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D6.1 Project Management

This is the 4.0 version of D6.1 Project Management. This document is a deliverable of the AMBER project.

History of changes

This document is version 4.0 of D6.1 Project Management Plan.

Following the recommendations made by the EC PO after the M18 review the following points were revised and clarified:

- 1) The definition of mechanisms for regular communication in the consortium were more clearly defined.
- 2) The section on Quality Control was clarified and mentions the selection of reviewers beyond the CO and PM for QC
- 3) The Decision Making and escalation rules and procedures were clarified and entered in more detail
- 4) Typos were corrected, the document reviewed for spelling and grammatical errors and imprecisions checked

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Executive summary

This document is a deliverable of the AMBER project. This project has received funding from the European Union’s Horizon 2020 Research and Innovation programme under GA No 689682. Version 1.0 was prepared as a joint document with Data Management and following a grant amendment, they have now been produced as separate deliverables (D6.1; D6.3).

This document should be read by all work package leads and is available to all AMBER members. It details aspects of the AMBER project that are required to ensure its smooth functioning and adequate delivery. This includes the governance structure, communication within and external to the project, advice for collaboration and communication, meeting structure and schedules, production of deliverables, financial management (including pre-finance and interim payment amounts) monitoring, risk management and quality assurance.

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1 GOVERNANCE STRUCTURE

AMBER (Adaptive Management of Barriers in European Rivers) is a consortium of 20 partners from 11 countries: 10 EU countries, plus Switzerland (**Table 1**). The project runs from 1 July 2016 to 31 May 2020 (4 years). The total grant award (including the Swiss partner) was €6.2 million. It is a Research and Innovation Grant from the European Commission, as part of Horizon 2020

<https://ec.europa.eu/programmes/horizon2020/>

The collaboration within the consortium and EC is based primarily on the Grant Agreement (GA) #689682 - AMBER - H2020-SC5-2014-2015/H2020-SC5-2015-two-stage. Partners have all signed this, and have also been made aware of the Annotated Model Grant Agreement (AMGA) which has more technical detail:

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf

Secondary to the GA, is the legally binding Consortium Agreement (CA) which has also been signed by all participants. The GA and CA are available on the Swansea Server (accessible to all AMBER partners) under Admin/useful resources. They can also be obtained from the Project Manager (PM): r.harte-chance@swansea.ac.uk

A 3rd Party contractor (Natural Apptitude, UK) has been recruited for the purposes of developing the 'Barrier Tracker' smartphone app and the Citizen Science web-portal. They are directly answerable to WFMF who hold their contract.

Table 1. Beneficiaries of the AMBER consortium.

Ben. no.	Beneficiary Name	Short Name	Country	Lead contact
1	Swansea University	SU	UK	Carlos GARCIA DE LEANIZ
2	Durham University	DU	UK	Martyn LUCAS
3	Southampton University	SOTON	UK	Paul KEMP
4	University of Highlands and Islands	UHI	UK	Eric VERSPOOR
5	Technical University of Denmark	DTU	Denmark	Kim AARESTRUP
6	University College Cork	UCC	Ireland	Philip MCGINNITY
7	Inland Fisheries Ireland	IFI	Ireland	James KING
8	World Fish Migration Foundation	WFMF	Netherlands	Herman WANNINGEN
9	University of Oviedo	UNIOVI	Spain	Eva GARCIA-VAZQUEZ
10	AEMS-Rios con Vida	AEMS	Spain	CÉSAR RODRÍGUEZ
11	European Regional Centre for Ecology	ERCE	Poland	Maciej ZALEWSKI
12	Instytut Rybactwa Śródlądowego im. Stanisława Sakowicza	SSIFI	Poland	Piotr PARASIEWICZ
13	Polytechnic of Milan	POLIMI	Italy	Simone BIZZI
14	Conservatoire National du Saumon Sauvage	CNSS	France	Patrick MARTIN
15	World Wide Fund for Nature	WWF	Switzerland	Ruedi BÖSIGER
16	Ingenieurbüro Kauppert	IBK	Germany	Klemens KAUPPERT
17	Sydskraft Hydropower*	SYD	Sweden	Johan TIELMAN
18	innogy*	RWE	Germany	Claus Till SCHNEIDER
19	Joint Research Centre	JRC	European Commission	Wouter van de Bund
20	Électricité de France	EDF	France	Ghislain BOUAN

(*) Sydkraft Hydropower were previously EON. innogy (lower-case 'i') were previously RWE Innogy.

The CA details the specific governance bodies within AMBER:

- **The Coordinator (CO)** is the legal entity acting as the intermediary between the Parties and the Funding Authority (EC). The Coordinator shall, in addition to its responsibilities as a Party, perform the tasks assigned to it as described in the GA and the CA.
- **The Project Manager (PM)** assists the Coordinator.
- **The Steering Committee** is the ultimate decision-making body of the consortium. It is the supervisory body for the execution of the Project. It reports, and is accountable to, the General Assembly and its role includes proposing decisions, preparing meetings, and preparing the General Assembly Agenda, among others. It is responsible for the proper execution and implementation of the decisions made by the General Assembly, and advises the General Assembly on how to rearrange tasks and budgets, if necessary.
- **The General Assembly** oversees the efficient implementation and delivery of the project. It will ensure that the Steering Committee takes due consideration of any concerns and issues raised by the AMBER Consortium.
- **The External Advisory Board (EAB)** assists the Steering Committee by reviewing, commenting, and providing feedback on the running of the project and communicates directly with the Coordinator. The Coordinator is authorised to ask each member of the EAB to sign a non-disclosure agreement. The Project Manager is responsible for keeping minutes of the EAB meetings. The EAB members are expected to attend and participate in the Steering Committee meeting and may also attend the Annual General Assembly upon invitation. The EAB does not have any voting rights on any meetings and is involved in an advisory capacity only.

Table 2 lists the persons who comprise each of these governance bodies. The Steering Committee consists of the Coordinator, the Work Package Leaders and a single representative of the General Assembly. Each of these members have one vote, except for the Coordinator who has two votes.

The General Assembly consists of the Beneficiary Leads (who each have a vote) although they can nominate (in writing) a person to represent and vote on their behalf. Non-voting advisors can also attend meetings, which includes the External Advisory Board and additional advisors who have been invited by the Steering Committee and approved by the Coordinator (often other members of AMBER or specialists required for advice on specific decisions).

The composition of the General Assembly was agreed at the AMBER kick-off meeting on 5 July 2016.

Work Package (WP) leaders are listed in Table 3. The responsibility of the WP leaders is to:

- Coordinate the implementation of the WP tasks
- Coordinate the tasks carried out by the beneficiaries involved in their Work Package
- Coordinate the timely production of the deliverables
- Organise and facilitate workshops or meetings relevant to their WP
- Identify and evaluate unforeseen risks and communicate them to the Coordinator and PM
- Ensure quality control and compliance for the tasks within their WP

Table 2. Member of the different AMBER governance bodies. (*) Within the General Assembly, the named person can submit a representative to vote instead. Additional non-voting persons may attend meetings of the General Assembly upon prior agreement of the Coordinator and receipt of invitation from one representative.

Body	Name	Ben. no.	Beneficiary
Coordinator	Carlos Garcia de Leaniz	1	SU
Project Manager	Rhiannon Harte-Chance	1	SU
Steering Committee	Carlos Garcia de Leaniz	1	SU
	Wouter van de Bund (WP1)	19	JRC
	Maciej Zalewski (WP2)	11	ERCE
	Paul Kemp (WP3)	3	SOTON
	Kim Aarestrup (WP4)	5	DTU
	Herman Wanningen (WP5)	8	WFMF
	Rhiannon Harte-Chance (WP6)	1	SU
	Sonia Consuegra (WP7)	1	SU
	-A representative selected by the General Assembly-	any	any
General Assembly*	Carlos GARCIA DE LEANIZ	1	SU
	Martyn LUCAS	2	DU
	Paul KEMP	3	SOTON
	Eric VERSPOOR	4	UHI
	Kim AARESTRUP	5	DTU
	Philip MCGINNITY	6	UCC
	James KING	7	IFI
	Herman WANNINGEN	8	WFMF
	Eva GARCIA-VAZQUEZ	9	UNIOVI
	CÉSAR RODRÍGUEZ	10	AEMS
	Maciej ZALEWSKI	11	ERCE
	Piotr PARASIEWICZ	12	SSIFI
	Simone BIZZI	13	POLIMI
	Patrick MARTIN	14	CNSS
	Ruedi BÖSINGER	15	WWF
	Klemens KAUPPERT	16	IBK
	Johan TIELMAN	17	SYD
	Claus Till SCHNEIDER	18	RWE
	Wouter van de Bund	19	JRC
	Ghislain BOUAN	20	EDF
External Board (EAB)	Advisory Guillermo Giannico	-	external
	Joshua Royte	-	external
	Laura Wildman	-	external
	Martina Bussetini	-	external

Table 3. Work Package leaders.

WP	Lead	Ben no.	Beneficiary
1	Wouter van de Bund	19	JRC
2	Maciej Zalewski	11	ERCE
3	Paul Kemp	3	SOTON
4	Kim Aarestrup	5	DTU
5	Arjan Berkhuisen	8	WFME
6	Rhiannon Harte-Chance	1	SU
7	Sonia Consuegra	1	SU

2 COMMUNICATION

The CO, assisted by the PM, acts as the intermediary for all communications between the beneficiaries and the EC.

This task mainly involves correspondence on matters revolving around:

- the preparation, completion and submission of periodic reports and Financial Statements for the consortium,
- the preparation, completion and submission of deliverables; and
- project- and funding-related questions raised by the consortium that need explicit feedback from or agreement with the CO/PM

The interaction between the consortium and the CO/PM is mainly handled through the participant portal <https://ec.europa.eu/research/participants/portal/> which supports grant amendments, deliverable and milestone submission and official communications. Beneficiaries also have access to this portal and can view and download the deliverables and the GA (including financial information). In addition, the portal allows input of information produced by the project, for example academic publications.

2.1 Internal Communication

2.1.1 Emails lists and Peer to Peer

Internal communication is done predominantly by email and phone. An up to date list of 'who's who in AMBER' is maintained by the PM which includes emails, telephone numbers, institutional addresses and photographs of all staff or students being paid through the AMBER project (excluding 3rd parties). This can be found on the 'Swansea Server' under admin/4. AMBER members. It is also available from the PM and on the AMBER website team resources <http://amber.international/amber-team-resources/> under WP6. Due to the large number of members within the consortium, the use of emails enables efficient channels of communication and it also ensures that key messages and updates can be shared quickly with all involved e.g. relating to reporting periods, project meetings and updates received from the EC.

Focussed chat groups have also been set up via 'slack' <https://slack.com/> for specific parts of the project. This online chat allows specific groups to be set-up, for example relating to Case Studies, Tasks or Work Packages.

Monthly WP5 and WP6 meetings for all WP Leaders and main contacts are held via Skype to ensure regular channels of communication across Work Packages.

Within Work Packages individual WP Leaders communicate with team members individually and via regular team meetings.

2.1.2 Data sharing

Data sharing is achieved through the 'Swansea Server', which is a 4.4 TB server maintained at Swansea University which has specific folders for Work Packages (which are the responsibility of WP leaders), administration, deliverables, and other useful information for beneficiaries. This server is backed up daily. Access to this server is available to all AMBER members and instructions can be obtained from the PM.

2.1.3 Meetings

The AMBER General Assembly is held once a year, normally during July or September. The dates are chosen to avoid the examination period in June as well as the main holiday period in August. **Table 4** shows the General Assembly meeting schedule.

Table 4. Completed and planned General Assembly meetings within AMBER.

Date	City	Country	Host
05-07 July 2016	Mińsk Mazowiecki, Warsaw	Poland	SSIFI
25-27 July 2017	Milan	Italy	POLIMI
27-29 September 2018	Le Puy-en-Velay	France	CNSS & EDF
2019	La Gomera, Canary Islands	Spain	UNIOVI
2020	Lisbon (Brussels)	Portugal	WFMF

Work Package leaders are encouraged to have separate Work Package meetings specific to achieving the tasks, for example the Barrier Assessment Workshop which was held in Southampton 2-3rd November 2016. Communication links will be strengthened via these meetings and they will complement the AGM which will take place each year (**Table 4**).

Skype and teleconferencing is used for meetings where necessary and following a recent review these quarterly 'catch-ups' via teleconferencing/skype will be replaced with monthly scheduled phone calls to enable the WP leaders and the PM to discuss progress and issues on a more regular basis.

2.1.4 Update reports

The WP leader meeting and additional information requests feed into a quarterly report prepared by the PM which is circulated internally within AMBER members and also forwarded to the EC Project Officer. The PM produces a monthly 'AMBER updates' which is only for internal use. This details new staff, issues, upcoming internal meetings, coordination, and areas which we have to focus on. Unlike the newsletter, the purpose of 'AMBER updates' is not for the promotion of the project, but to assist with the coordination of the project and to draw attention to areas that need to be actioned. 'AMBER updates' is circulated to all AMBER members. AMBER members are also encouraged to subscribe to or download the quarterly newsletter available from the AMBER website (see external communication): <http://amber.international/>

2.2 External Communication

2.2.1 Associated Projects

Various ongoing projects have similar objectives to AMBER, referred to as Associated projects, and coordination with these projects is important to produce a cohesive and informed output. **Table 5** shows the current Associated projects. Slack online chat (<https://slack.com/>) is already being used to communicate regularly with FIT-hydro and contacts have also been made within many of these projects. Representatives of the Associated projects are invited to attend the AMBER meeting. FIT-hydro, Reconnect, Dam Removal Europe and KEEPFISH all attended and presented at the 2017 AMBER General Meeting in Milan.

Table 5. Projects Associated to AMBER.

Project Name	Website	Contact Name	Lead Country	Description
FIThydro	http://www.fithydro.eu/	Prof. Peter Rutschmann	Germany	Novel engineering solutions to mitigate the impacts of hydropower production on fish in Europe
Reconnect	http://www.ucd.ie/reconnect/projectteam/	Dr. Mary Kelly-Quinn	Ireland	Assessment of the extent and impact of barriers on freshwater hydromorphology and connectivity in Ireland
CIS ECOSTAT		Dr. Wouter van de Bund / Dr. Martina Bussetini	EC	Common Implementation Strategy of Ecological Status (for WFD)
Dam Removal Europe	http://damremoval.eu/	Herman Wanningen	Netherlands	Action group to encourage education on dam impacts and their mitigation
KEEPPISH	http://www.coventry.ac.uk/research/research-directories/current-projects/2015/keepfish/	Dr. Martin Wilkes	UK	fish passage across barriers in the temperate regions of the Southern Hemisphere
MARS project	http://www.mars-project.eu/	Prof. Daniel Hering	Germany	Investigating how multiple stressors affect rivers, lakes and estuaries.
GLOBAQUA	http://www.globaqua-project.eu/en/home/	contact through website	UK	EU funded project managing effects of multiple stressors on ecosystems
MERCES	http://www.merces-project.eu/	Prof. Roberto Danovaro	Italy	Restoration of marine degraded habitats
HyMoCARES	http://www.alpine-space.eu/projects/hymocares/	Dr. Willigis Gallmetzer	Italy	Integrate Ecosystem Services into basin planning (specifically river hydromorphology)
SWOS	http://swos-service.eu/	Dr. Dania Abdul Malak	Spain	Satellite based Wetland Observation Service
RESTOR-Hydro	http://www.restor-hydro.eu/en/	Gunvor Axelsson	Sweden	Optimal location of new hydro schemes (led by

				Swedish association)	hydropower
REFORM (now finished)	http://www.reformrivers.eu/	Dr. Tom Buijse	Netherlands	Strategies to improve the success of hydromorphological restoration measures	

2.2.2 External Promotion and Dissemination

Dissemination is a major aspect of the AMBER project. It is fully discussed in D5.6 'Plan for Exploitation and Dissemination', so this section provides only a brief summary.

The AMBER website <http://amber.international/> provides the main base for external information, detailing the project, News, Events, Barrier Atlas, Case Studies, Publications and people in the AMBER Team. A password protected AMBER team resources section also contains downloadable documents important for the project such as AMBER internal meetings and courses, the branding toolkit, the questionnaires, the literature database, educational games, the AMBER mailing list and other documents.

Social networking sites are also used such as:

Facebook <https://www.facebook.com/AMBERtools/>
 Twitter <https://twitter.com/ambertools?lang=en>
 LinkedIn <https://www.linkedin.com/groups/1215847>
 YouTube <https://www.youtube.com/channel/UCPB6VBaM-p9Mv7s0yifmDqA>

Visits to the website, downloads and social media metrics are compiled by the WP5 leader and reported to the PM and the AMBER consortium. WP5 leader also produces a newsletter (pdf) every quarter which details the progress of AMBER in a format more suitable (and available to) the public. This is made available on the AMBER website and can be subscribed to on the site (by both AMBER members and the public).

A stakeholder list has been prepared by the consortium and is held by WP5 for ease of dissemination of AMBER outputs to these stakeholders. Stakeholders are also invited to meetings, including specific stakeholder meetings, as the AMBER outputs are produced and become more relevant to barrier management. Promotion for the AMBER smartphone app will also be a method of promoting AMBER and disseminating the work by linking in with a Citizen Science website (showing barriers) and which links into other AMBER tools and websites.

Data produced from AMBER and the target audiences are detailed in D6.2, D6.3, D6.4 (Data Management and the final Legacy Plan). All scientific publications produced by AMBER are listed on the H2020 Portal and made fully available through the Swansea repository and the AMBER website. These are also cross referenced through OpenAIRE <https://www.openaire.eu/>.

2.3 Communication with the EC

The EC Project Officer receives the quarterly reports resulting from discussions with WP leaders (by email) and the AMBER General Meeting minutes. She has also been given access to the internal AMBER team section of the website. Communication is by phone, email, and also through the H2020 portal. Communication with the EC is always through the CO and the PM. More regular informal updates from the project with the EC Project Officer will occur on a bi-monthly basis.

3 REPORTING

H2020 projects are split into reporting periods (RPs) (**Table 6**). A financial and technical report must be submitted at the end of each reporting period. For beneficiaries, they must submit the financial report online (through the H2020 portal) within 1 month of the end of the reporting period (and the details cover only the reporting period). The report is then locked and submitted by the beneficiary. CO and PM then check the beneficiaries' financial reports and send within 60 days of the end of the reporting period.

The structure and template of the technical report will be provided by the PM to the beneficiaries at least one month prior to the end of the reporting period (i.e. 30 Sep 17 for RP1). Beneficiaries are expected to adhere to this template in order to produce a consistent technical report, which is submitted directly to the CO and PM within 1 month of the end of the reporting period (on the Swansea Server: "EC technical and financial report submissions"). The CO and PM will then collate this information and submit it to the EC through the H2020 portal within 60 days of the end of the reporting period.

Table 6. AMBER Reporting Periods.

Reporting Period	Months	Dates	Report Due from Beneficiaries to SU	Report Due to EC (Latest)
RP1	1-18	01 Jun 16 - 30 Nov 17	31 Dec 2017	29 Jan 2018
RP2	19-36	01 Dec 17 - 31 May 19	30 Jun 2019	30 Jul 2019
RP3	37-48	01 Jun 19 – 31 May 20	30 Jun 2020	30 Jul 2020

3.1 Financial Report

The Financial report contains:

1. An 'individual financial statement' (see Annex 4 of GA) from each beneficiary, for the reporting period concerned. The individual financial statement must detail the eligible costs (actual costs, unit costs and flat-rate costs; see Article 6) for each budget category (see Annex 2). The beneficiaries must declare all eligible costs, even if (for actual costs, unit costs and flat-rate costs) they exceed the amounts indicated in the estimated budget (see Annex 2). Amounts which are not declared in the individual financial statement will not be taken into account by the Agency. If an individual financial statement is not submitted for a reporting period, it may be included in the periodic financial report for the next reporting period. The individual financial statements of the last reporting period must also detail the receipts of the action (see Article 5.3.3).

Each beneficiary must certify that:

- the information provided is full, reliable and true;
 - the costs declared are eligible (see Article 6);
 - the costs can be substantiated by adequate records and supporting documentation (see Article 18) that will be produced upon request (see Article 17) or in the context of checks, reviews, audits and investigations (see Article 22), and for the last reporting period: that all the receipts have been declared (see Article 5.3.3)
2. An explanation of the use of resources and the information on subcontracting (see Article 13) and in-kind contributions provided by third parties (see Articles 11 and 12) from each beneficiary, for the reporting period concerned;

3. Information on the amount of each interim payment and payment of the balance to be paid by the Agency to the Joint Research Centre (JRC);
4. A 'periodic summary financial statement' (see Annex 4), created automatically by the electronic exchange system, consolidating the individual financial statements for the reporting period concerned and including (except for the last reporting period) the request for interim payment.

3.2 Technical Report

Beneficiaries must supply:

1. An explanation of the work carried out by the beneficiaries;
2. An overview of the progress towards the objectives of the action, including milestones and deliverables. This report must include explanations justifying the differences between work expected to be carried in the tasks and that actually carried out. The report must also detail the exploitation and dissemination of the results and, if required, an updated 'plan for the exploitation and dissemination of the results'.

Also required (from UNIOVI):

3. Answers to the 'questionnaire', covering issues related to the action implementation and the economic and societal impact, notably in the context of the Horizon 2020 key performance indicators and the Horizon 2020 monitoring requirements

And from the CO:

4. A summary for publication by the Agency

4 FINANCIAL MANAGEMENT

4.1 Pre-finance

H2020 projects are pre-financed, that is, beneficiaries receive the money before the actions (tasks) are initiated. This is done in 3 stages (see reporting periods, **Table 6**).

Swansea University (SU) initially receives the funds provided by the EC and then redistributes these within 90 days of receipt. SU received 43.33% of the total grant in pre-finance at the start of the project (10 June 2016) and distributed it in July/August 2017. Due to an H2020 rule change to pre-finance at 53.33% the difference was received by SU and then paid to beneficiaries in June/July 2018. **Table 7** and **8** show the pre-finance amounts paid to beneficiaries. SU does not receive money for distribution for WWF (paid by the Swiss government) or JRC (paid by the EC directly). Also, a 5% Guarantee Fund is retained by the EC, payable only after completion of the project.

4.2 Interim Payments

The pre-finance sent to the coordinator is €2,608,741.53 minus the amount sent directly to JRC (€80,873.00). Interim payments follow reporting periods RP1, RP2 and RP3 (project end) are paid within 90 days of receiving the periodic (or final) report, subject to approval of the report. The amount paid during RP1 and RP2 is a reimbursement of eligible costs during that reporting period up to a maximum value of 85% of the total grant amount i.e. if a beneficiary has spent more than previously received through pre-finance and previous reporting periods, this difference will be paid within 90 days of periodic report being received, up to a maximum value of 85% of grant amount for that beneficiary.

The Coordinator is entitled to withhold any payments due to a Party identified by a responsible Consortium Body to be in breach of its obligations under the CA or the GA or to a Beneficiary which has not yet signed the CA. The Coordinator is also entitled to recover any payments already paid to a Defaulting Party. The Coordinator is equally entitled to withhold payments to a Party when this is suggested by or agreed with the Funding Authority.

4.3 Final Payment

The final payment is again made 90 days after receiving the final report and is subject to approval of this report. It has a value up to a maximum of the remaining 15% of the grant amount; which includes the 5% guarantee fund that was previously retained. If the beneficiary has underspent between 0 and 15% only the amount due will be paid. If the beneficiary has previously been paid more than they can claim under eligible costs, that money must be returned to the EC (via Swansea University).

Table 7. Initial Pre-finance amounts paid to beneficiaries (July/August 2016). (*)WWF Switzerland receives all of its funding by the Swiss government. (‡) JRC receive from the EC but it goes direct to them, and is not distributed to them by SU.

Ben. no.	Ben.	Total Beneficiary receives	5% Guarantee Fund	43% pre-finance payment from SU	Global Share
1	SU	1 145 540.25	57 277.01	439 123.76	18.36
2	DU	654 727.50	32 736.38	250 978.88	10.50
3	SOTON	422 665.00	21 133.25	162 021.58	6.78
4	UHI	300 277.50	15 013.88	115 106.38	4.81
5	DTU	397 311.25	19 865.56	152 302.65	6.37
6	UCC	150 750.00	7 537.50	57 787.50	2.42
7	IFI	149 147.50	7 457.38	57 173.21	2.39
8	WFMF	832 750.00	41 637.50	319 220.83	13.35
9	UNIOVI	209 128.75	10 456.44	80 166.02	3.35
10	AEMS	164 711.25	8 235.56	63 139.31	2.64
11	ERCE	252 778.75	12 638.94	96 898.52	4.05
12	SSIFI	257 880.00	12 894.00	98 854.00	4.13
13	POLIMI	249 625.00	12 481.25	95 689.58	4.00
14	CNSS	179 500.00	8 975.00	68 808.33	2.88
15	WWF	217 841.00*	-	-	3.49
16	IBK	226 500.00	11 325.00	86 825.00	3.63
17	SYD	51 125.00	2 556.25	19 597.92	0.82
18	RWE	61 625.00	3 081.25	23 622.92	0.99
19	JRC	186 630.00‡	-	-	2.99
20	EDF	127 500.00	6 375.00	48 875.00	2.04
Total Grant Amount		6 238 013.75	-	-	100.00
Total paid by EC (excludes WWF)		6 020 172.75	301 008.64	2 608 741.53	-
Total paid to SU for distribution (excludes WWF and JRC)		5 833 542.75	291 677.14	2 236 191.39	-

Table 8. Additional pre-finance amounts paid to beneficiaries (June/July 2017) following H2020 rule change. (*) The 53½ % pre-finance amount follows removal of 5% Guarantee Fund.

Ben. no.	Ben.	53½ % pre-finance amount*	43½ % pre-finance received	Difference between 53½ and 43½ : distributed by SU
1	SU	553 677.79	439 123.76	114 554.02
2	DU	316 451.62	250 978.88	65 472.75
3	SOTON	204 288.08	162 021.58	42 266.50
4	UHI	145 134.12	115 106.38	30 027.75
5	DTU	192 033.77	152 302.65	39 731.12
6	UCC	72 862.50	57 787.50	15 075.00
7	IFI	72 087.96	57 173.21	14 914.75
8	WFMF	402 495.83	319 220.83	83 275.00
9	UNIOVI	101 078.90	80 166.02	20 912.87
10	AEMS	79 610.44	63 139.31	16 471.12
11	ERCE	122 176.40	96 898.52	25 277.87
12	SSIFI	124 642.00	98 854.00	25 788.00
13	POLIMI	120 652.08	95 689.58	24 962.50
14	CNSS	86 758.33	68 808.33	17 950.00
15	WWF	-	-	-
16	IBK	109 475.00	86 825.00	22 650.00
17	SYD	24 710.42	19 597.92	5 112.50
18	RWE	29 785.42	23 622.92	6 162.50
19	JRC	-	-	-
20	EDF	61 625.00	48 875.00	12 750.00
Total paid to SU for distribution (excludes WWF and JRC)		2 819 545.66	2 236 191.39	291 677.14

It is highly recommended that beneficiaries ensure: (i) there is sufficient evidence for the spending of costs in line with H2020 requirements; (ii) that all claims are considered eligible in line with H2020 requirements, particularly that they are clearly spent on the tasks within the GA; (iii) that there is no underspend, particularly in regards to salaries which tend to form the major part of the costs. Only costs up to the full grant amount can be paid. However, if a claim is rejected in one area, it is possible to still get the full grant amount if there is an (eligible) overspend in another area i.e. overspend can help protect against losing funds due to some costs being declared ineligible.

5 MONITORING OF RESOURCE EXPENDITURE

Travel and subsistence costs have been devolved to the individual beneficiaries. Beneficiaries are expected to cover the costs of travel, accommodation and subsistence to attend all AMBER meetings. The cost associated with hiring the meeting venue is covered by the host beneficiary. The costs associated with attendance by the External Advisory Board is covered by the CO.

All beneficiaries are responsible for monitoring their own resource expenditure and also ensuring that the expenditure is in line with H2020 regulations and the GA (including documentation of expenditure). Beneficiaries must also submit an expenditure report 3 months prior to the end of the reporting period, or 6 months prior to the final report (**Table 9**). This ensures that there is sufficient time to address overspend and underspend issues and to assess whether fund transfers between

categories, tasks or beneficiaries is necessary. All such transfers will be done with the agreement of the WP leaders and involved beneficiaries under the direction of the CO, in line with the CA. The PM will provide a template for the expenditure report.

Table 9. Deadline for sending expenditure report to Swansea University

Reporting Period	Months	Deadline for expenditure report to be received by Swansea University
RP1	1-18	30 Sep 2017
RP2	19-36	31 Mar 2019
RP3	37-48	31 Dec 2019

6 DELIVERABLES SUBMISSION

6.1 Deliverable timing and structure

Deliverables are to be submitted by the person responsible for the deliverable to the CO and PM. Deliverables need to:

1. Conform to the formatting requirements specified in the template (see the “dissemination/branding materials/document template” or “deliverables” folder on the Swansea Server called “AMBER Document template [date].docx”.
2. Be sent to the CO and PM at least 1 month prior to the deliverable date listed in the H2020 Portal, allowing time for corrections.
3. Be proof-read to ensure there are no spelling mistakes.

The CO and PM should not need to edit or reformat the deliverables, but simply to ensure the content is adequate and fit for purpose.

Additional notes on format:

- List Authors with the abbreviation for the institution after each author, followed by “for the AMBER consortium.” e.g. “James Kerr (SOTON), Andrew Vowles (SOTON), Jesse O’Hanley (IBK) and Paul Kemp (SOTON), for the AMBER Consortium.”
- For the references we suggest this format (journals not abbreviated, volume in bold, journal in italic, year in brackets) e.g.
McCartney M (2009) Living with dams: managing the environmental impacts. *Water Policy* **11**:121–139.

6.2 Quality control

To maintain the quality of the work submitted, the CO and PM will check and read all deliverables and the periodic report before uploading them into the portal. Consultation with the EAB and other partners within the consortium may also be sought. Reviewers will be selected dependant on the nature of the query. Internal expertise will be sought prior to seeking the advice of the EAB. If it is not possible to find suitable reviewers via these methods then experts will be sought who are working within similar projects. Deliverables and sections of the periodic report may be returned to the authors for reformatting, spell-checking or rewriting if they are found not to be suitable for uploading into the portal.

The CO and PM are responsible for uploading the deliverables into the portal. This is done by selecting the blue button ‘MP’ and then choosing ‘continuous reporting’. In the pop-up, select ‘deliverables’, and to the right is the uploaded deliverable. Comments on the deliverable for revision are also available in the same location and those dealing with items relating to rejected deliverables must look

at these original comments. The deliverables and periodic reports will also be on the AMBER Swansea Server (deliverables/uploaded to H2020).

Thus there are five stages to the deliverable process:

1. Beneficiaries submit the deliverable to the CO and PM one month before the H2020 deadline.
2. The CO and PM and any other chosen reviewers will assess the deliverable and correct or pass back the deliverable for correction.
3. The deliverable will be uploaded to the H2020 portal by the due date
4. The EC Project Officer reviews the deliverable and may ask for changes
5. Following each Reporting Period, the EC review all the deliverables which should have been delivered up to that date and officially accept or reject the deliverable.

Any problem that may delay or prevent the production of a deliverable must be reported to the CO and PM with sufficient time to allow remedial measures to be taken.

7 RISK MANAGEMENT PROCEDURES

Specific risks, along with mitigation measures, have been identified in the AMBER GA (p. 49, 1.3.5. WT5 Critical Implementation risks and mitigation actions. All beneficiaries must make themselves familiar with the risks associated with the WPs and tasks in which they are involved.

WP leaders are required to inform the PM and CO of any risks to the delivery of the project or aspects of the project (tasks, milestones, and deliverables) at the soonest possible opportunity. New and ongoing risks should also be identified within the quarterly WP leader meetings with actions decided on how to deal with these risks and whether further actions needs to be taken (e.g. mitigation measures, changes to the timeline or even potential amendments to the GA). All additional risks identified will be added to a 'risk and issues register' kept by the PM.

SU also holds an internal risk database to enable the University to act if there are potential problems of non-delivery or of financial risk within the project.

8 DECISION MAKING PROCESSES AND CONFLICT RESOLUTION

The CA covers decision making processes and conflict resolution in detail and should be referred to for further information, all Beneficiaries have signed this agreement. This is a brief summary of the main processes within that legal agreement. NB. Where days are referred to, they are calendar days (i.e. including weekends and holidays).

8.1 Decision making

8.1.1 Decision making

Decisions made within the General Assembly include but are not limited to the following:

1. Grant amendments (in coordination with the EC)
2. CA amendments
3. Entry, withdrawal or termination of parties within the consortium.
4. Identification and remedies of a breach within the GA or CA

In addition to regular consortium meetings, extraordinary meetings can be held if a request by one third of the General Assembly, or by one third of the Steering Committee, is made in writing to the CO. Such extraordinary meetings require 15 days' notice to the assembly giving the date and location of the meeting.

Draft minutes will be sent to all members of the consortium within 10 days of the meeting.

8.1.2 Voting rules

During the General Assembly each beneficiary lead has one vote in decision making or can nominate a representative to make that vote at the meeting. The exception is the CO, who has two votes, being both the project lead and the SU beneficiary lead. Voting will not take place unless two thirds ($\frac{2}{3}$) of the members or representatives specifically designated by these members, are present. If this is not the case the consortium has to be reconvened. Non-voting persons and persons outside of AMBER can attend the General Assembly under prior agreement with the CO and if there is no objection from the General Assembly.

Decisions will be adopted based on a 2/3 majority on the first round of votes, or if this cannot be achieved, based on simple majority voting on a second round.

8.1.3 Veto rights

If a consortium member can show that their legitimate interests (e.g. own work, time for performance, costs, liabilities, intellectual property) would be severely affected by a decision they may veto that decision within the meeting (or within 15 days in writing if the item was only added to the agenda during the meeting or if the member was not present at the meeting). Vetoes cannot be made where the beneficiary would be in breach of its obligations to veto such a decision, nor in relation to their participation or termination within the consortium. Further details can be found in Article 6.2.4 of the CA.

8.2 Ownership and dissemination of results

The results from AMBER belong to those producing them, though most tasks involve various beneficiaries and in those there is joint ownership for many of the results. Article 26.2 of the GA covers the principle of joint ownership of AMBER results. Unless otherwise agreed a joint owner can exploit their results on a royalty free basis without prior consent of other joint owners. A joint owner can also exploit the jointly owned results and grant non-exclusive licenses to third parties (without any right to sub-license) if at least 45 days' notice and fair and reasonable compensation is provided to the other parties. Following Article 30 of the GA, ownership of the results can also be transferred, ensuring that the rights of other parties are not affected.

Prior notice of any dissemination of results (outside the consortium) must be given to other parties and the Steering Committee at least 45 days before dissemination. Any objection to this shall be made in writing to the CO, Steering Committee and parties proposing the dissemination within 30 days of receipt of this notice. If no objection is made within this time limit the dissemination is permitted. Dissemination of another parties results requires written permission from that party unless the results have already been published.

Prior written approval is still required in the use in advertising or publicity of logos and trademarks of any of the beneficiaries.

8.3 Disputes and Escalations

8.3.1 Settlement and Escalation of Disputes

As detailed in the Article 11.8 of the CA, in the first instance disputes should be settled amicably between the parties, guided by the CO and PM. Issues should first be raised with the CO and parties involved submitting the nature of the dispute and the desired outcome. Sufficient time for decision making and potentially a vote of the General Assembly should be given.

If an amicable solution is not possible World Intellectual Property Organization (WIPO) mediation rules should be followed: <http://www.wipo.int/amc/en/>. If the case is not settled within 60 days of the commencement of mediation either party can then file a request for Arbitration (following WIPO rules). The place of both mediation and arbitration shall be Brussels and the language used English, unless otherwise agreed upon.