EIT Urban Mobility

Business Plan 2021-2022

Activity implementation handbook 2022

EIT Urban Mobility - Mobility for more liveable urban spaces

EIT Urban Mobility

Barcelona | March 2022

eiturbanmobility.eu

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Contents

Note: This Handbook is based on the planned implementation of the EIT Urban Mobility Business Plan in 2022. It is subject to change to accommodate new requirements as required.

List of abbreviations

BP	Business Plan
CEO	Chief Executive Officer
CFS	Certificate of Financial Statement
COO	Chief Operations Officer
EIT	European Institute of Innovation & Technology
EIT UM	EIT Urban Mobility
EU	European Union
KPI	Key Performance Indicator
MTR	Mid-Term Review
PIF	Partner Information Form
PMO	Programme Management Office
SME	Small and Medium-sized Enterprise

1. Introduction

The purpose of this document is to provide background information and guidance to Activity Leaders and their consortium partners on the implementation of Activities foreseen in the Business Plan 2021-2022. This handbook applies only to Activities implemented in 2022. Different guidance will be applied for Activities to be implemented in 2023.

This handbook covers the annual cycle of the Activities, including their kick-off, the fulfilment of all contractual requirements, day-to-day implementation, the Amendment and the Final Reporting. Compared to 2021, a new Go/No-Go system is introduced to assess the status of the Activities and ensure that they are progressing in line with the Business Plan and are contributing to the Strategic Objectives of EIT Urban Mobility. Please find below a roadmap which outlines the main processes and milestones:
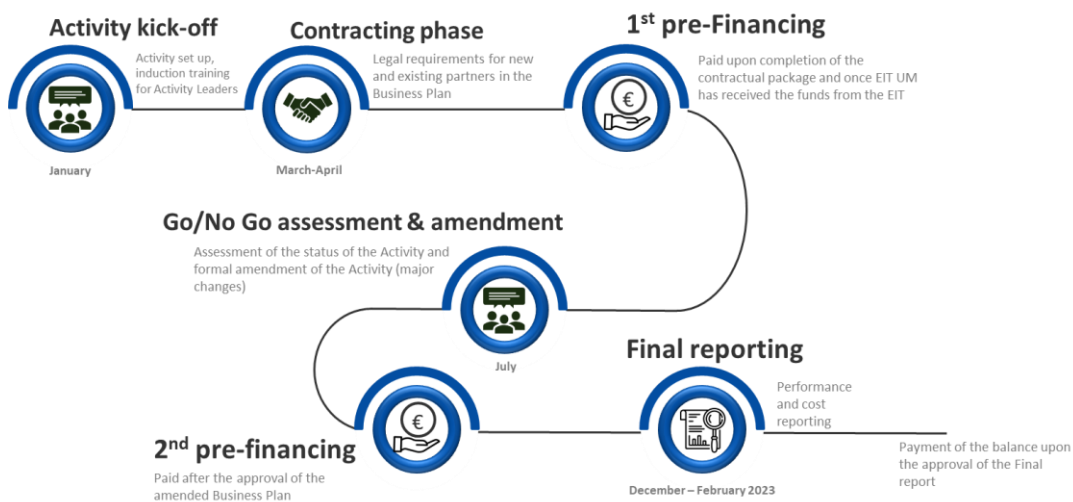
Together with this handbook, EIT Urban Mobility has reviewed and updated its "EIT Urban Mobility Brand Book" and "EIT Urban Mobility Communication guidelines". In addition, detailed hands-on guides will be produced for specific processes (Cost Eligibility, Amendment, Final Reporting, etc.) when necessary.
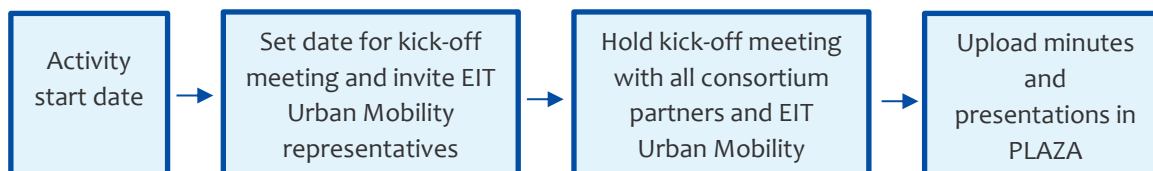
Finally, the implementation of activities is supported by two online tools:

- An Activity and Grant Management platform (PLAZA). It includes the description of each Activity, with the associated budget for each partner. It is used to submit deliverables and KPI achievements, update the Activity when required, and complete the Final Report, including cost reporting.
- The EIT Urban Mobility Partners site. It provides access to general documents and material, such as communication materials and templates, as well as to each partner's private folder, which includes legal documentation. The site is expected to evolve in Q1 2022 to offer partners an editorial section with general EIT Urban Mobility news and events.

Both tools are available on the Partner Area of the EIT Urban Mobility website: www.eiturbanmobility.eu.

2. Activity kick-off

*** This section does not apply to projects that started in 2021 and are continuing in 2022. ***

Activity start date	→	Set date for kick-off meeting and invite EIT Urban Mobility representatives	→	Hold kick-off meeting with all consortium partners and EIT Urban Mobility	→	Upload minutes and presentations in PLAZA

For Business Plan 2021-2022, the contracting phase will only take place after the EIT formally approves the Business Plan in February-March 2022[1]. To allow Activities to start earlier, in December 2021 the PMO sent comfort letters to Activity Leaders of 2022 Activities. Following this letter, **Activities should start shortly after 1 January 2022**. If, for any reason, a consortium decides to start the Activity later, the period for implementation will be shortened given that the Activity end date will remain the same (31 December 2022). The budget will remain unchanged. To ensure a proper implementation of annual Activities, no Activity should start later than 1 April 2022.

All Activity Leaders should arrange a kick-off meeting (either face-to-face or virtual) with all consortium partners. **The kick-off meeting should take place no later than one month after the actual start date of the Activity**. Activity Leaders should invite the Thematic Area and PMO contact persons from EIT Urban Mobility to their kick-off meeting, who will give a short presentation and answer any questions from the consortium.
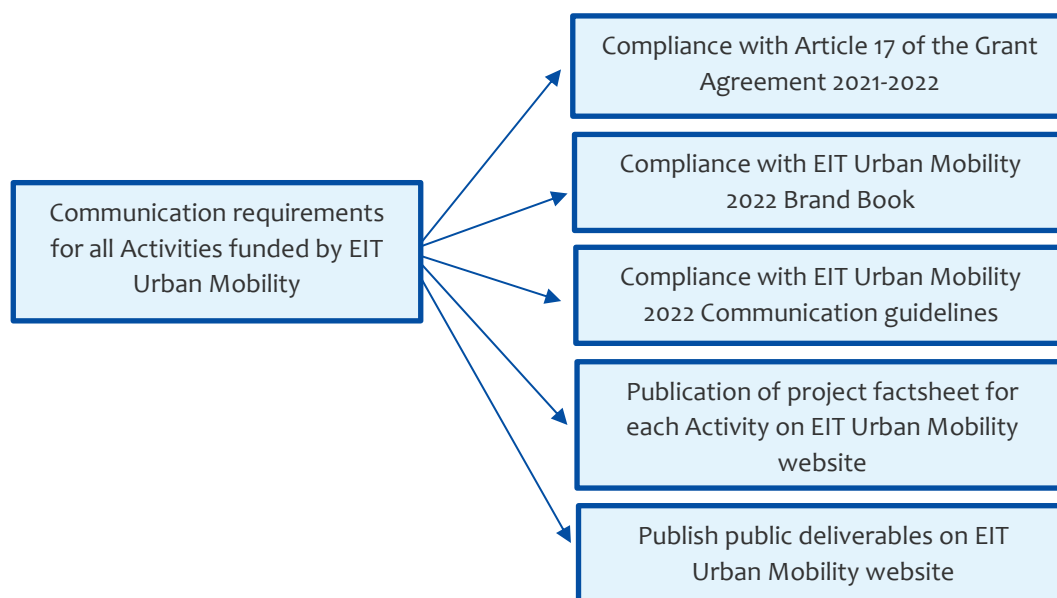
Once the kick-off meeting has taken place, the Activity Leader should upload the meeting minutes together with all presentations from the meeting in PLAZA under the section "Current Activities → Activity Editor → Progress Reports" (Kick-off Report). The Kick-off Report will also appear in the Activity Leader's "To Do" list in PLAZA, under the section "Progress reports to submit". These documents must be uploaded to PLAZA within one month of the kick-off meeting taking place.

To help Activity Leaders in their task as coordinators, an induction webinar for Activity Leaders has been held in January 2022. During this webinar, EIT Urban Mobility staff provided details of the role and responsibilities of Activity Leaders, as well as information on the main milestones in the Activity implementation and reporting cycle. The recording and the PPT of the webinar can be found in Plaza.

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[1] The expected date of approval may change depending on the timings set by the EIT.

3. Communication requirements

Communication requirements for all Activities funded by EIT Urban Mobility

- Compliance with Article 17 of the Grant Agreement 2021-2022
- Compliance with EIT Urban Mobility 2022 Brand Book
- Compliance with EIT Urban Mobility 2022 Communication guidelines
- Publication of project factsheet for each Activity on EIT Urban Mobility website
- Publish public deliverables on EIT Urban Mobility website

All activities funded by EIT Urban Mobility must comply with the communication, dissemination and visibility requirements included in Article 17 "Communication, Dissemination and Visibility" of the Grant Agreement 2021-2022 EIT Urban Mobility. More specifically, Article 17.5 establishes the consequences of non-compliance: "**If a beneficiary breaches any of its obligations under this Article, the grant may be reduced** (see Article 28)".
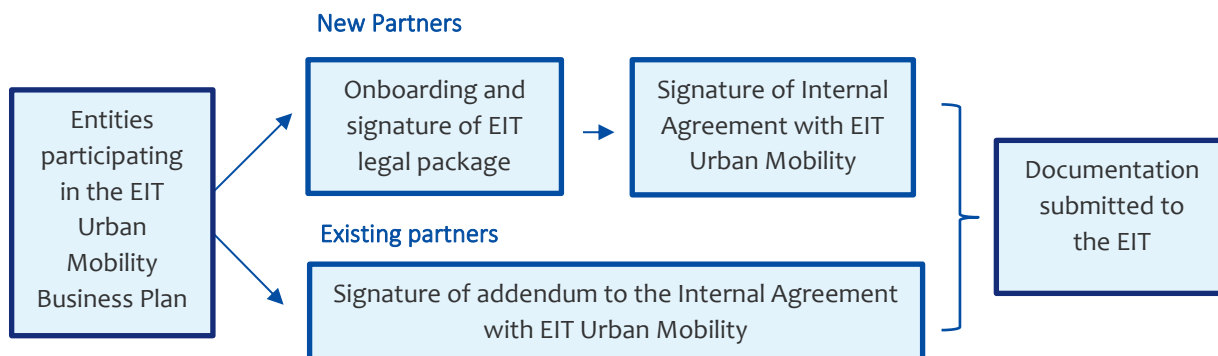
Full details of the branding guidelines are available in the "EIT Urban Mobility 2022 Brand Book" and communication requirements in the "EIT Urban Mobility Communication guidelines". These two documents, as well as all templates and logos to be used during the Activity implementation, are available on the EIT Urban Mobility Partners Site and PLAZA (Current Activities → General information).

In addition, the following communication inputs are required:

- Activity leaders will complete a project communication factsheet (template available in PLAZA) to be published on the EIT Urban Mobility website (https://www.eiturbanmobility.eu/our-activities/). Activity Leaders complete the Kick-off Report (see section 2), which should include the communication factsheet and the logos of the partners. The Kick-off Report will need to be approved by EIT Urban Mobility.
  - The factsheet will be proofread and published on the website (expected publication date: March-April 2022).
- When communicating about the project, Activity Leaders must strictly adhere to the rules and requirements presented in both the EIT Urban Mobility Brand Book (regarding brand identity of EIT Urban Mobility) and the Communication guidelines (regarding requirements of the communication activities).

The public deliverables produced by Activities will be published on the EIT Urban Mobility website. There will be two periods when deliverables are published; in July/September (after the Mid-Term Review) and in February/March of the following year (once the Activity has finished).

4. Legal requirements

New Partners

Entities participating in the EIT Urban Mobility Business Plan	Onboarding and signature of EIT legal package	Signature of Internal Agreement with EIT Urban Mobility	Documentation submitted to the EIT

Existing partners

Signature of addendum to the Internal Agreement with EIT Urban Mobility

EIT Urban Mobility is a Knowledge and Innovation Community (KIC) created by the European Institute of Innovation and Technology (EIT). It has been set up as a legal entity and, as such, it has signed a Framework Partnership Agreement (covering a 7-year period, 2021-2027) and a Grant Agreement (covering a 2-year period, 2021-2022) with the EIT.

To receive the funds from the EIT, EIT Urban Mobility submitted a Business Plan for 2021-2022. This Business Plan is an annex to the Grant Agreement. The Business Plan outlines the activities that will contribute to accelerate positive change on mobility to make urban spaces more liveable. Its implementation is monitored and assessed by the EIT, both in terms of performance (fulfilment of outputs, KPIs) and costs (eligibility of funds).

The Activities selected during the EIT Urban Mobility calls for proposals are part of the Business Plan. As a result, any organisation that is part of these Activities needs to comply with the EIT and the EIT Urban Mobility legal requirements.

For 2022, the legal requirements are different depending on whether or not an organisation was already part of the EIT Urban Mobility Business Plan in 2021.

New partners joining the Business Plan in 2022

These organisations have to sign two sets of legal documents:

- The **EIT legal package,** which includes the Accession Form to become beneficiary in the EIT Urban Mobility Grant Agreement, a Declaration of Honour and, in the case of SMEs, a Legal Entity Form and SME Declaration.
- The **Internal Agreement** between their organisation and EIT Urban Mobility.

The templates for the legal documents can be found in the folder "New partners Legal package" on the EIT Urban Mobility Partners Site.

The onboarding of new partners started in 2021 with the completion of the Partner Information Form (PIF) in PLAZA and the registration of these new entities in PIO (EIT Platform used to verify the existence and legal status of entities).

In 2022, the process for the signature of the different legal documents is as follows:

- EIT Urban Mobility gives to the new partners access to their private folder in the Partners Site and generates the specific legal package for each partner.
- New partners will be informed about the onboarding procedure through instructions on how to proceed with the completion and signature of the EIT legal package. A deadline for receiving the documents is communicated to partners.
- Following the approval of the EIT Urban Mobility Business Plan by the EIT in February-March 2022, the process for the signature of the Internal Agreement between each of these entities and EIT Urban Mobility can start.
- EIT Urban Mobility generates the Internal Agreement for each partner and saves it in the Partner's private folder on the EIT Urban Mobility Partners Site.
- Partners will be notified and asked to sign the document.
- Partners check the Internal Agreement, complete the missing information, and sign it within a given deadline (specific date to be confirmed).
- EIT Urban Mobility countersigns the Internal Agreement and saves it in the Partner's private folder on the EIT Urban Mobility Partners Site.

Existing partners who were already in the Business Plan 2021

As these organisations already signed the EIT legal package in 2021, they will only need to sign an addendum to the Internal Agreement in 2022. It is not expected that signature of additional legal documentation will be required. The draft of the addendum template is available in the folder "Existing partners legal package" on the Partners Site. However, it should be noted that the final version of the addendum can be slightly amended.

The process for the signature of the addendum is as follows:

- Following the approval of the EIT UM Business Plan by the EIT in February-March 2022, EIT Urban Mobility will generate the addendum for each partner, who will be notified via the Partner Site.
- Partners will check the addendum, complete the missing information, and sign it within a given deadline (specific date to be confirmed).
- EIT Urban Mobility will countersign the addendum and the PMO will save it in the Partner's private folder on the EIT Urban Mobility Partners Site.

EIT Urban Mobility will keep Activity Leaders informed and engaged to ensure that all members of the consortia sign the required legal documentation. If a partner does not sign the legal documentation within the given deadline, EIT Urban Mobility will proceed to remove that partner in the amended Business Plan to be submitted to the EIT (see Section 6). In this case, the Activity Leader should either replace them with a new partner, redistribute tasks among the existing partners or reduce the tasks/budget allocated to this partner. **Any pre-financing is withheld until the partner has signed all required legal documentation.**

Any new partner joining the Business Plan in 2022 will have to follow the same steps as described above. No new partners can join the Business Plan after the submission of the Amendment (see Section 6).

5. Day-to-day implementation
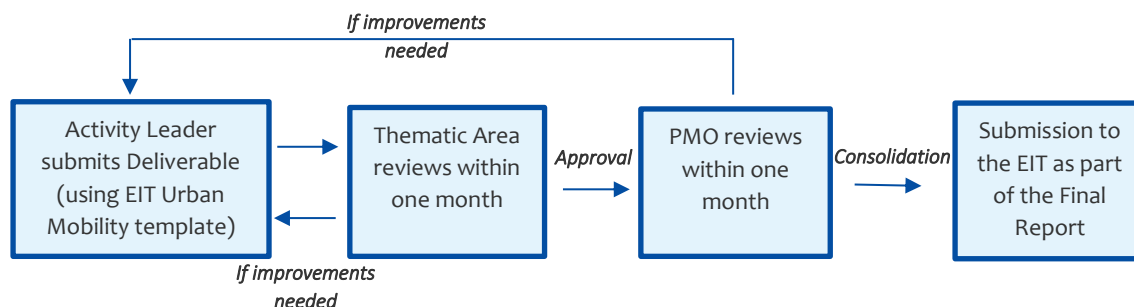
Throughout the Activity implementation, Activity Leaders should be in regular contact with their Thematic Area contact person to discuss progress and identify potential risks and improvements. During these regular interactions, Thematic Areas should also ensure that Activity Leaders are fully aware of the expected outcomes of the Activity, in particular Financial Sustainability and KPIs (definition and supporting documents will be required as proof of fulfilment by the end of the year). This is particularly important if a new person takes on the role of Activity Leader halfway through the project implementation.

If questions arise, Activity Leaders can contact:

- Their Thematic Area contact person for technical and content-related questions.
- Their PMO contact person for administrative and finance-related questions, and those related to EIT processes (Amendment, Final Reporting, etc.).
- The EIT Urban Mobility Service Desk (ServiceDesk@eiturbanmobility.eu) for any other type of queries (technical issues with PLAZA, communications and branding, etc.).

As part of day-to-day implementation, Activity Leaders are responsible for submitting the Activity's deliverables by the established due date. In case of delay, this is considered a minor change and should be discussed with the respective Thematic Area (see section 6). When submitting a deliverable (preferably in pdf), the workflow should be as follows:

- The Activity Leader uploads the deliverable in PLAZA.
- Within one month, Thematic Areas should review the deliverable and either send it forward for consolidation or send it back to the Activity Leader with a request for concrete improvements.
- Once the deliverable has been reviewed and sent forward by the Thematic Area, the PMO will check compliance with EIT requirements and consolidate it for submission to the EIT as part of the Final Report. This will be done by the PMO within one month of receipt of the deliverable.

Importantly, Activities should use the EIT Urban Mobility template to prepare their deliverables. If a deliverable does not follow the template, another format can be used as long as it complies with EIT/EU co-branding (see EIT Urban Mobility Brand Book).

KPI achievements should be submitted towards the end of the year, once the Final Reporting section is available in PLAZA (see Section 8). The submitted supporting evidence is reviewed by the Thematic

Areas and then consolidated by the PMO for submission to the EIT, as part of the Final Report. A detailed guide on KPIs and KPI templates will be available in PLAZA once the EIT confirms KPI definitions and required supporting documents/data for 2022.

Any reviews and checks on deliverables and KPI achievements, performed by EIT Urban Mobility staff, do not represent a formal approval. Deliverables and KPI achievements are to be approved by the EIT Headquarters as part of the Final Reporting phase (see Section 8).

6. Project changes and Amendment of the Business Plan

Minor changes (EIT approval not needed)

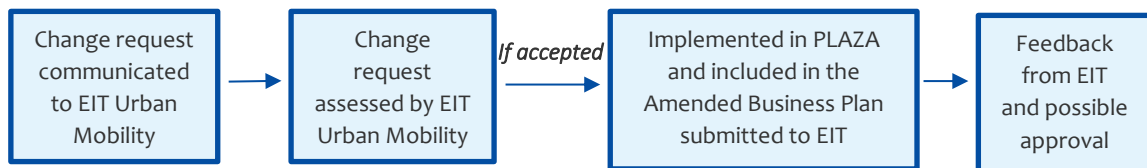| Change request communicated to EIT Urban Mobility	→	Change request assessed by EIT Urban Mobility	*If accepted* →	Implemented in PLAZA
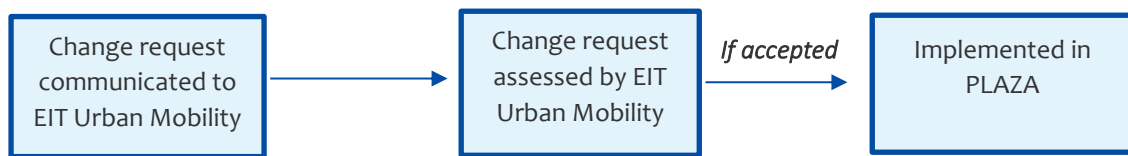
Major changes (EIT approval needed)

Change request communicated to EIT Urban Mobility	→	Change request assessed by EIT Urban Mobility	*If accepted* →	Implemented in PLAZA and included in the Amended Business Plan submitted to EIT	→	Feedback from EIT and possible approval

During the implementation phase, Activities may need to make changes to their approved work plan. Change requests need to be communicated to EIT Urban Mobility, who will assess and accept or reject the request. If accepted, next steps will depend on whether the change requires EIT approval during the Business Plan Amendment process (major changes) or not (minor changes).

Amendment

The Amendment process is a key milestone of the year and a reporting requirement of the EIT. It takes place halfway through the year and enables EIT Urban Mobility to update its Business Plan. The Amended Business Plan is the base against which the final performance and cost reporting will be evaluated. It is important that the descriptions of Activities are up to date to ensure a positive final assessment.

During the Amendment process, Activity Leaders can update the Activity description in PLAZA to implement the major changes that have been discussed with and agreed by EIT Urban Mobility. EIT Urban Mobility will submit the Amended Business Plan to the EIT (normally by the end of September), who will provide feedback by mid-November (final dates to be confirmed).

Minor changes

The Activity Leader can request minor changes at any time. The proposed change should be discussed with the respective Thematic Area, who will assess its impact. If the change is accepted, the steps are:

- **Changes in Activity Leader and members, tasks, or milestones**: Communicate to the PMO contact person for the Activity, who will implement the change in PLAZA..
- **Changes in due dates of deliverables:** The Activity Leader can delay the due date for a deliverable in the deliverable submission form in PLAZA (To Do list → "Submit Deliverables, KPI and Milestones") by clicking on "Report Delay" and setting a new date.

Major changes:

1) **Changes in the consortium.**
   The Activity Leader will need to communicate any changes in the consortium to EIT Urban Mobility as soon as possible, so the onboarding of any new partner can start (Section 4). EIT Urban Mobility will re-assess the eligibility of the Activity with regards the conditions of the respective call.

   o **Partner(s) leaving the consortium.** The Activity Leader should either replace the leaving partner with a new one (with similar expertise), redistribute the task(s) and budget to existing partners, or delete the budget and task(s) associated with this partner from the Activity.
   o **New partner(s) being added to the consortium.** The new partner needs to have a specific role in the Activity and add value to the consortium. If the new partner is not taking part in any other Activity of the EIT Urban Mobility Business Plan 2021-2022, the steps to follow are described in Section 4 (Legal requirements, under subsection "New partners joining the Business Plan in 2022").
   o **Change in the legal status of partners**. EIT Urban Mobility will assess these changes on a case-by-case basis.

   The Activity Leader will need to include these changes in the Mid-Term Review Report. These changes will be discussed during the Go/No Go assessment (Mid-Term Review), and formally submitted for approval to the EIT during the Business Plan Amendment phase.

2) **Changes in the content and number of deliverables, outputs and KPIs, or changes to the description of the Activity.**

   As in the previous section, the Activity Leader will need to include these changes in the Mid-Term Review Report. These changes will be discussed during the Go/No Go assessment (Mid-Term Review), and formally submitted for approval to the EIT during the Business Plan Amendment phase. Please note that:

   ➢ Any reduction in the scope of the Activity will need to be associated with a reduction in EIT funding.
   ➢ Reductions of KPI targets or removal of KPIs are unlikely to be approved by the EIT and therefore will require a strong justification to be discussed with EIT Urban Mobility.

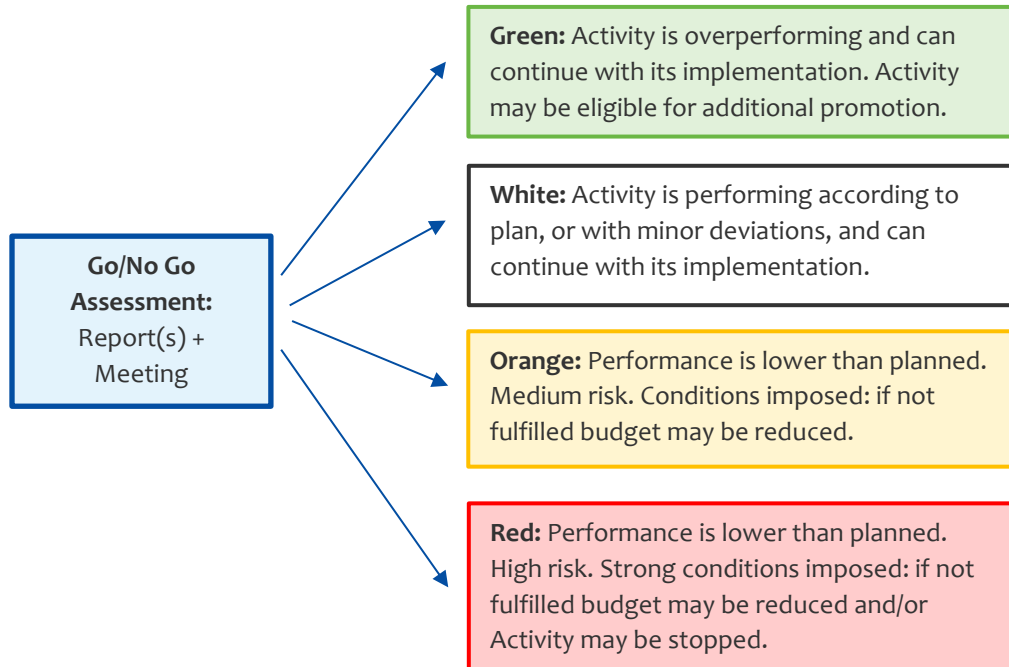3) Changes in budget.

There are three groups of budget changes:

- o Increases in (a) budget at KAVA level, (b) EIT funding, (c) balance EIT funding/co-funding, (d) Subcontracting and/or financial support to third parties. **These changes are unlikely to be approved by the EIT and require a strong justification to be discussed with EIT Urban Mobility** during the Go/No Go assessment (Mid-Term Review). If accepted, they will be introduced in PLAZA by the Activity Leader and formally submitted for approval to the EIT.
- o Cost-neutral redistributions[2] of budget between cost categories or between partners (except increases in subcontracting and financial support to third parties). **These changes are generally accepted by the EIT** and can be made directly in PLAZA by the Activity Leader during the Amendment process. Changes will be formally submitted for approval to the EIT.
- o Small changes in budget distribution between cost categories at KAVA level lower than +/- 5%. Although it is preferable that any change is implemented during the Amendment, **these deviations are generally accepted by EIT** and can be reported and justified at the time of Final Reporting.

No major changes are accepted after the submission of the Business Plan Amendment.

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[2] Changes from one cost category to another that do not change the total amount of costs in the budget.

7. Go/No-Go Assessment

Go/No Go Assessment: Report(s) + Meeting

Green: Activity is overperforming and can continue with its implementation. Activity may be eligible for additional promotion.

White: Activity is performing according to plan, or with minor deviations, and can continue with its implementation.

Orange: Performance is lower than planned. Medium risk. Conditions imposed: if not fulfilled budget may be reduced.

Red: Performance is lower than planned. High risk. Strong conditions imposed: if not fulfilled budget may be reduced and/or Activity may be stopped.

The Go/No-Go assessment is a key milestone of the implementation cycle. The objective of the Go/No-Go exercise is to assess the status of the Activities (performance, budget, and impact) and ensure that they are progressing in line with the Business Plan and contributing to the Strategic Objectives of EIT Urban Mobility.

The Go/No-Go assessment allows EIT Urban Mobility to evaluate the risk of underperformance and/or underspending, and to provide support to Activities by identifying mitigation measures. **Ultimately, it allows EIT Urban Mobility to reduce the grant or stop Activities that are underperforming, and redirect resources to other actions.**

The frequency of Go/No-Go assessments depends on the duration of the Activity:

- **Up to 9 months:** No assessment until Final Report. Exceptions might apply.
- **10 to 12 months:** One Go/No-Go assessment at the mid-point of implementation (known as the "Mid-Term Review"). In 2022, the Mid-Term Review will take place in June/July and kick-start the Business Plan Amendment process.
- **More than 12 months:** One Go/No-Go assessment every 6 months.[3]

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[3] This also includes 2021-2022 multiannual KAVAs. In the case of projects that are planned to continue in 2023, the first Go/No-go assessment will take in June/July 2022 and the second Go/No-Go assessment will take place in October/November 2022. This second Go/No-Go assessment will take into consideration the progress made during 2022 and the proposed workplan, budget and KPIs for 2023.

The Go/No-Go assessment ("Mid-term Review") in June/July 2022 is composed of two or three main elements:

- **1a. A report produced by the Activity leader** providing an overview of Activity implementation, covering outputs, deliverables, KPIs, risks, costs, change requests, communication and dissemination activities, etc.
  - **1b. (optional) An assessment produced by the Thematic Area** (e.g., site visits, assessment of demos, technical review, etc.).
- **2. A meeting between representatives of the Activity consortium and representatives of EIT Urban Mobility** (through a Monitoring Panel).

The Monitoring Panel will assess Activities as Green, White, Orange, or Red:

- **Green Activities** are overperforming and can continue with their implementation. The Activity may be eligible for additional promotion by EIT Urban Mobility (invitation to events, social media, success stories, etc.).
- **White Activities** are performing according to plan, or have a low risk, and can continue with their implementation.
- **Orange Activities** have a medium risk and need mitigation actions to overcome challenges. The Monitoring Panel will impose conditions to the Activity, which will need to be fulfilled within a given period of time to be decided by the Monitoring Panel. If the conditions are not fulfilled satisfactorily, the EIT funding for the Activity will be reduced.
- **Red Activities** have a high risk for EIT Urban Mobility. The Monitoring Panel will impose strong conditions to the Activity (to be fulfilled within two weeks). If the conditions are not fulfilled satisfactorily, this will lead to a reduction in EIT funding for the Activity, or a recommendation that the Activity is stopped. If the recommendation is to stop the Activity, the issue will be escalated to the EIT Urban Mobility CEO and COO, who will take the final decision based on the report produced by the Monitoring Panel (Article 7.b "Role and responsibility of the coordinator" and Article 11 "Proper implementation of the action" of the Grant Agreement; Provisions 4.3.1, 4.3.4, and 4.4 of the Internal Agreement). EIT Urban Mobility may commission an independent review by an external expert to inform this decision.

In line with EIT Guidelines, the four colour categories are defined as:

Indicators	Performance	Colour
Deliverables, Outputs, and KPIs have been overachieved or are on track of overachievement. Activity is compliant with other obligations as described in the Grant Agreement (e.g., EIT/EU co-branding). The financial situation of the Activity is good, with resources being used according to plan. All partners in the Activity have fulfilled all legal requirements (see section 4)	The performance of the Activity is higher than planned.	GREEN

Deliverables, Outputs, and KPIs have been achieved, are on track, or have minor deviations. Any shortcomings are minor or only a small number of shortcomings are present. Activity is compliant with other obligations as described in the Grant Agreement (e.g., EIT/EU co-branding). The financial situation of the Activity is good, with resources being used according to plan or with small deviations. All partners in the Activity have fulfilled all legal requirements (see section 4).	The Activity is implemented adequately. 0-14% of planned performance is not achieved or is not on track to be achieved. The type of underperformance does not have as consequence grant reduction.	WHITE
Some Deliverables, Outputs, and/or KPIs are not on track, requiring mitigation measures to ensure achievement by the end of the implementation period. There are significant weaknesses in implementation as compared to the plan. Additional aggravating factors such as non-respecting EIT/EU co-branding. Small to medium deviations in budget realisation affecting the performance of the activity. One or more partners in the Activity have not yet fulfilled all legal requirements (see section 4).	The performance of the Activity is lower than planned. 15%-50% of planned performance is not achieved or is not on track to be achieved. The monitoring panel will impose conditions to the Activity, to be fulfilled within a given period of time, to be decided by the monitoring panel. The budget of the Activity may be reduced if the conditions are not fulfilled.	ORANGE
Some Deliverables, Outputs, and/or KPIs off track and will not be achieved or are expected not to be achieved. There are serious weaknesses in implementation as compared to the plan. Additional aggravating factors such as non-respecting EIT/EU co-branding. Medium to large deviations in budget realisation.	The performance of the Activity is lower than planned. More than 50% of planned performance is not achieved or is not on track to be achieved. The monitoring panel may impose strong conditions to the Activity (to be fulfilled within two weeks), reduce the budget of the Activity, and/or recommend that the Activity is stopped (final decision to be taken by CEO and COO).	RED

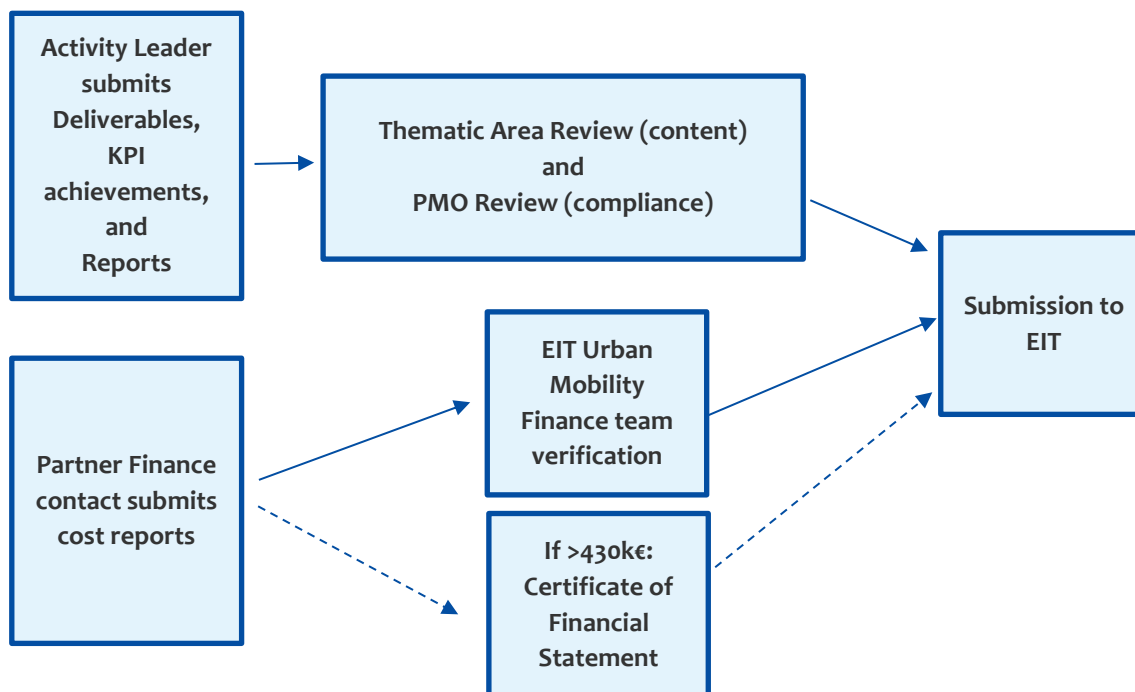Table 1. Go/No go assessment colour categories.

Examples of orange and red flags per Thematic Area for indicative purposes.

Area	Orange flag	Red flag
Academy	Quality of the educational material (courses, videos, workshops, as well as concepts and methodologies supporting EIT-labelled programmes) significantly below the quality levels expected and presented in the business plan.	Quality of the educational material (courses, videos, workshops, as well as concepts and methodologies supporting EIT-labelled programmes) critically below the quality levels expected and presented in the business plan.
Innovation	The testing/demonstration phase visit did not deliver on its expected outcomes and will need additional work within project timeline to meet objectives. Visit can be replanned. *(issues but possible to correct within timeframe)*	The testing/demonstrations phase visit did not take place, or take place as planned and had serious issues in meeting its basic expected outcomes. Additional work may not be sufficient to complete the project within the timeline. Replanning of visit is an issue. *(serious issues and timeline unlikely)*
	The value proposition for the new product/service needs to be further developed to adequately assess its innovative market potential. *(value proposition to be strengthened, more work with potential clients needed)*	The product/service being developed does not show sufficient level of innovative market potential. *(value proposition is weak and there is a lack of defined clients engaged)*
	The product plan needs improvement. This is possible within the timeframe. IPR issues are resolved. Failure to do so risks both legal finalisation of project and core KPI (marketed innovation) *(weak product plan equals weak CA)*	The product plan has significant weaknesses and does not address core issues of product/market development or sales or clearly resolve IPR issues. This undermines the value of the commercial agreement and is a major risk to both legal finalisation of project and core KPI (marketed innovation). *(very weak product plan, unlikely to produce a CA)*
	The business plan needs improvement. This is possible within the timeframe and failure to do so risks a core KPI (start-ups created of/for innovation). *(weak business plan equals delayed founding of company and no KPI)*	The business plan is not sufficiently defined or lacks credibility, it puts at risk a core KPI (start-ups created of/for innovation) *(very weak business plan, insufficient thought and planning to start-up)*
	Financial sustainability mechanism incomplete and requires improvement. This is possible within the timeframe. *(FSM weak equals no CA agreed)*	Financial sustainability mechanism provided lacks credibility and is unsatisfactory. Over-dependence on one smaller party for full CA. Financial returns are negligible. Lack of willingness to engage proactively in CA process. IP rights unresolved. *(FSM failing to progress and lack of identification with the issue)*

	Orange flags	Red flags
Business Creation	Insufficient number of start-ups or SME selected for the Accelerator/SME programmes or low quality of applicants	Very low number of start-ups or SME selected for the Accelerator/SME programmes and low quality of applicants
	Number of supported start-ups below slightly KPI target	Number of supported start-ups well below KPI target
	Quality of accelerator or SME programmes require improvements	Low quality of accelerator or SME programmes, consortium unable to address the problems.
Branding	Non-compliance with EIT/EU Co-branding provisions in some cases	Non-compliance with EIT/EU Co-branding provisions throughout the Activity
PMO	Partially achieved Outputs; Incomplete or low-quality Deliverables; Severe delays in Outputs/Deliverables/KPIs	Several Outputs not achieved; Deliverables missing
	KPI targets partially achieved or moderately below target	KPIs not achieved or well below target
Finance	Moderate under or overspending of the budget	Significant under or overspending of the budget
	Moderate budget deviations	Significant budget deviations, increase in subcontracting or financial support to third parties

Table 2. List of indicative orange and red flags.

8. Final reporting


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┌─────────────────┐        ┌──────────────────────────┐
│ Activity Leader │        │  Thematic Area Review    │
│     submits     │───────▶│      (content)           │
│  Deliverables,  │        │         and              │        ┌──────────────┐
│      KPI        │        │  PMO Review (compliance) │───────▶│              │
│  achievements,  │        └──────────────────────────┘        │ Submission to│
│      and        │                                            │     EIT      │
│    Reports      │                                            │              │
└─────────────────┘        ┌──────────────────────────┐        └──────────────┘
                           │      EIT Urban           │
                           │      Mobility            │
                           │   Finance team           │───────▶
┌─────────────────┐        │   verification           │
│ Partner Finance │───────▶└──────────────────────────┘
│ contact submits │        ┌──────────────────────────┐
│   cost reports  │╌╌╌╌╌╌╌╌│   If >430k€:             │
└─────────────────┘        │   Certificate of         │╌╌╌╌╌╌╌╌▶
                           │   Financial              │
                           │   Statement              │
                           └──────────────────────────┘
```

Once the implementation of the Activity has finished, Activity Leaders and Partner Finance contacts need to report respectively on performance and costs. Performance reporting needs to be finished by mid-January 2023 and cost reporting by the end of January 2023 (final dates to be confirmed).

Performance reporting

Activity Leaders need to submit the items detailed below (final list to be confirmed according to EIT Reporting Guidelines 2022), which will be reviewed by the respective Thematic Areas for content and by the PMO for compliance.

- **Deliverables:** Activity Leaders need to submit deliverables throughout the year, according to the work plan. Activity Leaders need to use the deliverable template available in PLAZA to ensure compliance with EIT branding requirements.
- **KPIs:** Although KPIs may be achieved throughout the year, Activity Leaders need to report their KPI achievements towards the end of the year, once the reporting section in PLAZA is open. KPI achievements need to be submitted together with supporting documents. A detailed guide on KPIs and KPI templates will be available in PLAZA once EIT confirms KPI definitions and required supporting documents/data for 2022.
- **Outputs:** There is no need to submit the achievements of the Activity outputs in PLAZA (Activity editor → Deliverables/Outputs). Outputs are reported in the Activity Performance Report (see section below).
- **Activity Performance Report 2022 (APR22):** The Activity Performance Report is submitted in PLAZA by the Activity Leader via an online form. The report assesses different aspects of the Activity, for each explaining achievements, deviations, and corresponding justifications. The

main areas of the report are (final list to be confirmed according to EIT Reporting Guidelines 2022): "Progress and outputs achieved against the Business Plan", "Description of work implemented", "KPI reporting", "Deliverable reporting", "Output reporting", and "Role of organisations". The KPI section is additional to the detailed KPI submission described above, with additional information provided on deviations and overall KPI analysis.

- **Use of Resources Report (APR22-C):** The Use of Resources Report is submitted in PLAZA by the Activity Leader via an online form. The report can only be filled in once the cost reporting of all partners has been completed. The report provides justifications for cost deviations (overspending or underspending) at KAVA level, also explaining any changes of cost category if applicable. The report is based on total KAVA budget (EIT funding + co-funding).
- **Reporting-only KPIs:** EIT Urban Mobility needs to report to the EIT at portfolio level on a series of indicators (e.g., patents, publications, etc.). If input is needed from Activity Leaders, it will be requested through the "reports" section of PLAZA and appear in the To-Do list of the Activity Leader.

The reviews performed by EIT Urban Mobility aim to improve the quality of the items that are submitted to the EIT, but do not represent formal approval. EIT Headquarters will review all documentation submitted and provide an assessment of the Activities.
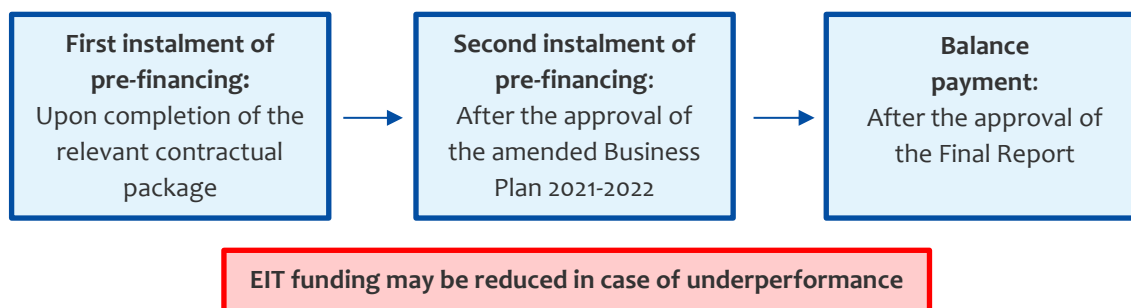
Cost reporting

Cost reporting is done in PLAZA at partner level (i.e., not at Activity level as performance reporting). Each partner reports all costs incurred until 31 December 2022, which will be verified by EIT Urban Mobility. Partners do not need to submit documentation justifying costs (timesheets, invoices, contracts, etc.), but **the documentation must be kept for five years** (it can be requested in case of audit). Conditions for cost eligibility are set out in the Horizon Europe Model Grant Agreement. Partners with overall EIT funding higher than 430,000 Euros in a given Business Plan will have to provide a Certificate of Financial Statement (CFS) issued by an independent auditor commissioned by the EIT.

Please note that:

1) If the total costs reported are <u>higher</u> than the budget, <u>the excess is covered by co-funding</u>.
2) If the total costs reported are <u>lower</u> than the budget, <u>the original co-funding is maintained, and the EIT funding is reduced accordingly.</u>

9. Payment schedule

First instalment of pre-financing: Upon completion of the relevant contractual package	→	Second instalment of pre-financing: After the approval of the amended Business Plan 2021-2022	→	Balance payment: After the approval of the Final Report

EIT funding may be reduced in case of underperformance

EIT Urban Mobility distributes the EIT funding directly to each of the organisations included in the Business Plan. Article 4.3 "Financial Provisions" of the EIT Urban Mobility Internal Agreement provides all details related to the pre-financing and final payment conditions (pre-financing calculations, payment structure, etc). Based on these provisions, the following payment schedule is foreseen for partners involved in Activities starting in 2022:

- The pre-financing is structured in two instalments and is limited to 65% of the total EIT funding:
  o The first instalment of the pre-financing is paid upon completion of the relevant contractual package (see section 4 above) and once EIT Urban Mobility has received the funds from the EIT. This payment is based on the budget in the approved Business Plan 2021-2022. For partners that are not a self-declared SME, this first instalment covers 50% of the total direct costs except personnel (it does not include indirect costs). For partners that are a self-declared SME, it covers 50% of the total direct costs (it does not include indirect costs).
  o The second instalment is paid after the approval of the amended Business Plan 2021-2022, and it is based on the budget in the amended Business Plan. Same rules apply.
- The balance is paid upon the approval of the Final Report and once EIT Urban Mobility has received the funds from the EIT. It covers the remaining EIT funding, and it is based on the costs reported and approved by the EIT in the Final Report.

EIT funding for an Activity may be reduced in case of underperformance assessed during the Go/No Go Assessment or Final Reporting phase (Article 11 and 28 of the Grant Agreement; Provision 4.3 of the Internal Agreement).

EIT Urban Mobility Finance team liaises with the respective Partner Finance contacts to manage the payments. Partner Finance contacts need to be identified during the contractual phase, as part of the onboarding (see section 4). If a Partner Finance contact changes, the partner is responsible for updating this information in PLAZA (Partner Information Form - PIF).