ESONET Reporting workshop

Organized and presented by: I. Puillat
IFREMER
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www.esonet-emso.org
Your & our questions

• **Yours:**
  – General information about reporting
  – When do we have to submit financial reports and what information we need to provide?
  – What percentage funding we should receive compared with our worked men hours?
  – How do we go about obtaining funds?

• **Ours**
  – What are the needs from partners to provide good reports?
  – How to better manage the reporting process and time schedule?
General Presentation

• **Agenda & organization:**
  - Esonet Contract
  - Yearly reports: expectations from EC
  - Results of the 1st reporting process
  - Solution: reporting management tool and demo
  - General Presentation of the online system

**Lunch**
  - Detailed information to input in the reporting system
  - Debriefing
1. ESONET contract
• ESONET NoE: Contract with EC

  - Started: 1 Mar. 07
  - End: 28 Feb. 11
  - FP6
  - NETWORK of Excellence (DIFFERENT from IP projects)
  - 8 WPs
  - ~ 54 partners, 14 countries
  - EC Grant: 7 M€
  - Reporting to the EC: yearly
  - Program of activities: 18 months period negotiated each year during the reporting
**ESONET NoE: Contract with EC**

*Information and contract documents:*

www.esonet-emso.org in the restricted access part then click on the partner only tab (login: esonet_noe, passwd: gce):

⇒

http://wwz.ifremer.fr/esonet_emso/partners_only/official_documents/contractual_documents
# ESONET NoE: Contract with EC

- Esonet Contract & ANNEXES

## Contractual documents

<table>
<thead>
<tr>
<th>FP6 NoE CONTRACTS</th>
<th>Version</th>
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<tbody>
<tr>
<td>European Contract number 036851</td>
<td>European Contract 036851</td>
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<td>European Contract number 036851 : Amendment #1</td>
<td>EC036851 Amendment1</td>
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<td>Consortium Agreement</td>
<td>ESONET Consortium</td>
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<td>Annex II - FP6 - General conditions</td>
<td>Annex II General conditions</td>
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<td>Annex III - FP6 - Specific provisions related to NoE</td>
<td>Annex III NoE</td>
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<td>Annex IV - FP6 - Form A - consent of contractors to</td>
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<td>accede to the contract</td>
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<td>Annex V - FP6 - Form B - accession of new legal</td>
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<td>entities to the contract</td>
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<td>Annex VI - FP6 - Form C - financial statement per</td>
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<td>instrument</td>
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ESONET NoE: Contract with EC

• ESONET Contract: special clauses
  – Special clauses 23:
    • Contractors KDM, CNRS and CSIC represent their members (Third parties)
    • Responsible of financial statements for all members represented
    • Consolidation of financial statements
  
  – Special clause 39: Audit certificate:
ESONET NoE: Contract with EC

- ESONET Clause 39: accepted after amendment request

<table>
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<th>No</th>
<th>Text of Special Clause</th>
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<tr>
<td>39</td>
<td>Special clause 39.</td>
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Notwithstanding the provisions of Article 7.2 of this contract, contractors requesting a Community financial contribution for one or more reporting periods of less than 150,000 EUR, need not submit an audit certificate, until the cumulative request for Community financial contribution is equal to or exceeds 150,000 EUR for the reporting periods for which an audit certificate has not yet been submitted. In all cases an audit certificate shall be submitted at the latest 45 days after the final reporting period. This final audit certificate shall cover all period/s for which an audit certificate has not been previously submitted.
ESONET NoE: Contract with EC

• ESONET specificities
  – Budgeted Men months: *not in the contract, informal: every year for 18 months*
  – Budgeted expenses: *not in the contract, informal: every year for 18 months*
  – General Grant attribution for Esonet: max 7 M€
  – Break down of the grant per partner: *not in the contract, only a maximum requested contribution regarding less than half of the total grant*

• WHY?
  • NOEs specificity + ESONET specificity:
    Internal call= 50% of the grant not attributed at the beginning of the project
ESONET NoE: Contract with EC

- **ESONET Contract: CPF file**

  An EU standardized Contract Preparation File to edit with « CPF editor » software
  - Managed by the coordinator and the EC
  - For instance, contains information of each contractor, financial statements of the projects, nb of Males & Females, nb of Technician, engineers, …,

  updated each year too
2. Expectations from EC
Expectations from EC

- **Information to check the EU money is used as foreseen in the project**
  - 1st that the EU grant is allocated as expected.
  - The EU grant distribution corresponds to the effort made by partners
    - Incentive grant, not a payment for 100% of a bill after a work done.
    - Need to describe activities of each partner WP/WP task by task
    - Need to provide financial information for each partner

```
This is the so called Management report

done in first part by each partner and consolidated by the coordination team
```
Expectations from EC

- **Management report**: contents written by partners
  - Activities of the partner in each WP task by task
  - Men months spent per partner for each WP
  - Actual eligible costs per WP (for consolidation by coordinator)
  - Actual eligible cost per expense categories
  - The so famous FORM C: with 2 original signatures, even with 0€ stated!
• **Information to check the normal development of the project and problems**
  – Activities are carried on as foreseen:
    • In each WP task by task: deliverables and milestones done and consistent with expectation according to the program
    • Activity foreseen by partners is actual

  This is the so called Activity report

*done by WP leaders after consolidation of partners’ information*
Expectations from EC

• **Activity report: contents written by WPs leader**
  – Executive summary (coordination team)
  – For each WP:
    • List of partners involved
    • Objective of the WP for the period
    • Progress made towards objectives task/task & activities
    • Status of deliverables and milestones
    • Deviation from the work program and solutions undertaken
    • References and communications issues.
Expectations from EC

- A program of activities for the next 18 months to update the chapter 9 of the DOW
  - Detailed Activities foreseen
    - WP/WP & task/task & activity/activity
    - New Gantt
    - new deliverables & milestones lists
    - New partners or members

This is an amendment of contract for the Annex 1: DoW

done by WP leaders after consolidation of partners’ information
Expectations from EC

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done by WP leaders after consolidation of partners’ information
Expectations from EC

• The reporting process from EC side
  
  – Wait until ALL 3 reports have been received
  – Then send reports to 3 reviewers
  – Wait that all well completed FORMs C are received
  – Then the financial officer starts to work on them

  1 Form C missing or not signed = delay for all
3. Results of the 1st reporting process
Results of the 1st reporting process

- Official starting date of the reporting process for EC: 1st March, closed the 15th of April!!!
  - Dec. 07: information sent to partners that the reporting process will start in march.
  - Reminder in January
  - February: preparation of first templates and sent
  - March: nothing really happened
    - Only a few reports
  - April: people woke up= 54 partners at the same time on Email, telephone then the corrections + consolidation of the reports, to do in 2 weeks… during the night
    - Never again!!!!
Results of the 1st reporting process

- 15th of April:
  - Bad and incomplete reports sent to EC
  - Some partners sent their financial statement in the night of 14-15th April
  - We sent half of the Forms C because other were missing
- 14th May: yearly review: bad reports!
- Mid June: new activity report sent + missing form C
- Beginning of July: new management report sent
- 45 days later: EC= forms C have wrong date
- Mid Sept: new forms C sent
- 3rd October: new DoW version + amendment sent
- January: official letter of acceptance by EC
  6 months of delay!
Results of the 1st reporting process

- **Conclusions from EC**
  - Partners who do not sent their report in due time will not request money for the past period= zero Euro for the next year; cost to be reported the year after
  This has been told by P. Legrand (EC) during Faro General Assembly

- **Conclusions from Esonet coordination**
  - Idem, but
  - We anticipate the process one month before the official date for the non financial issues (activities)
  - We provide an online system
  - We provide this training session
4. Solution: reporting management tool
Solution: reporting Management Tool

• Reporting Agenda:
  – Phase 1: 1 –15 Feb. 09: activity report of each partner
  – Phase 2: 16- 28 Feb. 09: activity report for each WP
  – Phase 3: 16-28 Feb. 09: Program of activities for each WP
  – Phase 4: 1-20th Mar. 09 : Financial reports of each partner
  – Phase 5: 20th Mar. 10th Apr. 09 : consolidation and corrections by Coordination team + other reports
Phase 1
Activity report by each partner, info for each WP task + intended activities for next 18 months

Phase 2
Activity report WP leaders

Phase 3
Program for next 18 months

Phase 4
Financial statement for each partners

Phase 5
Correction and consolidation

Management report

Solution: reporting Management Tool
Solution: reporting management tool

- **the Online system: General presentation**
  - Directly available at:
    - Or via Esonet web site (www.esonet-emso.org)
      [www.esonet-emso.org](http://www.esonet-emso.org)
  - Each partners has a login + password (one per institution)
  - Each partner can only modify his articles (Author access right)
Solution: reporting management Tool

On line system: how does it work?

• 3 important Menus
  – Main menu
  – Partners
  – Workpackage
• Firstly: log in!
  – You will have access to
    • reference documents
    • your reporting files as Esonet partner (and/or WP leader)
• Click on your institution name in the « Partner » menu then select phase 1 or 4.
• Start to complete the file.
Demonstration: after login

Welcome to Esonet

Written by Web Master
Saturday, 12 June 2004

Welcome to the reporting interface of Esonet!

The reporting process starts the 1st Feb. 09 with the Step 1.

The step 1 is dedicated to the activity reporting by each Esonet Partner. This information will be the part 1 of the MANAGEMENT report for the EC and will be sent to WPs leaders. This step will be closed the 15th Feb. 09.

The steps 2 & 3, 16-29 Feb. 09 are dedicated to WPs leaders. They will write the ACTIVITY report per WP for the EC and the programme of the next 18 months. The step 3 (1-21 March 09) is dedicated to Financial reporting by each Esonet Partner. This information will be the second part of the MANAGEMENT report. Then Esonet Coordination Team will make correction and consolidations of the information to send the reports to the EC before the 16th of April 09.

Please enter your login and password to start the reporting process. If you need help, please download the user manual. You can contact us to esonet-reporting@ifremer.fr (please add the name of your institution at the beginning of the subject)

Last Updated ( Friday, 16 January 2009 )

Menus are listed
Demonstration: to start the reporting phases 1 & 4

1/ select your institution’s name
2/ select the right phase
Demonstration: to start the reporting phases 1 & 4

You are in phase 1

Read recommendations

1. Download the full template in order to know all the information requested.
2. Prepare your report in a text pad (not word!!!) file, then you can upload your report by copy/paste to this interface.
3. Make saves often.
4. When the Step 1 is finished click on the diffusion button to send and Email to esonet-reporting@ifremer.fr with in subject: "your_institution-name: step1 submitted".

NB: It is not possible to insert any image, if you want to add an image, please just write the reference of the figure that you will send us by Email (esonet-reporting@ifremer.fr)

many thanks!!!!

Phase 1: Activity Report

1.1 Contact references

Institution Name and Acronym: please complete
Name of the responsible of this report, Email address and position: please complete

That 's the same in workpackages menu
Demonstration: recommendations

•1/ Download the full text template (available soon) in order to know all the information requested.

•2/ Prepare your report in a text pad (not word!!!) file, then you can upload your report by copy /paste to this interface.

•3/ Make saves often.

•4/ When the Phase X is finished click on the diffusion button to send and Email to esonet-reporting@ifremer.fr with in subject: "your_institution-name: Phase X submitted".

•NB: It is not possible to insert any image, if you want to add an image, please just write the reference of the figure that you will send us by Email (esonet-reporting@ifremer.fr)
Demonstration: Text editor

To insert a link on a selected text

See next slide
<table>
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<th>Text</th>
<th>Block</th>
<th>Box</th>
<th>Border</th>
<th>List</th>
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- **Font**: Times New Roman
- **Size**: 14
- **Style**: Normal
- **Line height**: Normal
- **Color**: Black
- **Decoration**: Underline
- **Positioning**:
  - Underline
  - Overline
  - Strikethrough
  - Blink
  - None

**Title**: IFREMER_Phase1_Activity Report

**Task Id**: Scientific integration (led by J. Mennet, EIT)
There are 2 windows for edition.
Demonstration: Text Editor

When your report is completed please send an Email with your institution name as first word of the subject + phase X submitted

Diffusion: esonet-reporting@ifremer.fr

Save  cancel
5. Information to input in the system
Content of each phase

• For partners:
  • Phase 1 content (see txt file)
  • Phase 4 content

• For WP leaders
  • Phase 3 content
  • Phase 4 content
Content of Phase 1/ Partners

- References of the person responsible of the report
- List of involved persons + nb Males/females (req/EC)
- Work done in each WP task per task
- ESTIMATED men MONTH spent
  - Estimated: confirmation after the 1st March when time-sheets are validated
  - Time spent: in men MONTH, no hours!!!
- Exploitable knowledge and its use: to be consolidated for all partners by ECT in a dedicated report to the EC
- Program of activities for the next 18 months: will be sent to WP leaders to update the Dow and will be used by ECT to manage the consortium + help to manage upcoming expenses
  - Rk: a budget of men-months is requested for 18 months
Content of each phase

• For partners:
  • Phase 1 content
  • **Phase 4 content** (see txt file)

• For WP leaders
  • Phase 3 content
  • Phase 4 content
Content of Phase 4/ Partners

• References of the person responsible of the report

• List of involved persons + nb Males/females (req/EC) = a validation from time-sheets after the 1st march

• Summary: to be completed at the end, but give a reminder of the past costs at the beginning of the process

• Budgeted men-months and eligible costs (tables 2 & 5) for the running 18 months: 1\textsuperscript{st} Mar 07-30 sep 09

  • We requested this information several times, but some partners never answered (some of them did not know what to answer because their activities would start later actually), in this case we provide estimations only, when possible.
Content of Phase 4/ Partners

• Actual men-months spent during the past 12 months

  • Table 3: Total men month spent: permanent + non permanent staff for all partners

  • Table 3: Please check if you agree more or less with numbers stated in phase 1

    • If they are significantly different please check with the responsible of the phase 1 report

  • Institutions with AC cost model

    - only costs of the non permanent staff are eligible for refund by EC and is to be input in the DC1 cell of table 6

    - please complete table 4
Content of Phase 4/ Partners

• Actual Eligible costs spent during the past 12 months: tables 6 and 7
  • Eligible costs
    • Direct costs
      • Staff (not permanent for AC cost models)
      • Accommodations and travels costs
      • Consumable and non research dedicated equipment
      • Subcontracting cost but in accordance with FP6 financial rules:
        • Minor cost, Minor activities of the WP
        • After an open call for competition (the less expensive etc…)
  • The total direct eligible costs must by copied in the Form C, subcontracting cost as well
Content of Phase 4/ Partners

• Actual Eligible costs spent during the past 12 months: tables 6 and 7
  • Eligible costs
    • Indirect costs
      • for AC and FCF cost models
        Overheads = 20 % x (Total Direct costs – subcontracting costs)
      • Others: FC
        Overheads rate is fixed by your institution each year.
        Indirect cost must be copied in the Form C
Content of Phase 4/ Partners

- Requested contribution to the EC for the past 12 months: table 6
  - 1/ Requested contribution to the EC must be < or = to the total eligible cost of the year
  - 2/ requested contribution to the EC should be at least equal to the grant already received for the past 12 months on WPs activities
    - If less : it means that your institution did not provide the effort foreseen for some specific WP activities, consequently the difference will be deducted from your advance for the upcoming activity period
  - 3/ The requested contribution must be copied in the Form C
Content of Phase 4/ Partners

• Adjustement to previous period(s)

In some cases, some partners preferred to justify 0€ of eligible cost during the previous period, (the reporting process was costing more than the expenses to state for instance), or the cost of the staff was based on a wrong rate, or bills was not yet received

= Not recommended!!!

In this case it is possible to add the adjustement to the reported cost for the second period:

- please update the blue cells of the table 6
- please explain what is updated and why, and of which amount?

This is to be reported in the form C too!
Content of Phase 4/ Partners

• Costs per Activities (WP) table 7:
  • This is important to explain to the EC how the grant was used, and we need to have a clear view of Esonet activities’ costs

• Reminder:
  • Task are described in the Dow + your activities have been described for each WP in phase 1
  • WP1: integration in general but also constitution of core group per Esonet site, + exchange of personnel, data infrastructure, world wide cooperation on deep sea observatories, VISO (Virtual institute)
  • WP2: standardisation (sensor registry, GEOSS, Quality control, sharing of test facilities
  • WP3: scientific objectives (workshop in Faro)
  • WP4: all demonstration missions costs
Content of Phase 4/ Partners

- WP5: implementation strategies
- WP6: Socio economic users: SMEs, PESOS, participation to the meeting with petroleum industry meeting
- WP7: training and outreach
- WP8: management of the consortium:
  - mainly costs for Esonet coordination team (IFREMER)
  - costs for participation to the STRAC meeting (Faro, oct08),
  - participation to SC meetings for P. Favali, INGV: TOC chairman, M. Priede, UNIABDN: SCC chairman, and non WP leaders (WP leaders justify their costs on WP activities and PESOS representative: SEND in WP6.
  - participation to the General Assembly in Faro (oct 08) when costs are not « justifiable » by participation to the Scientific objectives workshop (WP3)
Content of Phase 4/ Partners

• Partners managed under special clause 23

  • Who?
    • KDM members: AWI, JUB, MPIMM, UniHB, IFM Geomar
    • CNRS UMRs: IUEM, LMGEM, Cerege, Geaozur, LOV …
    • CSIC: UPC

  • What? Each of them write phases 1 & 4 reports but financial statements in phase 4 must be consolidated by contractors KDM office, CNRS DR20, CSIC

  • This means that we need separated cost statements for all members + managing offices (KDM Office, CNRS DR20, CSIC) and then a consolidation (specifically in the Form C).

  • NB: CNRS members, we need cost statements from other represented organisations: universities, ird etc….)
Content of Phase 4/ Partners

- The so famous FORM C!!!
  - We prefilled in the Header part, please verify and correct if needed
  - Section 1: declaration of third parties: only for contractors representing their member by clause 23 of the contract
    - KDM main office
    - CNRS DR20
    - CSIC with UPC as third party
    - Exemple: KDM
    - NB: represented members will not complete this section, but each of the members will complete their own form C as a third party (section 2)
Content of Phase 4/ Partners

• The so famoooooouuuuuus FORM C!!!

• Section 2: eligible costs
  • Already treated: copy total direct cost subcontracting cost and overhead costs, then the total cost
  • If needed report the costs from the previous period
  • NoEs 100% of eligible costs are refundable, but …<7M€ at total
  • Members represented by a contractor by clause 23: complete the « third party columns, not the contractor ones. The contractor will sum up all the third parties columns of the members and will add its own costs as contractor in the contractor columns.
  • « Of which management of the consortium »: these costs are included in the JPA activities costs (the leftern columns) but specify what are the costs justified on WP8 (if exist), see slide 48

- The grant allocated to ESONET at all for this cannot exceed 7% of the total requested grant to the EC all partners included
Content of Phase 4/ Partners

• The so famooooooouuuuuus FORM C!!!
  • Section 3: eligible costs
    • Usually nothing to say, but if your institution gained money by way of Esonet and for Esonet activities, it is here, but then please explain in the phase 4 report too.
  • Section 4: -
  • Section 5: requested contribution to the EC: < or = to total costs
  • Section 6: audit certificate: Special clause 39 is active, see slide nb9
  • Section 7 conversion rates: 2 possibilities
    • 1/ costs in euros converted with the conversion rate of the date of incurred actual cost
    • 2/ costs in euros converted with the conversion rate of the 1st March = recommended!!!
• The so famoooooooooous FORM C!!!

• Section 8: **TWO** signatures (even if twice the same!!) + Stamp on **ORIGINAL** form C

• But firstly: send the excel file to esonet-reporting@ifremer.fr, with your institution name as subject + ‘drafted Form C submission’

• Then if we say « ok correct » please send **TWO originals** to
  Esonet Coordination team
  IFREMER centre de Brest/TSI
  BP70
  29290 Plouzané
  France

  Thanks!
End then?

- When all forms C are received in IFREMER, we send them to the EC!
- EC has 45 days to answer and to say that something’s wrong and then again 45 days after they received our answer… it can take a long time!
6. debriefing
Debriefing

- **Your Questions:**
  - General information about reporting  ok
  - When we have to submit financial reports  1-20th March
    and what information we need to provide?
  - What percentage funding we should receive  it depends (AC?)!
    compared with our worked men hours?
  - How we go about obtaining funds  contact WP leaders!
    They will fill in the « WPx request of fund excel sheet » and
    submit it to the SC.
Debriefing

• **Your comments:**
  – Was it useful?
  – What can be improved?
  – Missing information?
  – Some parts to develop more?

Thanks!