

# *3<sup>rd</sup> IST Coordinators Day on Project Management*

## **Project reports and reviews in FP6**

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# *Project reports*

# Periodic and final reporting

1. Activity report (*overview of progress*)
2. Management report (*financial data*)
3. Report on the distribution of the Community contribution
4. Detailed plan for next 18 months (*IPs and NoEs*)
5. Questionnaires (*end of 1st reporting period and end of project*)
6. Deliverables
7. Supplementary reports

# Management report

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- Section 1 – Justification of resources and major cost items
- Section 2 – Form C : Individual financial statement  
*(plus audit certificate, if required)*
- Section 3 – Summary financial report

# Questionnaires

- **SESAM**, the on-line tool for the submission of the questionnaires will be used shortly. Coordinators and contractors will receive an e-mail with their user account to access the tool.
- For projects ending now, a paper copy can be accepted, if the user accounts are not received in time. Only the final questionnaires are requested for projects ending now.

# Submission

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- Within 45 days from the end of the reporting period
- For final activity and management reports may be extended to 90 days, if requested
- For the final report on the distribution of the Community contribution 60 days after receipt of final payment

# Submission (*cont*)

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- All reports (incl Form C) and deliverables must be submitted both on paper (1 copy) and electronically
  - *Exception: for audit certificates only a paper copy is requested*
  - *Signatures (when needed) only on paper copy*
- Delivery date: time of arrival of the paper version of the complete set of reports

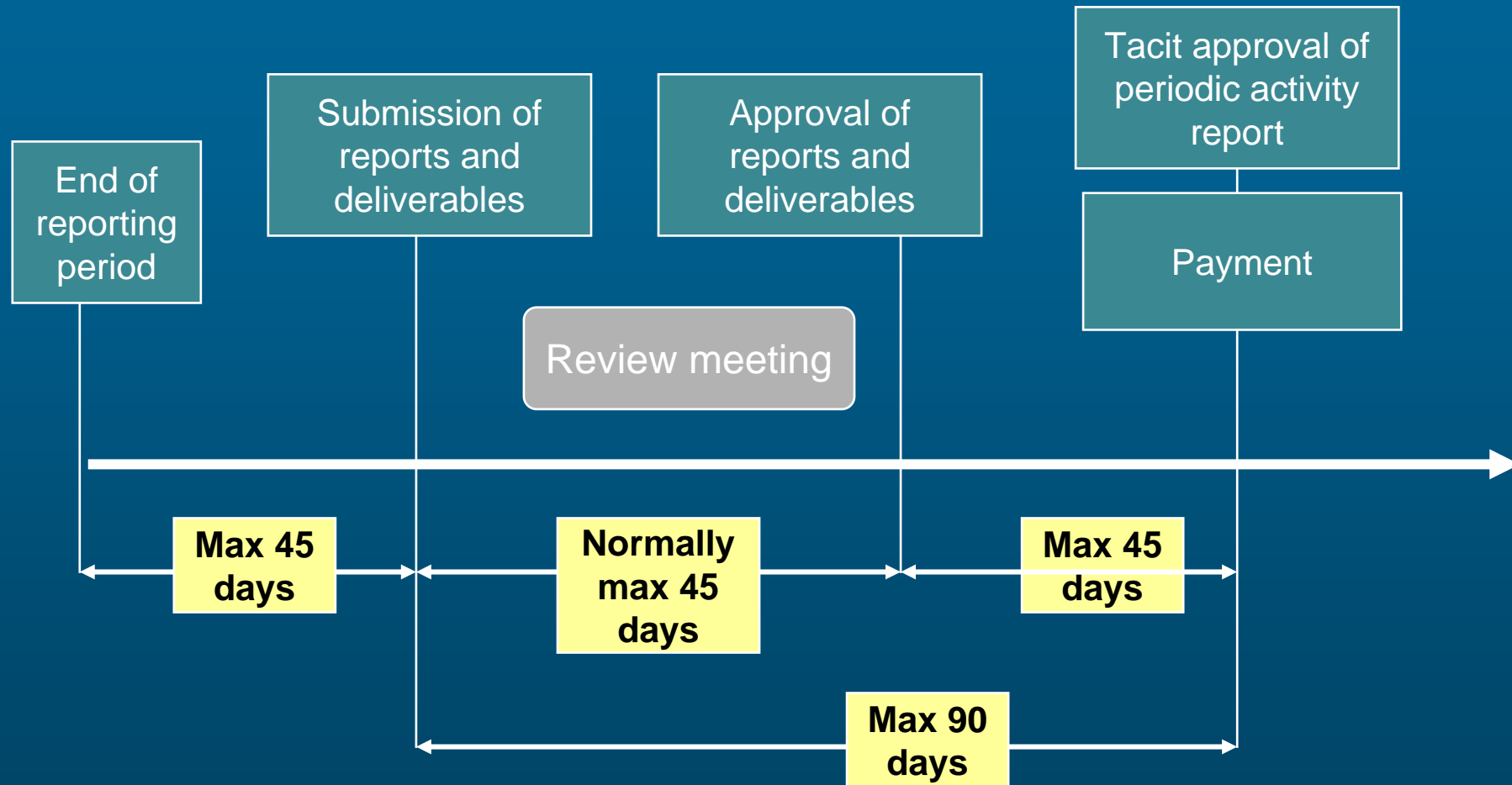
# Timing

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- Submission: Within 45 days after the end of the reporting period.
- Assessment (incl review): Within 45 days after reception (clock stops if add'l info is requested)
- Payment: Within 45 days after approval (clock stops if add'l info is requested).



# Timing



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# *Project reviews*

# Principles

- Definition: Assessment of project reports and deliverables by the Commission at the end of a reporting period, with the assistance of independent experts (reviewers), if needed
  - Independent reviewers mandatory for the review of IPs & NoEs
- Frequency: Annually for IPs and NoEs, according to the contract for the other instruments
- The contractors may refuse one or several outside reviewers or auditors on grounds of commercial confidentiality

# Principles

- The Commission is required to ensure the confidentiality of controls and audits
- The Commission is not obliged to accept or follow the conclusions or recommendations of the independent experts
- Approval of any report does not imply exemption from any audit

*The Commission may, at any time during the contract and up to five years after the end of the project, arrange for audits, including subcontractors and third parties*

# Subject of reviews

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- Fulfilment of workplan / deliverables / objectives
- Detailed plan for next 18-mo period (*IPs & NoEs*)
- Plan for using and disseminating the knowledge
- Management
- Necessity of resources
- Economy and necessity of costs
- Continued relevance

# Economy of costs

- The audit certificate certifies that costs are actual
- The necessity of costs is assessed by the review
- The economy of costs is assessed
  - partly by the auditors (costs reflect the contractor's economic environment), and
  - partly by the review (output corresponds to input in terms of personnel costs and major cost items, and whether resources and major cost items were economically deployed)

# Review material

- Activity report
- Management report : Section 1 - Justification
- Detailed plan for next 18-mo period (IPs & NoEs)
- Questionnaires (if available)
- Deliverables
- Annex I – Description of work

*The review should take place when all periodic reports and deliverables have been received by the Commission (incl financial forms)*

# Possible review outcomes

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- Satisfactory performance
  - Approval of reports and deliverables and continuation of the project (*with minor modifications, if any*)



# Possible review outcomes

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- Unsatisfactory performance
  - Reject reports and deliverables and request completion of the work foreseen in Annex I or additional work within a reasonable delay; reports and deliverables shall be re-submitted
  - Approve reports and deliverables subject to re-negotiation of the work for the next period (could be combined with a suspension of the project)
  - Termination

# Failure of annual review for NoEs

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- If an NoE fails an annual review, instead of terminating the contract immediately, the Commission may propose to the consortium to
  - continue for 1 year w/o further pre-financing and without finalisation of the payment for the previous period, subject to a new review at the end of the year

# Detailed plan for next 18 months

- IPs and NoEs: As soon as the plan for the next 18 months (incl a new budget table) is approved by the Commission, the coordinator must submit in writing a request for amendment in order to update Annex I
  - When approved, the plan will be effective retroactively from the first day of the next reporting period
  - However, during the time lapse between the end of the reporting period and the approval of the amendment request, the existing contract and its annexes will apply

# Payment

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- If the review outcome is positive and the Commission approves all reports and deliverables, payment shall be made within 45 days after approval, and in any case within 90 days of receipt of the reports and deliverables.

# Cost of final reviews

- **Eligible costs** must be incurred during the duration of the project, with the exception of final reports where costs are eligible up to 45 days (or 90 days, if an extension is requested) after the end of the project.
- If the **final review** is held within 45 days (or 90 days, if an extension is requested) after the end of the project to assess the deliverables and the draft final reports, and the results of the review are used by the consortium to draw the final reports, then the costs of the review are considered as “incurred in drawing up the final reports” and are eligible.

# Links to guidelines / tools

- Reporting guidance notes:  
<http://www.cordis.lu/fp6/find-doc-management.htm#reporting>
- Financial statements (Form C) – Electronic version:  
<http://www.cordis.lu/fp6/find-doc-management.htm#reporting-formC>
- Audit certificate guidance notes:  
<http://www.cordis.lu/fp6/find-doc-management.htm#audit>
- SESAM:  
<http://webgate.cec.eu.int/sesam/reporturl.do?reportClear=true>
- Word version of the questionnaires (Appendices 13-18):  
<http://www.cordis.lu/fp6/find-doc-management.htm#reporting>
- Reviewers template:  
<http://cordis.europa.eu.int/fp6/project-management.htm>