



SOLutions TEsting for Regions through Insurance for Climate Adaptation

HORIZON-MISS-2022-CLIMA-01| Project Number 101112867

Deliverable 5.1

Project Management Handbook

Due date of deliverable: 30/11/2023

Actual date of submission: 30/11/2023

Start date of project: 1st September 2023

Duration: 30 months

Beneficiary responsible for the Deliverable: Maria José Sanz, Laura Vay (BC3)

Dissemination Level		
PU	Public	X
SEN	Sensitive – limited under the conditions of the Grant Agreement	
CI	EU classified, as referred to in Commission Decision 2001/844/EC	

* PU: Public – fully open. SEN: Sensitive – limited under the conditions of the Grant Agreement. EU classified – RESTREINT-UE/EU-RESTRICTED, CONFIDENTIEL-UE/EU-CONFIDENTIAL, SECRET-UE/EU-SECRET under Decision 2015/444. For items classified under other rules (e.g. national or international organization), please select the equivalent EU classification level.

Disclaimer: Funded by the European Union. Views and opinions expressed are however those of the authors only and do not necessarily reflect those of the European Union or European Climate, Infrastructure and Environment Executive Agency (CINEA). Neither the European Union nor CINEA can be held responsible for them.



List of Contributors

Organization	Name	Contribution
BC3	Laura Vay	Elaboration of the document
BC3	María Jose Sanz	Main revision of the document

Modification Control

Version	Date	Description & Comments	Responsible
0.1	08/11/2023	First draft	BC3
0.2	16/11/2023	Reviewers review and comment the document	All partners
0.3	22/11/2023	Project Coordination revision	Project Coordinator
Final	23/11/2023	Project Manager	BC3
Revision	27/11/2023	Project Coordinator	Project Coordinator

General Project Information

Title	SOLutions TEsting for Regions through Insurance for climate Adaptation
Acronym	SOTERIA
Grant Agreement No.	101112867
Funding Programme	HORIZON EUROPE
Topic	HORIZON-MISS-2022-CLIMA-01-03
Type of action	HORIZON Research and Innovation Actions
Project Start Date	1st September 2023
Duration of the project	30 Months



List of SOTERIA Partners

Nº	ORGANISATION	Short name	Country	Role
1	Basque Centre for Climate Change	BC3	ES	Coordinator
2	I-Catalist SL	ICA	ES	Beneficiary
3	Climate Risk Advisory Ltd	CRA	NO	Beneficiary
4	Helmholtz Centre for Environmental Research	UFZ	DE	Beneficiary
5	SINTEF AS	SINTEF	NO	Beneficiary
6	Mitigrate AS	MITI	NO	Beneficiary
7	AQUATEC	AQUA	ES	Beneficiary
8	Genilland & Co GmbH	G&Co	DE	Beneficiary
9	National Center for Scientific Research Demokritos	DEMO	GR	Beneficiary
10	Hochschule Weihenstephan-Triesdorf	HSWT	DE	Beneficiary
11	Association for the Development of West Athens	ASDA	GR	Beneficiary
12	Behavior SMART OOD	BES	BG	Beneficiary
13	Generalitat Valenciana	GVA	ES	Beneficiary
14	Municipality of Gabrovo	MoG	BG	Beneficiary
15	Empower Insight	EI	FR	Beneficiary
16	Stiftung Global Infrastructure Basel	GIB	CH	Associated Partner
17	Verbraucherzentrale Sachsen e.V.	VZS	DE	Associated Partner
18	Landesamt für Umweltschutz (Regional Env. Protection Agency)	LAU	DE	Associated Partner
19	KLP Skadeforsikring AS (insurance)	KLP	NO	Associated Partner
20	Gjensidige Forsikring ASA (insurance)	GJE	NO	Associated Partner
21	Allianz Agrar (insurance)	AZA	DE	Associated Partner
22	Croatia Osiguranje (insurance)	CO	HR	Associated Partner
23	German Insurance Association	GDV	DE	Associated Partner
24	DIMOS EGALEO (insurance)	EGL	GR	Associated Partner
25	Bavarian Farmers Association	BBV	DE	Associated Partner
26	Zadar County, Croatia	ZDC	HR	Associated Partner
27	The County Governor in Trøndelag	CGT	NO	Associated Partner
28	DZI at KBC Group (insurance)	DZI	BG	Associated Partner
29	Caisse de Reassurance (insurance)	CCR	FR	Associated Partner
30	Ethniki AEEGA (insurance)	Ethniki	GR	Associated Partner



Executive Summary

This document is the central information reference for the SOTERIA project. It describes legal aspects, the project approach and overview, the project organizational structure, the decision making-process and the documentation and communication procedures that are to be used within the project, both for exchange of information internally and externally to the project consortium. Particularly, it provides guidelines for 1) creating and reviewing project related documents and formal deliverables; 2) communication among partners; 3) conditions for usage of the shared project drive for file storage and exchange, and (4) reporting aspects to have in mind. It serves also as a reference for quality management of deliverables and dissemination material and for decision-making processes, including risk management.

After the submission of this document as a deliverable, the SOTERIA project management handbook will be maintained as a living document throughout the lifetime of the project, to be updated whenever necessary.



Index

Abbreviations	6
1. About the project handbook.....	7
Precedence	7
2. Legal Aspects.....	7
Grant Agreement.....	7
Consortium Agreement.....	8
Amendments.....	8
4. Project Overview	9
Project summary.....	9
Critical Success Factors and Project Management Objectives	10
Project Stakeholders	11
Project Dependencies or Interrelations	12
6. PROJECT APPROACH.....	13
Project Lifecycle.....	13
Required Project Documentation.....	14
Specific Project Management Rules.....	16
Project Organizational Structure	16
Roles & Responsibilities.....	17
Management Bodies.....	19
Decision-making procedures and conflict resolution rules (operational level)	20
Dispute resolution procedures and rules.....	21
7. PROJECT PROCESSES.....	22
Deviations Management.....	22
Communication and Dissemination Management.....	23
Internal communication.....	23
SOTERIA Drive	23
External communication.....	25
Dissemination.....	25
Project website	25
EC General Requirements.....	25
General Project Presentation	26
Templates.....	26
Project meetings.....	27
Reporting	29
Internal reporting	29
Continuous reporting	30
Deliverables revision process.....	30
Risk Management Process.....	31
Periodic Reporting	32
Financial Reporting in Detail.....	34
Budget transfers	36
Payments	36
ANNEX I: List of Deliverables	37
ANNEX II: List of Milestones.....	40
ANNEX III: Appointed Reviewers.....	41
ANNEX IV: Individual Deliverables Peer Review Report Template	45
ANNEX V: List of SOTERIA project Critical Risks.....	46
ANNEX VI: Risk Register Template	48



Abbreviations

AS	Associated Partner
CA	Consortium Agreement
CINEA	European Climate, Infrastructure and Environment Executive Agency
CL	Case Leader
CoP	Communities of Practises
CT	Coordination Team
DLA	Deliverable Lead Author
DoA	Document of the Action
EC	European Commission
EU	European Union
FOD	First-Order Draft
GA	Grant Agreement
GeA	General Assembly
IPR	Intellectual Property Rights
KoM	Kick-off Meeting
KPI	Key Performance Indicator
NBS	Nature-Based solutions
NGO	Non-Governmental Organization
PC	Project Coordinator
PM	Project Manager
PP	Project Progress
PR	Pilot Regions
RP	Reporting Period
SC	Steering Committee
SOD	Second-Order Draft
SRL	Societal Readiness Level
TL	Task Leader
TRL	Technical Readiness Level
WP	Work Package
WPL	Work Package Leader



1. About the project handbook

This Project Handbook and quality manual serves two primary purposes:

Firstly, it acts as a day-to-day guide for all partners of the project, providing information on various routine tasks and activities that need to be carried out during the project.

Secondly, it aims to establish uniformity in how certain project elements, such as project reports and deliverables, are handled. This standardization is achieved by using agreed-upon procedures and templates when applicable.

This document will remain flexible and will be adjusted or modified as necessary to meet the evolving needs of the project.

Precedence

The general principles for the project execution are defined in the EU Grant Agreement (GA), the Description of the action (DoA) and the Consortium Agreement (CA). The Project Management Handbook does not replace any of these established agreements, nor does it replace any of the EU guidelines for project implementation and documentation.

Where there are any inconsistencies between these documents, the following order of precedence should be applied:

1. EU Grant Agreement including Description of the action, also referred to as the Grant Agreement (EU GA) Annex 1.
2. Consortium Agreement (CA).
3. Project Management Handbook (present document).

2. Legal Aspects

Grant Agreement

The GA forms the legal basis for the implementation of the project and is composed of:

Preamble

Terms and Conditions (including Data Sheet)

Annex 1 Description of the action

Annex 2 Estimated budget for the action

Annex 2a Additional information on unit costs and contributions (if applicable)

Annex 3 Accession forms (if applicable)



Annex 3a Declaration on joint and several liability of affiliated entities (if applicable)

Annex 4 Model for the financial statements

Annex 5 Specific rules (if applicable)

The GA must be kept by all partners and should be provided to the auditor in case of an audit. It is uploaded to the [SOTERIA Drive](#).

Consortium Agreement

Whereas the GA is signed between the European Union (EU) and the Beneficiaries, the CA is signed between the Beneficiaries and the Associated Partners. It arranges in more detail the provisions of the GA, such as but not limited to: financial issues, payments, management, decision making, conflict resolution, intellectual property rights and liability.

The CA must also be kept by the partners and must be shown in case of audits.

Amendments

The GA may be amended, unless the amendment entails changes to the GA which would call into question the decision awarding the grant or breach the principle of equal treatment of applicants.

Amendments may be requested by any of the parties.

The Project Coordinator (PC) submits and receives requests for amendment on behalf of the beneficiaries. If a change of Coordinator is requested without its agreement, the submission must be done by another beneficiary (acting on behalf of the other beneficiaries). Further details on the conditions and procedures for an amendment can be found in the GA Art. 39.

Reasons may vary, but could be:

- Change of partner(s).
- Change of legal entity.
- Changes in the Budget (GA: Annex 2).
- Changes in the DoA (GA: Annex 1).



4. Project Overview

Project summary

The SOTERIA project aims to advance innovative insurance solutions for climate change adaptation in different European regions and communities. To do so, SOTERIA will work through three main tracks forming the core of our approach: i) documenting best practice in relation to data, new insurance and robust enabling frameworks; ii) testing of some of these solutions; and iii) the creation of communities of practice for regions and insurance as legacy (Fig. 1). We aim to help reducing the protection gap by documenting best practice and the testing of insurance products and services that reward proactive prevention measures while seeking to increase coverage through co-designed solutions. We will also consider the enabling framework that analyses the role of public sector modernisation and how to develop affordable insurance schemes that leave no one behind, through our Communities of Practice engaged in Climate Resilience society-insurance dialogues. SOTERIA will take these solutions from the levels of research to demonstration and testing with some at the level of pre-commercial procurement in at least three cases thanks to a network of three pilots and 5 satellites that span different geographical areas (and needs). The project legacy a set of best practice materials as well as a Community of Practice to support other regions interested to design and/or adopt innovative insurance solutions. SOTERIA will contribute to the wider goal of the Mission Adaptation to increase Europe's resilience and preparedness to face unavoidable consequences of climate change by filling the gaps on insurance coverage for climate adaptation.

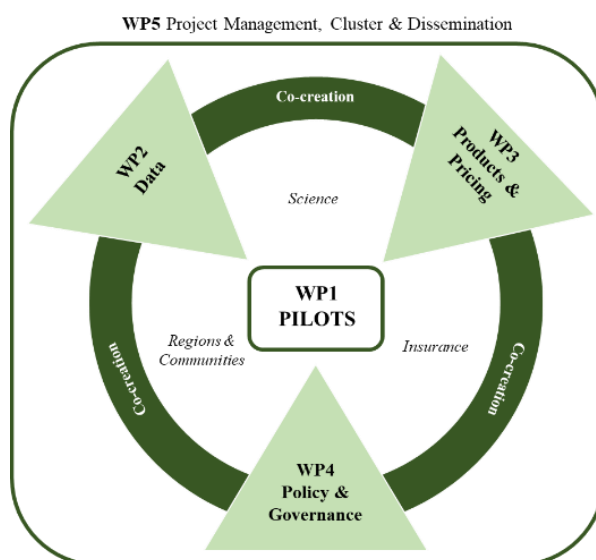


Figure 1. Relationship between the different WPs and their topics.



Critical Success Factors and Project Management Objectives

SOTERIA by using the so-called “Lean method” (Fig. 2), will co-create with the insurance sector and the regions a first-order draft (FOD), second-order draft (SOD) and final version of a tool for innovative risk transfer solution implementation. Over the running period of the project, the insurance sector, which insures customers against climate-induced risks, can use this tool to test and implement innovative services and products for their clients. SOTERIA will outline what the systemic risk sharing between the insurance sector, the customers and the public sector looks like. Based on demand, Nature-Based solutions (NBS) risk reduction potential will be quantified and made available to various actors. It will enable non-specialist stakeholders to share a common understanding of NBS and leverage their potential for risk transfer.

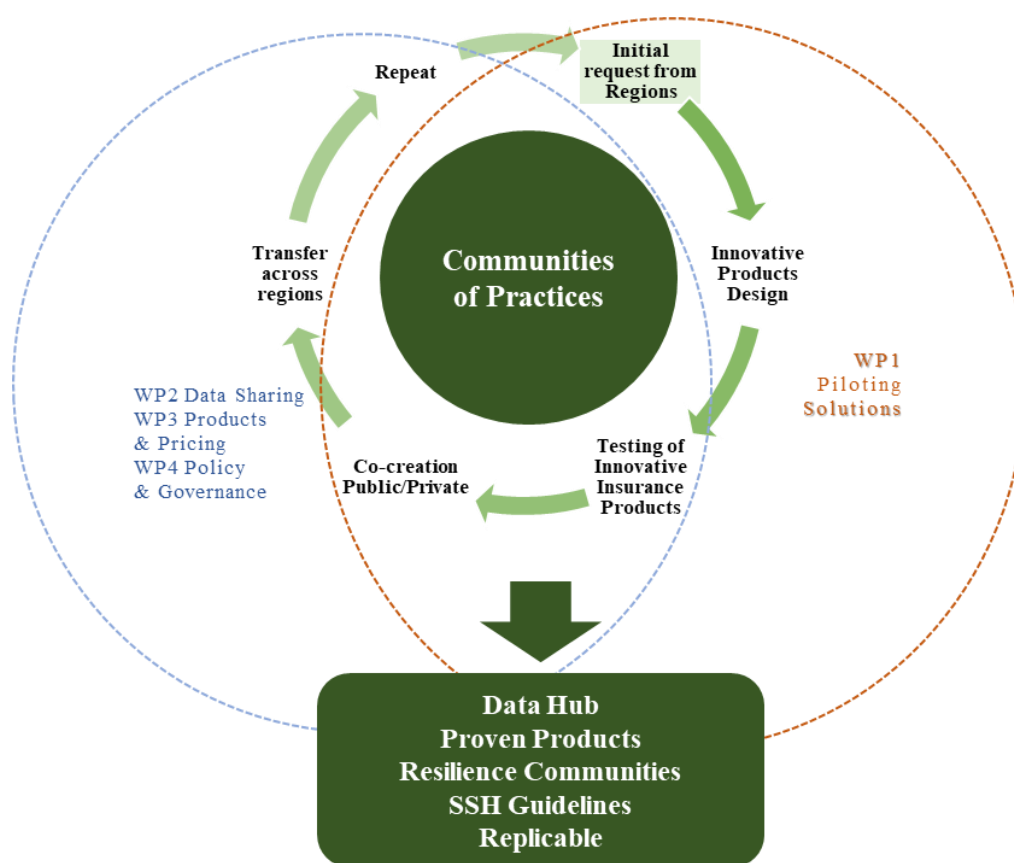


Figure 2. SOTERIA Lean Method.



Project Stakeholders

The lean method followed in SOTERIA will enable an organic selection based on the usefulness and acceptance of the innovative insurance solutions delivered within the project. This is a process which will enable all stakeholders, regions and partners to adapt and start using the created new innovative insurance solutions which is actually improving also their societal readiness level (SRL)¹, meaning that without this process we cannot expect to succeed despite the high (TRL)².

The identification of the main stakeholders in SOTERIA is based on the identification of major interests inside and outside the project environment (Fig. 3).

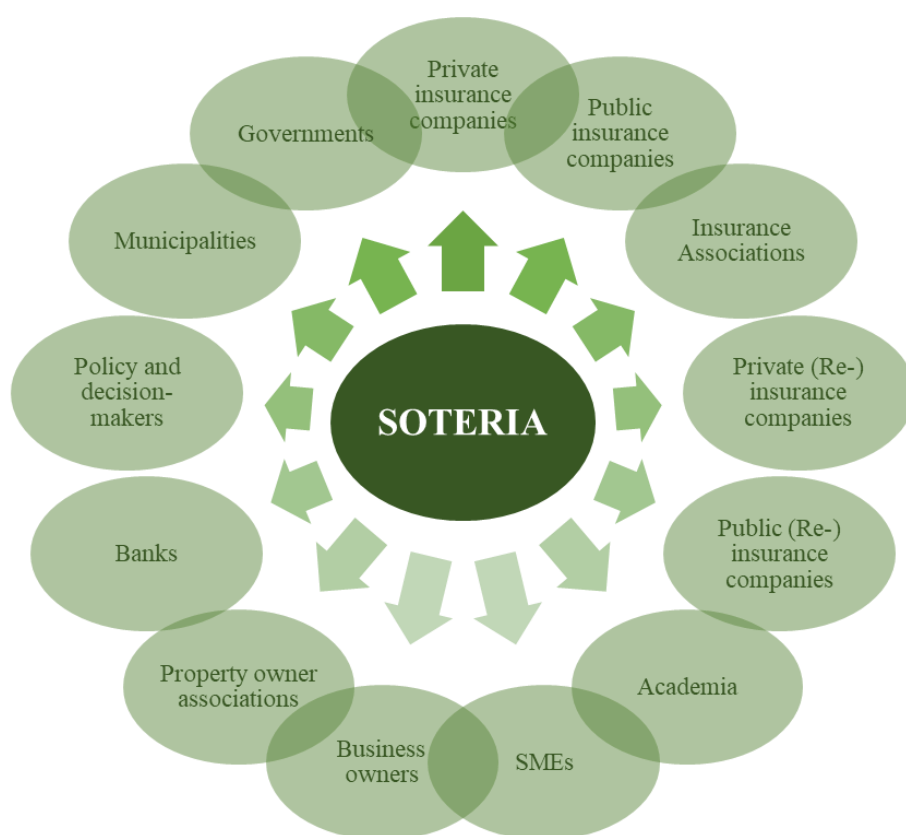


Figure 3. SOTERIA stakeholders.

¹ Societal Readiness Level (SRL) is a way of assessing the level of societal adaptation of, for instance, a particular social project, a technology, a product, a process, an intervention, or an innovation (whether social or technical) to be integrated into society (Societal Readiness Levels (SRL) defined according to [Innovation Fund Denmark](#)).

² Technological Readiness Level estimates the degree of maturity of a specific technology. This scale helps to determine the level of readiness of a technology before it can be used on a large-scale (H2020 General Annex G. [TRL](#)).



Project Dependencies or Interrelations

SOTERIA will deliver a set of methods, resources, and tools as innovative insurance solutions to guide the socio-technical transitions and deep transformative changes required by regions, local authorities and communities to adapt to climate change. In SOTERIA we have identified **7 key target groups** in terms of pathways to impact: 1) regions, local authorities, and networks, 2) the insurance (and finance) sector, 3) key (insurable) sectors (agriculture, tourism, infrastructure, public water supply, energy, buildings), 4) citizens, vulnerable & disadvantaged groups and NGOs, 5) mission & associated projects, 6) scientific community and 7) EU and international organizations (Fig. 4).

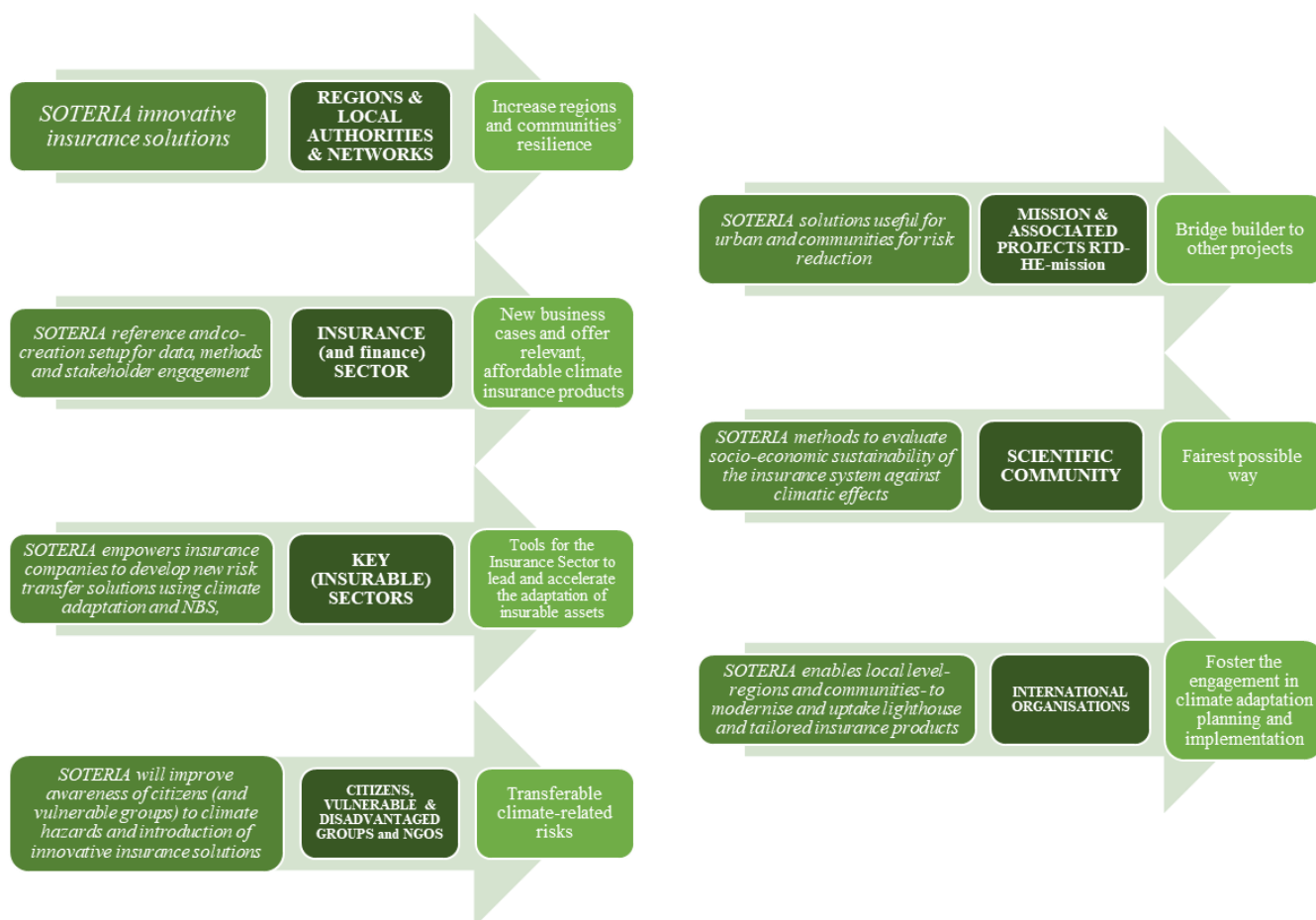


Figure 4. SOTERIA interrelations.



6. PROJECT APPROACH

Project Lifecycle

The project lifecycle covers the initiation of the project until the closeout. The **Diagram A** shows the detailed processes carried out as revisions and responsibilities, from the initiation of a task to its delivery and submission. This process includes the deliverables submission and the elaboration of the communication materials, scientific papers, technical documents, etc.



Diagram A. Project Lifecycle.



Required Project Documentation

Several documents and plans will be available to guide SOTERIA beneficiaries through the different management aspects of the project (Table 1).

Table 1. Management documents available in SOTERIA Project.

Document	Lead Beneficiary	Location (SOTERIA DRIVE)	Available (date)
Grant Agreement	All	SOTERIA (Beneficiaries shared folder) > 1a.-Grant Agreement	01/09/2023
Consortium Agreement	All	SOTERIA (Beneficiaries shared folder)> 1b.-Consortium Agreement (Beneficiaries + Associated Partners)	30/09/2023
SOTERIA Pilot Regions Matrix (xlsx)	BC3	SOTERIA (Beneficiaries shared folder) > 3b.-Technical (Beneficiaries + Associated Partners) > SOTERIA Pilot Regions Matrix	01/09/2023
SOTERIA_Planning_Master File (xlsx)	BC3	SOTERIA (Beneficiaries shared folder)> 3b.-Technical (Beneficiaries + Associated Partners) > SOTERIA_Planning_Master File	30/09/2023
SOTERIA Contact List (xlsx)	BC3	SOTERIA (Beneficiaries shared folder) > SOTERIA Contact List_2023.xlsx	30/09/2023
SOTERIA Mailing Lists	BC3	SOTERIA (Beneficiaries shared folder) > 3b.-Technical (Beneficiaries + Associated Partners) > <i>Each Mailing List will be available within the corresponding WP folder</i>	22/11/2023
D3.6 Exploitation plan and SOTERIA strategy of market watch	UFZ	SOTERIA (Beneficiaries shared folder) > 2b.-Reporting > 1.-Continuous Reporting (Deliverables, Milestones, Risk, Indicators, Diss&Comm) > DELIVERABLES (only final versions)	31/08/2025



Document	Lead Beneficiary	Location (SOTERIA DRIVE)	Available (date)
D5.1 Project Management Handbook (this document)	BC3	SOTERIA (Beneficiaries shared folder) > 2b.-Reporting > 1.- Continuous Reporting (Deliverables, Milestones, Risk, Indicators, Diss&Comm) > DELIVERABLES (only final versions)	30/11/2023
D5.2 Data Management Plan	SINTEF	SOTERIA (Beneficiaries shared folder) > 2b.-Reporting > 1.- Continuous Reporting (Deliverables, Milestones, Risk, Indicators, Diss&Comm) > DELIVERABLES (only final versions)	29/02/2024
D5.5 IPR and Innovation Management	UFZ	SOTERIA (Beneficiaries shared folder) > 2b.-Reporting > 1.- Continuous Reporting (Deliverables, Milestones, Risk, Indicators, Diss&Comm) > DELIVERABLES (only final versions)	29/02/2024
D5.8 Dissemination & Communication activities plan and reporting	EI	SOTERIA (Beneficiaries shared folder) > 2b.-Reporting > 1.- Continuous Reporting (Deliverables, Milestones, Risk, Indicators, Diss&Comm) > DELIVERABLES (only final versions)	29/02/2024



Specific Project Management Rules

Project Organizational Structure

The SOTERIA management structure is built based on a collaborative approach. The management structure (Fig. 5) is composed of several related management structures: The Project Coordination Team (PCT), the Steering Committee (SC), the Case Leaders (CL), the WPs Leaders, and the General Assembly (GeA). In addition, SOTERIA will count on advice provided by the SOTERIA Task Forces (TF).

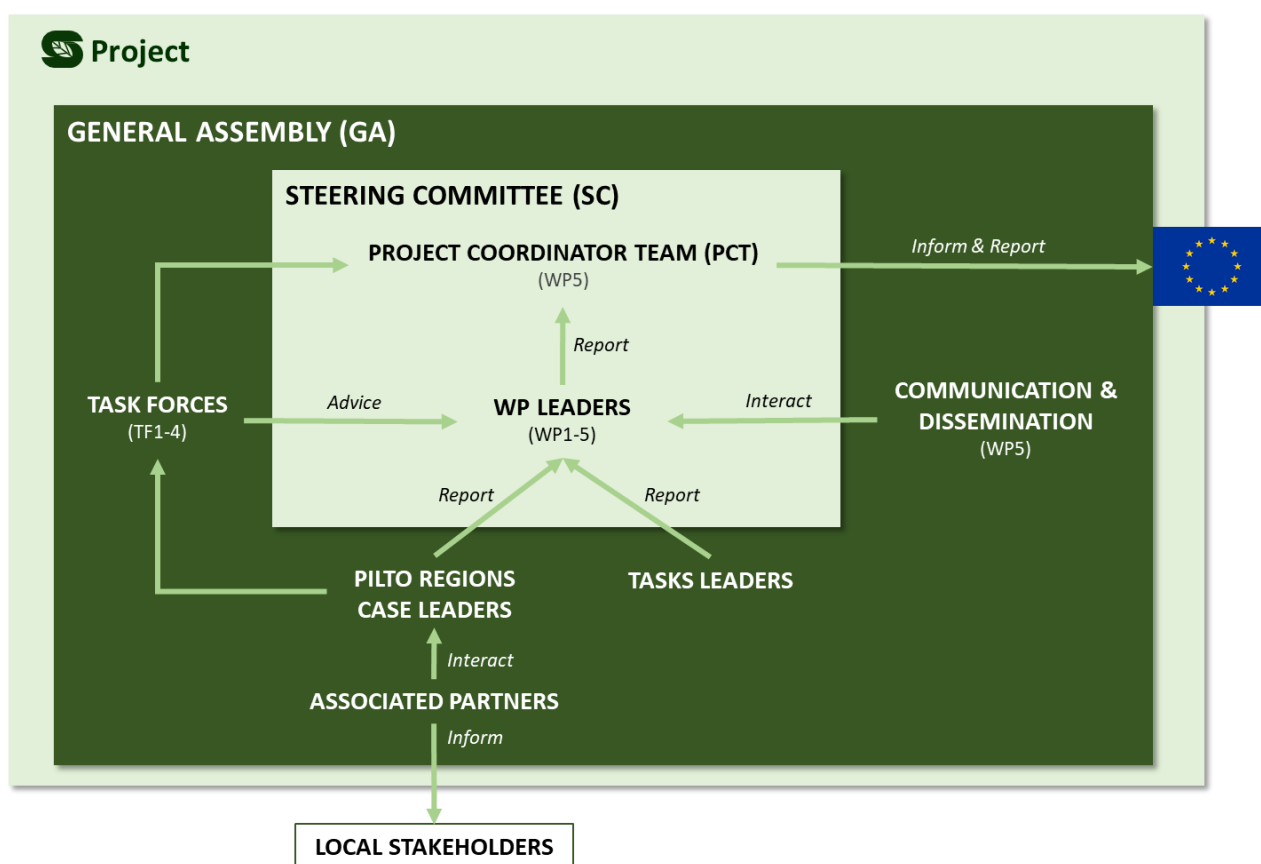


Figure 5. SOTERIA Management Structure.



Roles & Responsibilities

The **Project Coordination Team (PCT)** (BC3) In order to ensure good coordination, activities will be distributed to the members of the PCT, which will manage the day-to-day management of the project. The PCT will also monitor the project's Risk Matrix and flag any issues to the relevant WP leaders, the SC and/or any other Management Bodies as needed, informing also the European Commission (EC). The PCT is formed by:

- **The Project Coordinator (PC)** manages the overall administrative and financial coordination and management, internal communication and liaison with EU, to be supported by a Scientific Coordinator for scientific issues and by the Project manager for accounting, quality and progress monitoring and administrative issues.
- **The Project manager (PM)** gives assistance to the PC, the scientific coordinator and to the consortium on any financial, legal, administrative as well as organizational issues.
- **The Scientific Coordinator (ScC)** liaise with the Steering Committee and supports the project coordination in monitoring the scientific development, milestones, deliverables and project global critical paths, and acts as link to the SOTERIA Task Forces.

The WP Leaders (ICA, SINTEF, UFZ, BC3) coordinate and monitor the Work Packages (WP) implementation and facilitates the integration of the inputs and the outputs to/from this WP with other WPs.

Table 2. SOTERIA WPs Leaders.

WP nº	Work Package Title	WP leader
WP1	Piloting Insurance Solutions	2 ICA
WP2	Data sharing	5 SINTEF
WP3	Innovative insurance solutions: products, services and pricing	4 UFZ
WP4	Policy and Governance Enablers	1 BC3
WP5	Project management, clustering and dissemination activities	1 BC3



The Task Leaders (TL) coordinate and monitor the tasks implementation and facilitates the integration of the inputs and the outputs to/from this task with the WP.

Table 3. SOTERIA Task Leaders.

Task nº	Task title	Task Leader
T1.1	Story Maps: risk and insurance profiling of our pilot regions	12 BES
T1.2	Climate-related risk and losses data	3 CRA
T1.3	Risk assessment models and climate change scenarios analysis	7 AQUA
T1.4	Piloting innovative insurance solutions	4 UFZ
T1.5	Communities of Practice	2 ICA
T2.1	Data recording, collection and sharing methods	5 SINTEF
T2.2	Best practices: data recording, collection and sharing	5 SINTEF
T2.3	Conditions for data recording, collection and sharing	3 CRA
T2.4	Interoperability of loss data (technical and semantic)	5 SINTEF
T2.5	Software prototype development to enable the use of the climate-related risk and loss data	5 SINTEF
T3.1	Best practices of insurance pricing and innovative insurance solutions	8 G&Co
T3.2	Sustainable insurance (SI) rules, principles, and metrics	10 HSWT
T3.3	Radar of success stories of best-practice insurance solutions and financial risk transfer mechanisms	4 UFZ
T3.4	Exploitation activities & market watch	4 UFZ
T3.5	Guidance on insurance pricing, product and services: best practices and emerging insurance solutions	8 G&Co
T4.1	Just transitions for climate resilience: Learning from the local experience	9 DEMO
T4.2	Climate Resilience Dialogues on insurance solutions and climate-induced risks	16 GIB
T4.3	Alliances for Climate change adaptation for system level transformation and action	1 BC3
T4.4	SuperDeliverable - Best practice and Piloting if IIS for climate change adaptation and insurance	2 ICA
T5.1	Administrative project management	1 BC3
T5.2	Scientific coordination of project, quality and risk management	1 BC3
T5.3	Innovation management and IPR Management	1 BC3
T5.4	Research ethics, data protection and data management	5 SINTEF
T5.5	Project branding, communication and dissemination activities	15 EI
T5.6	Develop synergies with other initiatives and projects and organize clustering event	2 ICA



The **Case Leaders** (CL) coordinate and monitor the Pilot Regions implementation and facilitates the integration of the inputs and outputs of the case study with the tasks and WPs.

Table 4. SOTERIA Case Leaders.

Pilot Regions	Case Leader	Country
City of Leipzig	UFZ	Germany
Saxony and Saxony-Anhalt	UFZ	Germany
Bavaria	G&Co	Germany
Trøndelag	SINTEF	Norway
Valencian Region	BC3	Spain
West Athens Functional Area	ASDA, DEMOS	Greece
Gabrovo Municipality	BES	Bulgaria
Zadar County	G&Co	Croatia

Management Bodies

General Assembly (GeA). The GeA is the highest strategic and decision-making body for the project and therefore has to validate any relevant decision or change affecting the project and the adequate operation of the consortium. The GeA shall consist of one representative of each Beneficiary and Associated Partner. Its functions, responsibilities and operational procedures are specified within the CA. The chairperson shall convene ordinary meetings of the GeA at least once every six months and shall also convene extraordinary meetings at any time upon written request of any Partner.

Steering Committee (SC). The SC is the responsible for the scientific coordination and is formed by the PCT and the WP Leaders. This committee will have the following functions:

- Contacts with related national and European research projects,
- Executing the lean work plan,
- Review operational risks related to project activities and outcomes
- Plan the communication, dissemination and exploitation strategy.

The SC will control the fulfilment of the project milestones. These check points are key in terms of ensuring an adequate development of the project, and introducing corrective or contingency measures in case a deviation on the original planning is detected.

The SC will meet at least every quarter (one physical meeting and three video conference calls) under the chair of the PC. The minutes on these meetings will be made



accessible to all consortium members thanks to the SOTERIA Drive.

Task Forces (TF). The TF (Diagram B) provide direct advice on the key components of the project (namely public resilience, innovative insurance solutions, data and enabling framework) through the interaction during Communities of Practices (CoP) activities and Progress Project meetings. The operational structure of the project will be agreed during the I Steering Committee Meeting.

Thematic Task Forces

Insurance Task Force	Data and Open Access Task Force	Enabling Task Force	Communications and Communities Task Force
Provide advice and evaluating the deliverables prior to their publication for any issues relevant to insurance; including feedback to Data. Formed by the Insurance Associated Partners	Responsible for maintaining the Data Management Plan (DMP) ensuring that the outputs of the project are in line with our goals and latest initiatives.	Responsible to align the SOTERIA outputs to the region and insurance needs; making suggestions across all work packages, on how to increase the adoption of the innovations by the industry and regions; assist the SC to help better adapt the IIS to different policy frameworks.	Coordinates all the activities which are related with the effective implementation of the communication and dissemination strategy of the SOTERIA project, giving special attention to our regions and communities.

Diagram B. SOTERIA Tasks forces.

SOTERIA Consortium. It is formed by the Beneficiaries and the Associated partners. The Consortium will meet in each of the quarterly Progress Meetings of SOTERIA.

Decision-making procedures and conflict resolution rules (operational level)

The **Consortium Agreement (CA)** defines how internal decision-making and conflict resolution shall be performed within SOTERIA project (Art. 6). The CA will be a complementary document to the Grant agreement, and in relation to the aforementioned points, it will specify the organisation among partners and management bodies, and the tasks and roles of the partners and management bodies. This document is based on DESCA – Model Consortium Agreement for Horizon Europe, version AP Version 1, July 2022.

The **Work Package leader** is in charge of documenting the progress of activities and monitoring the implementation of the planned tasks within its WP according to schedule, and monitor the potential risks and will be aware of potential difficulties or problems arising. Also, issues that may affect other WPs or even to the whole project. The WP Leader will be able to propose alternatives for the improvement of the



expected results of the WP. These problems and proposals can be presented if necessary to the PCT. This includes the supervision of the preparation of the WP deliverables. The WP leader will report to the PCT every 6 months.

Dispute resolution procedures and rules

The parties shall endeavour to settle amicably any dispute, controversy or claim arising under, out or relating to the Project Management Handbook and any subsequent revision of this document.

The conflict resolution will be managed at two scales: WP scale and Consortium scale. As for the WP scale, the leader of the individual WP will provide solutions to any conflict within the frame of that WP, and may call on or not upon the PCT for assistance.

For disputes at consortium scale or involving several WPs, the PCT will be contacted, and this body will look for an amicably solution to be accepted by all parts. In the exceptional case this cannot be achieved, the issue will be further discussed by the SC. In case that a consensus cannot be reached in a reasonable timeframe, the conflict will be presented to the GeA, which is the sovereign decision body for the project. The conditions for approval of any issue by the GeA, -e.g. quorum, percentages, veto rights- is clearly established by the CA (CA, Art. 6.3).

In practical terms, we could identify 3 levels of decision making for conflict resolution:

1. If the issue deals with slight changes in task activities with no impact on either quality or delivery of the results, then it is solved at WP scale by agreement between Task and WP leaders.
2. In case this issue may affect either quality or delivery date of results, or in case it may affect the development of tasks in other WPs, it must be raised to the PCT.
3. In some cases, these issues may be finally decided by the GeA, if no satisfactory solution can be found by the PCT and the SC. In any case, decisions related to the following issues must be taken by the GeA:
 - The proposal to the funding Authority of any change to the description of the planned activities and/or funding which involves an amendment to the GA.
 - Issues related to intellectual property rights.
 - Changes related to the composition of the consortium.
 - Problems related to the lack of fulfilment of binding obligations by one or more partners.

If, and to the extent that, any such dispute, controversy or claim has not been settled amicably, the coordination of the project will apply Art. 11.8 Settlement of disputes of the CA.



7. PROJECT PROCESSES

Table 5. SOTERIA Management Documents.

Process	Responsible	Related document
Deviations Management	Project Coordination Team (BC3) & WP Leaders (ICA, SINTEF, UFZ, BC3)	D5.1 Project Management Handbook/Project Process
Communication and Dissemination Management	Project Coordination Team (BC3) & EI	D5.1 Project Management Handbook/Project Process D5.8-10 Dissemination and communication activities plan and reporting
Deliverables Management	Deliverable Leader, Reviewers & Project Coordination Team (BC3)	D5.1 Project Management Handbook/Reporting
Risk Management	Project Coordination Team (BC3) & WP Leaders (ICA, SINTEF, UFZ, BC3)	D5.1 Project Management Handbook/Reporting
IPR Management	Project Coordination Team (BC3)	Grant Agreement/Annex 5 D5.5-7 IPR and Innovation Management – screening
Data Management	SINTEF	D5.3 Data management plan
Exploitation Management	UFZ	Grant Agreement/Annex 5 D3.6 Exploitation plan and SOTERIA strategy of market watch
SOTERIA DRIVE Management	Project Coordination Team (BC3)	D5.1 Project Management Handbook

Deviations Management

Deviations from the original project proposal (technical or financial) may occur during the project implementation. These deviations shall be informed to the PCT (via email) that shall evaluate and record the deviation. The PCT will inform to the EC for its approval and eventually report it in the corresponding Reporting Period (by means of the periodic report) or will start an amendment, if the deviation requires it.

Examples of potential deviations:



- Partners budget transfers between categories.
- Change of a Deliverable/Task name.
- Activities to be developed within a Task.
- Change of the Task/Milestone/Deliverable Leader.
- Delays in the submission of a deliverable.
- Delays in tasks complexion.

Communication and Dissemination Management

Internal communication

The internal communication is considered the communication within the consortium partners.

The main internal communication via recommended is the **E-mail**. To help to quickly recognize the project related emails, the following standard subject title is proposed: SOTERIA and WP number (if applicable) followed by a more specific description of the subject, deadline for feedback or reply, see below an example:

Subject: SOTERIA: WP2 Meeting on 12th November 2023. Deadline to confirm: 9th November 2023

It is suggested to copy the PC and the PM in most relevant e-mail communications.

There will be different mailing lists, which can be found in SOTERIA Drive (Beneficiaries shared folder) > 3b.-Technical (Beneficiaries + Associated Partners) > Each Mailing List will be available within the corresponding WP folder.

SOTERIA Drive

The [SOTERIA Drive](#) will support and structure the most relevant project information, providing a frame for a more efficient sharing of documents, data and revision. The SOTERIA Drive will be managed by the PM and provide access at two different levels:

- SOTERIA Beneficiaries: Access to the entire SOTERIA Drive folder, including those folders containing legal, financial, reporting and communication information.
- SOTERIA Associated Partners: Access to technical and communication information, and to the CA.



Table 6. SOTERIA Drive Structure.

Drive Folder	Content	Access
1a.-Grant Agreement	GA signed and disclosed in parts/annexes	SOTERIA Beneficiaries
1b.-Consortium Agreement (Beneficiaries + Associated Partners)	CA signed	SOTERIA Beneficiaries + Associated Partners
2a.-Payments	EC letters with information related to the payments of the project	SOTERIA Beneficiaries
2b.-Reporting	Documents and Templates for: Periodic reports, Final Report, Deliverables, Timesheets. Information related to Deliverables, Milestones and Reporting Periods (Excel files).	SOTERIA Beneficiaries
3a.-Financial	EC Financial Guidelines Individual Financial Statement Information	SOTERIA Beneficiaries
3b.-Technical (Beneficiaries + Associated Partners)	Working documents, Events information, Outputs, Deliverables (in elaboration), Planning document and Organization meetings classified per WP/Task	SOTERIA Beneficiaries + Associated Partners
4.-Communication	Communication Materials (elaborated), Website, Social Media communications and Templates for communication	SOTERIA Beneficiaries+ Associated Partners
5.-Project Meetings	Information related to SOTERIA internal meetings (KoM, Progress meetings, etc.): Agenda, minutes, photos, presentations, recordings.	SOTERIA Beneficiaries
6.-SOTERIA Reference Documents	Publications of interest to the project (that SOTERIA partners want to share with the consortium)	SOTERIA Beneficiaries+ Associated Partners
7.-Templates	Template elaborated for the project (deliverables, technical documents, external communication, PPT, etc.)	SOTERIA Beneficiaries+ Associated Partners
SOTERIA Contact List_2023	Updated SOTERIA Contact List including specific distribution lists: per WP, per REGION and information on tasks support.	SOTERIA Beneficiaries



External communication

External communication is considered towards parties outside the consortium, target groups of the project and relevant stakeholders. All partners are encouraged to communicate with our target audiences on the aims, progress and results from our joint effort. The communication with the Funding Authority is not part of our external communication and will be channelled through the PC.

The external communication will be organised by WP5 under Task 5.5 *Project branding, communication and dissemination activities* (lead by EI).

Dissemination

Dissemination of results (Art. 17 of the GA). The beneficiaries must disseminate their results as soon as feasible, in a publicly available format, subject to any restrictions due to the protection of intellectual property, security rules or legitimate interests.

According to the CA (Art. 8.4.2.1), prior notice of any planned publication shall be given to the other Parties at least **45 calendar** days before the publication. Any objection to the planned publication shall be made in accordance with the Grant Agreement by written notice to the Coordinator and to the Party or Parties proposing the dissemination within 30 calendar days after receipt of the notice. If no objection is made within the time limit stated above, the publication is permitted.

Communication as well as dissemination and exploitation of project results are an important part of the project. You will find more information in the Deliverable 5.8 Dissemination and communication activities plan and reporting (1) (Month 6), updated on an annual basis (Months 18, 30).

Project website

The project website (<https://soteriacclimate.eu/>) will be set up for external communication purposes, to promote the results of the project, detailing the objectives, structure, mission, vision and outcomes of the Project. You can find the SOTERIA Website Scope Statement in [SOTERIA Drive: 4.-Communication](#).

EC General Requirements

When disseminating project results or sharing any documents as part of the external communication activities, you are requested to indicate at all times that the project has received funding from the EU, using the following:

- Display the EU emblem. If other logos are displayed in addition to the Union emblem, the Union emblem should have at least the same size as the biggest of the other



logos. For further information, please consult our detailed guidelines on the use of the EU emblem (link to the [operational guidelines](#)).



- Include the following text ([Disclaimer](#)):

Funded by the European Union. Views and opinions expressed are however those of the authors only and do not necessarily reflect those of the European Union or European Climate, Infrastructure and Environment Executive Agency (CINEA). Neither the European Union nor CINEA can be held responsible for them.

- Include SOTERIA logo:



SOTERIA Logo can be found in [SOTERIA Drive: 4.-Communication/0.-LOGOS](#).

The European Union emblem and funding statement can be found and download at the European Union website: [EC Download centre for visual elements](#).

General Project Presentation

A standard SOTERIA PowerPoint presentation will be provided that should be used in external communication when presenting the project to any external audience.

Templates

The project public documents need to conform to the document standards (templates) provided by the communication partner (EI). The templates could be used for:

- Public documents.
- Project deliverables (in a report format).
- Any documents that are declared as public by the consortium.

The Official EU reports (such as Periodic and Final reports) need to conform to the templates provided by the EC. Such templates will be available once the corresponding



reporting period is opened at the *Funding & Tenders Opportunities* portal.

All the templates will be uploaded to the [SOTERIA Drive: 7.-Templates](#).

Project meetings

Several types of meetings will be taking place along the project implementation: meetings related to the management and follow up of the project (**Steering Committee (SC)**), the **Project Progress (PP) meetings**, and the **Pilot Regions (PR) meetings**. In order to facilitate the monitoring and the coordination of the work, the SC, the PP meetings and the PR meetings will be organized the same date in the following order: first will meet the SC to review the progress of the project at WP level, including the monitoring of risks, the communication strategy, Key Performance Indicators (KPIs) (impact), the data management and the exploitation management; Then, the SOTERIA Beneficiaries meet to review the project advances at task level, and finally, all partners, including the Associated Partners meet to review the Pilot Regions advances.

Two **GeA** will take place each year. During these meeting, the SC will report on the project progress and implementation, and any relevant decision will be validated. Additional GeA may be called if there is any relevant aspect that shall be discussed and agreed.

The following table shows the project meetings already scheduled:

Table 7. Project Meetings.

Title	Month	Date	Type of meeting	Participants	Assistance
KoM	M1	20-21 Sept 23	KoM	All partners	<i>Face-to-face</i>
Project Progress Meeting	M4	Dec- 23	I Part: Steering Committee II Part: SOTERIA Consortium III Part: Pilot Regions	I Part: Project Coordinators + WP Leaders II Part: SOTERIA Beneficiaries +GIB III Part: SOTERIA Beneficiaries + Associated Partners	<i>Online</i>
General Assembly	M7	Mar- 24	General Assembly	All partners	<i>Online</i>



Title	Month	Date	Type of meeting	Participants	Assistance
Project Progress Meeting	M10	Jun-24	I Part: Steering Committee II Part: SOTERIA Consortium III Part: Pilot Regions	I Part: Project Coordinators + WP Leaders II Part: SOTERIA Beneficiaries +GIB III Part: SOTERIA Beneficiaries + Associated Partners	Online
General Assembly	M13	Sep-24	General Assembly	All partners	Face-to-face
Project Progress Meeting	M16	Dec-24	I Part: Steering Committee II Part: SOTERIA Consortium III Part: Pilot Regions	I Part: Project Coordinators + WP Leaders II Part: SOTERIA Beneficiaries +GIB III Part: SOTERIA Beneficiaries + Associated Partners	Online
General Assembly	M19	Mar-25	General Assembly	All partners	Online
Project Progress Meeting	M22	Jun-25	I Part: Steering Committee II Part: SOTERIA Consortium III Part: Pilot Regions	I Part: Project Coordinators + WP Leaders II Part: SOTERIA Beneficiaries +GIB III Part: SOTERIA Beneficiaries + Associated Partners	Online
General Assembly	M25	Sep-25	General Assembly	All partners	Face-to-face
Project Progress Meeting	M28	Dec-25	I Part: Steering Committee II Part: SOTERIA Consortium III Part: Pilot Regions	I Part: Project Coordinators + WP Leaders II Part: SOTERIA Beneficiaries +GIB III Part: SOTERIA Beneficiaries + Associated Partners	Online
General Assembly	M31	Mar-26	General Assembly	All partners	Face-to-face/Online



Additionally, the SC will meet monthly (online) to review the progress made within each WP. The minutes of these meetings will be uploaded to [SOTERIA Drive: 5.-Project meetings/Steering Committee Meetings \(Minutes\)](#).

The Task Forces will be organized upon request of the Steering Committee.

Reporting

During the project implementation there are three types of reporting:

Table 8. Types of Project Reporting.

Type of Reporting	Document	Objective	Frequency	Nature
Internal Reporting	Project Progress Reports (Technical)	Monitor project expenditure and technical progress	Every 6 months (in line with Project Progress Meetings)	Internal
Continuous Reporting	Deliverables, Risk, Milestones, Publications, Results, Dissemination and Communication activities, Impact, IPR.	Reporting to the EC	Continuously (according to the EC deadlines)	EC
Periodic Reporting	Periodic Reports (Technical and financial) Final Report (Technical and financial)	Reporting to the EC	Reporting period nº 1 (from 01/09/2023 to 28/02/2025) Reporting period nº 2 (from 01/03/2025 to 28/02/2026)	EC

Internal reporting

For the internal reporting, *Internal Progress Reports* will be elaborated every six months. A progress report is an internal project document, meaning that it is not sent to the EC. The objective of this report is to monitor internally project expenditure and technical progress. It should be a brief summary of the technical work completed as well as a brief explanation for any deviations (budget and technical) from the DoA (GA: Annex 1). The internal progress report shall be elaborated by the WP leaders in collaboration with the TL. The PM consolidates the information provided and upload it to [SOTERIA Drive: 2b.-Reporting/0.- Internal Reporting \(Project Progress Reports\)](#).



Continuous reporting

SOTERIA Beneficiaries must continuously report on the progress of the project through the Deliverables, Risk, Milestones, Publications, Results, Dissemination and Communication activities, Impact, IPR.

Standardised Deliverables must be submitted using the templates designed for this purpose ([SOTERIA Drive: 7.-Templates](#)) in the delivery date set up in the GA ([Annex I: List of Deliverables](#)).

The Milestones accomplishment shall be reported by the PM at the Funding & Tender Portal. The Milestone Leader shall inform the PM once the milestone is achieved ([Annex II: List of Milestones](#)).

Publications, Results, Dissemination and Communication activities, Impact, IPR shall also be continuously report to the Funding & Tender Portal. Several templates have been elaborated to monitor and report these activities to the EC ([SOTERIA Drive: 2b.-Reporting/1.-Continuous Reporting](#)).

Deliverables revision process

With the aim to ensure the submission of high-quality deliverables, responding to the EC and project standards in terms of communication and content, a deliverables revision process has been designed.

The Deliverable Lead Author (DLA) is responsible for the elaboration (among co-authors), revision and submission of the deliverable to the PM that eventually will be in charge of the uploading of the document to the *Funding & Tenders* portal (For each Deliverable, a single file (max 52MB) can be uploaded).

Revision process:

1. The **Deliverable Lead Author** (DLA) has to send the *first draft* of the deliverable **1 month before the deadline** to the **appointed Reviewers** (see [Annex III: List of Appointed Reviewers](#)) and the PM.
2. Then, the **Reviewers** have **1 week** to review the report and send the Deliverable with his/her comments (track changes active) together with the *Individual Deliverable Peer Review Report* ([Annex IV: Individual Deliverables Peer Review Report Template](#)) to the DLA and the PM. In the Peer-review Individual Report, the Reviewers shall assess the deliverable, providing comments, suggestions, and the approval/rejection of the deliverable.
3. The DLA then has **10 days** to *adjust the document* where necessary.
4. The DLA sends the *second draft* to the PC and the PM, both have **1 week** to do a final check.



5. Finally, the DLA has **5 days** to prepared the *final version* of the document and send it to the PC and the PM.

On the last working day of the month, the PM will upload the document to the *Funding & Tendens* portal. Members of the SC can be consulted by the DLA and the PC during this whole process.

Table 9. Deliverables revision process.

Author/responsible	Version	Time	Send to
Deliverable Lead Author	- First Draft		Reviewers
Reviewers	- First draft Deliverable Reviewed (track changes active) - Individual peer review report	7 days	Deliverable Lead Author Project manager
Deliverable Lead Author	- Second Draft	10 days	Project Coordinator Project manager
Project Coordinator Project manager	- Third Draft	7 days	Deliverable Lead Author
Deliverable Lead Author	- Final document	5 days	Project Coordinator Project manager
Project Coordinator Project manager	- Final document	1 day	EC

When the delivery date differs from the actual date, the document shall include the delivery date and the actual date together with an explanation for the delay. In the Comments, shall be indicated if the deliverable was achieved as planned or not. Also, the delivery shall include in the front page the dissemination level of the document:

- Public – fully open.
- Sensitive – limited under the conditions of the Grant Agreement.
- EU classified – RESTREINT-UE/EU-RESTRICTED, CONFIDENTIEL-UE/EU-CONFIDENTIAL, SECRET-UE/EU-SECRET under Decision 2015/444. For items classified under other rules (e.g. national or international organization), please select the equivalent EU classification level.

Risk Management Process

The Risks that may arise during the project implementation will be monitored and managed according to the Risk Management Process designed for SOTERIA project.

A risk is any event likely to represent a threat for the completion of SOTERIA project



according to the planning, and any term allowing its identification and assessment is regarded as a pertinent criterion. A series of potential critical risks have been already identified during the proposal preparation. Each risk has been described and a mitigation measure to neutralize the risk has been proposed ([Annex V: List of SOTERIA project Critical Risks](#)).

Nevertheless, other risk may arise during the project implementation. The following process will be used to identify, to analyse and to evaluate any risk and eventually mitigate its impact on the progress and success of SOTERIA:

- **Risk Identification.** The project's risks were identified through a collaborative approach involving all the partners of the project. Additionally, there will be a revision process of the risks at the start of each project semester during the GeA. The risks associated with in this period will be formally identified through a similar process. All potential risks shall be considered.
- **Risk Analysis.** In the semesterly revision, an analysis of the risks will be conducted to determine their causes, and estimate their probability and consequences. Then the risk will be considered and prioritised according to the analysis and its potential impact on the project. The analysis will also determine the owner of the risk according to its nature.
- **Risk Management.** This process is run to limit or neutralize any negative consequence of a particular event on the project, and adequate risk contingency measurements will be defined and implemented to cost effectively reduce, contain and control the risks.
- **Risk Monitoring & Reporting.** As risks will change during the project development, the risk profile will be monitored, reviewed and updated. New risks may be identified as more information becomes available and existing risks may be eliminated through the effectiveness of the risk treatments.

The Risk Register ([Annex VI: Risk Register Template](#)) will be updated with the outcomes of the risk analysis and assessment process.

Milestones, Publications, Results, Dissemination and Communication activities, Impact, IPR shall also be continuously report to the Funding & Tenders Portal. Several templates have been elaborated to monitor and report these activities to the EC ([SOTERIA Drive: 2b.-Reporting/1.-Continuous Reporting](#)).

Periodic Reporting

Additionally, SOTERIA beneficiaries must provide reports to request payments, in accordance with the schedule and modalities set out in GA.

In order to receive payments, the consortium must submit periodic reports (following



the schedule set out in the GA: Data sheet Point 4.2). When these are due, they must be submitted directly in the Periodic Reporting Module of the Portal Grant Management System.

To ensure timely submission, Beneficiaries should respect the following deadlines:

Table 10. Periodic Reporting periods.

Reporting period nº	From month	To month	Duration	Start Date	End date
1	1	18	18	01/09/2023	28/02/2025
2	19	30	12	01/03/2025	28/02/2026

The periodic report (GA: Article 21.2) should be prepared by the consortium participants together and submitted by the Coordinator within 60 days following the end of each reporting period.

The periodic Reports consists of two parts, the Technical Report and Financial Report.

The **Technical Report** s itself also divided in two parts, Parts A and B:

- **Part A:** is generated by the IT system. It is based on the information entered by the participants through the continuous reporting module: Milestones, Critical Risks, Publications, Results, Dissemination and communication activities, IPR, Impact, etc.

The PCT is responsible for Part A.

- **Part B** (narrative part): includes an overview of the action implementation (progress of the work per WP) and it must be prepared using the template available in the Portal Periodic Reporting tool. This template will be available once the reporting period is opened at the Portal. This Part must include explanations for any deviations (budget and technical) from the DoA (GA: Annex 1: Description of the Action).

The WP Leaders compile a report on their WP together with their TL and send it to the PCT one month before the deadline for uploading it to the Portal Grant Management System. The PM consolidates the provided information and sends the complete periodic technical report to the consortium for review.

The final approved version will be uploaded to the Portal Grant Management System by the PC.

The **Financial Report** consists of the structured *Individual and Consolidated Financial Statements* (retrieved from the Grant Management System), the *use of resources report* (online wizard) and, for payments above a certain threshold (GA Data Sheet, Point 4.3), a certificate on the financial statements (CFS). The certificate on the financial statements (CFS) shall be provided at final payment, if the threshold is reached.

- **Individual financial statement** (GA: Annex 4: Model for the financial statements) for each partner, for the reporting period concerned. This financial statement must detail the eligible costs for each budget category. Each Beneficiary and linked third parties must declare all eligible costs, even if costs exceed the amounts indicated in the estimated budget.



- A **'periodic summary financial statement'** (consolidated Financial Statement) will be automatically created by the electronic exchange system, consolidating the individual financial statements of the partners, including the request for interim payment.
- An **explanation of the use of resources** and information on subcontracting and in-kind contributions provided by third parties from each partner for the reporting period concerned.

Financial Reporting in Detail

The Financial Signatory (F-Sign) of each Beneficiary will be able to complete online their own Financial Statement including the explanations on the use of resources, (also for their third parties). The PC will have a final check on the statements and submit electronically to the EC.

Budget

The budget ([GA - Annex 2 – Estimated budget for the action](#)) contains the estimated eligible costs, broken down by Beneficiary (and linked third party) and budget category.

Please note that in reporting, actual costs must be reported and not budgeted ones.

The **budget categories** are described in article 6.2 of the Model Grant Agreement, these are:

- A. Personnel costs
- B. Subcontracting costs
- C. Purchase costs (Travel and subsistence, equipment, goods, works and services)
- D. Other costs categories (goods and services)
- E. Indirect costs

Keeping records- supporting documentation (GA Art 20.1)

Each partner must - for a period of **five years** after the payment of the balance - keep records and other supporting documentation in order to prove the proper implementation of the action in line with the accepted standards in the respective field (if any).

In addition, the beneficiaries must – for the same period – keep the following to justify the amounts declared:

(a) for **actual costs**: adequate records and supporting documents to prove the costs declared (such as contracts, subcontracts, invoices and accounting records); in addition, the beneficiaries' usual accounting and internal control procedures must enable direct reconciliation between the amounts declared, the amounts recorded in



their accounts and the amounts stated in the supporting documents.

(b) for **flat-rate costs** and contributions (if any): adequate records and supporting documents to prove the eligibility of the costs or contributions to which the flat-rate is applied.

(c) for the following **simplified costs** and **contributions**: the beneficiaries do not need to keep specific records on the actual costs incurred, but must keep:

- a. for unit costs and contributions (if any): adequate records and supporting documents to prove the number of units declared
- b. for lump sum costs and contributions (if any): adequate records and supporting documents to prove proper implementation of the work as described in Annex 1
- c. for financing not linked to costs (if any): adequate records and supporting documents to prove the achievement of the results or the fulfilment of the conditions as described in Annex 1

(d) for **unit, flat-rate** and **lump sum costs** and **contributions** according to usual cost accounting practices (if any): the beneficiaries must keep any adequate records and supporting documents to prove that their cost accounting practices have been applied in a consistent manner, based on objective criteria, regardless of the source of funding, and that they comply with the eligibility conditions set out in Articles 6.1 and 6.2.

Moreover, the following is needed for **specific budget categories**:

(e) for **personnel costs**: time worked for the beneficiary under the action must be supported by declarations signed monthly by the person and their supervisor (timesheets), unless another reliable time-record system is in place; the granting authority may accept alternative evidence supporting the time worked for the action declared, if it considers that it offers an adequate level of assurance

Timesheets

The time recording can be done by using a timesheet on paper or in a computer-based system. A template (EC) for time sheets is also available on [SOTERIA Drive: 2b.- Reporting/Time Recording Templates](#)

This template is not mandatory; beneficiaries may use their own model, provided that it fulfils the minimum conditions and it contains at least the information detailed below:

- the title and number of the project, as specified in the EU GA.
- the partners full name, as specified in the EU GA.
- the full name, date and signature of the person working for the project.
- the number of hours worked for the action in the period covered by the time record; for reasons of assurance and legal certainty it is highly recommended that the number of hours is detailed per day (hours worked for the action in each day).



- the supervisor's full signature.
- a reference to the work package described in the DoA (GA: Annex 1), to easily verify that the work carried out matches the work assigned and the person-months reported to the action.

Information included in timesheets must match records of annual and sick leave taken, and work-related travel.

As an exception, for persons working exclusively on the action, there is no need to keep time records, if the beneficiary signs a declaration confirming that the persons concerned have worked exclusively on the action ([time-declaration](#)). (Note: please inform the coordinator of the list of people under this category in advance during interim reporting).

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

Budget transfers

With the consent of the SC a re-distribution of person-months between partners may be considered. This re-distribution is allowed without requesting an amendment provided that it does not imply a substantial change to the action as described in the EU GA. All other re-allocations of budget items need to be discussed in order to decide whether to apply for an amendment to the GA.

The maximum grant amount (GA: Article 5.2) can however NEVER be increased.

Payments

The following types of payments are foreseen:

Table 11. Types of payments.

Type of Payment	Reporting Period					Deadline	Deadline to pay
	From month	To month	Duration	Start Date	End date		
Initial Pre-financing	-	-	-	-	-	At the start of the project	
Interim payment	1	18	18	01/09/2023	28/02/2025	60 days after end of reporting period	90 days from receiving periodic report
Final payment	19	30	12	01/03/2025	28/02/2026	60 days after end of reporting period	90 days from receiving periodic report



ANNEX I: List of Deliverables

WP	Del. No	Deliverable Name	Description	Lead Benef.	Diss. Level	Due Date
WP1	D1	Pilot Story Maps (1)	Characterisation of our pilots, as well as a replicable method to characterise other follow up regions.	BES	SEN	30 Nov 2023
WP1	D2	Pilot Story Maps (2)	Characterisation of our pilots, as well as a replicable method to characterise other follow up regions.	BES	SEN	31 Oct 2024
WP1	D3	Recommendations for regional data integration into the Risk Data Hub and vice versa	List of best practice recommendation for regional risk data hubs	CRA	PU	31 Aug 2025
WP1	D4	Co-design Innovation wheel of IIS	Interactive Insurance innovation wheel of examples of innovative solutions and replication guide for regions. By wheel of examples, it is meant examples covering best practices and their compilation for further developments.	MITI	SEN	28 Feb 2026
WP1	D5	Communities of Practice Diaries	Documentation of regional capacity building through IIS	ICA	SEN	28 Feb 2026
WP2	D6	Guidance on Best practices for data recording, collecting, storing and sharing	Best practice guidance (and templates) for regional data	SINTEF	PU	30 Nov 2024
WP2	D7	Tech Briefing on Data Drivers and barriers	Report on barriers and drivers for data for data recording, collection, storing and sharing climate-related risk and loss data.	SINTEF	PU	31 Aug 2025
WP2	D8	Guidelines on loss data	Guidelines for recording, collecting, storing and sharing climate-related loss data (see details in T2.5)	SINTEF	PU	31 Jan 2026
WP2	D9	Software prototype	Software prototype for use of climate-related risk and loss data (see details in T2.5)	SINTEF	PU	28 Feb 2026
WP3	D10	Mapping and Evaluation of Best practices of insurance pricing and innovative insurance solutions (1)	Mapping of existing and new innovative insurance products as well as best practise of pricing and costing methods.	G&Co	PU	30 Nov 2023
WP3	D11	Guidelines on Best practices of insurance pricing	Mapping of existing and new innovative insurance products as well as best practise of pricing and	G&Co	PU	30 Jun 2025



WP	Del. No	Deliverable Name	Description	Lead Benef.	Diss. Level	Due Date
		and innovative insurance solutions (2)	costing methods.			
WP3	D12	Policy Recommendation on Sustainable Insurance – principles and rules (1)	Mapping of the rules, principles, and metrics existing and PSI metrics, rules and principles (updated during the project lifespan) to feed into WP1.	HSWT	PU	31 Aug 2024
WP3	D13	Policy Recommendation on Sustainable Insurance – principles and rules (2)	Mapping of the rules, principles, and metrics existing and PSI metrics, rules and principles (updated during the project lifespan) to feed into WP1.	HSWT	PU	30 Jun 2025
WP3	D14	Radars of Success Stories of best practice insurance solutions and financial risk transfer mechanisms	Annual reports on latest developments in the field for our stakeholders in the pilots (“core group”), tool of communication.	UFZ	SEN	30 Jun 2025
WP3	D15	Exploitation plan and SOTERIA strategy of market watch	Supporting questionnaire surveys, expert interviews, meta-studies for Climate Resilience dialogues in WP1/WP4 and our stakeholders in the pilots (“core group”)	UFZ	SEN	31 Aug 2025
WP3	D16	Guidance on insurance pricing, product and services: Best practices and emerging insurance solutions	Blueprint and learnings from pilots for innovative risk transfer solutions incl. design of ideal insurance product pricing methods for the SuperDeliverable of SOTERIA	G&Co	PU	31 Dec 2025
WP4	D17	Policy recommendations for affordable insurance coverage	Extensive assessment of innovative insurance driven adaptation pathways amalgamating local surveys and stakeholders’ knowledge	DEMO	PU	31 Dec 2025
WP4	D18	Climate Resilience Dialogue Series	A set of refined questions that will frame the dialogues with the regions and communities happening in WP1	GIB	PU	28 Feb 2026
WP4	D19	Policy Briefing Series on policy enabling framework	Main elements in the enabling framework for the adoption of IIS	BC3	PU	28 Feb 2026
WP4	D20	Consolidated Project Report: Best Practice Catalogue and Replication Manual	Final consolidated project report that collects all knowledge gathered through the activities	ICA	PU	28 Feb 2026



WP	Del. No	Deliverable Name	Description	Lead Benef.	Diss. Level	Due Date
		for EU Regions and Communities				
WP5	D21	Project Management Handbook	Deliverables for the internal functioning of the consortia	BC3	PU	30 Nov 2023
WP5	D22	Data management plan (1)	Describing how to handle the research data	SINTEF	PU	29 Feb 2024
WP5	D23	Data management plan (3)	Describing how to handle the research data.	SINTEF	PU	28 Feb 2026
WP5	D24	Data management plan (2)	It describes the management research data	SINTEF	PU	28 Feb 2025
WP5	D25	IPR and Innovation Management – screening (1)	Information on the IPR of the project (as basis for exploitation)	UFZ	SEN	29 Feb 2024
WP5	D26	IPR and Innovation Management – screening (2)	Information on the IPR of the project (as basis for exploitation)	UFZ	SEN	28 Feb 2025
WP5	D27	IPR and Innovation Management – screening (3)	Information on the IPR of the project (as basis for exploitation)	UFZ	SEN	28 Feb 2026
WP5	D28	Dissemination and communication activities plan and reporting (1)	D&C Plan (regularly updated)	EI	PU	29 Feb 2024
WP5	D29	Dissemination and communication activities plan and reporting (2)	D&C Plan (regularly updated)	EI	PU	28 Feb 2025
WP5	D30	Dissemination and communication activities plan and reporting (3)	D&C Plan (regularly updated)	EI	PU	28 Feb 2026



ANNEX II: List of Milestones

Mile stone	Name	WP	Lead Benefi ciary	Means of verification	Delivery Date
1	Local Communities of practice set up	WP1	BES	Contact lists	31-Aug-24
2	Regional data hub key actors mapped	WP1	CRA	Outcome Task 1.2.	31-Oct-24
3	Methods for data recording, collection, sharing and storage	WP2	SINTEF	Outcome available for Task 1.2	31-Jan-24
4	Mapping the end users, their needs and preferences	WP2	SINTEF	Outcome available for Task 2.5	28-Feb-25
5	Mapping of rules, principles, and metrics of SI (First Order Draft = FOD)	WP3	HSWT	Outcome available for Task 1.1	30-Nov-23
6	Mapping and design of best practices of insurance pricing and innovative insurance solutions (FOD, SOD)	WP3	G&Co	Outcome available for Tasks 1.1, 1.4	29-Feb-24
7	Radar report on latest developments in the field (FOD, SOD) (1)	WP3	UFZ	Outcome available for Task 5.5	29-Feb-24
8	Radar report on latest developments in the field (FOD, SOD) (2)	WP3	UFZ	Outcome available for Task 5.5	30-Apr-25
9	Summary of exploitation activities & market watch	WP3	UFZ	List available	28-Feb-26
10	Guidance on insurance pricing, product and services: Best practices and emerging insurance solutions (FOD, SOD, final) (1)	WP3	G&Co	Outcomes available for Tasks 4.4., 5.5	31-Aug-24
11	Guidance on insurance pricing, product and services: Best practices and emerging insurance solutions (FOD, SOD, final) (2)	WP3	G&Co	Outcomes available for Tasks 4.4., 5.5	30-Jun-25
12	Guidance on insurance pricing, product and services: Best practices and emerging insurance solutions (FOD, SOD, final) (3)	WP3	G&Co	Outcomes available for Tasks 4.4., 5.5	31-Dec-25
13	Just transition workshops held at CS regions	WP4	DEMO	Input for Task 2.1.	31-Aug-25
14	Manual draft outline produced (1)	WP4	ICA	Input for Task 4.4.	31-Aug-24
15	Manual draft outline produced (2)	WP4	ICA	Input for Task 4.4.	31-Aug-25
16	Quality and Risk Management Plan	WP5	BC3	Plan available	31-Aug-24
17	The website has successfully been launched.	WP5	BC3	Website available.	30-Nov-23



Project Number 101112867



ANNEX III: Appointed Reviewers

Title	End Date	Deadline	Deliverable Lead Partner	WP Leader	Task	Task Leader	Reviewer 1	Reviewer 2	Description
D1.1 Pilot Story Maps (1)	Dec-23	3	12 BES	2 ICA	T1.1	12 BES	1 BC3	13 GVA	Characterisation of our pilots, as well as a replicable method to characterise other follow up regions.
D3.1 Guidelines on Best practices of insurance pricing and innovative insurance solutions (1)	Dec-23	3	8 G&Co	4 UZF	T3.1	8 G&Co	4 UFZ	5 SINTEF	Mapping of existing and new innovative insurance products as well as best practise of pricing and costing methods.
D5.1 Project Management Handbook	Dec-23	3	1 BC3	1 BC3	T5.1,5.2	1 BC3	12 BES	11 ASDA	Deliverables for the internal functioning of the consortia.
D5.2 Data management plan (1)	Feb-24	6	5 SINTEF	1 BC3	T5.4	5 SINTEF	1 BC3	15 EI	Describing how to handle the research data
D5.5 IPR and Innovation Management – screening (1)	Feb-24	6	4 UFZ	1 BC3	T5.3	1 BC3	2 ICA	1 BC3	Information on the IPR of the project (as basis for exploitation).
D5.8 Dissemination and communication activities plan and reporting (1)	Feb-24	6	15 EI	1 BC3	T5.5	15 EI	7 AQUA	9 DEMO	D&C Plan (regularly updated).
D3.3 Policy Recommendation on Sustainable Insurance – principles and rules (1)	Aug-24	12	10 HSWT	4 UZF	T3.2	10 HSWT	4 UFZ	16 GIB	Mapping of the rules, principles, and metrics existing and PSI metrics, rules and principles (updated during the project lifespan) to feed into WP1.
D1.2 Pilot Story Maps (2)	Oct-24	14	12 BES	2 ICA	T1.1	12 BES	2 ICA	13 GVA	Characterisation of our pilots, as well as a replicable method to characterise other follow up regions.
D2.1 Guidance on Best practices	Nov-24	15	5 SINTEF	5	T2.2	5	8 G&Co	9 DEMO	Best practice guidance (and templates)

D5.1 Project Management Handbook



Project Number 101112867



Title	End Date	Deadline	Deliverable Lead Partner	WP Leader	Task	Task Leader	Reviewer 1	Reviewer 2	Description
for data recording, collecting, storing and sharing				SINTEF		SINTEF			for regional data.
D5.4 Data management plan (2)	Feb-25	18	5 SINTEF	1 BC3	T5.4	5 SINTEF	1 BC3	10 HSWT	It describes the management research data.
D5.6 IPR and Innovation Management – screening (2)	Feb-25	18	4 UFZ	1 BC3	T5.3	1 BC3	2 ICA	1 BC3	Information on the IPR of the project (as basis for exploitation).
D5.9 Dissemination and communication activities plan and reporting (2)	Feb-25	18	15 EI	1 BC3	T5.5	15 EI	7 AQUA	9 DEMO	D&C Plan (regularly updated).
D3.2 Guidelines on Best practices of insurance pricing and innovative insurance solutions (2)	Jun-25	22	8 G&Co	4 UZF	T3.1	8 G&Co	6 MITI	5 SINTEF	Mapping of existing and new innovative insurance products as well as best practise of pricing and costing methods.
D3.4 Policy Recommendation on Sustainable Insurance – principles and rules (2)	Jun-25	22	10 HSWT	4 UZF	T3.2	10 HSWT	5 SINTEF	16 GIB	Mapping of the rules, principles, and metrics existing and PSI metrics, rules and principles (updated during the project lifespan) to feed into WP1.
D3.5 Radar of Success Stories of best practice insurance solutions and financial risk transfer mechanisms	Jun-25	22	4 UFZ	4 UZF	T3.3	4 UZF	14 MoG	3 CRA	Annual reports on latest developments in the field for our stakeholders in the pilots (“core group”), tool of communication.
D1.3 Recommendations for regional data integration into the Risk Data Hub and <i>vice versa</i>	Aug-25	24	3 CRA	2 ICA	T1.2	3 CRA	10 HSWT	6 MITI	List of best practice recommendation for regional risk data hubs.
D2.2 Tech Briefing on Data Drivers and barriers	Aug-25	24	5 SINTEF	5 SINTEF	T2.3	3 CRA	12 BES	16 GIB	Report on barriers and drivers for data for data recording, collection, storing

D5.1 Project Management Handbook



Project Number 101112867



Title	End Date	Deadline	Deliverable Lead Partner	WP Leader	Task	Task Leader	Reviewer 1	Reviewer 2	Description
									and sharing climate-related risk and loss data.
D3.6 Exploitation plan and SOTERIA strategy of market watch	Aug-25	24	4 UFZ	4 UZF	T3.4	4 UZF	8 G&Co	13 GVA	Supporting questionnaire surveys, expert interviews, meta-studies for Climate Resilience dialogues in WP1/WP4 and our stakeholders in the pilots ("core group").
D3.7 Guidance on insurance pricing, product and services: Best practices and emerging insurance solutions	Dec-25	28	8 G&Co	4 UZF	T3.5	8 G&Co	5 SINTEF	6 MITI	Blueprint and learnings from pilots for innovative risk transfer solutions incl. design of ideal insurance product pricing methods for the Super-Deliverable of SOTERIA.
D4.1 Policy recommendations for affordable insurance coverage	Dec-25	28	9 DEMO	1 BC3	T4.1	9 DEMO	3 CRA	4 UFZ	Extensive assessment of innovative insurance driven adaptation pathways amalgamating local surveys and stakeholders' knowledge.
D2.3 Guidelines on loss data	Jan-26	29	5 SINTEF	5 SINTEF	T2.3	3 CRA	15 EI	11 ASDA	Guidelines for recording, collecting, storing and sharing climate-related loss data (see details in T2.5).
D1.4 Co-design Innovation wheel of IIS	Feb-26	30	6 MITI	2 ICA	T1.4	4 UZF	11 ASDA	8 G&Co	Interactive Insurance innovation wheel of examples of innovative solutions and replication guide for regions. By wheel of examples, it is meant examples covering best practices and their compilation for further developments.

D5.1 Project Management Handbook



Project Number 101112867



Title	End Date	Deadline	Deliverable Lead Partner	WP Leader	Task	Task Leader	Reviewer 1	Reviewer 2	Description
D1.5 Communities of Practice Diaries	Feb-26	30	2 ICA	2 ICA	T1.5	2 ICA	13 GVA	11 ASDA	Documentation of regional capacity building through IIS.
D2.4 Software prototype	Feb-26	30	5 SINTEF	5 SINTEF	T2.5	5 SINTEF	6 MITI	7 AQUA	Software prototype for use of climate-related risk and loss data (see details in T2.5).
D4.2 Climate Resilience Dialogue Series	Feb-26	30	16 GIB	1 BC3	T4.2	16 GIB	12 BES	10 HSWT	A set of refined questions that will frame the dialogues with the regions and communities happening in WP1.
D4.3 Policy Briefing Series on policy enabling framework	Feb-26	30	1 BC3	1 BC3	T4.3	1 BC3	3 CRA	14 MoG	Main elements in the enabling framework for the adoption of IIS.
D4.4 Consolidated Project Report: Best Practice Catalogue and Replication Manual for EU Regions and Communities	Feb-26	30	2 ICA	1 BC3	T4.4	2 ICA	8 G&Co	4 UFZ	Final consolidated project report that collects all knowledge gathered through the activities.
D5.3 Data management plan (3)	Feb-26	30	5 SINTEF	1 BC3	T5.4	5 SINTEF	7 AQUA	9 DEMO	Describing how to handle the research data.
D5.7 IPR and Innovation Management –screening (3)	Feb-26	30	4 UFZ	1 BC3	T5.3	1 BC3	10 HSWT	15 EI	Information on the IPR of the project (as basis for exploitation).
D5.10 Dissemination and communication activities plan and reporting (3)	Feb-26	30	15 EI	1 BC3	T5.5	15 EI	14 MoG	1 BC3	D&C Plan (regularly updated).

D5.1 Project Management Handbook

**ANNEX IV: Individual Deliverables Peer Review Report Template**

Deliverable

Reviewer

PEER REVIEW REPORT	
Deliverable No.	
Work package No.	
Deliverable authors	
Date of review for Deliverable	

Quality assurance	Name/Organization	
Reviewer		
Overall Peer Review Result:		
☐ Accepted	☐ Accepted with suggested modifications	☐ Rejected

SUGGESTED ACTIONS:

1. The following changes should be implemented.....

--

2. Specify missing subjects.....

--

3. Required changes on deliverable essence and contents.....

--

4. Further relevant required improvements.....

--

COMMENTS OF PEER REVIEWERS

SPECIFIC COMMENTS	
TOPIC A: Completeness	
Reviewer comment	
TOPIC B: Accuracy	
Reviewer comment	
TOPIC C: Methodological framework soundness	
Reviewer comment	
TOPIC D: Relevance	
Reviewer comment	
TOPIC E: Depth	
Reviewer comment	
TOPIC F: Punctuality	
Reviewer comment	



ANNEX V: List of SOTERIA project Critical Risks

Risk n°	Description of risk (indicate level of likelihood, and) severity	WPs	Proposed risk-mitigation measures
1	New variants of Covid-19 virus evolving and/o other health emergencies restricting mobility (High/Medium)	1-5	Develop virtual or hybrid formats of collaborative R+D;
2	Lack of engagement due to time resources, data sensitivity etc. (Medium/low)	1	Careful engagement to ensure value of the project for the target audiences and provision of adequate support
3	Lack of data (High/Medium)	2	Use available data, map data owners for future use and identify adequate proxies
4	Misunderstanding the products and lack of acceptance from end users. Their needs are not taken into account. (Low/High)	1, 3	AGERS & German farmer and consumer associations as associated partners involved.
5	Difficulties/inertia with engaging key stakeholders and end- users. (Medium/High)	1, 3	Based on the evaluation of all deliverables by our “core groups” we will carry out some stakeholder surveys, to gauge the reasons for stakeholders/end users. Associated partners and Task Forces will be approached for support in finding solutions.
6	Products does not reach the intended target audiences (Low/High)	1, 3	Our associate partners are diversified. They included suppliers and demand as well as brokers and enablers. They commit to defined advancements in their product portfolio and (as demand) purchasing Behavior, and use their networks to disseminate and communicate the products
7	Hard to reach communities to better understand affordability issues (Low/Medium)	4	We will use a range of methods to reduce this risk, and allocate sufficient time to build trust
8	Key personnel become unavailable to complete the project (Low/Medium)	ALL	If this were to occur, WP leaders and project coordinator would find a replacement (always in consultation with the EU). The risk has low likelihood as leading consortium partners have several staff members who could successfully complete the tasks assigned, in other words there are good reserve players for each of the major tasks.



Risk n°	Description of risk (indicate level of likelihood, and) severity	WPs	Proposed risk-mitigation measures
9	Failure to reach the milestones and deliverables in time. (Medium/Low)	5	The coordinator, acting in agreement with the General Assembly (GA), will monitor the progress of each of the Work Packages and of the project, based on the Milestone and Deliverables Tables. In case certain milestones or deliverables are not being realized in time, the reasons why are investigated and corrective steps will be taken.
10	Beneficiary and/or associated partners defaults (Low/High)	5	The Consortium Agreement will contain a clause describing how the other Partners will act, the objective being to conclude the project according to the work plan.
11	Difficulties in linking to other adaptation networks and platforms such as Climate Resilience dialogue, EIOPA or other relevant Horizon 2020 projects (Low/Low).	5	This problem will be discussed with beneficiaries and APs especially those with highly profiled networking activities. The knowledge exchange, and joint communication with projects funded under the Mission of Climate Adaptation will also be strengthened with their help. This will also include discussions on harmonization of definitions and climate services and data access

**ANNEX VI: Risk Register Template**

Risk nº <...>

Risk Identification

Ris k nº	Description of risk (indicate level of likelihood, and) severity	WPs	Who identifie d the risk	(Identification) Date	Proposed risk-mitigation measures

Analysis of the Risk

Ris k nº	Owner	Cause s	Probability (high, medium, low)	Consequences/Impac t (high, medium, low)	Priority Level (high, medium, low)

Risk Management

Ris k nº	Contingency Measures

Risk Monitoring and reporting

Ris k nº	Reviewe r	(Last Revision) Date	Actions taken	Status



Project Number 101112867



End Page



**Funded by
the European Union**

Disclaimer: Funded by the European Union. Views and opinions expressed are however those of the authors only and do not necessarily reflect those of the European Union or European Climate, Infrastructure and Environment Executive Agency (CINEA). Neither the European Union nor CINEA can be held responsible for them.