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# WORKSHOP ON REPORTING in FP7

Eighth Meeting of  
FP7 NATIONAL Contact Points For Legal and Financial Matters  
14 October 2009

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# contents

1. General overview
2. New reporting tool for reports/deliverables SESAM
3. Conclusions/questions





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# Reporting : a contractual obligation

- What?
  - specified in Article II.4 “Reports and deliverables” of the Grant Agreement
  - Guidelines on reporting
- Timing?
  - After each reporting period as defined in Article 4 of the core grant agreement
  - Reports to be submitted within 60 days after the end of the reporting period



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# Reporting : during the project...

**During the course of your project, you should submit:**

1. The **deliverables** identified in Annex I of the Grant Agreement, according to the timetable specified in the Deliverables list.
2. A **periodic report (PPR)** within 60 days of the end of each reporting period (**including the last reporting period**).





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# Reporting : after the end of the project...

## Within 60 days you should submit:

1. a project periodic report (PPR) for the last reporting period
2. a final report (covering all reporting periods), which shall comprise:
  - a) A **final publishable summary report** covering results, conclusions and socio-economic impact of the project.
  - b) A report covering the **wider societal implications** of the project, in the form of a questionnaire, including gender equality actions, ethical issues, efforts to involve other actors and to spread awareness
  - c) the **plan for the use and dissemination of foreground.**





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## Reporting : after having received the final payment ...

A report on the distribution of the Community financial contribution between beneficiaries must be submitted 30 days **after receipt of the final payment** (and not with each periodic report as it was in FP6).





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# The Project Periodic Report

Must be sent within 60 days of the end of each reporting period and it should comprise:

1. Publishable summary (*Cover page in hard copy to be sent via mail*)
2. Project objectives for the period
3. Work progress and achievements during the period
4. Deliverables and milestones tables
5. Project Management
6. Explanation of the use of the resources
7. Forms C and Summary financial report (*hard copies to be sent via mail*)
8. Certificates (*hard copies to be sent via mail*)





# How to submit the report(s)? Actual situation

## in electronic format

### DG RTD

- **step 1:**  
prepare and submit Forms C in web-based application FORCE
- **step 2**  
**ONE** file preferably in PDF format containing also scanned copies of the pages requiring signatures, namely :
  - the self declaration of the coordinator
  - the signed Forms C
  - the certificates on financial statements or certificates on the methodology (where applicable/necessary)

### DG INFSO

- The whole package (Reports + Form C + CFS) submitted via NEF:
  - Reports: upload PDF
  - CFS: upload PDF
  - Forms C: web-based application

## by normal post (to be sent in parallel to the electronic submission)

- the signed self declaration of the coordinator
- the signed Forms C (prepared and submitted via the web-based tool FORCE/NEF)
- the certificates on financial statements or certificates on the methodology (where applicable/necessary).



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# How to submit the report(s)? Future situation

## in electronic format

periodic/final report  
via web-based tool  
SESAM:

- Specific tables to be filled in
- upload of PDF documents

## by normal post (to be sent in parallel to the electronic submission):

### **NO CHANGE\***

- the signed self declaration of the coordinator
- the signed Forms C (prepared and submitted via the web-based tool FORCE)
- the certificates on financial statements or certificates on the methodology (where applicable/necessary).

*(\*) On going discussions to introduce a pilot project allowing for e-signature*



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# To whom submit the reports?

## The electronic version

### DG RTD

- Actual:
  - Functional mailbox of the EC as in article 8 of the GA
  - Forms C also via FORCE
- Future: participants' portal

### DG INFSO

- Participants' portal (NEF)

## by normal post

- To the mail address indicated in article 8 of the GA



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# The financial aspects of reporting

1. *Focus on* chapter 6 of the PPR “explanation of the use of resources”
2. Preparation and submission of the Forms C via FORCE/NEF





# Chapter 6: "Explanation of the use of the resources"

## Example of a table given in the guidelines

Work Package	Item description	Amount	Explanations
Ex: 2,5, 8, 11, 17	Personnel costs	235000 € <sup>*</sup>	<i>Salaries of 2 postdoctoral students and one lab technician for 18 months each<sup>*</sup></i>
5	Subcontracting	11000 € <sup>*</sup>	<i>Maintenance of the web site and printing of brochure<sup>*</sup></i>
8, 17	Major cost item 'X'	75000 € <sup>*</sup>	<i>NMR spectrometer<sup>*</sup></i>
11	Major cost item 'Y' .....	27000€ <sup>*</sup>	<i>Expensive chemicals xyz for experiment abc<sup>*</sup></i>
	Remaining direct costs	15000€ <sup>*</sup>	
TOTAL DIRECT COSTS <sup>10</sup>		363000€ <sup>*</sup>	

\* The entries in italics are examples and purely for illustration





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# What is FORCE/NEF Forms C?

web-based IT tools to work on the Forms C

Its use is MANDATORY in FP7 but presents several advantages:

- Less error prone than excel sheets
  - o Forms C are pre-filled containing the correct information of the grant, periods, beneficiaries
  - o Automatic verification whether requested EC contribution does not exceed maximum value that can be requested
  - o Allows the print of the Forms C and of the summary financial report
  - o Allows correction of the Forms C in case a revision is requested by the EC
- Forms C are automatically transferred to internal Commission module to treat them and to calculate the payment parameters



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# Access to FORCE/NEF

- **Step 1 :**  
**REGISTRATION of an account in ECAS**  
<https://webgate.ec.europa.eu/aida/selfreg>
- **Step 2**
  - **Log in FORCE**  
<https://webgate.ec.europa.eu/FormC>
  - **Access to NEF-Form C**  
<http://ec.europa.eu/research/participants/portal/>





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# FORCE (1)

## Project Information

**Project Acronym :** CONFIDENCE

**Contract No :** 211326

**Funding Scheme :** Collaborative project

**Sub-Funding Scheme :** Large-scale integrating project

**Work Program :** Missing

**Call Identifier :** FP7-KBBE-2007-1

**Start Date (dd/mm/yyyy) :** 01/05/2008

**End Date (dd/mm/yyyy) :** 30/04/2012

## Reporting Periods

Period	Date from	Date to	Period Duration (days)
1	01/05/2008	30/04/2009	365
2	01/05/2009	30/04/2010	365
3	01/05/2010	30/04/2011	365
4	01/05/2011	30/04/2012	366

Click on the reporting period to view or encode Form Cs for the given period



# FORCE (2)

75

Indirect Cost Method: Simple Transition Flat Rate

ICM Flat rate: 60

ts/lump sum/flat-rate/scale of unit (in €)

Eligible costs (in €)	Type of activities				Total (E)=(A)+(B)+(C)+(D)
	RTD (A)	Demonstration (B)	Management (C)	Other (D)	
Personnel costs	1000.00		1000.00		2000.00
Subcontracting	200.00				200.00
Other direct costs	1000.00				1000.00
Indirect costs	1200.00				1200.00
Lump sums / flat-rate / scale of unit declared					0.00
<b>Total</b>	<b>3400.00</b>		<b>1000.00</b>		<b>4400.00</b>
<b>Maximum EC Contribution</b>	2550.00	0.00	1600.00	0.00	<b>4150.00</b>
<b>Requested EC contribution</b>					<b>4150.00</b>

To be filled in

Calculated automatically





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# NEF-Form C (1)

FP7 Applications - Microsoft Internet Explorer

Address <http://prod-uf.fp6.cc.ec.eu.int:19001/nefb/backoffice/project/13782/1/cost-claim>

Important Legal Notice

2007 - 2013

FP7 Applications - CP

Calls / FP7-ICT-2007-1 / 213531 - SecureSCM / SAP / Form Cs /

**Form Cs**

This participant is the coordinator for the proposal.

[Legal data](#) → [Organisation status](#) → [Authorised representatives](#) → [Contact persons](#) → [Eligible costs](#) → [Bank account](#) → [Form C](#)

[Return to Summary](#)

You are currently working on period 1

**Form C**

Period 1 (1 - 12)

Submitted in period 1 → [Form C FINALIZED](#)

**Attached files**

File type	Description	File
Project management and use of resour	PM and Use of Resources updated	<a href="#">SecureSCM_Project_Management_Use_of_Resources_updateNEF.pdf</a>
Self declaration of the coordinator	Self Declaration of Coordinator	<a href="#">SecureSCM_Self_Declaration_Coordinator.pdf</a>
Publishable summary	Publishable Summary	<a href="#">SecureSCM_Publishable_Summary.pdf</a>
Project objectives, progress and achiev	Objectives, Progress and Achievements	<a href="#">SecureSCM_Project_Management_Use_of_Resources_updateNEF.pdf</a>

Top | Help Desk | NEF v. 1.12.25

Local intranet

All the components of the periodic report are uploaded by the coordinator and are part of the submission





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# NEF-Form C (2)

FP7 Applications - Microsoft Internet Explorer

Address <http://prod-uf.fp6.cc.ec.eu.int:19001/nefb/backoffice/project/15191/4/edit-form?id=17685&periodId=23370&type=NORMAL>

Calls / FP7-ICT-2007-1 / 212154 - HAVE-It / VW / Form Cs /

### Form C - Financial Statement (Period 1: Month 1 - 12)

[Return to Summary](#) [Save Changes](#) [Finalize](#) [Unfinalize](#)

Maximum funding % for RTD (A): 50  
Cost model: Actual indirect costs  
My legal entity is established in an ICPC and I shall use the lump sum funding method  Yes  No

**Costs** **Other** **Sign**

#### 2. Declaration of receipts

Did you receive any financial transfers or contributions?  Yes  No

The receipt amount:

#### 4. Certificate on the methodology

Do you declare average personnel costs according to Art. II.14.1?  Yes  No

Is there a certificate on the methodology provided by an independent auditor and accepted by the Commission according to Art.II.4.4?  Yes  No

Name of the auditor:  Cost of the certificate:

#### 5. Certificate on the financial statements

Is there a certificate on the financial statements provided by an independent auditor attached to this financial statement according to Art.II. 4.4?  Yes  No

Name of the auditor:  Cost of the certificate:

#### Attached CFS files

Reference	File	Date sent
28401	<a href="#">2009-03-20-VW-Audit-Certificate-Have-It-PM1to12.pdf</a>	05/06/09 at 17:15

[Return to Summary](#) [Save Changes](#) [Finalize](#) [Unfinalize](#)

A copy of the CFS, if required, must be uploaded by the beneficiary



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# Certificates on Financial Statements

- Needed when the requested EC contribution exceeds the threshold of 375.000 €
- A specific format to be followed as specified in Annex D to the grant agreement (obligatory!)
  - Agreed upon procedures are described in detail
    - Personnel: recalculate rates (hourly rate, overheads), time recording, conditions to be met by employment contracts, use of average costs
    - Subcontracting; amounts, value for money
    - Other direct costs: depreciation rules, travelling, consumables





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# Approval of reports and deliverables (1)

- Payment to be made within 105 days (90 days new target as from 1/10/2009) after approval by the Commission of reports and deliverables
- Absence of response does not mean approval
- After reception the Commission may:
  - Approve (in part or as a whole)
  - Make approval subject to certain conditions
  - Reject providing appropriate justification
  - Suspend time limit for payments
  - Suspend payment
- The Commission may proceed with an interim payment in part
- On expiry of the time limit (105 days) automatic payment of interests (suspension taken into account for the time limit)
- The Commission may decide not to pay in case of non-receipt of a report, a deliverable or CFS (subject to a prior notice of 1 month)





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# Approval of reports and deliverables (2)

- Suspend time limit for payments because
  - Incomplete
  - Clarification/additional information needed
  - Doubts on eligibility of costs
  - Additional checks being done
  
- Suspend payment
  - Work carried out does not comply with conditions of the grant agreement
  - Provisions of grant agreement are infringed
  - Suspicion of irregularity in the performance of the grant agreement
  - Suspected or established irregularity in the performance of another grant agreement





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# Some considerations on issues raised by NCPs

- Can the Commission request additional information? **Yes**
- How detailed can this be?
  - case-by-case
  - depends on risk involved
- In any case one should always have the underlying justifying documents for auditing purposes later on
- Ex-ante controls can avoid problems later on with ex-post audits (negative adjustments, extrapolation, liquidated damages)



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**Thank you very much for your  
attention**

