

# ***4<sup>th</sup> IST Coordinators Day on Project Management***

**Project reports and reviews  
in FP6**

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# *Project reports*



# Periodic reporting

1. Activity report (*overview of progress*), including an updated Plan for using and disseminating the knowledge
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 (*subject to availability of IT tool*)
6. Deliverables



# Final reporting

## *In addition to the reports for the last reporting period*

1. A publishable final activity report
2. A final plan for using and disseminating the knowledge
3. A final management report
4. A final report on the distribution of the Community contribution
5. Final questionnaires (only on paper if IT tool not available)



# Management report

- 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

- Due to technical problems, **SESAM**, the on-line tool for the submission of the questionnaires, is not used in DG INFSO for the moment.
- Until further notice
  - Interim questionnaires should not be submitted neither electronically nor on paper
  - Final questionnaires should be submitted only on paper



# Submission

- 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

- 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



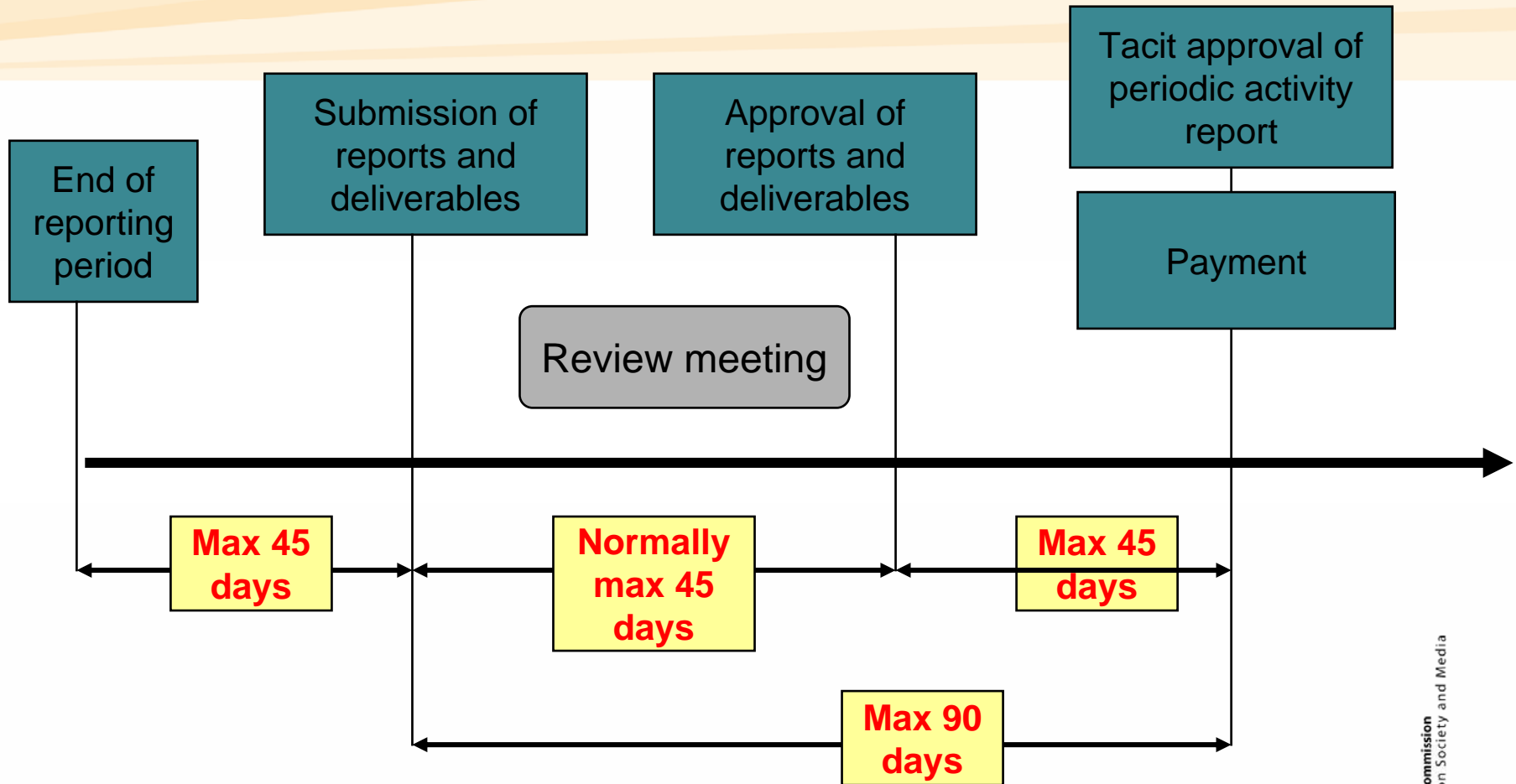


# Timing

- 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



# *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
- A review may be based only on written material or may additionally include a review meeting or on-site visits



# Principles

- 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
- The Commission is required to ensure the confidentiality of controls and audits. Experts sign conflict of interest and confidentiality declaration



# Principles

- 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

- 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 review assesses that costs are necessary
- 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; 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

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



# Possible review outcomes

- **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

- 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



# 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.
- As the final review is used for the approval and consolidation of the final reports, the costs of the review can be considered as “incurred in drawing up the final reports” and therefore could be eligible; provided that the final review takes place within 45 days (or 90 days, see above) after the end of the project.



# Links to guidelines / tools

- **Reporting guidance notes:**

*<http://cordis.europa.eu/fp6/find-doc-management.htm#reporting>*

- **Financial statements (Form C) – Electronic version:**

*<http://cordis.europa.eu/fp6/find-doc-management.htm#reporting-formC>*

- **Audit certificate guidance notes:**

*<http://cordis.europa.eu/fp6/find-doc-management.htm#audit>*

- **SESAM:**

*<http://cordis.europa.eu/fp6/project-management.htm#rep>*

- **Word version of the questionnaires** (Appendices 13-18 to the reporting guidance notes):

*<http://cordis.europa.eu/fp6/find-doc-management.htm#reporting>*

- **Review template:**

*<http://cordis.europa.eu/fp6/project-management.htm#rev>*

