Guidelines: Reporting to the EC

Revisions

Version	Status	Author	Date	Changes
0.1	Draft	Elisabeth Stricker, ONB	November 8, 2013	Initial version
0.2	Draft	Elisabeth Stricker, ONB	November 13, 2013	Screenshots added
0.3	Draft	Elisabeth Stricker, ONB	December 6, 2013	Comments by Max Kaiser and Katharina Holas integrated
1.0	Final	Katharina Holas, ONB	January 13, 2014	Minor changes

Distribution

Version	Date of sending	Name	Role in project
1.0	January 13, 2014	All partners	

Table of Contents

1. Schedule for the First Reporting to the EC, February 2014

Who?	What?	When?	How?	Information
All partners	• **Q4 Financial Report** • **Use of Resources for Year 1**	**February 10, 2014**	Mail to ONB	Chapter 2.1.4 p. 6
WP Leads	• **Q4 Narrative Report** • **Summary Narrative Report Year 1**	**February 5, 2014**	Mail to ONB	Chapter 2.1.3 p. 5
All partners	**Approval of the progress report**	tba	Doodle poll	
All partners	**Form C (Financial Statement)**	tba (within 60 days after end of reporting period)	NEF platform of the EC	Chapter 3 p. 8

Useful online guide for the use of the NEF module in the EC's Participant Portal:
http://ec.europa.eu/research/participants/help/display/iKnowextern/2.+Declaring+Costs%2C+Uploading+a+CFS+and+Uploading+a+Periodic+Report+in+NEF

Video: http://www.dailymotion.com/video/xy5z02_declaring-costs-uploading-a-cfs-and-uploading-a-periodic-report-in-nef_tech

2. General Information: Periodic Report

At the end of each reporting period, a **periodic report** to the European Commission is due: In Europeana Creative there will be two annual reports and one final report. Reports are due **within 60 days after the end of a reporting period.**

> Reporting period 1: M1–M12
>
> Reporting period 2: M13–M24
>
> Reporting period 3: M25–M30

The periodic report shall neither be confused with internal quarterly reports nor with the progress reports ONB is submitting as deliverables (however, please note that the progress report for the EC will be based on the D8.2 deliverable which is due at the end of February 2014).

The periodic report consists of:

a) **the progress report**, including a declaration by the Project Coordinator, a publishable summary, information about the progress of work in each work package, together with information on the resources employed; this report is delivered in four parts by the Project Coordinator.

b) **financial statements** (Form C) by each beneficiary, including certificates, where required; the data to generate financial statements are integrated in the NEF module of the EC's online Participant Portal.

c) **a summary financial report** by the Project Coordinator.

Input is needed from:

- **Every beneficiary** to submit the **financial statement** for its own organisation.
  - Send use of resources Word template to ONB.
  - When approved by ONB, integrate the data in NEF to create the financial statement.
- **Every WP Lead** to submit a report documenting **progress of work and achievements** during the period. (Please have a look at chapter 2.1.3 for more details.)

2.1 Progress Report

The progress report consists of four documents.

2.1.1 Declaration by the Project Coordinator

This declaration has to be signed by the Project Coordinator, and a scanned copy needs to be uploaded to the NEF module in the EC's Participant Portal.

(No input by other partners required.)

2.1.2 Publishable Summary

The publishable summary is a self-standing document that includes a summary description of the project objectives, a description of the work performed since the beginning of the project, a description of the main results achieved so far, the expected final results and their potential impact and use.

This summary will be created by ONB as Project Coordinator.

(No input by other partners required.)

2.1.3 Project Progress

This part covers objectives, progress and achievements for each work package as well as project management.

Input is needed from WP Leads: Each WP Lead is asked to create a **text document** for his or her own work package, covering the past year.

- A summary of progress towards objectives and details for each task.
- Highlight clearly significant results.
- If applicable, explain the reasons for deviations from the Description of Work and their impact on other tasks as well as on available resources and planning.
- If applicable, explain the reasons for failing to achieve critical objectives and/or not being on schedule and explain the impact on other tasks as well as on available resources and planning (the explanations should be coherent with the declaration by the Project Coordinator).
- A statement on the use of resources, in particular highlighting and explaining deviations between actual and planned person-months per work package and per beneficiary in the Description of Work.
- If applicable, propose corrective actions.

Please make sure you are using the **WP reporting template**, available on Europeana Pro: (http://tinyurl.com/kyk5ogu) and on Basecamp.

2.1.4 Use of Resources

Input is needed by all partners: One table per beneficiary detailing the cost items in the period has to be sent to the Project Coordinator **at the end of the reporting period (for the first year: February 10, 2014)**. ONB will inform you in time and check the details of this document. ONB creates an overview table of the cumulative effort in person-months per work package and beneficiary. When ONB has checked and approved the use of resources document, each beneficiary is asked to integrate this data in the NEF module of the EC's Participant Portal. The information in the use of resources document has to be identical with the information inserted in NEF.

Please make sure you are **using the use of resources template**, provided on Europeana Pro (http://tinyurl.com/p492bje) or on Basecamp. Insert as many lines as you need.

The table in the template summarises all the costs in the past reporting period. It is the summary of all quarterly financial reports. Please provide an explanation of personnel costs, subcontracting and any other major costs, such as the purchase of important equipment, travel costs, large consumable items, etc., for each work package.

There is no standard definition of "major cost items". Beneficiaries may specify these, according to the relative importance of the item compared to the total budget of the beneficiary, or as regards the individual value of the item.

Please make sure that all the costs reported are listed correctly.
The following checklist could be helpful:

Travel and Subsistence Costs:

- Were the trips done within the reporting period?
- Does the name of the person and her/his organisation appear?
- Does the person appear in the personnel costs table?
- Are all required details provided (name, travel period [start/end date], city and country, purpose)?

Other Specific Direct Costs:

- Are the costs charged indicated in the DoW?
- If not, did you get prior approval form the European Commission?
- Is it evident that the costs were necessary for the project?
- Does depreciation correspond to the usual habits in your country and organisation?

TABLE 3.1 PERSONNEL, SUBCONTRACTING AND OTHER MAJOR COST ITEMS FOR BENEFICIARY 1 FOR THE PERIOD			
Work Package	Item description	Amount	Explanations
	Personnel costs		
	Subcontracting		
	Major cost item 'X'		
	Major cost item 'Y'................		
	Remaining costs		
TOTAL DIRECT COSTS AS CLAIMED IN FIANCIAL STATEMENT			

Example:

WP1	Personnel Costs Salary Group 1	€ 1,000	Management task x,x PM by y staff members
WP1	Personnel Costs Salary Group 2	€ 500	Secretary task X,x PM by y staff members
WP2	Other Direct Costs – Travel	€ 500	Travel cost WP2 member, start/end, city/country, purpose)
Total direct costs as claimed in the financial statement		€ 2,000	

2.2 Approval of the Progress Report

Your approval is needed: After the progress report has been created, **every beneficiary has to approve it before it will be submitted to the EC**. ONB will send out a Doodle poll and ask you to approve the report.

2.3 Financial Statements

Your input is needed: Financial statements are generated online by each beneficiary through the electronic exchange system set up by the European Commission (NEF).

Financial statements cannot be filled in until the European Commission opens the reporting session. This will take place within 60 days after the end of the reporting period. ONB will notify you in time. Chapter 3 will explain how to create financial statements in NEF.

3. Process of Financial Reporting to the EC (NEF)

As mentioned before, reporting to the EC is required after each reporting period. All costs incurred in this period have to be reported. The four quarterly reports you have created will be the basis for reporting to the EC and will help you to create your financial statement.

All costs must be listed as detailed as required in order to avoid any delays of the interim payment (if information is missing or unclear, you will be asked by the EC to provide this information). We kindly ask you to make sure that all the required information is filled in. When the use of resources Word document has been verified by ONB, all costs and efforts have to be listed in the EC's online portal NEF by each partner.

ONB will inform you when the reporting program is accessible.

For **more detailed information and helpful videos**, please have a look here:
http://ec.europa.eu/research/participants/help/display/iKnowextern/2.+Declaring+Costs%2C+Up loading+a+CFS+and+Uploading+a+Periodic+Report+in+NEF

How to Create Financial Statements and Submit Periodic Reports in NEF

1. Log in with your credentials here: http://ec.europa.eu/research/participants/portal

2. If you are asked "Where are you from?", use **External**.

Type in your e-mail address or user name and your password.

3. You will be redirected. Several options are available to select. Choose **"My projects"** to see all the projects listed you are involved in.

4. Look for **"Europeana Creative"**.

Click on the button "PR" **(Periodic Reporting)** shown on the very right side, listed under the column "Actions". Now you will be redirected to the NEF system.

Note: This button will appear when the EC declares the reporting system as pending. We will inform you in time.

5. All partners are listed there. Click on your company/organisation name to show the menus (will be opened below) and go to **"Periodic Summary"**.

6. In a next step, click on **"Financial Statement"** to fill in all the necessary details.

A summary of your personnel costs, your other specific direct costs, subcontracting and your total costs will be shown.
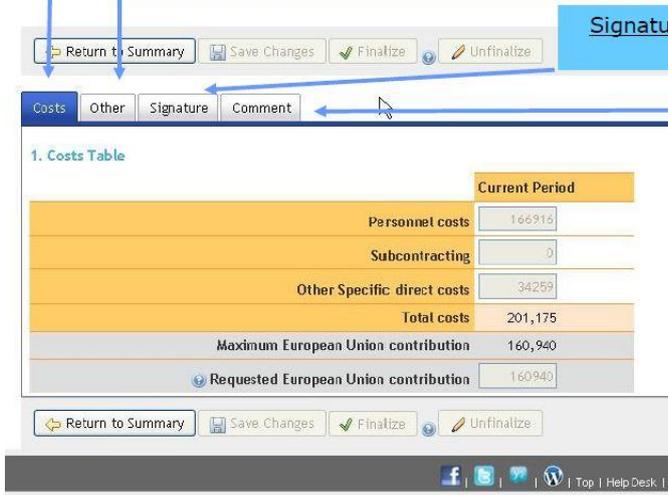
Periodic Reporting

Cost : Costs Incurred for the period

Other : Declaration of receipts, Declaration of interest yielded by the pre-financing, Certificate on the financial statements (mandatory if requested amount > 325k€)

Signature : Name of the person(s) authorised to sign this Financial Statement

Comment: Additional information for your project officer.

Link to example

iKnow Video

By clicking into the cells of personnel costs, a new window will open, so you can fill in the costs per work package.

Every new line for a new work package needs to be inserted by the 🞢 button on the very right side.

Note: Working hours filled in must be consistent with the ones in your time-recording system. This is very important regarding a possible audit. Timesheets must be kept for five years after the end of the project.

7. Insert the total amount (cost) per work package, choose the work package and give a short explanation. Once you filled in all the details, click on "Done" to complete.
All the necessary information for the short explanation in the different sheets can be found in the quarterly financial reports you sent us.

Note: It is very important to fill in the **information detailed and properly**.
Otherwise – if details are missing – the EC will ask you to specify missing or unclear information. This can be a time-consuming process that may delay the interim payment. (The more carefully you fill in the data, the faster you will receive your money.)

- Information on travel costs must include: staff member, travel period (start/end date), city and country, purpose.
- Information on subcontracting must include: subcontractor, reason of subcontracting and date.

Personnel Costs	Explanation	WP	Free text
100	e.g., Project Coordinator (… hours; 0.00 PMs); Senior Researcher (… hours; 0.00 PMs)	Select the WP by clicking.	e.g., project management, dissemination and communication purposes
Other Specific Direct Costs	**Explanation**	**WP**	**Free text**
100	e.g., travel costs; IT costs	Select the WP by clicking.	e.g., meeting details, name of person attending; server hosting costs

Click on **"Save Changes"** when integrating your data (error messages can be ignored.)
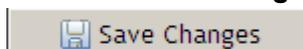
If you filled in all the numbers and explanations, **insert the "Requested European Union contribution"** which is the same amount as the "Maximum European Union contribution". Click on "Save Changes" again.

8. Choose the tab **"Other"** to fill in any receipts (no pre-financing).

9. The report can now be declared as **"ready for signature"**.

3.1 Financial Statements: Electronic Signature by FSIGN

When a periodic report is due, after the financial data are introduced in the financial reporting module, Participant Contacts (PaCos) of a beneficiary identify a financial statement as **"ready for signature"**.

This **triggers a notification to the beneficiary's FSIGN** who then:
- *if required:* unfinalises the Form C to enable the PaCo to edit it for modification;
- validates the information and signs it electronically;
- submits it to the Project Coordinator.

Detailed screenshots and additional information can be found here:
http://ec.europa.eu/research/participants/help/display/iKnowextern/Process+Overview+for+Projects+Using+Electronic-only+Signature+for+C+Forms

After all reports have been collected and submitted as a package to the EC by the Project Coordinator, every LEAR, FSIGN and PaCo will be able to download an electronic receipt for their organisation.

Note: If no FSIGN was assigned to the project yet, the system alerts the PaCo and provides instructions on the necessary steps to take. The PaCo can assign more than one FSIGN to the project, so that business continuity is ensured in case of absences. All FSIGNs assigned to the project will receive the notification "Financial statement ready for signature". However, even if several FSIGNs are assigned to the project, there is only one act of electronic signature, by the first FSIGN signing the respective financial statement.

The chart below shows all the relevant roles within the EC's Identity and Access Management (IAM) system to be remembered easily:
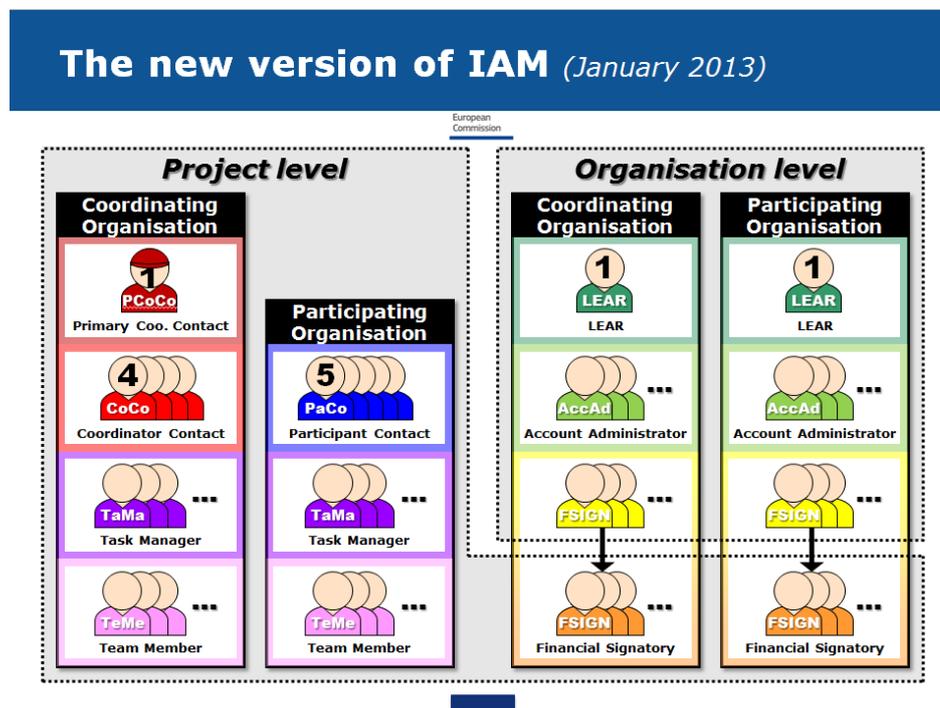
Roles in the new version of IAM

3.2 Local Currencies

For the financial statements, the beneficiary's accounting currency must be used and converted into euros. Please use the conversion rate applicable on the first working day of the month following the reporting period.

Beneficiaries with accounts in currencies other than EUR shall report in EUR on the basis of the exchange rate that would have applied on the basis of the rate applicable on the first day of the month following the end of the reporting period. The **rate applicable** on the first day of the month following the reporting period can be obtained **in the relevant Official Journal (OF) of the European Union**. This rate can be found in the "C" issue of the Official Journal published in that month. **The Official Journal is available at http://eur-lex.europa.eu/JOIndex.do.**

ONB will provide you with the correct conversion rates in time.

3.3 Finalisation of the Reporting Process

The Project Coordinator collects all participants' financial statements and submits them to the EC in one package. The submission of this package triggers the issuing of a **digitally signed electronic receipt for each financial statement transmitted** and for the whole package. LEAR, FSIGNs and PaCos from each beneficiary will be notified electronically and be able to download this electronic receipt for their organisation.

The following chart shows the **complete process:**
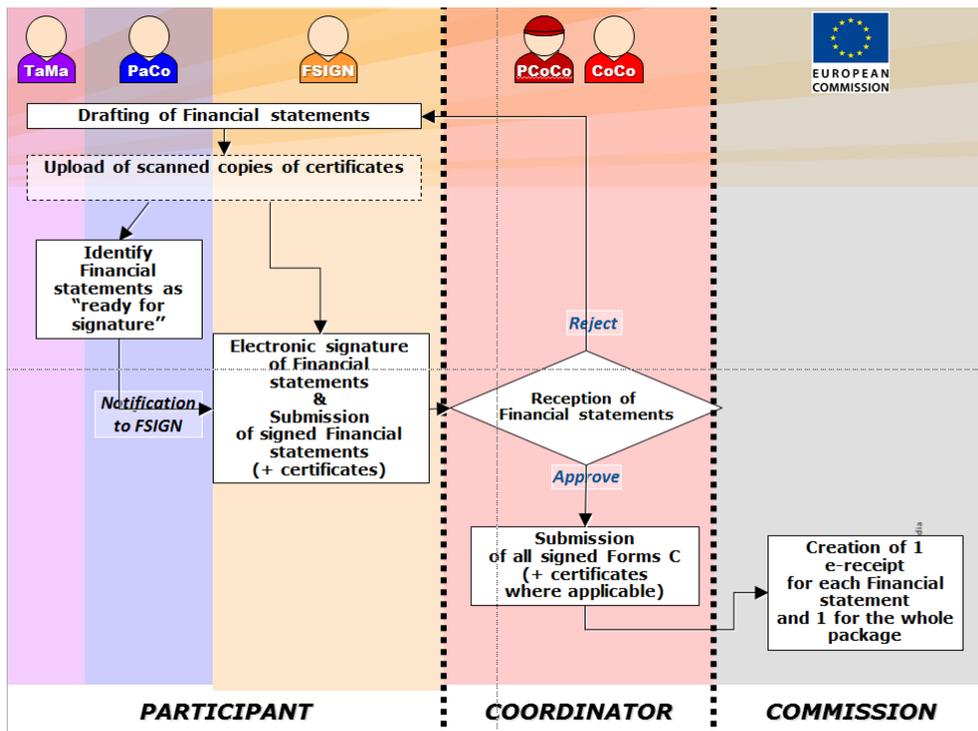
- Log in to the Participant Portal.
- Go to "My Projects". Choose the "PR" button next to Europeana Creative.
- Now you are in the NEF program. Click on your own company, then on "Periodic Summary".
- Choose "Financial Statement" and afterwards type in all costs for each cost category.
- Choose the tab "Other" to type in the amount of pre-financing you received.
- Click on "Finalise" if all figures are filled in correctly.
- Finished financial statements are identified as "ready for signature" by the PaCo of the beneficiary. If applicable, certificates of financial statements are scanned and uploaded earlier.
- The FSIGN (who was nominated by the LEAR and elected by the PaCo) gives his or her electronic signature and submits the financial statement to the project.
- The Project Coordinator (ONB) collects all the financial statements (and certificates where applicable) and sends them to the Commission.
- The Commission creates an e-receipt for each financial statement which can be downloaded by the respective beneficiary.

4. Important Links

For additional information, please find the links below:

! Reporting Guidelines: https://asset1.basecamp.com/1768384/projects/2156923-creative-wp8/attachments/33711308/eCreative_Monitoring_Reporting_v1.0.pdf

! Special NEF Guide:
http://ec.europa.eu/research/participants/help/display/iKnowextern/2.+Declaring+Costs%2C+Uploading+a+CFS+and+Uploading+a+Periodic+Report+in+NEF

Guide to Financial Issues:
http://ec.europa.eu/information_society/newsroom/cf/dae/document.cfm?doc_id=2361

Guide Project Reporting:
http://ec.europa.eu/information_society/newsroom/cf/dae/document.cfm?doc_id=2358

Participant Portal:
http://ec.europa.eu/research/participants/portal

European Commission Authentication Service (ECAS):
https://webgate.ec.europa.eu/aida/selfreg

Introduction to ECAS:
https://webgate.ec.europa.eu/cas/ec/help.jsp

Participant Portal Frequently Asked Questions:
http://ec.europa.eu/research/participants/portal/appmanager/participants/portal?_nfpb=true&_pageLabel=faq

Technical Helpdesk of Participant Portal:
ec-research-it-helpdesk@ec.europa.eu

Framework Programme Documentation for Beneficiaries (Wiki-based):
http://ec.europa.eu/research/participants/help/display/iKnowextern

---

If you have any questions, please don't hesitate to contact us!

katharina.holas@onb.ac.at,
elisabeth.stricker@onb.ac.at

Special thanks to Lizzy Komen for providing information for this document.