



TEN-T project no: 2010-EU-21109-S

# Strategic Action Plan



Co-financed by the European Union

Trans-European Transport Network (TEN-T)

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### Introduction to the Strategic Action Plan

A Strategic Action Plan (SAP) is a document with two main purposes:

- Firstly it describes the project management system applied to the preparation, planning and implementation of the Action up to its final completion;
- Secondly, during implementation, it provides decision-makers with all relevant information and analysis in order to take informed decisions whenever deviations from the SAP are encountered, as well as for assessing the impact of such decisions over the remaining implementation period

This Strategic Action Plan (SAP) concerning the implementation of the TEN-T co-financed project MONALISA. The SAP is based on instructions provided by the TEN-T Agency and takes into regard the provisions in the Decision granting financial support to the project (mainly article II.2.4).

The Decision of the European Commission granting financial support to the MONALISA project is dated 25 May 2011, with the TEN-T financing identification number 2010-EU-210111-S.

Although all annexes that are attached to the SAP are relevant and interesting, it might be useful to indicate the main documents that cover most of the regulations, principles and procedures followed by the MONALISA beneficiaries in managing the project.

In case of questions about this SAP, please contact the official authorized representative of the MONALISA project, Project leader Mr Magnus Sundström, Telephone: +46 10 478 46 81, sms: +46 734 32 12 71, e-mail: [magnus.sundstrom@sjofartsverket.se](mailto:magnus.sundstrom@sjofartsverket.se).

# 1 Background information

## 1.1 Description of the global project

The main objective of the global project is to contribute to the promotion of the Motorways of the Sea (MoS) concept in the Baltic Sea by implementing a series of measures of wider benefit, which are also included in, or fully in line with, the EU's Strategy for the Baltic Sea Region.

The global project as well as the Action will contribute to the development and implementation of EU's e-maritime initiative.

The global project is a continuation of the wider benefit MoS actions that was implemented by the Baltic Sea countries (Master Plan Project for development of the Motorways of the Sea in the Baltic – Decision no. 2005-SE-91406-S) in 2005 – 2007.

The MoS concept in the Baltic Sea will contribute to the further development of an integrated maritime and land based infrastructure and associated services across the Baltic. The aim is to facilitate the internal cohesion of the Baltic Sea region and to improve its maritime access to the central regions of the Community and to reduce the high transport cost for serving these areas.

The MoS concept is an important tool for further development of quality shipping and for making maritime transport more eco-efficient, with a minimum of administrative burden for the operators and fully integrated in the intermodal transport chain. In order to achieve this, focus can not only be on developing physical infrastructure and operations in certain transport corridors. Emphasis must also be made on horizontal projects of wider benefit, on projects that benefits all operators and projects that are concrete in their set-up and that can be deployed and contribute to reach the aim of the Motorways of the Sea concept.

Wider benefit actions within the global project address areas like for example simplification of administrative procedures for maritime transport, development and deployment of e-navigation applications, improvements of winter navigation, facilitation of environmental performance of maritime transport.

## 1.2 Description of the Action

This wider benefit MoS project MONALISA aims at contributing to the promotion of continuous improvement and development of efficient, safe and environmentally sound maritime transport in the Baltic Sea by implementation of a series of measures which are also in line with the EU's Baltic Sea Region Strategy.

The Action takes the form of pilot actions and studies and encompasses the following four activities:

- Activity 1, Dynamic & Proactive Route planning (DPR)

This Activity aims to develop a new methodology in marine route planning, similar to air navigation, due to availability of the mandatory AIS system. This will improve the quality of maritime transport and safety at sea.

- Activity 2, Verification System for Officers Certificates

The objective of the activity is to investigate possible ways to verify, in an automated manner, different certificates held by onboard personnel that are of importance for a specific voyage.

- Activity 3, Ensuring the Quality of Hydrographic Data on Shipping Routes and Areas

The objective of this activity is to improve safety of shipping by conducting re-surveys of HELCOM fairways and relevant port areas in the Baltic Sea and harmonizing distribution of survey data and water level information.

- Activity 4, Global Sharing of Maritime Information (GSMI)

The main goal of this activity is to enable sharing maritime data on a global scale based on the experiences gained from HELCOM AIS, SafetSeaNet and Stires systems.

| Activity number | Activity name  | Indicative start date | Indicative end date |
|-----------------|--|-----------------------|---------------------|
|                 | Dynamic & Proactive Route planning (DPR)                               | 01/01/2011            | 31/12/2013          |
| 2               | Verification System for Officers Certificates                          | 01/01/2011            | 31/12/2013          |
| 3               | Ensuring the Quality of Hydrographic Data on Shipping Routes and Areas | 01/09/2010            | 31/12/2013          |
| 4               | Global Sharing of Maritime Information (GSMI)                          | 01/07/2011            | 31/12/2013          |

### **1.3 Other relevant projects or activities financed by the EC or other sources**

#### **Important related initiatives**

As indicated in the application, there are several initiatives and projects that are relevant for the MONALISA project. Coordination and cooperation is therefore a prioritized and challenging task.

There are three priority areas in the EU's Strategy for the Baltic Sea region that are of relevance for the MONALISA project and of which MONALISA delivers as part of:

Priority area 4 – To become a model region for clean shipping

Priority area 11 – To improve internal and external transport links

Priority area 13 – To become a leading region in Maritime Safety and Security



Contacts are established with the priority area coordinators of the three priority areas and MONALISA will on a regular basis report on its progress.

To elaborate more efficient e-services for maritime transport is the aim of the European Commission's E-Maritime Initiative. Implementation of Activity 1 and 2 of MONALISA will contribute with concrete applications of e-maritime. Cooperation is established with the European Commission.

Activity 2 and to some extent also Activity 1 is relevant for the European Maritime Safety Agency, EMSA. Contact is established with EMSA and the aim is that EMSA becomes an observer in MONALISA.'

As MONALISA in a longer term aims at implementation on a global scale, IMO NAV Committee and IALA are important fora.

### **Related projects**

#### EfficienSea

EfficienSea is an INTERREG project, aiming at improving the Baltic Sea, with focus on the environmental performance and safety of navigation.

#### ACCSEAS

The project, which is applying for co-financing from the INTERREG programme, aims at implementing an e-Navigation Test Bed for the North Sea as a prototype, proof-of-concept system. A key outcome will be to establish a North Sea regional platform, supporting technological, institutional, policy, regulatory, standards and user aspects of a regional e-Navigation service for improved accessibility across the North Sea.

#### SafePort

SafePort is a research project which has received community co-financing from the framework program. The project offers an advanced vessel traffic management system designed for constrained ports, or waterways with high traffic densities, with integrated portable pilot unit. SafePort delivers accurate, secure and reliable navigation and positioning information which in turn enables for safer and more efficient navigation and berthing.

#### Tanker Safety Service

A project between FTA, Neste Oil and the John Nurminen Foundation. The aim of the co-operation is to reduce the risk of a major disaster in the Gulf of Finland. The basic idea is to develop the ENSI (Enhanced Navigation Support Information) -service.

#### STIRES

A system under development, interfacing with several existing and planned systems for supporting safety at sea, and for protecting the maritime environment as well as economic efficiency, facilitating relaying and exchanging information between the EU Member States, Norway and Iceland.

#### IALA Net

A near real time maritime data exchange service, provided through the Internet. The service is intended to assist participating authorities in fulfilling their duties in relation to maritime safety, security, protection of the marine environment, and the efficiency of navigation.

### BLAST

A regional project for maritime safety in the North Sea region which aims to collaborate to harmonise and integrate land and sea data.

### MARSUNO

A pilot project that supports the policy process of the European Commission to create a Common Information Sharing Environment for the EU maritime domain.

## 2 Implementation of the Action

### 2.1 Activities description

#### 2.1.1 Activity 1 - Dynamic & Proactive Route planning (DPR)

The Activity aims to develop and test a new model in route planning based on existing Electronic Nautical Charts and Automatic Identification System. Each vessel's pre-planned route will be visible for other vessels and monitoring centres ashore. The estimated best route and speed plan will be agreed on between captains and pilot centres which have knowledge about the local sailing conditions such as currents, wind and waves, water depth and sea ice that affect sailing time and bunker consumption but also traffic congestion, availability of berth in the next port of call and cargo handling schedules. Radio communications between vessels will not be needed when pre-planned routes clearly describe all navigators intended routes on screens onboard. Monitoring centres and others will immediately see if a vessel is deviating from a pre-planned route and will be able to take action. All vessel routes will be available for other ships for anti-collision purpose.

One of the most important input to Activity 1 is newly produced ENC charts with quality assured depth data sets, to have guarantees that the dynamic green routes can be planned over the sea areas with all the dynamic data inputs effectuated, in order to allow the vessels to avoid squat effects, reduce speed in shallow water areas and to use deep water areas for full speed. It is likely, that more detailed data model, than just ENC, is needed to fully utilize DPR in shallow areas.

The Activity will be implemented within ten sub-activities:

##### 1. Preparation and process planning

Analyses of relevant findings and experience from other projects and transport modes. A detailed description of the concept/methodology will be elaborated. This subactivity is to be completed in November 2011 and delivered as a report. The report will be reviewed by external experts.

##### 2. Routes

Elaboration of optimal routes for the vessels is a demanding task of the Activity. Required transmission data will be assessed and suitable protocols and operative schedule including interfaces will be determined. User requirements and technical requirements for onboard and control centres will be prepared. Standards for different ship models and fairway details will be elaborated together with criteria for calculation of best route and speed pattern for each individual ship. Possible conflict processes will be assessed. Required capacity for hardware and software onboard and ashore will be prepared. The specification to be used in software development is to be delivered end of August 2011. Basic algorithms for construction of routes and voyage plans will be elaborated, based on different relevant indata. The first tests of communication voyage plans will be performed in simulators at Chalmers in November 2011. Iterative tests will continue during 2012.

##### 3. Technical solutions

The best possible transmission systems will be tested and evaluated. Possibilities to obtain data from established meteorological institutions will be investigated. Hydrographical information will be gathered. Technical solution for presentation of other vessels routes onboard ships will be



worked out. Introduction of new display to be used onboard vessels is to be delivered in December 2011. A definition of transmission systems will be presented by the end of April 2012. A Ship to-ship solution for transmission of routes between vessels is to be delivered in the end of May 2012.

#### 4. Surveillance and security

Technique and process for detection of anomalies within route legs will be elaborated together with assessment of security issues connected to system information. A first beta model will be delivered in July 2012. Complete system is to be delivered in January 2013. Security systems is to be delivered in July 2012.

#### 5. Ports

Required information from different kind of ports for optimization of vessels voyages will be assessed. Models for input data will be established in December 2012. First port (Gothenburg) engaged December 2012, followed by a second port (Aarhus) in January 2012 and a third port (Stockholm) in April 2012.

#### 6. Legal matters

Possible legal obstacles and liabilities in international legislation will be assessed together with proposals for adjustments. Complete report delivered in June 2012, covering liabilities and comparison with air traffic regulations and related legislation for the civil aviation.

#### 7. Formal Safety Assessment

An analysis will be carried out to assess how the risk factor regarding safety is changed with implementation of the system. A report with a Formal Safety Assessment is to be delivered end of January 2013

#### 8. Human factors

Man-technology-organisation studies will be performed. Officer's opinion on the system functions will be investigated. Workshops with end-users to be continuously performed. A report will be submitted by the end of June 2013

#### 9. Test and evaluation

Simulations of the operating system will be performed in a simulator. Sound VTS center and some vessels will be utilized for a full scale test. First operational tests will be carried out in simulators at Chalmers before the end of May 2012. First full scale tests onboard vessels will be carried out during year 2013 and should be finalised before the end of October 2013.

#### 10. Dissemination

A website for the activity will be created and an information movie about proactive route planning produced. A project website will be up and running end of February 2011. At least 20 relevant conferences, workshops or symposiums will be attended during the full project time, where the MONALISA project will be presented. Website calendar will continuously be updated. First presentation movie produced in June 2011. Complete movie presenting the dynamic and proactive route planning concept of the MONALISA project will be prepared by June 2013

### 2.1.2 Activity 2 - Verification System for Officers Certificates

A concept model for an automatic verification system monitoring officer's certificates and time on watch will be designed. A maritime ID-card with security codes will be designed and tested. The officer's certificates will automatically be checked against data bases ashore (via AIS transmission) to ensure validity of certificates. This activity will assure required competence and present means to prevent fatigue which is a common reason for accidents at sea.

The system will be based on AIS application protocol. A personal smart card containing officer's ID information, a card reader onboard, encryption and decryption software, receiving software at the competent authority whose task is to oversee certificate matters and new area ECDIS (Electronic Chart Display and Information System) features will be developed.

A significant part of the work will be focused on assessment of the current situation for use of invalid or outdated certificates within the Union. The activity will also identify similarities and dissimilarities in the certificate process in different EU countries and elaborate proposals for harmonisation. The legislations and methods for preventing fatigue on officers on watch in different selected member states will be collected and presented.

The activity will also look into legal and liability issues of such a system. The system's impact on shipboard crew will be studied as well as crew members' opinion on the system gathered.

The activity will be implemented within four sub-activities:

#### 1. Study on previous achievements and current situation

The sub-activity will collect and evaluate previous work done in described area of interest. A supplement study on the current situation regarding false, invalid and non-existent certificates within the Baltic Sea Region will be performed.

#### 2. Study human factors, legal and liability issues

The sub-activity will assess how more surveillance and control effects crew's working environment onboard.. This will be done via workshops, participatory action research and interviews. It will also focus on legal and liability issues in order to identify possible shortcomings and obstacles in present legislation which could obstruct implementation of such system.3. Development of concept hardware, software and its applications

The outcome of this sub-activity will be developed and tested hardware, software, new AIS features and investigation of existing databases for certificates in the test region. Electronic methods to compare personal identity cards with existing databases will also be elaborated.

#### 4. Tests, Evaluation and Dissemination

Simulations of the developed system will be performed. Full-scale tests will be carried out using some commercial vessels and in appropriate land centrals. This phase will also form the basis for the dissemination of information and coordinate effort with activity 1.10.

### 2.1.3 Activity 3 - Ensuring the Quality of Hydrographic Data on Shipping Routes and Areas

Re-survey of HELCOM fairways and Baltic Sea port areas will be carried with modern quality methods to ensure correct depth presented in existing sea charts and improve safe navigation for large vessels. The depth data obtained from this study will be the base for data model (sub-activity 3.2), harmonized vertical reference for chart data (sub-activity 3.3), route planning (activity 1), actual navigation at sea and traffic guidance. Another aim with this Action is to increase cooperation between Baltic Sea States in order to streamline hydrographic surveys, distribution of survey data and water level information (sub-activities 3.2 and 3.3) and issuing nautical products as well as to enhance navigation infrastructure and support e-Navigation in implementation of Activity 1 (Dynamic & Proactive Route planning).

Activity 3 will be implemented within 3 sub-activities:

### 1. Speed up re-surveys

The re-survey will be conducted according to the HELCOM Copenhagen 2001 and Moscow 2010 Ministerial Declarations. The re-surveyed marine areas will cover about 32 000 km<sup>2</sup> of HELCOM CAT I and II areas around Finland and Sweden. Areas vary on depth, bottom structure, water turbidity and weather vulnerability, which will in turn have a direct effect on the difficulty and time used on the field work and data post processing. This will further vary the cost widely. This geospatial data is necessary to obtain for sub-activities 3.2 and 3.3.

HELCOM areas in the Bothnian Sea in the Economic zone of Sweden and Finland will be surveyed during 2011 and early 2012 based on tendering in 2010 and contracts in April 2011. Additional HELCOM areas in the territorial waters will be surveyed with state-owned resources, in Finland by the state owned company Meritaito Oy and in Sweden by the Swedish Maritime Administration. The Bay of Bothnia and areas around Southern Sweden are planned to be open for procurement in the Autumn 2011 and to be surveyed in 2012-2013. The areas surveyed by external contractors might be complemented by internal state surveys in territorial waters.

Analysis on the data has started in June 2011.

Report on the progress has been given at the BSHC meeting in Norrköping in September 2011.

### 2. Baltic Sea harmonised depth model (for Geospatial information)

Actions will be launched to establish a common database of bathymetric data for the Baltic Sea Area. They will include identification of existing regulations concerning depth data, development of proposals concerning storage, maintenance, exchange and distribution of the bathymetric data. A sample data model will be compiled from 2011 surveyed and processed data.

A workshop will be held in October 2011 at Swedish Maritime Administration. A common sample data from 2011 surveys is expected to be available in summer 2012.

### 3. Pilot project on harmonised vertical reference on Baltic Sea

A study will be conducted to identify the difference between Baltic Sea States vertical reference surface and establish a common standard. Further on, a small scale pilot project will analyse the implications and effects to the products and services on implementing a new harmonized vertical references. The most obvious application of a common vertical reference is printed and electronic nautical chart and water level (tide) information.

A workshop was held at Swedish Maritime Administration in Norrköping at the end of August 2011 and new workshop is planned for early 2012.

### **2.1.4 Activity 4 - Global Sharing of Maritime Information (GSMI)**

The activity aims to develop a functional demonstrator system both technically and procedurally defined, with the final objective to extend the sharing of maritime information to a global scale as well as expanding the scope of maritime information shared between maritime authorities in accordance with their needs. The activity will be implemented through the following sub-activities:

#### **1. Analysis and design**

This sub-activity will include analysis of existing systems for sharing maritime information, user need assessment and development of functional specification for a global system for sharing maritime information.

#### **2. System development**

Selecting and developing the necessary technical standards and controlling the development process towards a working system demonstrator. This will be done through an agile (iterative) development process.

#### **3. Promotion**

The sub-activity will include promotion of the system, connection of as many national authorities as possible to the system and promoting the results across industry/governmental administrations to ensure broadest possible involvement from stakeholders.

Partners will develop the necessary infrastructure to enable sharing of AIS and other maritime information both within and beyond the European Union enhancing safety of navigation, efficient shipping and the protection of the environment. A functional system demonstrator based on open standards will be developed and promoted. A close cooperation with the International Association of Marine Aids to Navigation and Lighthouse Authorities (IALA) will be sought after, as a gateway to the global community of maritime national administrations and related industry.

## ***2.2 Progress from project start until October 2011***

### **Activity 1 - Dynamic & Proactive Route planning**

Within Activity 1, a number of workshops to elaborate the concept has been carried out with both project partners and associated partners. The work will result in a concept study that is planned to be finalized during Autumn 2011.

A lot of efforts have been put on communicating the concept and establishing cooperation with related initiatives and actors. For example, cooperation is established with the Finnish project Tanker Safety Services and with WWF.

### **Activity 2 - Verification System for Officers Certificates**

A Participatory Action Research Study regarding human factor elements will be carried out at 4-6 workshops in the second half of 2011 and in the beginning of 2012. The first of these workshops took place on 31 August 2011. The target group of the workshops are representatives of shipowners Associations, masters, authorities, labour organisations

Contacts have been established with the The Swedish Transport Agency (previous Maritime Safety Inspectorate) are not a project partner, but an important stakeholder and they have an interest in cooperating with the MONALISA project. They have not budgeted for any work this year, but will do so for next year.

### **Activity 3 - Ensuring the Quality of Hydrographic Data on Shipping Routes and Areas**

The procurement for Bothnian Sea Survey 2011 was finalized in Spring 2011. Contract signed 13 April with Fugro OSAE GmbH for both Finnish Transport Agency (€1.550.000) and Swedish Maritime Administration (€1.550.000). The hydrographic surveys commenced in May 2011. The external contractor will not be able to finalise the surveys in 2011, as stated in the contract. Related HELCOM areas on Swedish and Finnish territorial waters are surveyed by state-owned resources.

A start-up meeting at the Finnish Transport Agency was held on 16<sup>th</sup> of May in Helsinki on the sub-project on a Baltic Sea depths database. A working meeting took place on 11-12 October in Norrköping, with participation from Finland, Estonia, Latvia, Poland, Germany and Sweden.

A workshop on harmonized vertical reference was held at Swedish Maritime Administration in Norrköping at the end of August 2011 and new workshop is planned for early 2012.

### **Activity 4 - Global Sharing of Maritime Information (GSMI)**

The work within Activity 4 has been scheduled to commence after the summer 2011. Gatehouse has spend some time during summer working on the conceptual side of things. The concept was presented at an IALA conference in Paris in mid-September 2011.

### **Project Coordination and Communication**

A lot of activities have been carried out when it comes to project Coordination and overall communication. Example of activities is shown below:

Partner agreement has been agreed and signed.

Project handbook for technical and financial report is prepared and agreed.

Formal kick-off was arranged on 14 June in Stockholm.

First version of the Strategic Action Plan was submitted to TEN-T EA 24 August 2011.

Website ([www.monalisaproject.eu](http://www.monalisaproject.eu)) was launched in April 2011.

Presentation movie has been prepared and launched at the kick-off.

Project presentation brochure was prepared and launched at the kick-off.

The project has been presented at different seminars and conferences in the Baltic Sea region and in EU.


Close cooperation with the Secretariat of HELCOM and with the relevant priority areas of the EU Strategy for the Baltic Sea region is established (prio-areas 4, 11 and 13).



### 2.3 Implementation schedule

### 2.3.1 Gantt scheme

 = milestone no. according to COM Decision

 = additional milestone no.

| Activity | Description  | 2010 |   |   |   |   |   |   |   |   |   |   |   | 2011 |   |   |   |   |   |   |   |   |   |   |   | 2012 |   |   |   |   |   |   |   |   |   |   |   | 2013 |   |   |   |  |  |  |  |  |  |  |  |
|----------|--|------|---|---|---|---|---|---|---|---|---|---|---|------|---|---|---|---|---|---|---|---|---|---|---|------|---|---|---|---|---|---|---|---|---|---|---|------|---|---|---|--|--|--|--|--|--|--|--|
|          |  | s    | o | n | d | j | f | m | a | m | j | j | a | s    | o | n | d | j | f | m | a | m | j | j | a | s    | o | n | d | j | f | m | a | m | j | j | a | s    | o | n | d |  |  |  |  |  |  |  |  |
| 1.       | Dynamic & Proactive Route Planning                             |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |  |  |  |  |  |  |  |  |
| 1.1      | Preparation and process planning                               |      |   |   |   |   |   |   |   |   |   |   |   |      |   | 2 |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |  |  |  |  |  |  |  |  |
| 1.2      | Routes   |      |   |   |   |   |   |   |   |   |   | 1 |   |      |   | 1 |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |  |  |  |  |  |  |  |  |
| 1.3      | Technical Solutions  |      |   |   |   |   |   |   |   |   |   | 8 |   |      |   | 9 |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |  |  |  |  |  |  |  |  |
| 1.4      | Surveillance and Security                                      |      |   |   |   |   |   |   |   |   |   |   |   |      |   | 2 |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |  |  |  |  |  |  |  |  |
| 1.5      | Ports  |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |  |  |  |  |  |  |  |  |
| 1.6      | Legal matters  |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |  |  |  |  |  |  |  |  |
| 1.7      | FSA  |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |  |  |  |  |  |  |  |  |
| 1.8      | Human Factors  |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |  |  |  |  |  |  |  |  |
| 1.9      | Test and evaluation  |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |  |  |  |  |  |  |  |  |
| 1.10     | Dissemination  |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |  |  |  |  |  |  |  |  |
| 2.       | Verification System for officer’s certificates                 |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |  |  |  |  |  |  |  |  |
| 2.1      | Study on previous achievements and current situation           |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |  |  |  |  |  |  |  |  |
| 2.2      | Study on human factors, legal and liability issues             |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |  |  |  |  |  |  |  |  |
| 2.3      | Development of concept hardware, software and its applications |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |  |  |  |  |  |  |  |  |
| 2.4      | Tests, Evaluation and Dissemination                            |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |  |  |  |  |  |  |  |  |
| 3.       | Ensuring Quality of Hydrographic Data                          |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |  |  |  |  |  |  |  |  |
| 3.1      | Speed up re-surveys  |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |  |  |  |  |  |  |  |  |
| 3.2      | Baltic Sea harmonised depth model                              |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |  |  |  |  |  |  |  |  |
| 3.3      | Pilot project on harmonised vertical reference on Baltic Sea   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |  |  |  |  |  |  |  |  |
| 4.       | Global sharing of maritime information                         |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |  |  |  |  |  |  |  |  |
| 4.1      | Analysis and design  |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |  |  |  |  |  |  |  |  |
| 4.2      | System development   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |  |  |  |  |  |  |  |  |
| 4.3      | Promotion and marketing  |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |   |   |   |   |   |   |   |   |      |   |   |   |  |  |  |  |  |  |  |  |

### 2.3.2 Milestones according to COM Decision

| <b>Milestone number</b> <small>[as listed under paragraph 2]</small> | <b>Milestone name</b>  | <b>Indicative expected date</b> | <b>Means of verification</b>                                       |
|--|--|---------------------------------|--|
| 1  | Presentation of basic concept at the IALA workshop on Global Sharing of Maritime Information (Act. 4)  | 30/09/2011                      | Presentation document  |
| 2  | Route planning analyses and assessments completed; system designed. (Act. 1)   | 30/11/2011                      | Concept developed and demonstrated                                 |
| 3  | Common vertical reference proposed (Act. 3)  | 28/02/2012                      | Proposal for vertical reference accepted by Steering Group         |
| 4  | Operational tests on test vessels completed (Act. 1)   | 30/06/2012                      | Report presented and accepted by Steering Group                    |
| 5  | Functional specification released and beginning of system development (Act. 4)   | 30/06/2012                      | Functional specification document accepted by Steering Group       |
| 6  | Background studies related to Verification System completed (Act. 2)   | 30/07/2012                      | Concept developed and demonstrated. Acceptance by Steering Group.  |
| 7  | Proposals for common technical standards and hydrographic data model for the Baltic Sea elaborated. (Act. 3)   | 30/11/2012                      | Proposal for common technical standards accepted by Steering Group |
| 8  | Hardware and software developed and tested (Act. 2)  | 31/01/2013                      | Technical functions described in report accepted by Steering Group |
| 9  | Presentation of a study analysing the implications and effects to the products and services on implementing a new harmonized vertical reference (Act. 3) | 30/05/2013                      | Report accepted by Baltic Sea Hydrographic Commission              |
| 10   | Release of first version of demonstrator (Act. 4)  | 30/06/2013                      | System available on project website                                |
| 11   | Full scale test performed (Act. 1)   | 31/10/2013                      | Report presented and accepted by Steering Group                    |
| 12   | Simulations and pilot testing performed (Act. 2)   | 31/10/2013                      | Reports delivered and accepted by Steering Group                   |

|    |  |            |   |
|----|--|------------|---|
| 13 | Guidelines for effects on administrative decision on the common vertical reference level for the Baltic Sea Hydrographic Commission (Act. 3) | 31/12/2013 | Guidelines accepted by Baltic Sea Hydrographic Commission |
| 14 | Article in the IALA Bulletin describing the concept and presentations at IALA meetings (Act. 4)  | 31/12/2013 | Article on project website                                |

## 2.3.3 Additional internal Milestones

|    |   |                                  |  |
|----|---|----------------------------------|--|
| 15 | Baltic Sea Hydrographic Commission meeting in Sweden<br>Baltic Sea Hydrographic Commission meeting in Finland<br>Baltic Sea Hydrographic Commission meeting in Estonia (Act. 3) | 20/9/2011<br>09/2012<br>09/2013  | Interim report<br>Interim report<br>Final report |
| 16 | EU Baltic Sea Summit, annual forum, Gdansk, Poland<br>Priority Area 13 steering committee (Act. 3)  | 24/10/2011<br>3/11/2011          | Presented in<br>Priority 13                      |
| 17 | HELCOM Maritime 10<br>HELCOM Maritime 11<br>HELCOM Maritime 12: Moscow declaration final report (Act. 3)  | 15/11/2011<br>11/2012<br>11/2013 | Interim report<br>Interim report<br>Final report |
| 18 | First specification to be used in software development delivered (Act. 1.2)   | 08/2011                          | Specification delivered                          |
| 19 | First test of communicating voyage plans performs in simulators (Act. 1.2)  | 11/2011                          | Tests completed                                  |
| 20 | New display delivered (Act. 1.3)  | 12/2011                          | Display delivered                                |
| 21 | Definition of transmission system presented (Act. 1.3)  | 04/2012                          | Report presented                                 |
| 22 | Ship-to-ship solution for transmission of routes delivered (Act. 1.3)   | 05/2012                          | Solution presented                               |
| 23 | First beta model for detection of anomalies delivered (Act. 1.4)  | 07/2012                          |  |
| 24 | Security system delivered (Act. 1.4)  | 08/2012                          |  |
| 25 | Complete system for detection of anomalies delivered (Act. 1.4)   | 01/2013                          |  |
| 26 | First port (Gothenburg) engaged (Act. 1.5)  | 12/2012                          |  |
| 27 | Second port engaged (Act. 1.5)  | 01/2013                          |  |
| 28 | Third port engaged (Act. 1.5)   | 04/2013                          |  |
| 29 | Report on legal issues completed (Act. 1.6)   | 06/2012                          | Report submitted                                 |
| 30 | Formal Safety Assessment presented (Act. 1.7)   | 02/2013                          | Report submitted                                 |
| 31 | Man-technology study completed (Act. 1.8)   | 06/2013                          | Report submitted                                 |
| 32 | Concept presentation movie prepared (Act. 1.10)   | 06/2013                          | Film released                                    |

## 2.4 Risk analysis

Risk management is one the main and central aspects in the overall management of the MONALISA project. It is seen as equally important as technical and financial management.

In the table below, some risks are identified and summary of relevant actions described.

| <b>Risk</b>   | <b>Actions</b>  |
|---|---|
| Lack of assigned professional resources                                 | Project importance recognized at Management level in the implementing organizations                       |
| Planned tasks not completed within project time frame                   | Continues follow-up and monitoring by the Project Coordination Group and the High Level Steering Group    |
| Technical challenges overwhelming                                       | Cooperation with other projects and initiatives in order to take onboard best available technology.       |
| Procurement process delays due to complaints from non-winning tenderers | transparent and predefined selection in procurement process   |
| service provider can't keep up with contract agreed timetable           | sufficient time for work, weight in earlier performance, suitable vessels for the work, heavy delay fines |
| Equipment or vessel downtime (Act. 3.1)                                 | back-up systems, service contracts, pre-survey inspections and test surveys                               |
| No replies to open procurement for hydrographic surveys                 | sufficient time for the work, area size for procurement, market distortions                               |

Risk management in the MONALISA project is integrated in the overall management of the project. The risks identified above are handled by the project organization, with regular follow-up and monitoring of the implementation of project. The Project Coordination group meets approximately four times per year and is one instrument in keeping the pressure on the project organization. At the meetings of the Coordination group, possible problems can be identified in due time which facilitates appropriate decision-making and risk handling within the project.

## 3 Financial implementation

### 3.1 Indicative breakdown of estimated eligible costs per action per calendar year according to the COM Decision

| Partner                                    |              | Activity 1<br>Route<br>optimisation | Activity 2<br>Certificate<br>Verification | Activity 3.1<br>Hydrographic<br>survey | Activity 3.2 and 3.3<br>Hydrographic data<br>harmonising | Activity 4<br>Maritime data<br>sharing | Total direct costs | Indirect costs   | Total costs       | EU grant          |
|--|--------------|-------------------------------------|---|--|--|--|--------------------|------------------|-------------------|-------------------|
| Swedish<br>Maritime<br>Administra<br>tion  | 2010         | 0                                   | 0   | 20 000                                 | 0  | 0                                      | 20 000             | 1 362            | 21 362            | 10 681            |
|  | 2011         | 124 000                             | 60 000                                    | 1 500 000                              | 820 000  | 8 000                                  | 2 512 000          | 171 086          | 2 683 086         | 1 341 543         |
|  | 2012         | 167 000                             | 72 600                                    | 3 430 000                              | 820 000  | 8 000                                  | 4 497 600          | 306 321          | 4 803 921         | 2 401 960         |
|  | 2013         | 147 000                             | 40 500                                    | 3 000 000                              | 820 000  | 8 000                                  | 4 015 500          | 273 486          | 4 288 986         | 2 144 493         |
|  | <b>Total</b> | <b>438 000</b>                      | <b>173 100</b>                            | <b>7 950 000</b>                       | <b>2 460 000</b>   | <b>24 000</b>                          | <b>11 045 100</b>  | <b>752 255</b>   | <b>11 797 355</b> | <b>5 898 677</b>  |
| Finnish<br>Transport<br>Agency             | 2010         | 0                                   | 0   | 21 000                                 | 1 000  | 0                                      | 22 000             | 428              | 22 428            | 11 214            |
|  | 2011         | 0                                   | 0   | 2 517 000                              | 19 000   | 0                                      | 2 536 000          | 49 315           | 2 585 315         | 1 292 658         |
|  | 2012         | 0                                   | 0   | 2 670 000                              | 50 000   | 0                                      | 2 720 000          | 52 894           | 2 772 894         | 1 386 447         |
|  | 2013         | 0                                   | 0   | 3 078 000                              | 76 000   | 0                                      | 3 154 000          | 61 333           | 3 215 333         | 1 607 667         |
|  | <b>Total</b> | <b>0</b>                            | <b>0</b>                                  | <b>8 286 000</b>                       | <b>146 000</b>   | <b>0</b>                               | <b>8 432 000</b>   | <b>163 970</b>   | <b>8 595 970</b>  | <b>4 297 985</b>  |
| Danish<br>Maritime<br>Safety<br>Administra | 2010         | 0                                   | 0   | 0                                      | 0  | 0                                      | 0                  | 0                | 0                 | 0                 |
|  | 2011         | 13 800                              | 0   | 0                                      | 0  | 41 000                                 | 54 800             | 4 384            | 59 184            | 29 592            |
|  | 2012         | 13 800                              | 0   | 0                                      | 0  | 165 100                                | 178 900            | 14 312           | 193 212           | 96 606            |
|  | 2013         | 27 600                              | 0   | 0                                      | 0  | 27 900                                 | 55 500             | 4 440            | 59 940            | 29 970            |
|  | <b>Total</b> | <b>55 200</b>                       | <b>0</b>                                  | <b>0</b>                               | <b>0</b>   | <b>234 000</b>                         | <b>289 200</b>     | <b>23 136</b>    | <b>312 336</b>    | <b>156 168</b>    |
| SAAB<br>Transponder<br>Technique<br>AB     | 2010         | 0                                   | 0   | 0                                      | 0  | 0                                      | 0                  | 0                | 0                 | 0                 |
|  | 2011         | 300 000                             | 23 000                                    | 0                                      | 0  | 9 300                                  | 332 300            | 26 584           | 358 884           | 179 442           |
|  | 2012         | 290 000                             | 104 600                                   | 0                                      | 0  | 9 300                                  | 403 900            | 32 312           | 436 212           | 218 106           |
|  | 2013         | 10 300                              | 87 500                                    | 0                                      | 0  | 0                                      | 97 800             | 7 824            | 105 624           | 52 812            |
|  | <b>Total</b> | <b>600 300</b>                      | <b>215 100</b>                            | <b>0</b>                               | <b>0</b>   | <b>18 600</b>                          | <b>834 000</b>     | <b>66 720</b>    | <b>900 720</b>    | <b>450 360</b>    |
| SSPA<br>Sweden AB                          | 2010         | 0                                   | 0   | 0                                      | 0  | 0                                      | 0                  | 0                | 0                 | 0                 |
|  | 2011         | 157 000                             | 0   | 0                                      | 0  | 0                                      | 157 000            | 12 560           | 169 560           | 84 780            |
|  | 2012         | 188 000                             | 0   | 0                                      | 0  | 0                                      | 188 000            | 15 040           | 203 040           | 101 520           |
|  | 2013         | 23 500                              | 0   | 0                                      | 0  | 0                                      | 23 500             | 1 880            | 25 380            | 12 690            |
|  | <b>Total</b> | <b>368 500</b>                      | <b>0</b>                                  | <b>0</b>                               | <b>0</b>   | <b>0</b>                               | <b>368 500</b>     | <b>29 480</b>    | <b>397 980</b>    | <b>198 990</b>    |
| Chalmers<br>University<br>of<br>Technology | 2010         | 0                                   | 0   | 0                                      | 0  | 0                                      | 0                  | 0                | 0                 | 0                 |
|  | 2011         | 27 500                              | 24 800                                    | 0                                      | 0  | 0                                      | 52 300             | 4 184            | 56 484            | 28 242            |
|  | 2012         | 137 500                             | 23 000                                    | 0                                      | 0  | 0                                      | 160 500            | 12 840           | 173 340           | 86 670            |
|  | 2013         | 27 400                              | 19 100                                    | 0                                      | 0  | 0                                      | 46 500             | 3 720            | 50 220            | 25 110            |
|  | <b>Total</b> | <b>192 400</b>                      | <b>66 900</b>                             | <b>0</b>                               | <b>0</b>   | <b>0</b>                               | <b>259 300</b>     | <b>20 744</b>    | <b>280 044</b>    | <b>140 022</b>    |
| GateHouse<br>A/S                           | 2010         | 0                                   | 0   | 0                                      | 0  | 0                                      | 0                  | 0                | 0                 | 0                 |
|  | 2011         | 0                                   | 0   | 0                                      | 0  | 90 000                                 | 90 000             | 7 200            | 97 200            | 48 600            |
|  | 2012         | 0                                   | 0   | 0                                      | 0  | 80 000                                 | 80 000             | 6 400            | 86 400            | 43 200            |
|  | 2013         | 0                                   | 0   | 0                                      | 0  | 0                                      | 0                  | 0                | 0                 | 0                 |
|  | <b>Total</b> | <b>0</b>                            | <b>0</b>                                  | <b>0</b>                               | <b>0</b>   | <b>170 000</b>                         | <b>170 000</b>     | <b>13 600</b>    | <b>183 600</b>    | <b>91 800</b>     |
|  |              | <b>1 654 400</b>                    | <b>455 100</b>                            | <b>16 236 000</b>                      | <b>2 606 000</b>   | <b>446 600</b>                         | <b>21 398 100</b>  | <b>1 069 905</b> | <b>22 468 005</b> | <b>11 234 002</b> |

## 3.1 Indirect costs

The eligible indirect costs for the Action are those costs which, with due regard for the conditions of eligibility, are not identifiable as specific costs directly linked to performance of the Action which can be booked to it direct, but which have nevertheless been incurred in connection with the eligible direct costs for the Action. They may not include any eligible direct costs.

The indirect costs incurred in carrying out the Action are eligible for flat-rate funding fixed at 5% of the total eligible direct costs, which means that the indirect costs are not needed to be supported by accounting documents. The rate of flat-rate varies between the project partners.

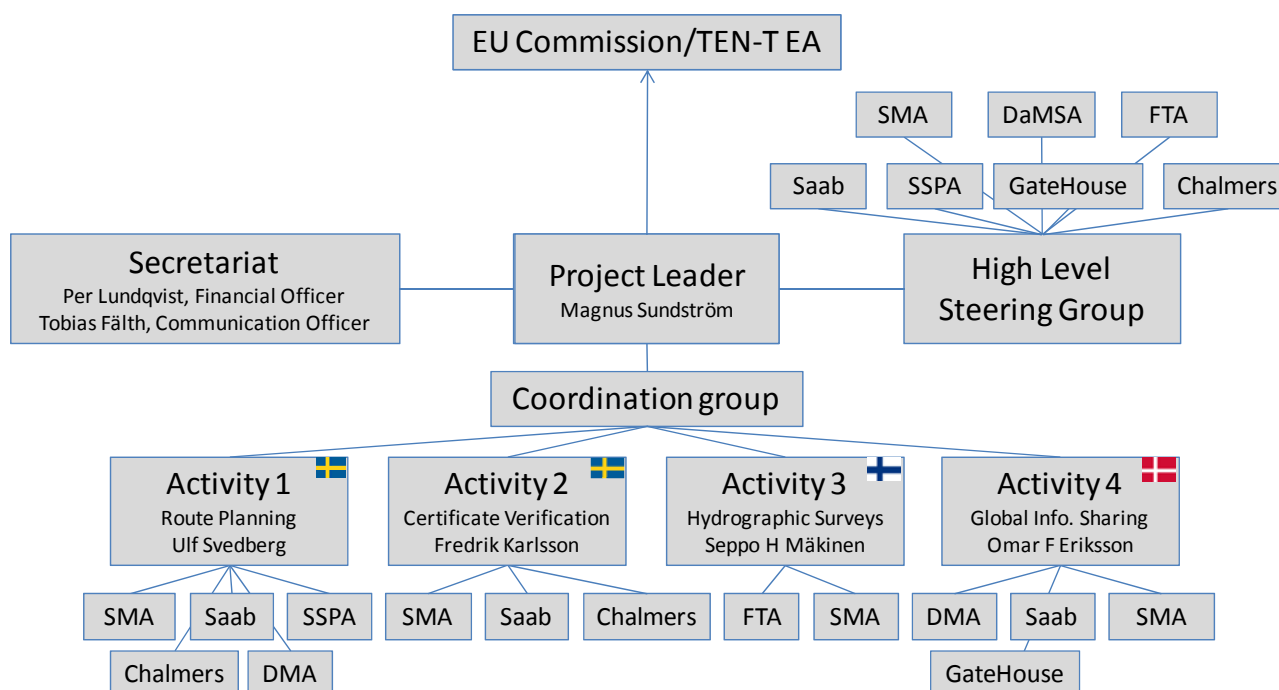
The following costs are included in the budget of indirect costs:

- Personnel costs as well as travel and accommodation costs for Project Leader (SMA), Financial Officer (SMA) and Communication officer (SMA).
- Communication material for the overall MONALISA project, incl. project website
- Administration and financial reporting of the project by the project partners
- Auditing costs by the project partners
- Costs for arranging joint MONALISA meetings/conferences
- Costs for office rental, stationery etc at the beneficiaries' organizations

## 4 Governance & Monitoring

### 4.1 Organisational structure and governance

#### Organogram MONALISA





### **Organisation of project management control and monitoring**

The Swedish Maritime Administration, in cooperation with Action partners, will carry out the administrative coordination and the overall Action management. This function involves project reporting as well as being the contact point in relation with the European Commission and the TEN-T Executive Agency.

A Partnership's Agreement concerning the organisation of the partnership and the stipulation of provisions in order to implement the project has been agreed on.

### Activity leaders

Each Activity has its Activity Leader, who will manage the Activity and report to the project leader as part of the project progress and final reporting. The reporting of the Activity leaders encompasses both financial follow-up and implementation progress of the Activity.

In its capacity as project Coordinator, Swedish Maritime Administration shall be the recipient of the TEN-T financial contribution and will distribute the funds to the project partners in accordance with the budget and actual spending. Swedish Maritime Administration shall be the contact point for all communication with the TEN-T Executive Agency.

In order to assure the quality of procedures of financial and progress reporting a project handbook has been elaborated by the Action Coordinator. The project handbook is a tool in the management of the project and will contain a brief description of the contractual arrangements, the management and the technical and financial reporting within the project. The handbook will mainly be based on the information prepared on valid EC legal instruments, the Commission Decision and this Strategic Action Plan.

In addition to the internal monitoring as described above, external auditors will carry out financial audits on an annual basis.

Validation of Action Status Reports will be carried out the Member State Sweden, through the Swedish Transport Administration. At the end of the project, the Evaluation by the Member State and Financial Certification will be carried out by appropriate Member State authorities in the beneficiary countries.

The Action Leader will also report on the progress of the project to the Baltic Sea Motorways Task force, which was established by the Baltic Sea countries in 2004 with a mission to develop the Motorways of the Sea concept in the Baltic and which has meetings twice a year.

### **MONALISA organisation and human resources**

Below is an overview of the most important staff of the project partners that are involved in the MONALISA project

#### High level steering group

Jonas Vedsmand, Swedish Maritime Administration (chairman)

Magnus Sundström, Swedish Maritime Administration (project leader)

Peter Bergljung, SAAB TransponderTech

Rainer Mustaniemi, Finnish Transport Agency

Omar Frits Eriksson, Danish Maritime Safety Administration

Peter Grundevik, SSPA

Poul Bondo, GateHouse

Mikael Hägg, Chalmers

### Project Leader and Secretariat

Magnus Sundström, Swedish Maritime Administration (Project Leader)

Per Lundqvist, Swedish Maritime Administration (Financial Officer)

Tobias Fälth, Swedish Maritime Administration (Communication Officer) from 15 August 2011

### Coordination group

The coordination group consists of the Project Leader, the Activity Leaders, the Financial Officer and the Communication Officer. The coordination group consists of the following persons:

Magnus Sundström, Swedish Maritime Administration (Project Leader)

Ulf Svedberg, Swedish Maritime Administration (Activity 1 Leader)

Fredrik Karlsson, Swedish Maritime Administration (Activity 2 Leader)

Seppo H Mäkinen, Finnish Transport Agency (Activity 3 Leader)

Omar Frits Eriksson, Danish Maritime Safety Administration (Activity 4 Leader)

Per Lundqvist, Swedish Maritime Administration (Financial Officer)

Tobias Fälth, Swedish Maritime Administration (Communication Officer) from 15 August 2011

### Activity organisation

Each Activity has its own Activity organisation which is lead by the Activity Leader. The Activity organisation consists of the participating partners and other relevant organisations and experts.

## **4.2 Project management model**

In the MONALISA project the PPS management model will be applied.

PPS is a model for actively planning and managing projects. The model is based more on the experience gained from completed projects, than on theoretical models. The purpose of PPS, initially and during the project, is as an aid to continuously check the benefits and quality of a project.

One of the basic ideas of PPS is to work with clear and agreed objectives. Another is to be prepared when problems arise. The central concepts are personal commitment, openness and trust. Each member of the project staff acknowledges their role and ensures that all actions lead towards the common objective.

PPS is based on the vision of a satisfied customer and benefits for everyone involved. The basic values are a positive view of humankind, the commitment culture, the benefit in focus and a mutual understanding. PPS considers every person as a unique resource. This covers competence and creativity, as well as values and the ability to work together. Each person can develop and can, and will, take responsibility.

This positive approach characterises the organisation, management and division of work in the MONALISA project. Whenever we work in a project, we personally commit to creating a result. An active assignee takes responsibility for sustainable and clear agreements and keeps to what is promised. For every project and working situation, benefits must be secured. The result should be something that is needed and suitable for use. When everyone understands the value of their contribution, motivation will increase and quality will improve. A certain sensitivity regarding changes to customer needs is also required, in order to provide customer benefits and quality.

### **4.3 Contractual arrangements**

The implementation of the MONALISA project is governed by a partner agreement between the seven project partners consisting of public authorities, private companies and academic institutions:

Swedish Maritime Administration

Finnish Transport Agency

Danish Maritime Safety Administration

SAAB TransponderTech AB

SSPA Sweden AB

Chalmers tekniska högskola AB

GateHouse A/S

The COM Decision is also addressed to the Kingdom of Sweden, the Republic of Finland and the Kingdom of Denmark.

In order to agree on the rules and procedures for implementation of the MONALISA project, a Partnership agreement has been agreed between the project partners.

A copy of the agreement is attached to this SAP as Annex 1.

### **4.4 Procurement and contracts**

The main bulk of work in Activity 1, 2 and 4 will be carried out by the project partners. In Activity 3, large scale external contracting will be made for the hydrographic surveys, although some surveys will also be carried out by the Swedish Maritime Administration and by the Finnish state company Meritaito Oy.

Activity 3.1 has awarded first contracts (both Sweden and Finland each M€1.55) in April 2011 to Fugro OSAE GmbH, based on invitation to tender in TED in September 2010.

Finland has also ordered HELCOM hydrographic surveys in Finnish territorial waters from Meritaito Oy based on SGEI-legislation (K(2005) 2673 (2005/842/EY) and Finnish Act 1239/2010 on approximate value of €900 000.

Next invitation to tender in TED is planned for November 2011 to cover the hydrographic surveys of HELCOM Cat. I and II areas for the period 2012-2013.

### ***4.5 Internal and external reporting***

In the project application is stated that a project handbook will be prepared as a tool in the management of the MONALISA. The handbook is attached to this SAP as Annex 2.

The handbook contains a brief description of the technical and financial reporting within the project. The formal requirements on reporting are laid down in the Commission's Decision. The handbook is an integrated part of the partnership agreement and is also annexed to the Strategic Action Plan of the MONALISA project.

In order to monitor the progress of the MONALISA project, a system of brief quarterly reports, followed by a meeting of the Coordination group will assure that the project is progressing according to the plan, and, if not, actions can be taken.

The annual Action Status Report (ASR) is the main tool for communication with the European Commission/TEN-T Executive Agency (TEN-T EA) of annual progress on a project. The ASR serves as a key method for reporting on the progress of the Activities and consists of a technical implementation report and financial statements.

The Project Coordinator has the obligation to submit the ASR of the project to the TEN-T EA at the latest by 31 March of each calendar year. The reporting period is fixed and comprises January to December. As Activity 3 of the MONALISA project started 1 September 2010, the reporting period of the first ASR, which is due to submission latest 31 March 2012 will be extended to cover the period from 1 September 2010 to 31 December 2011. The 3rd ASR will be in the form of a Final report and should be submitted to the TEN-T EA within 12 months of the completion date of the Action.

The ASR will be validated by the Swedish Transport Administration, which is acting on behalf of the Swedish Ministry for Enterprise, Energy and Communication, as well as by the Finnish Ministry of Transport and Communication and the Danish Ministry of Transport.

After the end of the project, a Final Implementation Report, validated by the Member States Sweden, Finland and Denmark, will be submitted and be the basis for final payment.

### ***4.6 The member state arrangements for follow-up of the MoS action***

The Swedish Ministry of Enterprise, Energy and Communications has commissioned the Swedish Transport Administration to monitor each TEN-T actions including Motorways of the Sea in which Swedish partners are involved.

In order to carry out the monitoring follow-up meetings should be organized 1-2 times per year by each TEN-T-actions mentioned above. Each TEN-T-action must be represented by the adopted

project manager and representatives of each partner. The follow-up meetings shall follow a general agenda which includes description of the activities during the reporting period, follow-up of timeframe, milestones and costs for each activity.

Each TEN-T actions shall report to the Swedish Transport Administration without any delay cost overrun compared to budget, delays of work and milestones compared to time plan or any other deviations. Documents of important documents regarding the project should be sent to the Swedish Transport Administration. Each Action Status Report and the Final Implementation Report must be approved by Swedish Transport Administration.

In Finland and Denmark, the validation by the Member State is carried out by the respective Ministry.

## 5 Other Administrative Provisions

### 5.1 Financial control and audits

In order to assure the quality and verify the correctness of the financial reporting in the MONALISA project, a decision is taken to make usage of external independent auditors. An external audit will be carried out annually, before submitting the Annual Status Report and the final implementation report to the TEN-T Executive Agency.

### 5.2 Communication Plans & Publicity

One important management tool for the MONALISA project is the Communication Plan. The importance of the communication plan is the following:

- MONALISA is a multi-dimensional project with a large number of organisations, processes and institutions to Communicate and coordination
- There are different communication messages within the project and the representatives of the project must be able to communicate a clear message.
- To be a supportive tool for the people involved in the Action.

#### Communication plan MONALISA

The basis for all communication means of MONALISA project is found in the “Communication Plan MONALISA 2011-2013”. This document is based on a stakeholder’s analysis and describes the overall objectives, strategy, communication mix and measures, means and organisation of communication and PR action concerning the action.

#### Organisation of Communication

The Project Leader and the secretariat will manage the communication actions and its adherence to COM Decision on a quarterly basis. A Communication officer is engaged in the project and will be responsible for planning and monitoring of communication actions within the project. At the meetings of the coordination group will regularly monitor the publicity given so-far, and plan communication actions related to the TEN financed actions in the near future.

Proof of communication actions regarding the TEN financing is kept in the project files, and proof of communication measures will be described and sent along with the Action Status Reports and be included in the Final Implementation Report.

#### Main communication means and actions

Below please find, for your information, an overview of the main communication and publicity means as used by MONALISA: Project website, [www.monalisaproject.eu](http://www.monalisaproject.eu). This website contains regular news items covering the main milestones of the MONALISA.



### **Annexes**

Annex 1      Partnership agreement

Annex 2      Project Handbook



SJÖFARTSVERKET

Ink.

2011 -06- 20

Dnr: 1597-10-03836

## **PARTNER AGREEMENT**

Between the public and private undertakings directly concerned in the implementation of the TEN-T project "MONALISA":

**Swedish Maritime Administration**, with its address 601 78 Norrköping, Sweden

Hereinafter referred to as the *Coordinator*

ON THE ONE HAND,

AND the other project partners

**Finnish Transport Agency**, with address P.O. Box 33, FIN-00521 Helsinki, Finland

AND

**Danish Maritime Safety Administration**, with address Overgaden over Vandet 62B, DK-1023 Copenhagen, Denmark

AND

**SSPA Sweden AB**, with address Chalmers Tvärgata 10, SE-400 22 Göteborg, Sweden

AND

**SAAB TransponderTech AB**, with address Låsblecksgatan 3, SE-589 41 Linköping, Sweden

AND

**Chalmers tekniska högskola**, with address SE-412 96 Göteborg, Sweden

AND

**GateHouse A/S**, with address Lindholm Brygge 31, DK-9400 Nr. sundby, Denmark

Hereinafter referred to as the co-beneficiaries.

Whereas:

- (a) The European Union has decided to grant co-financing to the project "MONALISA" (hereafter referred to as "*the Project*") in accordance with the project proposal dated 31 August 2010
- (b) The European Commission/TEN-T EA has adopted its official Decision dated 24 May 2011 concerning the granting of Community financial aid (hereafter referred to as "*the Commission's Decision*") for *the Project*.
- (c) *The Project Partners*, having a genuine interest in implementing in *the Project*.
- (d) *The Project Partners* wish to define their rights and obligations with regard to the implementation and management of *the Project*.
- (e) The Partners fully understand that this Agreement is conditional to the extent the European Commission's Decision on granting Community financial aid to the project is signed.

**NOW THEREFORE, IT IS HEREBY AGREED AS FOLLOWS:**

#### **Article 1. Scope of the Agreement**

The scope of this Agreement shall be the TEN-T project "MONALISA" as defined in the TEN-T application, approved by the TEN-T Financial Assistance Committee in December 2010 and *the Commission's Decision* dated 24 May 2011.

#### **Article 2. Project Organisation**

The highest governing body of *the Project* is the **High Level Steering Group**, which has as its main task to decide the organisation and to monitor the implementation of the Project. The High Level Steering Group is chaired by *the Coordinator*.

The day-to-day management of the Project is carried out by the **Project Leader**. The Project Leader is appointed by *the Coordinator*.

A **Coordination group** is established for coordination and follow-up of the project implementation. The Coordination group consists of the Project leader and the Activity Leaders. Other persons can be co-opted to the Coordination group.

The **organigram** of the Project is attached as Annex 4 to this Agreement.

#### **Article 3. Role of the Coordinator**

The Coordinator shall assume overall responsibility for the overall management and coordination of *the Project* and is the organisation responsible for reporting of the projects progress and finances to the European Commission, in accordance with Article I.4.2 of *the Commission's Decision*.

The Coordinator is responsible for coordinating the preparation and updating of the Strategic Action Plan, a document that is mandatory for TEN-T projects and which is meant to be a tool for management and monitoring of implementation of *the project*.

The Coordinator shall be the contact point for all communication with the European Commission concerning *the Project*.

The Coordinator shall be the recipient of the Community financial aid and shall distribute it to the project partners in relation to their budget and actual spending.

#### **Article 4. Responsibilities of the co-beneficiaries**

Each Project Partner hereby undertakes:

- (a) to carry out the tasks of *the Project* in a timely and professional way.
- (b) to comply with the requirements of the European Commission on implementation and reporting on TEN-T projects.
- (c) to fulfil its obligations according to provide the Coordinator with all information and documents, required in Article I.4.2 of *the Commission's Decision*.

#### **Article 5. Authorised Representative of the Beneficiary**

According to Article III.1.2 of the Commission's Decision, an authorised representative should be designated to act on behalf of the Beneficiaries.

The Project Leader of *the Project* is designated to be the Authorised Representative.

The authorised representative shall be adequately empowered to commit the Beneficiary for what concerns any decisions to be taken on its behalf and he/she/they shall be the main contact point for the Commission representatives within the organisation of the Beneficiary.

#### **Article 6. Procurement and awarding of assignments**

When, in the implementation of *the project*, allocating any assignment to third parties, the Project Partners must fully comply with EU and national regulations for public procurement and awarding assignments to third parties as specified in Article III.2.5 of the *Commission's Decision*.

#### **Article 7. Financial Provisions**

The Coordinator shall have the obligation to make payments to the co-beneficiaries only to the extent the European Commission makes funds available to the Coordinator.

The financial statements of the co-beneficiaries shall meet the requirements established in Article III.3.5 of *the Commission's Decision* and the Strategic Action Plan.

Each Project Partner is responsible for co-financing its own costs that are not covered by the EU grant.

Each Project Partner is responsible for the acceptance of its own costs. In cases where the European Commission refuses acceptance of part or all of a Project Partner's costs, it is that Project Partner's responsibility to repay the grant and it shall not be covered by any other Partner's or the Coordinator's payment.

All payments shall be made in Euro, if nothing else is agreed upon.

The Coordinator can not be held responsible for late payment by the Commission. Any claim against the Coordinator by the Project Partners is excluded.

## **Article 8. Accounting and Auditing**

Each Project Partner is responsible for monitoring its expenditure in accordance with the *the Commission's Decision*. Before submitting the Action Status Reports and final implementation report, the project partners are responsible for the proper external auditing of their expenditures.

The Project Partners are aware of that monitoring and auditing by the European Commission can be carried out in accordance with Article III.6 of *the Commission's Decision*.

## **Article 9. Ownership of the results of the Project**

Except for any source code forming part of the results and unless stipulated otherwise in the annexes to the Decision, ownership of the results, of the Activity 1, 2 and 4 of the Action, including industrial and intellectual property rights, and of the reports and other documents relating to it shall be vested in the Beneficiary. All project partners shall have an irrevocable, transferable, unlimited and free (no cost) right to use such result.

Ownership of any source code forming part of the results of Activity 1 and 2 of the Action developed by SAAB TransponderTech AB shall be vested in SAAB TransponderTech AB and the other Project Partners shall have no right to use such source code.

Ownership of any source code forming part of the results of Activity 1 of the Action developed by SSPA Sweden, shall be vested in SSPA Sweden and the other Project Partners shall have no right to use such source code. It is the intention to release parts of the projects code base under an open source license.

Ownership of any source code forming part of the results of Activity 4 of the Action developed by GateHouse, shall be vested in GateHouse and the other Project Partners shall have no right to use such source code. It is the intention to release parts of the projects code base under an open source license.

Ownership of the results of the hydrographical surveying in Activity 3 of the Action shall be vested in the Swedish Maritime Administration for all work performed in Swedish EEZ and in the Finnish Transport Agency for all work performed in the Finnish EEZ. Raw depths data are confidential and will not be made available to the other project partners.

The Project Partners grant the Commission the right to make free use of the results of the Action, of which ownership is vested in the Beneficiary pursuant to what is stated above, as it deems fit, provided they do not thereby breach their confidentiality obligations or existing industrial and intellectual property rights.

## **Article 10. Publicity**

Publicity of the project operations and the results thereof should be carried out in accordance with Article III.2.3 of *the Commission's Decision*.

## **Article 11. Assignment**

No Project Partner shall, without the prior written consent of the Project Partners, assign or otherwise transfer partially or totally any of its rights and obligations under this Partner Agreement.

## **Article 12. Liability**

Each Project Partner, including the Coordinator, shall be liable to the other Project partners and shall indemnify and hold harmless such other Project Partners for and against any liabilities, damages and costs resulting from the non-compliance of its duties and obligations as set forth in this Partner Agreement and its Annexes.

The liability shall be limited to the value of the Partner's input to the project with the amount stated in the budget.

Neither of the Partners shall be liable for any failure or delay in performance to the extent such performance is impeded or made unreasonably onerous by causes beyond that party's reasonable control and occurs without its fault or negligence, including, without limitation, industrial disputes, war (whether declared or not), extensive military mobilization, insurrection, requisition, seizure, embargo, restrictions in the use of fuel, defects or delays in deliveries by sub-contractors caused by any such circumstances referred to in this Article, provided that, as a condition to the claim of nonliability, the party experiencing the difficulty shall give the others prompt written notice, with full details following the occurrence of the cause relied upon.

## **Article 13. Duration - Termination**

This Agreement shall come into force as of the date of its last signature and shall thereafter continue in full force and effect until complete discharge of all obligations undertaken by the Project Partners but has retroactive effect from the start date of *the project*.

Indicative start date of Activity 1 and 2 of *the Project* is 1 January 2011, of Activity 3 of *the Project*

1 September 2010 and of Activity 4 of *the Project* 1 July 2011. The project shall be completed latest 31 December 2013.

The Partners shall not be entitled to withdraw from or to terminate this Agreement and its participation in *the Project* without the prior written consent of the Coordinator.

## **Article 14. Settlement of disputes**

In case of dispute or difference between the Project Partners arising out of or in connection with this Agreement, the Parties shall first endeavour to settle it amicably.

Any dispute, controversy or claim arising out of or in connection with this contract, or the breach, termination or invalidity thereof, shall be finally settled by arbitration in accordance with the Arbitration Rules of the Arbitration Institute of the Stockholm Chamber of Commerce.

The arbitral tribunal shall be composed of three arbitrators and the seat of arbitration shall be Stockholm. The language to be used in the arbitral proceedings shall be English and Swedish law shall be applicable.

The award of the Arbitrator shall be final and binding upon the Project Partners.

## **Article 15. Language**

This Agreement is drawn up in English which language shall govern all documents, notices and meetings for its application.



**Article 16. Applicable Law**

This Agreement shall be construed according to, and governed by, the laws of Sweden.

**Article 17. Appendixes**

The following Annexes shall form and be construed as forming an integral part of this Partner Agreement:

- |         |   |
|---------|---|
| Annex 1 | Project proposal dated 31 August 2010   |
| Annex 2 | European Commission's Decision concerning the granting of Community financial aid to <i>the project</i> |
| Annex 3 | Strategic Action Plan   |
| Annex 4 | Organigram  |

## Date and Signatures

As witness the Project Partners have caused this Partner Agreement to be duly signed by the undersigned authorised representatives the day and year first above written. The signing persons shall have full responsibility for the binding effect of the Contract on their respective organisations.

*Authorised to sign on behalf of*

**Swedish Maritime Administration** as Coordinator

Date, Signature

C 110530

Name: Ann-Catrine Zetterdahl  
Position: General Director

*Authorised to sign on behalf of*

**Finnish Transport Agency** as co-beneficiary

Date, Signature

110614

Name: Rainer Mustaniemi  
Position: Head of Hydrographic Office

*Authorised to sign on behalf of*

**Danish Maritime Safety Administration** as co-beneficiary

Date, Signature

Name: Omar Frits Eriksson  
Position: Head of Innovation and Project Division

*Authorised to sign on behalf of*

**SAAB TransponderTech AB** as co-beneficiary

Date, Signature

2011-06-08

Name: Magnus Persson  
Position: Head of Operations

*Authorised to sign on behalf of*

**SSPA Sweden AB** as co-beneficiary

Date, Signature

11-06-07

Name: Susanne Abrahamsson  
Position: President

Authorised to sign on behalf of  
**Chalmers tekniska Högskola** as co-beneficiary  
Date, Signature

2011-06-01



Name: Klas Brännström  
Position: Head of Department, Shipping and Marine Technology

Authorised to sign on behalf of  
**GateHouse A/S** as co-beneficiary  
Date, Signature

2011-06-17



Name: Poul Bondo Andersen  
Position:



# PROJECT HANDBOOK

Version:1.0



**Co-financed by the European Union**  
Trans-European Transport Network (TEN-T)



**Author:** Per Lundqvist  
**Date of Submission:** 2011-03-24

**Version:** Final 1.0

| DOCUMENT CHANGE OVERVIEW |      |                        |       |          |
|--------------------------|------|------------------------|-------|----------|
| Version                  | Date | Description of changes | Pages | Approved |
|                          |      |                        |       |          |
|                          |      |                        |       |          |
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|                          |      |                        |       |          |
|                          |      |                        |       |          |

Changes to this Handbook are to be agreed upon by the Project Partners.



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## Annexes

- Template for Quarterly Financial Report
- Template for Annual Financial Report
- Budget per Project Partner per Year and Activity
- Calculation of personnel cost





## Introduction

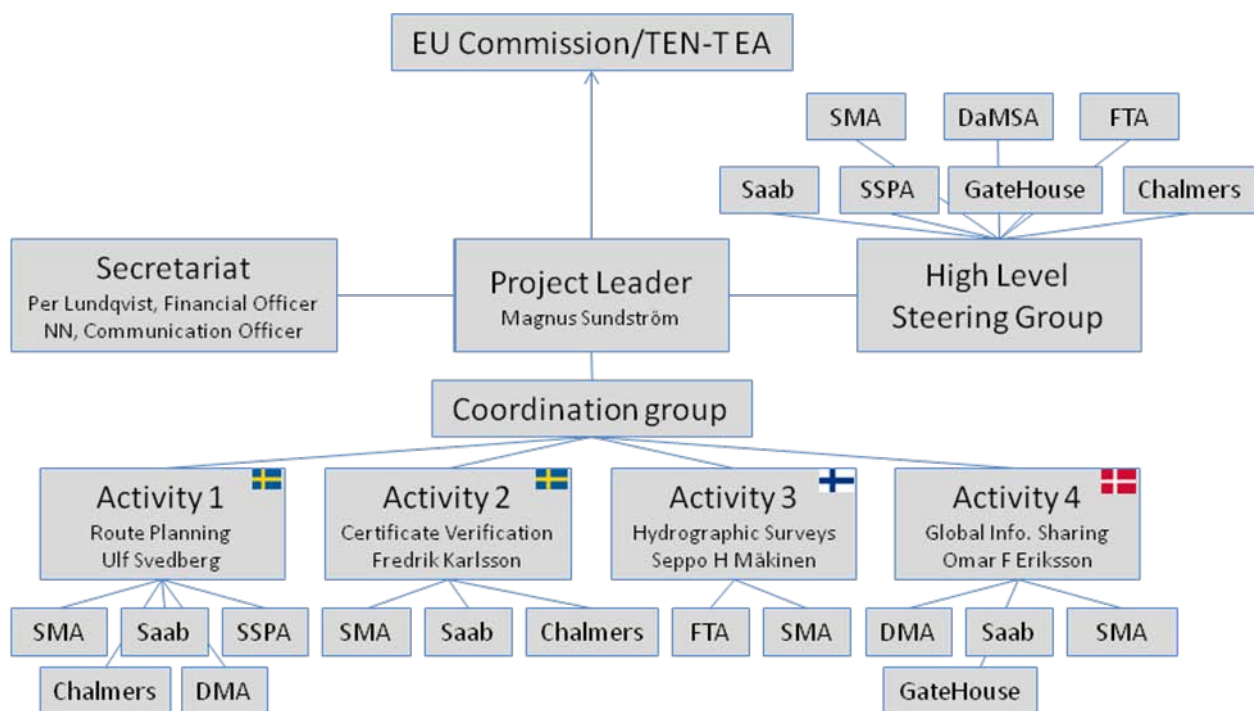
In the project application is stated that a project handbook will be prepared as a tool in the management of the MONALISA.

This handbook contains a brief description of the technical and financial reporting within the project. The formal requirements on reporting are laid down in the Commission's Decision.

This handbook is an integrated part of the partnership agreement and is also annexed to the Strategic Action Plan of the MONALISA project.

## Project organisation and management

**Organigram – MONALISA Project**



## Role and responsibility of the Project Coordinator/Project Leader

The Swedish Maritime Administration as Project Coordinator shall assume overall responsibility for the management and coordination of the Project and is the organisation responsible for reporting of the projects progress and finances to the European Commission, in accordance with the requirements from the European Commission. In this capacity, the Project Coordinator shall be the recipient of the TEN-T financial contribution and will distribute the funds to the project partners in accordance with the budget and actual spending. The Project Coordinator shall be the contact point for all communication with the European Commission in the project.





## **Role and responsibilities of the Activity Leaders**

The Activity Leaders are responsible for the management of the Activity and reporting in accordance with the guidelines of this handbook.

## **Role and responsibility of the Coordination Group**

The main task of the coordination group is follow-up and coordination of the project implementation. The Coordination group consists of the Project Leader and the Activity Leaders. Other persons can be co-opted to the Coordination group as appropriate. For example, the Financial Officer and Communication officer will be co-opted to the Coordination group.

## **Role and responsibility of the High Level Steering Group**

The highest governing body of the Project is the High Level Steering Group, which has as its main task to decide the organisation and to monitor the implementation of the Project. The High Level Steering Group is chaired by the Project Coordinator.

## **Contract arrangements**

A Partnership Agreement is regulating the contractual framework of the project between the Project Partners.

## **Publicity**

Any notice or publication on the project (conference and seminars included) must specify that the operation has received funding from the European Union and the TEN-T programme. The following TEN-T logo should be used.



**Co-financed by the European Union**

**Trans-European Transport Network (TEN-T)**

Any notice or publication, in whatever form and or by whatever medium (internet included) must specify that it reflects the authors view and that the European Commission is not liable for any use that may be made of the information contained therein. The MONALISA project should mention this on all their publications.



## Reporting

In order to monitor the progress of the MONALISA project, a system of brief quarterly reports, followed by a meeting of the Coordination group will assure that the project is progressing according to the plan, and, if not, actions can be taken.

The annual Action Status Report (ASR) is the main tool for communication with the European Commission/TEN-T Executive Agency (TEN-T EA) of annual progress on a project. The ASR serves as a key method for reporting on the progress of the Activities and consists of a technical implementation report and financial statements.

The Project Coordinator has the obligation to submit the ASR of the project to the TEN-T EA at the latest by 31 March of each calendar year. The reporting period is fixed and comprises January to December. As Activity 3 of the MONALISA project started 1 September 2010, the reporting period of the first ASR, which is due to submission latest 31 March 2012 will be extended to cover the period from 1 September 2010 to 31 December 2011. The 3rd ASR will be in the form of a Final report and should be submitted to the TEN-T EA within 12 months of the completion date of the Action.

The ASR will be validated by the Swedish Transport Administration, which is acting on behalf of the Swedish Ministry for Enterprise, Energy and Communication.

After the end of the project, a Final Implementation Report, validated by the Member States Sweden, Finland and Denmark, will be submitted and be the basis for final payment.

## Quarterly Report

### *Technical Report*

A brief technical report on the progress of the Activity should be prepared by the Activity Leaders within two weeks from the end of the reporting period. The technical report should encompass a description on activities carried out in the quarter, deviations from the plan, communication and dissemination issues etc.

Information flow: Project Partner → Activity Leader → Project Leader

### *Financial Report*

The quarterly report should be a summary of personnel and other eligible costs distributed on respective activity for the implementation of the project. A simplified template for the report is annexed to this handbook. The report should be submitted to the Project Coordinator (Financial Officer) within two weeks from the end of the reporting period.

Information flow: Project Partner → Financial Officer

Notice – when the annual reporting occur the deadline for reporting is changed.



## Action Status Report

### Technical report

The technical part of the Annual Action Status Report should cover Information on the progress of the Action;

- Overview of progress since start of the action. *The overview should include a comparison of the planned vs. actual progress at the end of the reporting period, referring to the main issues, milestones and events that affected progress.*
- Description of the activities planned and carried out in the reporting period. *Provide a brief description of all planned activities and their actual progress compared to what was planned (as stated in the approved ASR of the last year or in the Decision) in the period.*
- Unforeseen or rescheduled activities carried out in the reporting period. *Provide information on any new activities that were not foreseen but were considered necessary for the successful implementation of the Action, including an estimate of the cost, the start up date and estimated duration (if not completed during the reporting period). Provide justification about these activities and possible impact on the duration, cost and size of other activities, including activities that were originally planned but were replaced by new activities.*
- Activities planned in the reporting period but not carried out. *Provide justification about why these activities were not carried out and give an explanation of the impact on the duration, cost and size of other activities.*
- Description of the activities to be carried out in the next reporting period. *Concentrate on the modifications to the original or previously revised plans and notably to the activities that are either identified as critical or constitute a significant component of the Action.*
- Overview of the planned activities until the completion of the Action. *If there are changes in the project timetable as compared to the original planning, attach an updated Gantt chart.*
- Risk assessment.
- Is the risk assessment of the Strategic Action Plan still valid?
- Public Procurement
- Have the public procurement procedures been applied to any amendments or new contracts that have been signed during the reporting period? *If NO, please explain and submit the respective supporting documents:*
- Publicity
- What measures have been taken to publicise the Action? *Include information on planned measures vs. actual measures, as well as on further measures planned for the next reporting period.*

Information flow: Project Partner → Activity Leader → Project Leader



### *Financial report*

The financial report is an integrated part of the annual ASR reporting to TEN-T EA on the progress of the project.

The Action Status Report consist of a detailed statement of account, clearly showing the link between arisen expenditures and project activities like personnel, external and other eligible costs. A template is provided as an annex to this handbook. The report should be signed by the project partner, audited by an external auditor and submitted to the Project Coordinator (Financial Officer) within eight weeks after the end of the reporting period.

Information flow: Project Partner → Financial Officer

In case of late submission of a signed and/or audited financial report to the Project Coordinator, the defaulting Partner will not be included in the financial report and will bear the risk of not being reimbursed by the European Commission.

### **Final implementation report**

The final implementation report, encompassing a technical and a financial report, includes the same kind of information as the Action Status Report and should be submitted to TEN-T EA within 12 months after completion of the Action.

Information flow technical report: Project Partner → Activity Leader → Project Leader

Information flow financial report: Project Partner → Financial Officer

The final report should be accompanied by an external audit report as well as a Validation Report and Financial Certificate issued by the Member States Sweden, Finland and Denmark.



## Time table for financial and technical reporting

All technical or financial reports should be signed by the activity leader respective project partner before the submission to the project leader. The deadline for the reporting is fixed to two respective eight weeks after the end of the report period.

| Technical and financial reporting | Period                         | Deadline           | Requires external audit |
|-----------------------------------|--------------------------------|--------------------|-------------------------|
| <b>Q0</b>                         | <b>2010-09-01 – 2010-12-31</b> | <b>incl. in Q1</b> |                         |
| <b>Q1</b>                         | <b>2011-01-01 – 2011-03-31</b> | <b>2011-04-15</b>  |                         |
| <b>Q2</b>                         | <b>2011-04-01 – 2011-06-30</b> | <b>2011-07-15</b>  |                         |
| <b>Q3</b>                         | <b>2011-07-01 – 2011-09-31</b> | <b>2011-10-15</b>  |                         |
| <b>Q4 / ASR 1</b>                 | <b>2011-10-01 – 2011-12-31</b> | <b>2012-02-28</b>  | <b>X</b>                |
| <b>Q5</b>                         | <b>2012-01-01 – 2012-03-31</b> | <b>2012-04-15</b>  |                         |
| <b>Q6</b>                         | <b>2012-04-01 – 2012-06-30</b> | <b>2012-07-15</b>  |                         |
| <b>Q7</b>                         | <b>2012-07-01 – 2012-09-31</b> | <b>2012-10-15</b>  |                         |
| <b>Q8 / ASR 2</b>                 | <b>2012-10-01 – 2012-12-31</b> | <b>2013-02-28</b>  | <b>X</b>                |
| <b>Q9</b>                         | <b>2013-01-01 – 2013-03-31</b> | <b>2013-04-15</b>  |                         |
| <b>Q10</b>                        | <b>2013-04-01 – 2013-06-30</b> | <b>2013-07-15</b>  |                         |
| <b>Q11</b>                        | <b>2013-07-01 – 2013-09-31</b> | <b>2013-10-15</b>  |                         |
| <b>Q12 / Final Report</b>         | <b>2013-10-01 – 2013-12-31</b> | <b>2014-02-28</b>  | <b>X</b>                |

## Eligibility of costs

1. To be considered as eligible costs of the Action, costs must satisfy the following general criteria<sup>1</sup>:

- (a) they are incurred during the duration of the Action as specified in the Decision granting financial aid, with the exception of costs relating to final reports and audit certificates on the Action's financial statements and underlying accounts;
- (b) they are connected with the subject of the Action and they are indicated in the estimated overall budget of the Action;
- (c) they are necessary for the implementation of the Action which is the subject of the financial aid;
- (d) they are identifiable and verifiable, in particular being recorded in the accounting records of the Beneficiary and determined according to the applicable accounting standards of the country where the Beneficiary is established and according to the usual accounting practices of the Beneficiary;
- (e) they comply with the requirements of applicable tax and social legislations;

<sup>1</sup> COM Decision III.3.7 Eligibility of costs (ANNEX III: GENERAL CONDITIONS)



- (f) they are reasonable, justified, and comply with the requirements of sound financial management, in particular regarding economy and efficiency.

The Beneficiary's accounting and internal auditing procedures must permit direct reconciliation of the costs and revenue declared in respect of the Action with the corresponding accounting statements and supporting documents.

## **Direct costs**

2. The eligible direct costs for the Action are those costs which, with due regard for the conditions of eligibility set out in paragraph 1, are identifiable as specific costs directly linked to performance of the Action and which can therefore be booked to it directly. In particular, the following direct costs are eligible provided that they satisfy the criteria set out in the previous paragraph:

- (a) the cost of staff assigned to the Action, comprising actual salaries plus social security charges and other statutory costs included in the remuneration, provided that this does not exceed the average rates corresponding to the Beneficiary's usual policy on remuneration;
- (b) The corresponding salary costs of personnel of national administrations are eligible to the extent that they relate to the cost of activities which the relevant public authority would not carry out if the action concerned were not undertaken;
- (c) travel and subsistence allowances for staff taking part in the Action, provided that they are in line with the Beneficiary's usual practices on travel costs and do not exceed the scales approved annually by the Commission;
- (d) the purchase cost of equipment (new or second-hand), provided that it is written off in accordance with the tax and accounting rules applicable to the Beneficiary and generally accepted for items of the same kind. Only the portion of the equipment's depreciation corresponding to the duration of the Action and the rate of actual use for the purposes of the Action may be taken into account by the Commission, except where the nature and/or the context of its use justifies different treatment by the Commission;
- (e) costs of consumables and supplies, provided that they are identifiable and assigned to the Action;
- (f) costs entailed by other contracts awarded by a Beneficiary for the purposes of carrying out the Action;
- (g) costs arising directly from requirements imposed by the Decision granting financial aid (dissemination of information, specific evaluation of the Action, audits, translations, reproduction, etc.), including the costs of any financial services (especially the cost of financial guarantees).

The following costs shall not be considered eligible: (exceptions)

- (a) return on capital;
- (b) debt and debt service charges;
- (c) provisions for losses or potential future liabilities;





- (d) interest owed;
- (e) doubtful debts;
- (f) exchange losses;
- (g) VAT, unless the Beneficiary can show that he is unable to recover it (Article 10(2) Regulation (EC) No 680/2007)
- (h) costs declared by the Beneficiary and covered by another action or work programme receiving a Union financial aid;
- (i) excessive or reckless expenditure.

Contributions in kind shall not constitute eligible costs. However, the Commission can accept, if considered necessary and appropriate, that the cofinancing of the Action should be made up entirely or in part of contributions in kind. In this case, the value calculated for such contributions must not exceed:

- (a) the costs actually borne and duly substantiated by accounting documents of the third parties who made these contributions to the Beneficiary free of charge but bear the corresponding costs;
- (b) the costs generally accepted on the market in question for the type of contribution concerned when no costs are borne.

Contributions involving buildings shall not be covered by this possibility.

In the case of co-financing in kind, a financial value shall be placed on the contributions and the same amount shall be included in the costs of the Action as ineligible costs and in receipts from the Action as co-financing in kind.

Indirect costs shall not be eligible under an action awarding financial aid to a Beneficiary who already receives an operating grant from the Commission during the period in question.

**Notice** - Costs directly linked to the four activities of the project, like for example personnel, travels, accommodation and conference costs, usage of simulators and activity-specific communication material are treated and reported as direct costs.

## Indirect costs

3. The eligible indirect costs for the Action are those costs which, with due regard for the conditions of eligibility, are not identifiable as specific costs directly linked to performance of the Action which can be booked to it direct, but which have nevertheless been incurred in connection with the eligible direct costs for the Action. They may not include any eligible direct costs.

The indirect costs incurred in carrying out the Action are eligible for flat-rate funding fixed at 5% of the total eligible direct costs, which means that the indirect costs are not needed to be supported by accounting documents. The rate of flat-rate varies between the project partners.

**Notice** - The following costs are included in the budget of indirect costs:

- Personnel costs as well as travel and accommodation costs for Project Leader (SMA), Financial Officer (SMA) and Communication officer (SMA).
- Communication material for the overall MONALISA project, incl. project website





- Administration and financial reporting of the project by the project partners
- Auditing costs by the project partners
- Costs for arranging joint MONALISA meetings/conferences
- Costs for office rental, stationery etc at the beneficiaries' organizations

## **Exchange rates for the financial reporting**

In the specification of costs occurred, all costs should be reported in local currency.

In the quarterly reports and Action Status Reports, the costs in local currency should be exchanged to euro at an indicative exchange rate. You will find the monthly accounting rate of the euro at InforEuro: <http://ec.europa.eu/budget/inforeuro/index.cfm>

The exchange rate for the final payment will be set at the month of payment of the final request for payment. The exchange rate is published in Official Journal of the European Union.

## **Public Procurement**

When concluding contracts within the project, contracts are to be awarded to the tenderer offering best value for money.

The project partners shall abide by the rules on procurement contained in the respective Union legislation on public procurement.

## **Audit**

The annual financial reports of the project partners, which will constitute an input to the Action Status Reports, should be audited by an independent auditor before it is submitted to the Project Coordinator.

The costs for audit are to be included in the flat-rate indirect costs.

## **Payments**

### **Advance payment**

Within 45 calendar days of receipt of the notified Commission's Decision, the Commission shall authorize an advance payment of 50% of the decided TEN-T co-financing for year 2010 and 2011. After approval of Annual Action Status Reports, further pre-financing payments will be requested.

Advance payment to private sector project partners is subject to submission of a bank guarantee.



### **Interim payments**

After acceptance by the Commission of the annual Action Status Reports, a request for interim payment can be made, subject to that the project has made use of the advanced payment already received.

The amount of the interim payment is based on the eligible costs actually incurred. The payment shall include a deduction of the total amount of the uncleared advance payment and shall be made by the Commission to the Beneficiary within 45 day.

### **Final payment**

Final payment should be authorised within 60 calendar days of receipt and approval by the Commission of the following documents:

- Final technical implementation report;
- The final statement of the eligible costs incurred, following the structure of the estimated budget, supported by detailed statements of the actual receipts and final expenditure for the implementation of the Action;
- Declaration by the beneficiary, dated and signed;
- The request for final payment;
- Validation of the Report by the Member States concerned;
- Financial Certificate by the Member States.

### **Distribution of payments**

The advance payment from the Commission will be distributed to the project partners in accordance with the budget of the respective partner according the Commission's Decision.

In the final reporting, actual eligible costs and advance payments will be balanced.

The payments will be distributed between the project partners by the Project Coordinator after reception of the payment from the Commission.

### **Project control/audit from the European Commission**

The Commission's Decision provides for the Commission to carry out audit of the project. The project partners should fully assist the Commission in its control and provide the documentation requested.

The Project partner shall keep at the Commission's disposal all original documents or certified copies of original documents relating to the granted Action for a period of five years from the date of payment of the balance.

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This document might be subject to changes during the life of the project.

Comments and suggestions concerning this document are welcomed and should be sent to the Financial Officer: Per Lundqvist, Swedish Maritime Administration (e-mail:

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