Tempelhof" • Action Plan for implementation Report: Reactivating inner urban transport and logistics locations • Input for task 2.4 "Key findings" 	All tasks
Graz	<ul style="list-style-type: none"> • Establishment of focus groups with shopkeepers • Test of joint delivery services 	2.1, 2.2.
UNEW	<ul style="list-style-type: none"> • Establish freight committee. Development of a Coherent Campus Delivery Service Plan, investigate possible replication. • Input for task 2.4 "Key findings" 	All tasks
Forlí	<ul style="list-style-type: none"> • Establishment of freight stakeholder forum; definition and mapping of pre-requisites for business models; definition and implementation of business solutions for small demonstration projects; comparison and share of findings with PPs 	2.1, 2.2

RSM	<ul style="list-style-type: none"> • Coordination and communication involving of the local partnership, agreement on the tests for freight delivery with electric vehicles. • Input for task 2.4 “Key findings” 	All tasks
FGM-AMOR	<ul style="list-style-type: none"> • Follow-up of the activities for dissemination and communication purposes 	All tasks

4.3. WP 3 Incentives and regulations

4.3.1. WP-leader

RSM

4.3.2. Deliverables

D.3.1: Regulations experiences; report on success stories and limitations (M12)

D 3.2: Regulations and incentives to support market driven business models for urban freight distribution (M24)

D.3.3: Report on strategies, action plans and key findings across all sites (M36)

4.3.3. Tasks

Partner	Tasks per partner	Related to tasks
RSM	<ul style="list-style-type: none"> • Work package leader • Analysis of the new regulations in place • Participation in the definition of incentives and regulation, drafting guidelines 	3.1, 3.3, 3.4
Gothenburg	<ul style="list-style-type: none"> • Study of current regulations, possible modifications, and test of alteration in regulations for city center freight transports 	All tasks
Trafikverket	<ul style="list-style-type: none"> • Analyze administrative procedures for train scheduling, preservation of freight paths and clearance for departure, test administrative and other improvements 	All tasks
Sundsvall		All tasks
CLAS	<ul style="list-style-type: none"> • Participation in the definition of incentives and regulation, drafting of guidelines 	3.1, 3.4
Interporto		3.1, 3.4
SenStadtUM	<ul style="list-style-type: none"> • Steering of the participatory process to analyze possible incentives and regulations • Workshop with external stakeholders 	3.1, 3.3
Wildau University	<ul style="list-style-type: none"> • “Lessons learned” from city logistics project in Germany regarding incentives & urban introduction of e-mobility • Opinion survey among the stakeholders of the terminal Berlin-Tempelhof 	3.1, 3.2, 3.3

	<ul style="list-style-type: none"> • Policy paper “Incentives in Berlin – Barriers, Effects and Feasibility” 	
Graz	<ul style="list-style-type: none"> • Analysis of existing cooperations and still existing systems of good delivering 	3.1, 3.3, 3.4
UNEW	<ul style="list-style-type: none"> • Develop and test acceptability of the incentives/regulations mix. 	3.1, 3.3
Forlí	<ul style="list-style-type: none"> • Realization of study on road pricing and incentives • Implementation of the new identified measures (pricing, incentives) and addressing of their long term impacts • Comparison and share of findings with PPs 	All tasks
FGM-AMOR	<ul style="list-style-type: none"> • Follow-up of the activities for dissemination and communication purposes 	All tasks

4.4. WP 4 Clean vehicles in transport

4.4.1. WP-leader

UNEW

4.4.2. Deliverables

D4.1: Development of common assessment parameters and methodology for test of clean vehicles (M24)

D.4.2: Assessment of clean vehicle performance in relation to each market-driven freight terminal business model (M30)

D.4.3: Guidelines on how to increase the existing potential of e-mobility in urban logistics (M32)

D4.4: Two monitoring reports (M18, M28) for the City of Graz (M32)

D 4.5: Assessment of clean vehicles in urban freight distribution schemes: results and key findings (M32)

4.4.3. Tasks

Partner	Tasks per partner	Related to tasks
UNEW	<ul style="list-style-type: none"> • Work package leader • Collate and edit deliverables, monitor implementation in Newcastle 	All tasks
Gothenburg	<ul style="list-style-type: none"> • Test of electric and hybrid vehicles for inner city distribution in connection to urban terminal scheme 	4.1, 4.2, 4.4
Trafikverket	<ul style="list-style-type: none"> • Test Bombardiers TRAXX AC locomotive that can perform shunting operations on non-electrified yards. More efficient and less time consuming terminal operations are critical for the efficiency of intermodal rail solutions (this 	4.3, 4.4
Sundsvall		

	project component is not eligible for IEE funding).	
CLAS	• Start-up of Cityporto service with electric and hybrid vehicles	4.2
Interporto		4.2
SenStadtUM	• Concept for guidelines, steering of process	4.1, 4.2, 4.3
Wildau University	<ul style="list-style-type: none"> • Evaluation of ongoing field test in Berlin regarding e-mobility of trucks • Elaboration of guidelines how to increase existing potential • Evaluation of guidelines along on-going e-mobility field tests in the Berlin area • Cross fertilization with “E-mobility or other low emission tractions-projects and concepts for the long-haul concept of the urban terminal “Berlin-Tempelhof” • Input for “Key findings” 	4.1, 4.2, 4.3, 4.4
Graz	<ul style="list-style-type: none"> • Purchase of a certain contingent of delivery volume. Provision and coordination of contingent use for delivery services in strong cooperation with City Management. • Monitoring of implementation of sustainable delivery services. 	4.1, 4.2, 4.3
Forlí	<ul style="list-style-type: none"> • Definition of the most appropriate cleaner vehicles • Test activities • Comparison and share of key findings with PPs 	4.1; 4.2; 4.4
RSM	• Test last mile distribution of goods from the central micro-terminal by electric vehicles	4.1, 4.2,
FGM-AMOR	• Follow-up of the activities for dissemination and communication purposes	All tasks

4.5. WP 5 Networking & Exchange of Experiences

4.5.1. WP-leader

FGM-AMOR

4.5.2. Deliverables

D 5.1: Documentations of the peer review meetings (continuous)

D 5.2: Network cooperation plan (M8)

D 5.3: Documentation of activities and results of setting up networks (continuous)

D 5.4: Documentation of 36 network meetings including feedback/evaluation (continuous)

D 5.5: Final Report on networks and trans-network cooperation: lessons from participation (M35)

4.5.3. Tasks

Partner	Tasks per partner	Related to tasks
FGM-AMOR	<ul style="list-style-type: none"> • Work package leader • Organisation, facilitation and evaluation of peer-to-peer meeting • Coordination of network set-up, incl. network cooperation plan • Setting up transnational network, • Organisation of transnational network meetings • Coordination and (in)direct support to regional/national network meetings 	5.1, 5.2, 5.3, 5.3
All Partners	<ul style="list-style-type: none"> • Participation in peer review meeting • Support in setting-up networks – contacting, preparatory talks, etc. 	5.1
Gothenburg	<ul style="list-style-type: none"> • Participation in peer review meeting • Set-up regional and national networks • Translation of information material for a vision building workshop with regional network • Support in setting-up networks - contacting, preparatory talks, etc. • Facilitation and documentation of meetings of networks • Provide information on progress in demonstrator region for transfer of know-how • Organisation and hosting of network meetings (regional and national) • Provide information on progress in demonstrator region for transfer of know-how 	5.2, 5.3
Trafikverket		5.2, 5.3
Sundsvall		5.2, 5.3
CLAS		5.2, 5.3
Interporto		5.2, 5.3
SenStadtUM		5.2, 5.3
Wildau		5.2, 5.3
University		5.2, 5.3
Graz		5.2, 5.3
UNEW		5.2, 5.3
Forlí		5.2, 5.3
RSM		5.2, 5.3
CLAS		5.2, 5.3
RSM		5.2, 5.3
UNEW		5.2, 5.3

4.6. WP 6 Evaluation

4.6.1. WP-leader

Trivector

4.6.2. Deliverables

D6.1: Updated set of Common Performance Indicators (~~M3~~) (M4)

D6.2: Common Process Evaluation Plan (M6)

D6.3: Common and Local Effect Evaluation Plans (M9)

D6.4: Preliminary evaluation results and recommendations (M18)

D6.5: Final Results, Conclusions and Recommendations (M36)

4.6.3. Tasks

Partner	Tasks per partner	Related to tasks
Trivector	<ul style="list-style-type: none"> • Work package leader • Evaluation manager 	All tasks
Gothenburg	<ul style="list-style-type: none"> • Local evaluation plan • Local monitoring and evaluation and contribution to common evaluation 	All tasks
Trafikverket	<ul style="list-style-type: none"> • Liaison on process and policy evaluation, results and recommendations as input to dissemination outputs 	All tasks
Sundsvall	<ul style="list-style-type: none"> • Local evaluation plan • Local monitoring and evaluation and contribution to common evaluation 	All tasks
CLAS	<ul style="list-style-type: none"> • Local evaluation plan 	All tasks
Interporto	<ul style="list-style-type: none"> • Local monitoring and evaluation and contribution to common evaluation 	All tasks
SenStadtUM	<ul style="list-style-type: none"> • Local evaluation plan • Local monitoring and evaluation and contribution to common evaluation 	All tasks
Wildau University	<ul style="list-style-type: none"> • Local evaluation plan • Local monitoring and evaluation and contribution to common evaluation 	All tasks
Graz	<ul style="list-style-type: none"> • Local evaluation plan • Local monitoring and evaluation and contribution to common evaluation 	All tasks
UNEW	<ul style="list-style-type: none"> • Local evaluation plan • Local monitoring and evaluation and contribution to common evaluation 	All tasks
Forlí	<ul style="list-style-type: none"> • Local evaluation plan • Local monitoring and evaluation and contribution to common evaluation 	All tasks
RSM	<ul style="list-style-type: none"> • Local evaluation plan • Local monitoring and evaluation and contribution to common evaluation 	All tasks
FGM-AMOR	<ul style="list-style-type: none"> • Liaison on process and policy evaluation, results and recommendations as input to dissemination outputs 	All tasks

4.7. WP 7 Dissemination & Target Group Communication

4.7.1. WP-leader

FGM-AMOR

4.7.2. Deliverables

D 7.1: SMARTSET project dissemination and transfer plan and Corporate Design guidelines (M4)

D 7.2: SMARTSET project website (M4)

D 7.3: SMARTSET project PowerPoint presentation in EN, DE, IT and SE (M4)

D 7.4: SMARTSET project e-updates in EN, DE, IT and SE (M 6, 12, 18, 24, 30, 36)

D 7.5: SMARTSET project folder in EN, DE, IT and SE folder (M9)

D 7.6: SMARTSET project postcard in EN, DE, IT and SE (M12)

D 7.7: Final report on communication and dissemination (M36)

4.7.3. Tasks

Partner	Tasks per partner	Related to tasks
FGM-AMOR	<ul style="list-style-type: none"> • Work package leader • Concept for dissemination, elaboration of a Corporate Design • Chairing the dissemination workshop and support to partners • Set up and maintenance of the SMARTSET website • Content, design of PowerPoint standard presentation in EN • Design of project e-updates • Content, design, printing, shipment of project folder in EN, DE, IT, SE • Content, design, printing, shipment of postcard in EN, DE, IT, SE • Press work and media dissemination database • European Communication, Exploitation and Transferability • Co-organising Final Conference 	7.1, 7.2, 7.3, 7.4, 7.5, 7.6, 7.8, 7.9, 7.10
Gothenburg	<ul style="list-style-type: none"> • Concept for local dissemination • Communication at local, regional, national level • Inputs for the SMARTSET website • Inputs for PowerPoint standard presentation in EN • Inputs for project e-updates • Inputs for project folder in EN • Press Work • European Communication, Exploitation and Transferability • Organising Final Conference 	7.1, 7.2, 7.3, 7.4, 7.5, 7.6, 7.8, 7.9, 7.10
Trafikverket	<ul style="list-style-type: none"> • Concept for local dissemination 	7.1, 7.2, 7.3, 7.4,

Sundsvall Interporto SenStadtUm Graz UNEW Forli RSM	<ul style="list-style-type: none"> • Communication at local, regional, national level • Inputs for the SMARTSET website • Translation of website into DE (Graz), SE (Sundsvall), IT (Forli) • Translation of ppt-presentation into DE (Graz), SE (Sundsvall), IT (Forli) • Inputs for project e-updates • Translation of e-updates into DE (Graz), SE (Sundsvall), IT (Forli) • Translation of project folder into DE (Graz), SE (Sundsvall), IT (Forli) • Translation of postcard into DE (Graz), SE (Sundsvall), IT (Forli) • Press Work • Participation at Final Conference 	7.5, 7.6, 7.8, 7.9, 7.10
CLAS Wildau University Trivector	<ul style="list-style-type: none"> • Inputs for the SMARTSET website • Inputs for project e-updates • Press Work • European Communication, Exploitation and Transferability • Participation at Final Conference 	7.3, 7.5, 7.8, 7.9, 7.10

4.8. WP 8 IEE Dissemination

4.8.1. WP-leader

Gothenburg

4.8.2. Deliverables

To be agreed specifically at the time of the request.

D.8.1: Set of updated IEE Common Performance indicators including their baseline and assumptions for extrapolation (~~M3~~) (M4)

4.8.3. Tasks

Partner	Tasks per partner	Related to tasks
Gothenburg	<ul style="list-style-type: none"> • Work package leader • Contribute, upon request by the EACI, to common dissemination activities to increase synergies between, and the visibility of IEE-supported actions 	8.1, 8.2, 8.3
FGM AMOR	<ul style="list-style-type: none"> • Contribution, upon request by the EACI, to the development of information material. 	8.1
Trivector	<ul style="list-style-type: none"> • Produce update / further input of the project's 	8.3

	contribution to the IEE Common performance indicators	
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5. QUALITY CONTROL

This chapter describes a method on how to proceed with the quality control.

5.1. What should be quality checked?

Any report, deliverable and the website should be quality checked in terms of content, format and language.

5.2. When should quality checks be made?

Reports and any other deliverable should be quality checked before publication and before delivery to the EACI.

- Reports and any other deliverable should be made available for quality check the latest two weeks before submission to EACI and/or publication.
- The website should be quality checked before launch and continuously during the project. The website content should be made available for quality check the latest two weeks prior to launch.

Those partners who are to perform the quality control should be informed at least one month prior to the delivery.

5.3. Who are responsible for quality checks?

WP-leaders are responsible for making sure the reports are sent for quality control.

Partners responsible for producing a report should consult the WP-leader on how to proceed with quality check.

At least two partners should review and give feedback on each reports content and format.

One partner should check language. Partners responsible for language check are:

- Gothenburg (Swedish)
- FGM-AMOR (German)
- CLAS (Italian)

UNEW supports in English.

5.4. How should quality checks be made?

Reports to be quality checked should be sent to quality control partners per e-mail.

WP-leaders should give comprehensive instructions to the quality control partners.

6. REPORTING

In this chapter, the reporting procedures are outlined.

6.1. What shall be reported?

Reporting in SMARTSET will be done four times to the EACI. The reports consist of two parts, and Annexes.

- The *Technical report* is the report where the Consortium describes the progress of the activities according to the work plan.
- The *Financial report* shows the level of spending of costs for all partners. The reports are to be submitted according to a given template issued by the EACI.

Apart from the mandatory reporting of costs in the Interim report and Final report, the PC will also request an internal report on spending by all partners in connection to the first and second progress reports (M 10 and 28).

6.2. Who is responsible for reporting?

The PC is responsible for coordinating the reporting and delivery to the EACI.

All partners are responsible for submitting their contribution to the reports to the PC.

6.3. When should reporting be made?

All partners are responsible for submitting to the PC their contribution to the progress reports in an electronic version in English **two weeks before the deadline to the Commission**.

If signed originals are needed for the financial statements, an electronic version of the financial statement needs to be sent three weeks before the Commission deadline to the PC, so it can be checked before the signature is placed. The signed original is then to be sent two weeks before the deadline.

The payments from the Commission will only be transferred on condition that the reports submitted have been approved. It is therefore crucial that every partner respects the deadlines and carefully follows the reporting guidelines. More detailed information can be found in the Contract.

Report	Content	Period	Deadline
Progress report 1	Status of technical implementation	Month 1-9	Month 10
Interim rapport	Status of technical implementation, financial statements	Month 1-18	Month 19

Progress report 2	Status of technical implementation	Month 19-27	Month 28
Final Report	Technical implementation and financial statements	Month 1-36	Month 38

Table: Reporting schedule

6.4. How shall reporting be made?

The PC will issue separate internal templates, for both the Technical report and the Financial report, in order to make reporting easier and more consistent between partners.

Technical reports

The PC will send templates to partners one month before the end of the relevant project period (e.g. for Progress Report 1 in month 8), along with instructions on what and how to fill in.

Partners are requested to submit the technical reports at latest approximately 15 days after the relevant project period. The exact date will be agreed within the consortium well before the reportings are about to start. The Coordinator will proof read all submitted reports and get back to partners with request for clarification, additional information and similar. All input to the reports should be submitted to the PC at least one week before deadline for submission to the EACI.

Financial reports

The PC will send the internal cost reporting template to partners one month before the end of the reporting period (same as above).

Progress reports

Partners are requested to submit the filled in internal cost reporting templates at latest 15 days after the end of the project period. The PC will compile the spending level of the staff hours from these templates and insert in the technical progress reports. The PC will however follow up spending levels of all costs for all partners.

Interim report

Along with the internal cost reporting templates, the PC will also send the *Financial statements* which are the templates that will be submitted to the EACI. Both files should be filled in and sent to the PC at latest approximately Month 19 + 10 days. Exact dates are to be agreed within the Consortium. The PC will review the files and request additional information, clarifications or similar.

The amended reports are to be submitted to the PC at least one week before the deadline for submission to the EACI. Financial statements are to be submitted signed by Financial Officer and Person in Charge of the Work. In order to ensure a quick and safe delivery of the papers, hard copies of the Financial statements should be sent to partners by courier.

Final report

The final report follows the same procedure as the Interim, with the difference that the Consortium has 60 days to submit the complete report. The final financial statement should cover the whole project period (from month 1 to 36) and is the only one where the costs are officially approved or rejected.

7. FINANCIAL GUIDELINES

This chapter should give answers to some of the common questions on financial issues related to IEE-projects. For more detailed information, consult the EC-GA, the Financial guidelines, or contact the PC (Gothenburg).

Link to Financial guidance for IEE-projects:

http://ec.europa.eu/energy/intelligent/managing-projects/day-to-day-management/financial-guidance/index_en.htm

7.1. What are eligible costs?

To be eligible all costs must:

- be incurred during the project period (except for costs relating to final reports and audit certificates when incurred within a maximum period of two months following the completion of the action).
- be related to the purpose of action and indicated in the budget
- be necessary for the implementation of the action
- Identifiable and verifiable, recorded in the accounting
- Comply with applicable tax and social legislation
- be reasonable, justified and sound

In addition, direct eligible costs must:

- be reasonable, justified, consistent with the usual internal rules of the participant, and in accordance with the principle of sound financial management, especially cost effectiveness and “value for money”
- be identifiable, verifiable and determined in accordance with the relevant accounting principles;
- be actually incurred by the participant and recorded in the accounts of the participant no later than the grant agreement completion date
- be compliant with the requirements of applicable tax and social legislation
- be substantiated by proper evidence allowing identification and checking (except for the flat rate indirect costs).

7.1.1. What are eligible indirect costs?

The indirect costs incurred in carrying out the action are only eligible for flat-rate funding fixed at 60% of the beneficiaries total eligible direct staff costs. Indirect costs do not need to be supported by accounting documents.

7.1.2. What are the conditions for subcontracting?

The conditions for using a subcontractor are the following:

- Subcontracting may only cover the execution of a limited part of the action: Limited tasks outsourced by the beneficiary, and for hiring special expertise
- Beneficiaries who issue subcontracts have to pay 100% of the subcontractor's invoice before claiming reimbursement from the Commission at the agreed level of co-funding.

- Subcontracts must be awarded in accordance with Article II.9 of the EC-GA: *Subcontractors should be selected on transparent grounds, to the best offer, taking into consideration price and quality (best value for money)*. In a very simplified procedure, three different offers should be obtained and evaluated against common established criteria.

7.1.3. What is considered as “Travel and subsistence costs”?

Travel costs can only be claimed for staff taking part in the action and should be based on the beneficiary’s usual practices. Travel costs for subcontractors should be included in the subcontracts.

7.1.4. What can be addressed under “Other specific costs”?

Are linked to the action or arise directly from requirements imposed by the grant agreement and cannot be included under the other cost classifications of direct costs.

Examples:

- Subscription fees to conferences or events
- Travel costs for persons who are not members of staff or subcontractors
- Miscellaneous costs of organising an event
- Specific evaluation of the action
- Costs of audit certificates

Dinner costs

When participants organise project meetings, the costs for the organisation of one dinner per meeting can be accepted under 'Other Specific Costs'. The maximum eligible number of persons to be included in the dinner costs is twice the number of participants in the consortium (this is deemed to cover also invited external experts). The maximum dinner price per person should not exceed 40 Euros. Any deviations should be explained when submitting the financial statements.

7.1.5. What can be registered as “staff costs”?

Only costs for the staff categories assigned to the action can be claimed. Only costs related to the actual hours worked by the persons directly carrying out the work under action may be charged to the agreement.

The cost of staff assigned to the action, comprising actual salaries plus social charges and other statutory costs included in the remuneration, provided that this does not exceed the average rates corresponding to the beneficiary’s usual policy on remuneration.

Working time to be charged must be recorded using time-sheets all throughout the duration of the action. Each person involved in the project must have daily records of all hours spent in the project and the records must be certified at least once per month by the person in charge of the work (project manager). Estimates of hours worked are not acceptable. Make sure references are complete with agreement reference, beneficiary reference, full name of the employee, full name of supervisor and his/her signature, etc. For easy reporting, complete the time-sheets every day.

If your organisation is not using time sheets already, please use time sheets templates found on the website (see in the introduction to this chapter).

7.2. How should costs be documented?

- All partners must keep proper accounts and supporting documents to justify as necessary all costs incurred and generated by the action.
- Original documents, especially accounting and tax records, must be kept for five years after the date of payment of the balance of the Union contribution.
- Make sure there is a reference to SMARTSET on all invoices related to the project. This is necessary to be able to get the invoices accepted by the Commission.

7.3. What exchange rate is applicable for non-EURO countries?

For beneficiaries of non-EURO countries there are two options to choose, i.e. any conversion of actual costs into euro shall either be made:

- at the monthly accounting rate established by the Commission and published on its website applicable on the day when the cost was incurred, or...
- at the monthly accounting rate established by the Commission and published on its website applicable on the first working day of the month following the period covered by the financial statement concerned.

Link: <http://ec.europa.eu/budget/inforeuro/index.cfm?fuseaction=home&Language=en>

7.4. What are non-eligible costs?

Costs which are not eligible include in particular (according to article II.14.4 of the Grant agreement):

- Return on capital employed
- Debt and debt service charges
- Provisions for losses or potential future liabilities
- Interest owned
- Doubtful debts
- Exchange losses
- VAT, unless irrecoverable
- Costs declared and covered by another Union grant
- Excessive or reckless expenditure (!)

7.5. When do we receive payment from the Commission?

1st pre finance payment

45 days of official receipt of signed agreement, 30% of total EU funding

2nd pre finance payment

Provided that all money from 1st payment has been used, a second payment can be requested in connection to the Interim report, 30% of total EU funding.

Final payment

When it comes to final payment, the final report is the important one, this is when the balance is calculated. EC has 90 days to assess, approve and pay.

8. COMMUNICATION

8.1. Requirements

- All communication or publication, including conferences and seminars, must indicate that the action has received funding from the European Commission.
- Always use the SMARTSET logo and the IEE-banner. Both will be available via the SMARTSET website, under the section *Management Board*.
- For any report or other deliverable, use the SMARTSET-templates provided, see *8.3 Templates*.
- Make sure to follow the quality check routines, see *5. Quality control*.

8.2. Website

- The SMARTSET website is the primary communication tool for SMARTSET.
- The SMARTSET website has three major functions:
 1. The signboard for the project in general
 2. The communication platform for the knowledge-exchange
 3. The internal communication amongst all project partners
- The information is accessible for everybody (only the Management Board / internal section is excluded) in English.
- Basic, introductory texts, a description of SMARTSET and its key conclusions as well as the networking section will be multilingual (DE, IT and SE).
- The translation into the national languages will be done by the respective partners.

Link: www.smartset-project.eu

8.3. Templates

For any report or other deliverable, use the following templates that have been provided by FGM-AMOR and downloadable from the Management Board:

SMARTSET Report [SMARTSET_Report_Template.doc]

SMARTSET Meeting Agenda [SMARTSET_Meeting_Agenda_Template.doc]

SMARTSET Meeting Evaluation [SMARTSET_Meeting_Evaluation_Template.doc]

SMARTSET Meeting Minutes [SMARTSET_Meeting_Minutes_Template.doc]

SMARTSET Letter [SMARTSET_Letter_Template.doc]

SMARTSET Translation [SMARTSET_Translation_Template.xls]

SMARTSET Presentation [SMARTSET_PowerPoint_Template.ppt]

8.4. Contacts

- All communication with the EACI will go through the PC (Gothenburg). For any issues to be addressed to the EACI, first contact the PC (Gothenburg).
- For any questions regarding the external communication tools, templates or the website, contact FGM-AMOR.
- For contact details of partners, consult the latest contact list: SMARTSET_Contactdetails_yymmdd. The document is updated by the PC (Gothenburg).