



Grant agreement N°: 266111

MARTEC

ERA-NET MARitime TEChnologies II

Co-ordination Action

Deliverable 1.2: Common monitoring and reporting procedures

Due date of deliverable: 12/2011

Start date of project: 01.01.2011

Duration: 48 months

Project co-funded by the European Commission within the Sixth Framework Programme (2002-2006)		
Dissemination Level		
PU	Public	X
PP	Restricted to other programme participants (including the Commission	
RE	Restricted to a group specified by the consortium (including the Commission	
CO	Confidential, only for members of the consortium (including the Commission Services)	

TABLE OF CONTENTS

1. EXECUTIVE SUMMARY

2. INTRODUCTION TO MONITORING AND REPORTING
 - 2.1 Some definitions
 - 2.2 Planning evaluation and monitoring at the country programme level
 - 2.3 Why to monitor and evaluate?
 - 2.4 Value for money
 - 2.5 What do we want to measure?

3. EVALUATION
 - 3.1 Principles of evaluation
 - 3.2 Purpose of evaluation
 - 3.3 Planning for evaluation
 - 3.4 Who will make the evaluation and budgeting?
 - 3.5 Selecting the evaluation team
 - 3.6 Evaluating methods
 - 3.7 Evaluation aspects
 - 3.8 Evaluation terms of reference
 - 3.9 Collecting and analysing data
 - 3.10 Joint evaluation

4. MONITORING
 - 4.1 Purpose of monitoring
 - 4.2 How can a project be monitored?
 - 4.3 Conducting good monitoring
 - 4.4 Scope of monitoring
 - 4.5 Who will make the monitoring or evaluation?
 - 4.6 Steps in monitoring
 - 4.7 Project implementation plan
 - 4.8 Monitoring methods
 - 4.9 Selecting the right monitoring tools
 - 4.10 Project interim report

5. REPORTING

- 5.1 Scope of reporting
- 5.2 Backstopping and feedback
- 5.3 Reporting plan
- 5.4 Follow up
- 5.5 Reporting requirements
- 5.6 The format of reports
- 5.7 The final report

6. MARTEC JOINT RESEARCH AND DEVELOPMENT PROGRAMME

- 6.1 MARTEC evaluation of projects
- 6.2 MARTEC reporting projects and monitoring programme
- 6.3 MARTEC identification of barriers
- 6.4 MARTEC recommendations for monitoring and reporting
- 6.5 Different cooperation models for joint R&D programmes
- 6.6 Best Practices for future joint R&D programmes
- 6.7 MARTEC common monitoring and reporting guide

1. EXECUTIVE SUMMARY

An ERA-NET is about sharing knowledge and best practice between national programmes with the intention that this will lead, eventually, to mutually beneficial transnational collaboration. This starts with an understanding of the national programmes and policies that support, or are related to, research (and innovation) in the specific field covered by the ERA-NET.

Our common goal is to improve the competitiveness, sustainability and socioeconomic impact of maritime sector in Europe through the research and technological development. We will initially do this by sharing and then developing our combined knowledge and experience of best practice in our national programmes; also developing the political and economic case for more practical innovation funding instruments for these vital European industries.

One of the aims of MARTEC project is the setting up of trans-national programmes based on the existing national initiatives. For doing this, it has been done an examination of the various programme and project management systems in order to find solutions to the different barriers identified as a result of the analysis.

Although all members of the consortium sponsor RTD projects within the MARTEC domain, there is a huge diversity of programmes in terms of investment, focus, design and timing. Sometimes the programmes are not maritime specific, but a general programme applicable to all/many industrial sectors. In addition, national policy and programmes are constantly changing.

As a contribution to the development of the European Research Area, the objective of MARTEC (both Martec I and Martec II) has been to form a sustainable network and partnership of key funding agencies and ministries aiming at deepening the understanding of conditions for management of maritime technologies research between the key European countries actively funding RTD in this sector. In co-operation with the European industrial maritime cluster and other stakeholders this network is working out a strategy for maritime technological research funding through trans-national programmes and calls which are coherent with the European research policy and the strengthening of the European Research Area.

Due to the nature of maritime industry RTD, MARTEC has always put particular emphasis on the co-ordination of national R&D programmes which are strategically planned to provide funding for projects which contribute to improving the international competitiveness of the European shipping and marine technology industry. The typical projects funded are technologically oriented with industrial partners involved.

This report presents the results of Task 1.2 of MARTEC II Monitoring and Reporting Best Practices, based on the experience and outcome of MARTEC I.

2. INTRODUCTION TO MONITORING AND REPORTING

In order to better understand the methodology proposed in this deliverable for correct reporting and monitoring, it has been necessary to remember some concepts and characteristics of the different process involved in a R&D programme, taking into account the definition, implementation, execution and also the evaluation at the end of the cycle.

This deliverable pretends, in one hand, to define those concepts which are necessary to develop and establish a common procedure for MARTEC project. In the other hand, this document will serve as a best practice guide for monitoring and reporting in joint international research and development programmes.

2.1 SOME DEFINITIONS

To **monitor** or monitoring generally means to be aware of the state of a system, to observe a situation for any changes which may occur over time, using a monitor or measuring device of some sort. Monitoring a project means gaining enough information about the project to know when deviations to the project plan become large enough to warrant corrective actions. It also means obtaining information about product development, team performances, and recognizing potential risks. This is typically accomplished through project status reports and regular project status reviews. Monitoring is the systematic, regular collection and occasional analysis of information to identify and possibly measure changes over a period of time.

- Monitoring means keeping a track of implementation process.
- Monitoring involves watching the progress of a project against time, resources and performance schedules during the execution of the project and identifying lagging areas requiring timely attention and action.
- Monitoring is defined as a management function to guide in the intended direction and to check performance against pre-determined plans.
- Monitoring means periodic checking of progress of works against the targets laid down in order to ensure timely completion of the project.

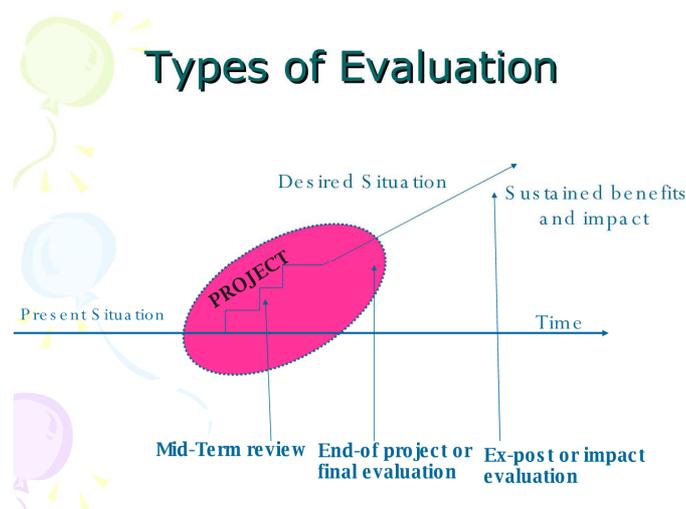
What is <u>not</u> Monitoring?		
SN	Tool	Focus
1	Report	Routine reporting
2	Inspection	Fault-finding in detail
3	Supervision	Overseeing implementation
4	Audit	Examination of accounts
5	Surveillance	Scanning of environment
6	Review	Comprehensive feedback

Evaluation is the analysis of the effectiveness and direction of an activity and involves making a judgement about progress and impact. Evaluation helps us to understand the worth, quality, significance amount, degree or condition of any intervention desired to tackle a concrete problem.

- Evaluation means finding out the value of something.
- Evaluation simply refers to the procedures of fact finding.
- Evaluation consists of assessments whether or not certain activities, treatment and interventions are in conformity with generally accepted professional standards.
- Any information obtained by any means on either the conduct or the outcome of interventions, treatment or of social change projects is considered to be evaluation.
- Evaluation is designated to provide systematic, reliable and valid information on the conduct, impact and effectiveness of the projects.
- Evaluation is essentially the study and review of past operating experience.

What is <u>not</u> Evaluation?		
S.N.	Tool	Focus
1	Analysis	Breaking into parts
2	Measurement	Metrics
3	Assessment	Cost and Benefits
4	Appraisal	Investment
5	Audit	Rules and regulations
6	Monitoring	Implementation

The main **differences between monitoring and evaluation** are the timing and frequency of observations and types of questions asked. However, when monitoring and evaluation are integrated as a project management tool, the line between the two becomes rather blurred. Participatory monitoring and evaluation is the *joint effort of partnership of two or more stakeholders* (such as researchers, farmers, government, workers, etc) to monitor and evaluate, systematically, one or more research or development activities. (Vernooy et al., 2003).

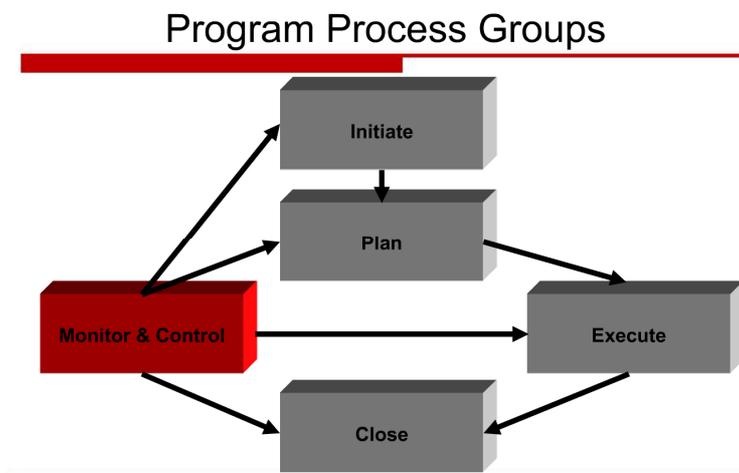


A **report** is a textual work (usually of writing, speech, television, or film) made with the specific intention of relaying information or recounting certain events in a widely presentable form. Written reports are documents which present focused, salient content to a specific audience. Reports are often used to display the result of an experiment, investigation, or inquiry. The audience may be public or private, an individual or the public in general. Reports are used in government, business, education, science, and other fields.

2.2 PLANNING EVALUATION AND MONITORING AT THE COUNTRY PROGRAMME LEVEL

Planning of monitoring and evaluation begins as early as the formulation stage of the Country Programme. It is kept up-to-date continuously, which may be annually or periodically depending on local needs and as plans become more concrete and programmes evolve. Such planning leads to strategic and selective decisions about what to evaluate, when and why. In other words, it takes into account how the evaluation will be used to improve programming and policy. In addition, the findings may recommend actions that affect either the overall work plan, the project work plan or the work of the Programme Manager.

- 1) Decide on the strategies for monitoring and evaluation: define a general approach for how monitoring and evaluation will be carried out. Indicate the outcomes to be evaluated or the process that will be used to make this decision. Also indicate how outcomes, programmes and projects will be monitored in general terms.
- 2) Plan outcome evaluations: select specific results or development changes to evaluate and the timing of these evaluations.
- 3) Plan outcome monitoring and set up systems for this. The assessment of progress towards outcomes is based on the continuous collection of data and information. This may involve using existing mechanisms or establishing consultation groups on outcomes, determining how indicator data will be collected, discussing the focus of such monitoring and so on.



Once the planning is approved and implemented, programme/project monitoring should address implementation issues and production of outputs, as well as progress towards outcomes, whereas the outcome monitoring plan would focus at a higher level.

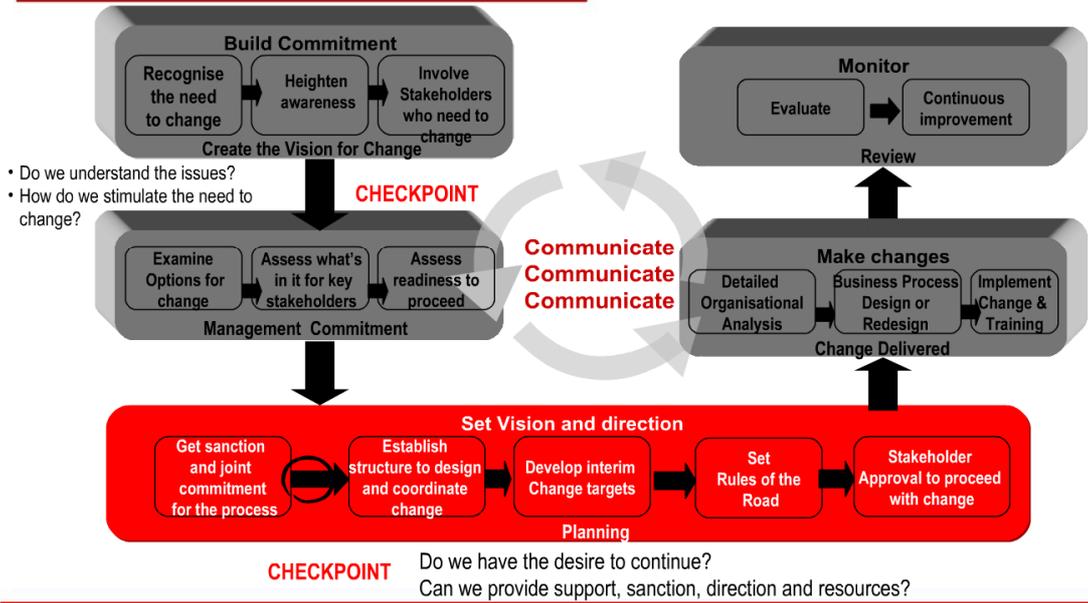
Process Groups

Initiate	Plan	Execute	Monitor & Control	Close
This includes defining and authorising the program and the projects within the program, and generating the benefits statement and benefits realisation plan for the program.	This includes developing the program plans to deliver benefits.	This includes using projects and resources in an integrated fashion to execute the plan for the program in order to deliver benefits.	This involves M & C the progress of the program and the constituent projects. Includes performance measurements against the planned benefit delivery, identifying variances and implementing corrective actions to deliver expected benefits.	This includes accepting products, services, and results from the constituent projects, and benefits delivery from the program, plus bringing the program and the program components (e.g., projects) to a formal closure.

Planning for monitoring generally takes place at the Country Programme design state, the programme/project design stage and yearly thereafter. A plan for monitoring may focus on projects and programmes as well as the resulting development changes (outcomes).

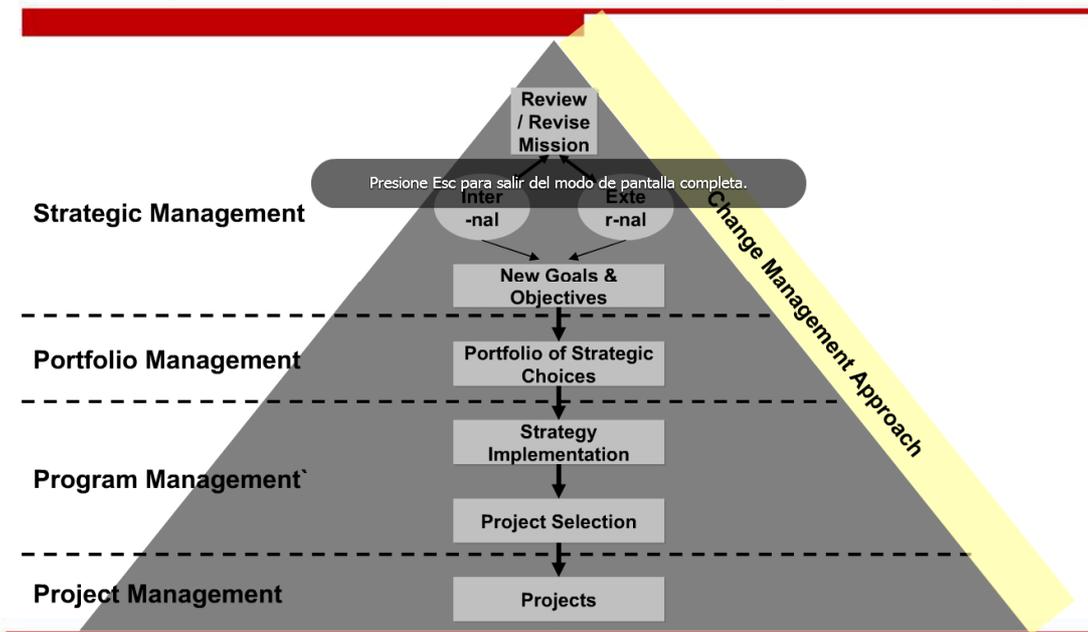
1. Plan monitoring and evaluation simultaneously: evaluation is an important monitoring tool and monitoring is an important input to evaluation. Because they are so interrelated, it is recommended that country offices plan monitoring and evaluation processes together at the same time.
2. Capture results (outcome and outputs): meaningful information about outcomes and outputs needs to be captured, regardless of the unit of analysis used by a monitoring and evaluation plan (e.g. outcomes, outputs, projects, activities, themes, areas).
3. Develop an evaluation plan: an evaluation plan covers outcomes for the Country Programme period. All operating units and offices prepare a mandatory evaluation plan within the first quarter of each Country Programme cycle. This is a key element in performance assessment.
4. Base planning on a strategic choice: planning is not primarily about scheduling (the timing and selection of tools); it is about determining the best approach depending on the needs and the nature of what is being monitored or evaluated.

Program Change Process



Projects, programmes and new activities are developed or initiated during every programming cycle. At this time, plans for their monitoring and evaluation are drawn up. These plans are designed to fit into the framework for monitoring and evaluation that already exists in the Country Programme. The Programme Managers are responsible for designing monitoring arrangements that are appropriate for the nature of the outcome, programme and project.

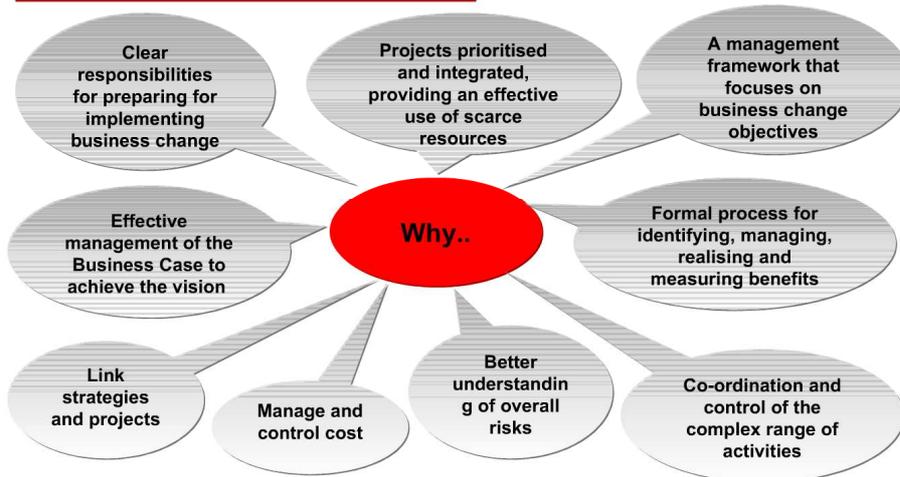
Programs & Projects link to Org's Strategy



2.3 WHY TO MONITOR AND EVALUATE?

Stakeholders and policy makers are increasingly asking for hard data on the success of policies. Future budget allocations, or aid money are often dependent on evidence of 'project impact'. – What is this project impact? And how can we measure it?

Why Program Management ...

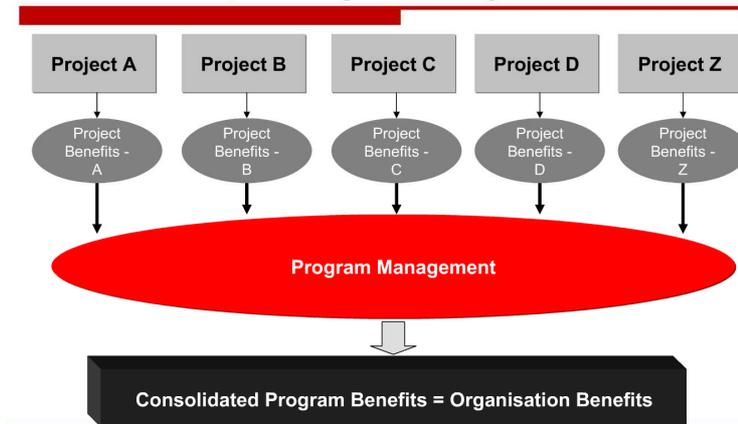


Monitoring is arguably the most important responsibility of any Programme Manager. She or he monitors the progress of project activities towards the intended outcomes, and selects different monitoring approaches to do so.

In general, the purpose of monitoring and evaluation can be:

- To assess project results: to find out and how objectives are being met and are resulting in desired changes.

Relationship – Program, Project & Benefits



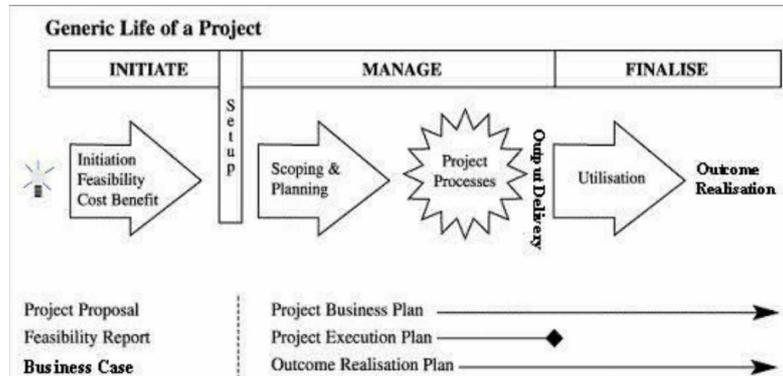
- To improve project management and process planning: to better adapt to contextual and risk factors such as social and power dynamics that affect the research process.

- To promote learning: to identify lessons of general applicability, to learn how different approaches to participation what does not, and to identify what contextual factors enable or constrain the participatory research.
- To understand different stakeholders' perspectives: to allow, through direct participation in the monitoring and evaluation process, the various people involved in a research project to better understand each other views and values and to design ways to resolve competing or conflicting views and interests.
- To ensure accountability: to assess whether the project is effectively, appropriately, and efficiently executed to be accountable to the key agencies supporting the work (including, but not exclusively, the donors) (Estrella and Gaventa, 1998).

Underlying reasons for monitoring and evaluating are frequently framed in terms of:

- **Efficiency:** refers to the amount of time and resources put into the project relative to the outputs and outcomes. A project evaluation may be designed to find out if there was a less expensive, more appropriate, less time-consuming approach for reaching the same objectives (getting more output from minimum input – do less and accomplish more).
 - Were the activities cost-efficient?
 - Were objectives achieved on time?
 - What were the major factors influencing the achievement on the results?
- **Effectiveness:** describes whether or not the research process was useful in reaching project goals and objectives, or resulted in positive outcomes.
 - To what extent were the objectives achieved/are likely to be achieved?
 - What were the major factors influencing the achievement or non-achievement of the objectives?
- **Relevance or appropriateness:** describes the usefulness, ethics, and flexibility of a project within the particular context. The relevance is the extent to which the aid intervention is suited to the priorities and policies of the target group, partner country and donor.
 - To what extent are the objectives of the programme still valid?
 - Are the activities and outputs of the programme consistent with the overall goal and the attainment of its objectives?
 - Are the activities and outputs of the programme consistent with the intended impacts and effects?
- **Impact:** the positive and negative changes produced by an intervention, directly or indirectly, intended or unintended.
 - What has happened as a result of the programme or project?
 - What real difference has the activity made to the beneficiaries?
 - How many people have been affected?
- **Sustainability:** is concerned with the measuring whether the benefits of an activity are likely to continue after donor funding has been withdrawn.
 - To what extent did the benefits of a programme or project continue after donor funding ceased?
 - What were the major factors which influenced the achievement or non-achievement of sustainability of the programme or project?

Combined, these criteria enable judgment about whether the outputs and outcomes of the project are worth the costs of the inputs. Effectiveness, efficiency and appropriateness can be considered for the different methods, tools and approaches rather than questioning the value of the research approach as a whole.

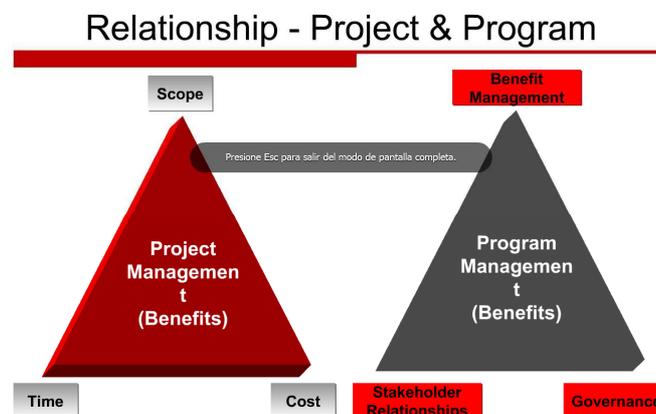


The Programme Manager uses project work plans as the basis for monitoring the progress of project implementation. Project work plans enable Programme Managers and other stakeholders to agree on results and to ensure that these results conform and contribute to the results and targets expected and programmed.

They also can be used as the basis for discussion about activities to produce outputs, inputs and budget lines. Critical milestones for activities and outputs in the work plan can serve as early warning indications that progress is off-target. The Project Manager should include the project’s key monitoring and evaluation actions in the work plan, noting in particular how the production of outputs will be monitored. The plan may also include how to supervise contractors, how to collect data and information, and specific monitoring events such as stakeholder meetings.

2.4 VALUE FOR MONEY

This manual attempts to be a practical step-by-step guide to prepare and carry out benchmarking and impact analyses of R&D projects. The audience is policy makers, mainly in the research or strategic departments of ministries. We assume the perspective of a policy maker that wants to deliver the best Value for Money to society and therefore has to select projects based on robust quantitative evaluations.

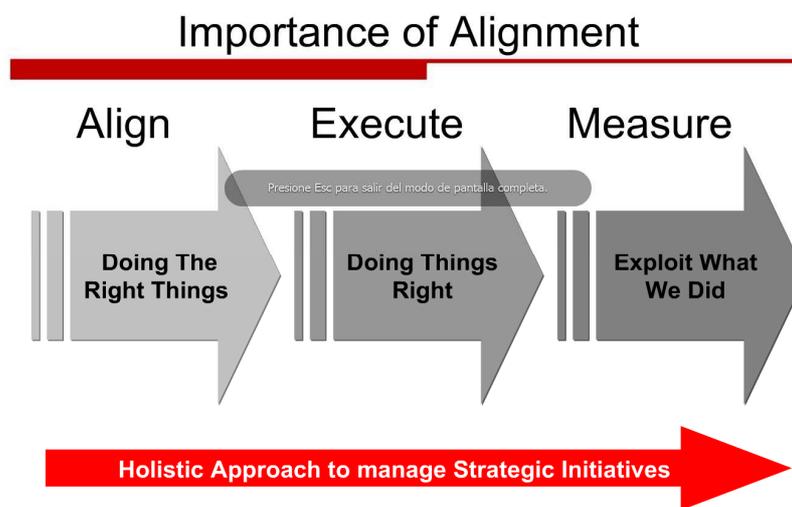


Deliverable 1.2: Common monitoring and reporting procedures

Policy makers face the task of promoting research and development in a world where resources are limited. This means that choices need to be made in the allocation of resources, i.e. where to ‘put the money’. The impact of these R&D projects is more difficult to measure, and should encompass the objectives the policy makers are aiming for in each programme. These outcomes are usually brought about by a series of direct and measurable outputs, such as number of patents, papers, and increase in sell accounts, etc.

Monitoring information and evaluation findings can contribute to sound governance in a number of ways:

- ✓ Evidence based policy making (including budget decision making)
- ✓ Policy development, management and accountability



2.5 WHAT DO WE WANT TO MEASURE?

Understanding the condition of the community / target group before the project was initiated is useful in order to provide a point of comparison for monitor and evaluating changes that occur during the project. Baseline survey conducted at the beginning of the project can provide a pint of reference for comparison and for understanding change in the community / target group. It is useful to distinguish between the different kinds of results generated from the project: outputs, processes, outcomes, impact and reach. These can be briefly defined as follows:

- **Outputs:** describe the concrete and tangible products of the research as well as the occurrence of the research activities themselves.
- **Processes:** describe the methods and approaches used for the project.
- **Outcomes:** describe the changes that occur within the community or with the project managers that can be attributed, at least in part, to the project processs and outputs.

- **Impact:** describes overall changes that occur in the community to which the project is one of many contributing factors. One such impact often expected from the project is positive transformation of the community / target group.
- **Reach:** describes who is influenced by the project and who acts because of this influence.

If a project has an impact, it achieves its original objectives. And we can trace the success back to the project in question, and not to other factors. The objectives of a project are actually its outcomes. In other words, we are asking: "How much did our specific project inputs impact on the outcomes?" The outcomes will vary with each project as each project has different objectives. We want to measure the difference our project made to the outcomes in question. That means we must be able to measure the difference in the outcomes that is attributable to the project.

3. EVALUATION

As we have defined before, in this report the evaluation is related to the projects that take part in MARTEC calls.

3.1 PRINCIPLES OF EVALUATION

The following are some of the principles, which should be kept in view in evaluation, inside the programme manager organization. These recommendations should also take into account in MARTEC case:

- Evaluation should involve minimum possible costs (inexpensive).
- Evaluation should be done without prejudice to day to day work (minimum hindrance).
- Evaluation must be done on a cooperative basis in which all the agents implicated should participate. This is especially important in international joint programmes as MARTEC case.
- As far as possible, the programme manager should itself evaluate its programme but occasionally outside evaluation machinery should also be made (external evaluation).
- The result of evaluation should be shared with all the agents.

3.2 PURPOSE OF EVALUATION

Evaluation is important for learning, validation of results and decision-making. Country offices will be expected to conduct a limited number of outcome evaluations during the programming cycle, and to develop an evaluation plan for these and any other evaluations of projects.

From an accountability perspective:

- The purpose of evaluation is to make the best possible use of funds by the programme managers who are accountable for the worth of their programmes.

From a knowledge perspective:

- Evaluation helps to make plans for future work.

3.3 PLANNING FOR EVALUATION

An evaluation plan is based on strategic and selective decisions by country offices about what to evaluate and when. The plan is then used to ensure that evaluation activities are on track.

Some of the most relevant input to the evaluation process may come from the following parties:

- Senior management: gives direction and vision to the evaluation; provides information on the strategic positioning of the office, soft assistance and contributes first-hand information on planned or potential assistance.
- Programme staff: enriches discussions through the exchange of information on related or complementary initiatives in other thematic areas, key outputs from projects and programmes, key ongoing soft assistance and linkages with cross-cutting issues (e.g. governance, environment, gender, risk management).
- Human Development Report staff: if available, this staff provides the team with recent information on human development variables, statistics and other relevant information.
- Think tank” staff: if available, this staff provides context, suggestions on how to approach outcome-related matters, hints on sources of information and contact with key partners.
- Partners: various kinds of partners can enhance understanding of simultaneous assistance towards the same outcome and help to assess the partnership strategy.

3.4 WHO WILL MAKE THE EVALUATION AND BUDGETING

Because evaluation has important capacity development and learning dimensions, decisions about who is involved and to what degree will impact upon the results. In general the greater the level of involvement the more likely it is that evaluative knowledge will be used. It is important to note that greater participation of partners or stakeholders or both often implies greater costs and sometimes can lead to a reduction in efficiency. Nevertheless, by strategically involving stakeholders and partners, participatory evaluation can positively influence the degree of ownership of the evaluation results and sustainability. The level to which different partners and stakeholders are involved at different steps in the process will vary. Some need only be informed of the process, while it would be important for others to be involved in a decision-making capacity.

Budgeting for an evaluation depends upon the complexity of the project or outcome to be evaluated and the purpose of the exercise. These factors dictate the timeframe and the number of evaluators needed..

We must consider:

- ✓ The scope, complexity and time commitments of the evaluation: the greater the complexity and scope of an evaluation, the longer time and more detailed work will be required of the evaluation team, thus increasing evaluators' fees.
- ✓ The need to minimize time and expense: it is recommended that programme managers provide the evaluation to all short-listed candidates for the evaluation team leader position, so that the team leader may provide feedback on the methodology and timing of the mission. This can help minimize the time spent on preparation. Another way to minimize time is to hire firms rather than individuals, in cases where firms charge a flat rate for the entire evaluation rather than daily rates for additional, unexpected time. Programme managers also are encouraged to take advantage of national evaluative expertise and use national experts on outcome evaluation missions, to the extent possible, what should help reduce the cost of the evaluation. In case of MARTEC, it is compulsory the use of an international pool of evaluators.

- ✓ Field visits and interviews may be quite brief for the evaluation: it requires evaluators speak with a wider variety of stakeholders and partners, thereby influencing travel and consultancy costs.
- ✓ The use of consultants: may be employed to complement the work of the evaluators. Beforehand, staff of the country office should spend some time acquiring the materials, reviewing them and making a “first cut” to select the most relevant documentation.
- ✓ The areas of expertise needed among the evaluators: because a multidisciplinary approach is needed, the evaluation team will need to include at least one evaluator (national or international) with in-depth knowledge of the project area to be evaluated. These criteria could increase the consultancy costs for the mission.

3.5 SELECTING THE EVALUATION TEAM

The choice of the evaluators is an important factor in the effectiveness of evaluations. Evaluators can be internal or external. External evaluation firms or individual evaluators may be national or international, or a combination of both. All members of a team must be independent with absolutely no connections to the design, formulation or implementation of the programme or partner outcomes, projects or activities in question.

The team must not include government civil servants who are directly or indirectly related to the activities and their results. Failure to observe this requirement could compromise the credibility and independence of the exercise.

When creating a team of evaluators, country offices are encouraged to include programme staff members from other countries or regions, when possible. This helps to maximize knowledge sharing and staff learning and capacity development across regions and countries. These staff members—who should be at the level of country office programme management or senior management—must not have had any connection with the design, formulation or activities of the project in question or with any of its participants.

Areas of expertise to be considered in the team composition include the following:

- Technical knowledge and experience in programme thematic areas, with specifics depending on the specific focus of the evaluation.
- Knowledge of the national situation and context.
- Results-based management expertise.
- Capacity building expertise.
- Familiarity with policymaking processes (design, adoption, implementation) if the evaluation is to touch upon policy advice and policy dialogue issues.

3.6 EVALUATING METHODS

A) By timing (when to evaluate):

- Formative evaluation: done during the programme / development stages (process evaluation, ex-ante evaluation, project appraisals).

- Summative evaluation: taken up when the programme achieves a stable operation or when it is terminated (outcome evaluation, ex-post evaluation). In MARTEC case we have defined this as “monitoring” when the evaluation is during the execution of the project, and “reporting” for the outcomes evaluation, at the end of the project or even several time after that.

B) By Agency (who is evaluating):

- Internal evaluation: about the progress / impact, made by the management itself (ongoing / concurrent evaluation) or by the enterprise (self audit). It is a continuous process which is done at various points and in respect of various aspects of the working of an agency by the agency staff itself (staff board members and beneficiaries).
- External evaluation (done by outsiders – certified management audit): grant giving bodies, in order to find out how the money given is utilized by the agency or how the programme is implemented, send experienced and qualified evaluators (inspectors) to assess the work. Some donors may send consultants in order to see how far the standards laid down are put into practice. In other cases, two different agencies mutually agree to evaluate their programmes by the other agency (inter-agency evaluation).

C) By Stages

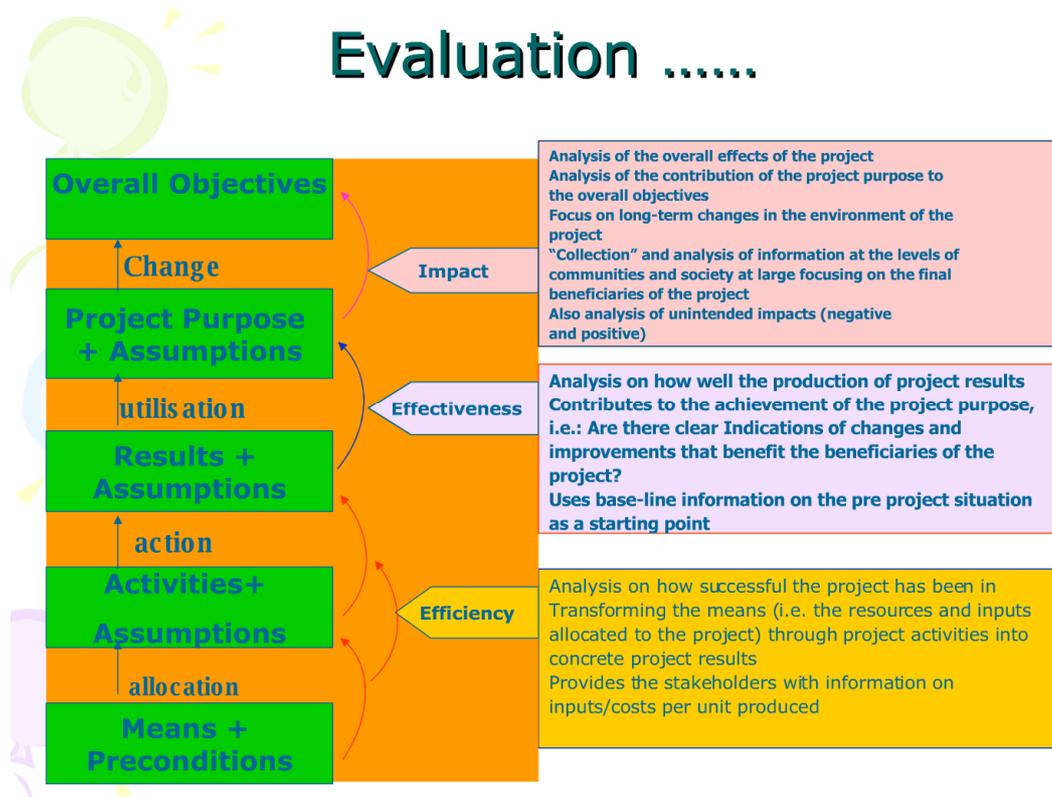
- On going: during the implementation of a project (monitoring).
- Terminal: at the end of or immediately after the completion (reporting).
- Ex-post: after a time lag from completion of a project (reporting).

3.7 EVALUATION ASPECTS

Evaluation may be split into various aspects, so that each area of the work of the agency, or of its particular project is evaluated:

- 1) Purpose: the review the objectives of the agency / project and how far these are being fulfilled.
- 2) Programmes: aspects like number of beneficiaries, nature of services rendered to them, their reaction to the services, effectiveness and adequacy of services, etc. may be evaluated.
- 3) Staff: the success of any welfare programme / agency depends upon the type of the staff an agency employs. Their attitude, qualifications, recruitment policy, pay and other benefits and organizational environment. These are the areas which help to understand the effectiveness of the project / agency.
- 4) Financial administration: the flow of resources and its consumption is a crucial factor in any project / agency. Whether the project money is rightly consumed any over spending in some headings, appropriation and misappropriation. These are some of the indicators that reveal the reasons for the success or failures of any project.
- 5) General: factors like public relations strategies employed by the project / agency, the constitution of the agency board or project advisory committee and their contribution future plans of the agency are important to understand the success or failures of any project.

Evaluation



3.8 EVALUATION TERMS OF REFERENCE

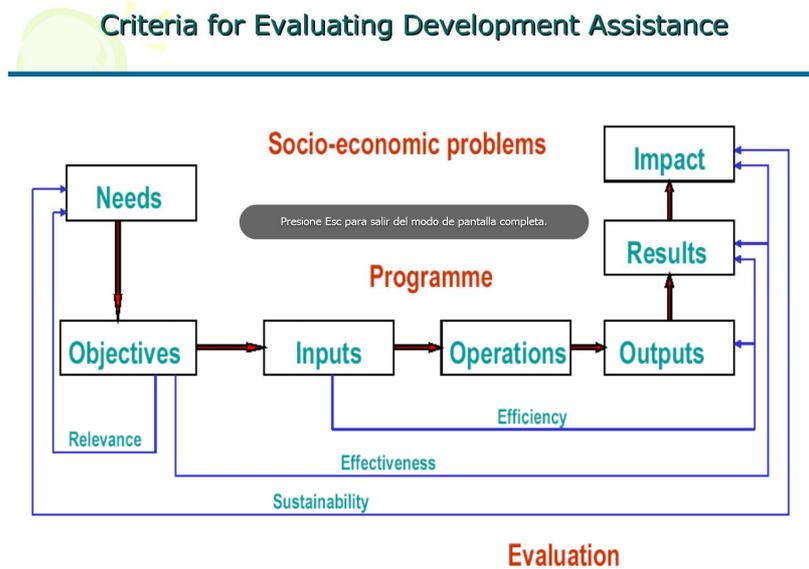
The terms of reference involves strategic choices about what to focus on, and therefore should be reviewed by key stakeholders in an evaluation and, in the case of outcome evaluation, should involve partners in the drafting process.

At a minimum, it is expected that terms of reference for all evaluations will contain the following information:

- Introduction: a brief description of what is to be evaluated (outcome, programme, project, series of interventions by several partners, etc.)
- Objectives: why the evaluation is being undertaken and a list of the main stakeholders and partners
- Scope: what issues, subjects, areas and timeframe the evaluation will cover. Typically, the scope of a project evaluation is self-defined within the project document.
- Products expected from the evaluation: what products the evaluation is expected to generate (e.g. findings, recommendations, lessons learned, rating on performance, an "action item" list)
- Methodology or evaluation approach: the methodology suggested to the evaluation team
- Evaluation team: composition and areas of expertise
- Implementation arrangements: who will manage the evaluation and how it is organized.

The terms of reference should retain enough flexibility for the evaluation team to determine the best approach to collecting and analyzing data.

In MARTEC case, the terms of reference are established in the deliverable 3.6 Guide for MARTEC evaluations.



3.9 COLLECTING AND ANALYSING DATA

Both qualitative and quantitative methods are used. The methods respond to different objectives and use different instruments and methodologies yet are highly complementary. Preparing for an evaluation normally requires a combination of both types of methods.

- Qualitative methods can be used to inform the questions posed by the evaluators through interviews and surveys, as well as to analyze the social, economic and political context within which development changes take place.
- Quantitative methods can be used to inform the qualitative data collection strategies by, for example, applying statistical analysis to control for socio-economic conditions of different study areas.

3.10 JOINT EVALUATION

The suggested steps in planning and conducting a joint evaluation (whether an outcome evaluation or a project evaluation) are as follows:

- 1) Agree on the scope: it should be defined jointly by the organizers of the evaluation. Priority areas of concern as well as mutual interests—which are not necessarily the same—should be clearly identified. Practical issues that should be clarified include the focus of the evaluation (a project or an outcome), the issues to be covered and the time frame of the exercise.

- 2) Divide the labor: the management country office should agree on a decision-making arrangement among the actors and determine how the labor will be divided among them. This involves determining who will take the lead role in each of the subsequent steps in the evaluation. Field visits may entail various parties gathering data in different locales simultaneously. Different institutions take different approaches to evaluation, requiring the ability to adapt and to allow for some additional time to accommodate delays due to such differences. Even within the same country, different donors may have different administrative, political, financial and methodological practices, which may delay the process. Be clear on respective responsibilities during the field visit(s), and be attentive to detail.
- 3) Select the funding modality: a number of funding modalities are available for joint evaluations. In one hand, the partner(s) may contribute financial support for the evaluation into a pool of funds (akin to a trust fund) that is administered by the programme manager and that covers all costs related to the exercise. A second option is for the partner(s) to finance certain components of the evaluation while the programme manager covers others (akin to parallel financing). While this is sometimes necessary due to the financial rules of partners, it does require additional time and administrative processing.
- 4) Draft the terms of reference: in general, it is more efficient and effective for all of the partners in a joint evaluation to discuss and agree upon the scope of the evaluation—and then for one party take the lead in drafting the terms of reference. After a draft is produced, it should be discussed and agreed upon by the partner institutions. The optimal type of evaluation method is one that satisfies the interests of all parties concerned. This is not always possible, however, given the range of motivations for undertaking an evaluation, such as identifying lessons learned, establishing an empirical basis for substantive reorientation or funding revision, satisfying political constituencies in donor countries or fulfilling institutional requirements that are particular to large projects. Consideration should be given to creating a common agenda reflecting priorities that balance ownership with what is feasible.
- 5) Select the experts: there are several ways to approach the selection of experts for a joint evaluation. One option is to task one of the partners with recruiting the evaluation team, in consultation with the other partners. Another option is for each of the partners to contribute its own experts. In some cases, the approach taken to the selection of experts may need to correspond to the funding modality used. For example, if parallel financing is used, each partner might need to bring its own expert to the team. In cases where each party brings its own evaluators to the team, evaluators may have difficulty in reporting to one actor while serving as a member of a joint team. To resolve this issue, the evaluation managers from all of the institutions involved should make clear to evaluators that the independence of the team will be respected and expected. At least one face-to-face planning session with all of the experts involved should be held prior to the field visit(s). In other words, do not combine initial introductions among the experts with a data gathering exercise. In some cases, the experts should meet with respective stakeholders in order to gain an overview of the project before conducting field visits.
- 6) Conduct the evaluation: experts should undertake field missions together, to the extent possible. Also, the participation on the evaluation team of a representative of programme manager and/or the counterpart(s) may enhance the opportunity for capacity development among country staff. This may be useful particularly during the fact-finding phase, on a purely observer basis, but it is likely to be a sensitive arrangement that requires careful communication with all parties to the evaluation.

Deliverable 1.2: Common monitoring and reporting procedures

- 7) Prepare the report: only the evaluation team should be involved in analyzing the findings and drafting the joint evaluation report. This does not necessarily mean that everyone on the team will agree on how the findings and recommendations should be portrayed, especially when the evaluation team is composed of representatives from different institutions. Drafting the report may therefore entail some process of negotiation among the team members. After a draft is produced, the report should be shared with programme manager and the partner institution(s) for comments. The report can then follow normal vetting and finalization procedures.
- 8) Follow-up and implement recommendations: the findings and recommendations of all evaluations must be followed up. In joint evaluations, however, this can be particularly challenging, given that the internalization of the findings and implementation of the recommendations need to be done at the level of individual institutions and at the level of the partnership between them. Partners therefore need to agree on what to do individually and collectively, and decide upon a follow-up mechanism that monitors the status of the changes being implemented.

4. MONITORING

4.1 PURPOSE OF MONITORING

Surely if everyone is doing their best, things will go well? Projects even with a good planning, adequate organizational machinery and sufficient flow of resources cannot automatically achieve the desired result. To work to its full potential, any kind of project needs to set out proposals and objectives. Then a monitoring system should be worked out to keep a check on all the various activities, including finances.

There must be some warning mechanism, which can alert the organization about its possible success and failures, off and on. Constant watching not only saves wastage of scarce resources but also ensure speedy execution of the project. Thus monitoring enables a continuing critique of the project implementation.

Project vs. Program Management

Area	Project Management	Program Management
Focus	Single objective	Business strategy
Scope	Narrow	Wide-ranging, cross-functional
Benefits	Determined in advance Accrue after completion	Used to make decisions Accrue during the programme
Deliverables	Few, clearly defined	Many , many initially undefined
Timescale	Clearly defined	Loosely defined
Change	To be avoided	Regarded as inevitable
Success Factors	Time, budget, specification	Mission, cash-flow, ROI
Plan	Specific, detailed, bounded	High-level and evolving

Project monitoring helps to provide constructive suggestions like:

- Rescheduling the project (if the project run behind de schedule)
- Re-budgeting the project (appropriating funds from one head to another; avoiding expenses under unnecessary heading)
- Re-assigning the staff (shifting the staff from one area to other; recruiting temporary staff to meet the time schedule)

4.2 HOW CAN A PROJECT BE MONITORED?

Monitoring and evaluation can help and organization to extract, from past and ongoing activities, relevant information and planning. Without monitoring and evaluation, we would not be able to judge if we are getting where we want to go, whether we can credibly claim progress and success or how to improve on our efforts.

Program vs. Project Manager

Program Manager

- Plans program-level activities and schedule of projects
- Defines TOR for projects
- Starts, stops and monitors progress of constituent projects
- Manages program level risks and issues. Delegates risks to projects
- Sets policies and procedures for projects
- Resolves resource conflicts
- Determines program standards

Project Manager

- Plans a project given the dependencies and interfaces defined by the Program Manager
- Works within the defined TOR
- Runs a project, reporting to the Program Manager
- Manages project risks and issues, escalating to the Program Manager wherever necessary
- Runs project according to policies and procedures
- Uses assigned resources
- Delivers products to the defined standards

Monitoring is the most important responsibility of any Programme Manager, in order to monitor the progress of project activities towards the intended outcomes, and selects different monitoring approaches to do so.

4.3 CONDUCTING GOOD MONITORING

“Good monitoring” means that monitoring is continuous, involves partners, and is focused on progress towards outcomes. Good monitoring requires that a country office find the right mix of tools and is able to balance the analysis of reports, reviews and validation, and participation. Some recommendations about the monitoring:

- ✓ Keep it simple: monitoring is meant to be a help to good project management and not a burden.
- ✓ Good monitoring depends to a large measure on good design of programme and projects, specially the design of a realistic results chain of outcome, outputs and activities.
- ✓ Objectives: work out them clearly at the beginning of the project, including a budget of the likely cost (expenditure).
- ✓ Good monitoring focuses on results and follow-up. It looks for “what is going well” and “what is not progressing” in terms of progress towards intended results and objectives defined, and report it making recommendations and decisions.
- ✓ Good monitoring depends to a large measure on good design. If a project is poorly designed or based on faulty assumptions, even the best monitoring is unlikely to ensure its success. Particularly important is the design of a realistic results chain of outcome, outputs and activities.
- ✓ Plan the activities:
 - what needs to be done
 - when it should be done
 - who will be involved in doing it
 - what resources are needed to do it
 - how long it will take to do
 - how much it will cost

- ✓ Monitoring plan: work out the most appropriate way of monitoring the work (milestones, deliverables, reporting, etc) based on clear criteria and indicators. Regular analysis of annual reports is a minimum standard for good monitoring.
- ✓ Good monitoring requires regular visits to follow-up and to validate the progress of work. Programme Managers will assess the progress in this visits / meetings, looking at the big picture and analyzing problem areas, ensuring continuous documentation of the achievements and challenges as they occur.
- ✓ Monitoring also benefits from the use of participatory monitoring mechanism to ensure commitment, ownership, follow-up and feedback on performance. This is indispensable for outcome monitoring where the progress cannot be assessed without some knowledge of what partners are doing. Participatory mechanisms include outcome groups, stakeholders meetings, steering committees and focus group interviews.
- ✓ Assessing the relevance, performance and success also enhances monitoring. The findings are used for decision-making on programming and support.
- ✓ Finally, as a part of good monitoring, is seen to actively generate lessons learned, ensure learning through all monitoring tools, adapt strategies accordingly and avoid repeating mistakes from the past. The use of electronic media for memory and sharing lessons is also considered a minimum standard.

4.4 SCOPE OF MONITORING

Monitoring aims to identify progress towards results. Using the information gained through monitoring, the Programme Manager must analyze and take action on the programme and project activities that are contributing to the intended results.

All monitoring and evaluation efforts should address, as a minimum:

- Progress towards outcomes: this entails periodically analyzing the extent to which intended outcomes have actually been achieved or are being achieved.
- Factors contributing to or impeding achievement of the outcome: this necessitates monitoring the country context and the economic, sociological, political and other developments simultaneously taking place.
- Contributions to the outcomes through outputs: these outputs may be generated by programmes, projects, policy advice, advocacy and other activities. Their monitoring and evaluation entails analyzing whether or not outputs are in the process of being produced as planned and whether or not the outputs are contributing to the outcome.
- The partnership strategy: this requires the design of partnership strategies to be analyzed as well as the formation and functioning of partnerships. This helps to ensure that partners who are concerned with an outcome have a common appreciation of problems and needs, and that they share a synchronized strategy.

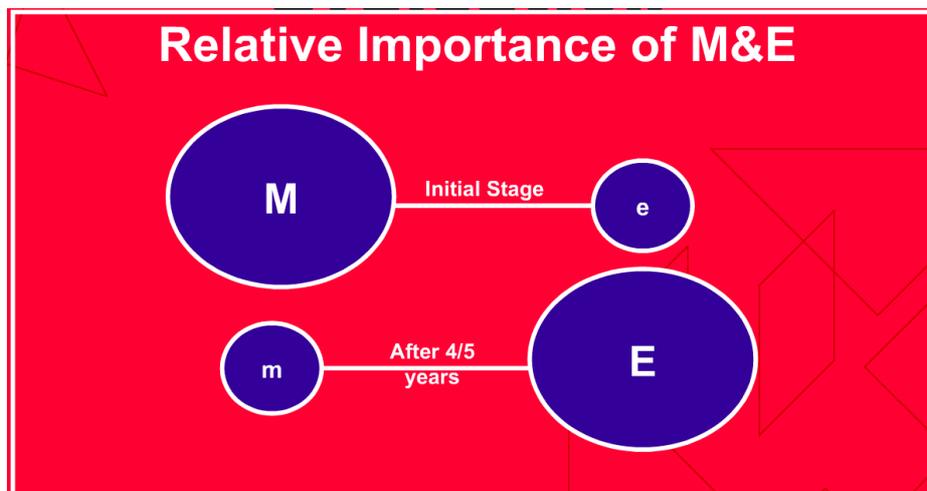
Monitoring does more than look at what projects deliver. Its scope includes assessing the progress of projects, programmes, partnerships and soft assistance in relation to outcomes as well as providing managers with information that will be used as a basis for making decisions and taking action.

4.5 WHO WILL MAKE THE MONITORING?

The responsibilities for monitoring are different at each programming level, where the focus is on higher-level results at each higher level of programming.

Programme Managers are responsible for the overall monitoring of progress towards outcomes as well as the project's contribution in terms of strategic outputs. He or she ensures that monitoring and reporting at different programming levels and from different sources are brought together to provide complete information on progress towards outcomes. In general, the management sets the framework for managing for results, prioritization in workplanning and partnerships. Together with partners, the management also ensures that periodic assessments review whether or not the approach followed is the best way to produce the intended outcomes. An outcome monitoring plan may facilitate this work.

Programme Managers monitor outcomes periodically, as the development situation changes. Since progress towards outcomes cannot be assessed by project reports and indicators alone, they continuously scan the environment, keep abreast of evolving perceptions of key stakeholders and the contributions of partners, analyze newspapers and reports received from other development partners, use evaluations to provide feedback on progress and, ideally, conduct client surveys to find out if perceptions of progress hold true.



Working as an evaluation focal team is more efficient than one person working alone because outcome evaluations touch upon a broad range of issues.

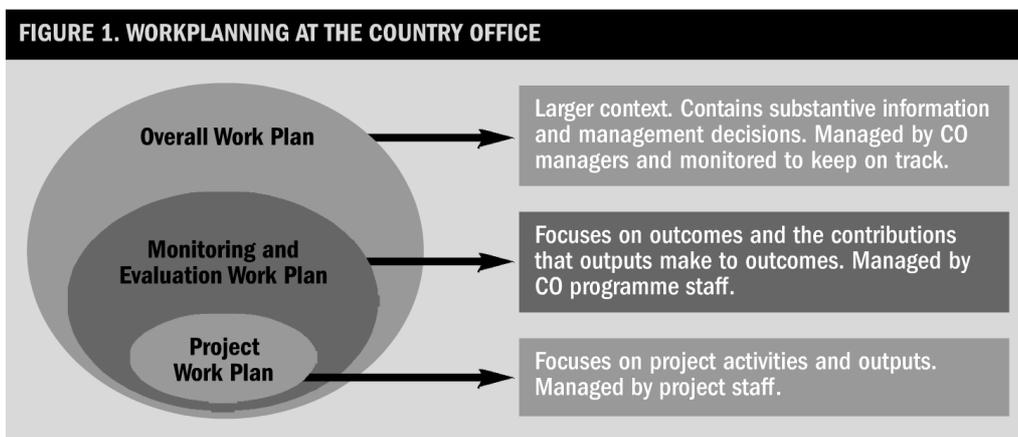
Ideally, preparations for an outcome evaluation are linked to the process of outcome monitoring, and not separate from it. The same programme staff should be involved in monitoring progress towards a given outcome and also in preparing for the evaluation. These staff members, along with partners in an outcome group (where one exists), are responsible for the preparation.

4.6 STEPS IN MONITORING

- Identifying the different units involved in planning and implementation.
- Identifying items on which feedback is required.
- Developing proforma for reporting.
- Determining the periodicity of reporting.
- Fixing the responsibility of reporting at different levels.
- Processing and analyzing the reports.
- Identifying the critical / unreliable areas in implementation.
- Providing feedback to corrective measures.

4.7 PROJECT IMPLEMENTATION PLAN

The Programme Manager uses project work plans or project implementation plans as the basis for monitoring the progress of project implementation. Project work plans enable Programme Managers and other stakeholders to agree on results and to ensure that these results conform and contribute to the results and targets expected. They also can be used as the basis for discussion about activities to produce outputs, inputs and budget lines. Critical milestones for activities and outputs in the work plan can serve as early warning indications that progress is off-target. The Project Manager should include the project's key monitoring and evaluation actions in the work plan, noting in particular how the production of outputs will be monitored. The plan may also include how to supervise contractors, how to collect data and information, and specific monitoring events such as stakeholder meetings.



The Project Implementation Plan is a representation of the project and will serve as a baseline for monitoring the performance of a project in terms of its scope, schedule and budget. It means that project interim reports (including individual payment claims) as well as the project completion or final report should refer to and be based on this Project Implementation Plan.

That is why in most cases the Project Implementation Plan is an annex to the Grant Agreement signed between the donors and the beneficiary state, and as such it constitutes a legally binding document.

4.8 MONITORING METHODS

Project reporting, project appraisal, project monitoring and project evaluation are inter-related terminology's with minor differences in their meaning. In project evaluation monitoring is referred as interim or concurrent evaluation. So many of the methods used for the evaluation can also be relevant for monitoring the project:

- **First hand information:** one of the simplest and easiest methods of evaluation by getting information about the progress, performance, problem areas, etc., of a project from a host of staff, line officers, field personnel, other specialists and public who directly is associated with the project. Direct observation and hearing about the performance and pitfalls further facilitate the chances of an effective evaluation.
- **Formal reports:** their purpose needs to be clear - to report on activities and achievements. This kind of report will help them in future planning and would clearly inform the Government or a donor agency of what has taken place. This kind of report usually includes project status reports (current status, performance, schedule, cost and hold ups, deviations from the original schedule), project schedule charts (schedule for implementation de project, costs and delays) and graphic presentations of project advance (charts, graphs, pictures, illustrations).
- **Diaries / informal reports:** such as anonymous letters, press reports, complaints by beneficiaries and petitions sometimes reveal the true nature of the project even though these reports are biased and contain maligned information. A helpful way of recording information would be to use one side of a note book for example, for daily or weekly plans. Write on the other side what actually happened. Keeping a work diary like this will help you also to evaluate your own work. What are you doing that is most helpful and brings effective results? Take time to ask people in the community about how they feel.
- **Project financial status report:** through this report one can have a look at a glance whether the project is being implemented within the realistic budget and time. Funding agencies often transfer funds in quarterly or half yearly payments which may not fit in with the planned project expenses. Planning of expenditure may need to take this into account. Careful budgeting and planning will be of great help in this.
- **Meetings:** confidence and trust are vital. There is a possibility that monitoring may be seen as a way of checking up on people. It must be a joint effort that everyone is involved with in some way or another.

4.9 SELECTING THE RIGHT MONITORING TOOLS

Programme Managers must determine the correct mix of monitoring tools and approaches for each project, programme or outcome, ensuring that the monitoring contains an appropriate balance between:

- Reporting/analysis, which entails obtaining and analyzing documentation from the project that provides information on progress.

- Validation, which entails checking or verifying whether or not the reported progress is accurate.
- Participation, which entails obtaining feedback from partners and beneficiaries on progress and proposed actions.

TABLE 1. SELECTING THE RIGHT MIX OF MONITORING MECHANISMS

REPORTING AND ANALYSIS	VALIDATION	PARTICIPATION
<ul style="list-style-type: none"> ■ Annual project report (APR) ■ Progress and/or quarterly reports ■ Work plans ■ Project/programme delivery reports and combined delivery reports ■ Substantive project documentation 	<ul style="list-style-type: none"> ■ Field visits ■ Spot-check visits ■ External assessments/monitoring ■ Client surveys ■ Evaluations 	<ul style="list-style-type: none"> ■ Outcome groups ■ Steering committees/mechanisms ■ Stakeholder meetings ■ Focus group meetings ■ Annual review
<p>← Learning takes place through all monitoring tools or mechanisms →</p>		

A variety of formal and informal monitoring tools and mechanisms are available for use by country offices, including field visits, annual project reports, outcome groups and annual reviews.

- A) Field visits: are frequently used as a monitoring mechanism. It is common policy to conduct regular field visits. Consideration should be given to the timing of the visit, its purpose in terms of monitoring, and what to look for in order to measure progress. Field visits serve the purpose of validation. They validate the results reported by programmes and projects, in particular for larger, key programmes and projects that are essential for outcomes. They involve an assessment of progress, results and problems and may also include visits to the project management or directorate.
- B) Annual project report: serves as the basis for assessing the performance of programmes and projects in terms of their contributions to intended outcomes through outputs and partnership work. As a self-assessment report by project management to the country office, this report does not require a cumbersome preparatory process. It can be readily used to spur dialogue with partners. The annual project report provides a self-assessment by the project management and is part of the Programme Manager’s review of the project’s performance. It should also provide an accurate update on project results, identify major constraints and propose future directions. It analyzes the underlying factors contributing to any lack of progress so that project management can learn from experience and improve performance. It is recommended that the annual project report for the final year of the project add sections on lessons learned and planning for sustainability (exit strategy). It may address the main lessons learned in terms of best and worst practices, the likelihood of success and recommendations for follow-up actions where necessary. Annual project report may also be used to share results and problems with beneficiaries, partners and stakeholders and to solicit their feedback. The partners may use this report for planning future actions and implementation strategies, tracking progress in achieving outputs, approaching “soft interventions”, and developing partnerships and alliances.

- C) Outcome groups: coordination mechanisms that bring together partners for discussion and analysis. Country offices need to employ mechanisms that involve partners and allow for periodic discussion and analysis around outcomes. For ease of reference, coordination mechanisms that monitor outcomes are referred to as “outcome groups”. Such groups focus on the monitoring of outcomes and the contribution of outputs to outcomes; they do not address general information exchange or project details. Ideally, outcome groups should use existing mechanisms such as established programme steering committees, thematic groups or sectoral coordination groups. The outcome group assesses the status of strategic outputs and related initiatives by partners—all of which contribute to an intended outcome. It does so by examining information from projects, national reports, donor reports and other sources. By bringing partners together, it helps define the strategic approach towards the outcome and assists in its formulation. A central task is to agree on a monitoring plan for the outcome and oversee its implementation. It also serves as the focal team for outcome evaluations. An outcome group should be a vehicle for documenting and disseminating lessons learned. When partners are involved, the outcome group may be part of the annual review, where the main consultations on the given outcome take place.
- D) Annual review: is a management dialogue at country level to assess progress towards results (outputs and outcomes) that can be used for building a consensus around common outcomes (results). The scope of the review must be balanced between its complexity and added value. To ensure follow-up on the aspects discussed in the review, it should be prepared brief records of decisions, conclusions and lessons learned during the annual review and share them with local partners and other relevant parties or networks. This promotes learning and helps Programme Managers to monitor the future implementation of agreements resulting from the annual report process.

4.10 PROJECT INTERIM REPORT

The Project Interim Report is a structured reporting that will serve as basis for the disbursement requests and for monitoring the performance of a project in terms of its results, schedule and actual expenses. It means that the submitted Project Interim Report (including individual payment claims) will be compared against the Project Implementation Plan.

During the course of a project, it is necessary to establish periodic reports which may comprise:

- An overview, including a publishable summary of the progress of work towards the objectives of the project, including achievements and attainment of any milestones and deliverables identified. This report should include the differences between work expected to be carried out in accordance with the project memory and that actually carried out.
- An explanation of the use of the resources.
- A summary financial report consolidating the contribution of all the beneficiaries (and third parties) in an aggregate form, based on the information provided each beneficiary in the project plan, and accompanied by certificates, when this is appropriate.

5. REPORTING

The reporting systems established should allow the monitoring of the progress of projects, provide the basis for the payment as well as facilitate the work of the Programme Manager.

The outcome evaluation report is expected to include the outcome to be studied and why it was selected, the scope of the mission, and the strategy for collecting and analyzing data. The evaluation team is bound to ensure that the selected issues are adequately addressed in the report, although some flexibility will allow the team to add issues that it feels are particularly pertinent. Generally, the team leader drafts a table of contents at the earliest stage of the evaluation, based on programme requirements and the discussions with interested parties and partners.

The draft table of contents serves as a convenient framework around which to organize information as the work proceeds. The table of contents helps focus the fieldwork that is required to collect missing information, verify information and draw and discuss conclusions and recommendations.

Once the first draft of the evaluation report is submitted, country office staff analyzes and provides comments. After comments are incorporated, the final draft version should be circulated among partners to obtain their valuable feedback. The evaluation team leader is responsible for incorporating comments into the final version of the report, and then for submitting it to the senior management of the country office. Depending upon the complexity of the evaluation findings, the country office should consider organizing a half-day stakeholders meeting at which to make a presentation to the partners and stakeholders. This helps ensure that there is a common understanding of the evaluation findings and facilitates feedback on the report draft.

5.1 SCOPE OF REPORTING

The scope of an outcome evaluation will be larger than that of a project evaluation in most cases. At a minimum, the scope of an outcome evaluation should incorporate the following four categories of analysis, either fully or in part.

1. Outcome status: whether or not the outcome has been achieved and, if not, whether there has been progress made towards its achievement.
2. Underlying factors: an analysis of the underlying factors that influence the outcome.
3. Output contribution: whether or not outputs and other interventions can be credibly linked to achievement of the outcome, including the outputs, programmes, projects and soft and hard assistance that contributed to the outcome.
4. Partnership strategy: whether partnership strategy has been appropriate and effective.

5.2 BACKSTOPPING AND FEEDBACK

The programme country office staff is responsible for liaising with partners, backstopping and providing technical feedback to the evaluation team. These well-informed staff members facilitate interactions and provide information, they push the evaluation team to justify its conclusions and back them up with evidence, and help deepen and clarify the evaluation team's discussions. They also provide feedback on the draft report and organize a stakeholder and partner meeting to discuss the evaluation team's findings.

Reporting will be useful for Programme Managers to:

- Measure accomplishment in order to avoid weaknesses and future mistakes:
 - o Observing the efficiency of the techniques and skills employed.
 - o Scope for modification and improvement.
 - o Verifying whether the benefits reached the people for whom the programme was meant.
- The purpose of evaluation is to establish new knowledge about social problems and the effectiveness of policies and programmes designed to alleviate them.
- Understanding people's participation and reasons for the same.

5.3 REPORTING PLAN

Programme Managers will take into account all these aspects, in order to plan the reporting of the programme:

- When planning outcome evaluations in particular, country offices may pick and choose which outcomes to evaluate, covering at least the mandatory minimum number of outcomes that must be evaluated.
- Purpose of the outcome evaluation: outcome evaluations may fill a number of different needs, such as providing early information about the appropriateness of the partnership strategy, identifying impediments to the outcome, suggesting mid-course adjustments and gathering lessons learned for the next programming cycle. Country offices should review the intended outcomes and reflect on which outcome an evaluation would be most useful for, why and when the evaluation would yield the most relevant information.
- The level of resources invested in the outcome: when selecting an outcome for evaluation, look for one in which the country office has invested significant resources. Avoid selecting only those outcomes that have very modest resources behind them.
- The likelihood of future interventions in the same thematic area: an outcome evaluation is an important means of generating recommendations to guide future work. When selecting an outcome for evaluation, look for one in area that the country office will continue to support.
- Anticipated problems: evaluations can help prevent problems and provide an independent perspective on problems. When selecting an outcome for evaluation, look for those with problems or where complications are likely to arise because the outcome is within a sensitive area with a number of partners.

- Need for lessons learned: an outcome evaluation in one thematic area is not only relevant to that area but also may reveal generic lessons for other thematic areas.
- Timing: determine the timing of evaluations based on its expected workload in any given year. It also strives for an equitable spread of evaluations throughout the Country Programme, both in terms of timing and of scope for a mixture of early and late, light and heavy exercises depending upon need.
- The use of field visits and interviews: outcome evaluations may require evaluators to speak with a range of partners, stakeholders and beneficiaries about perceptions of progress towards results or the production of outputs.
- Outcome evaluations may require analysis of documentation prior to the arrival of the evaluation team in country. This can be efficiently accomplished by hiring national consultants to review the data.

5.4 FOLLOW UP

The evaluation process does not end with the submission and acceptance of the evaluation report. Rather, the findings, conclusions, recommendations and lessons learned need to be internalized and acted upon. Therefore, the final step in managing and conducting any evaluation is to follow up on the evaluation report and implementation of change.

5.5 REPORTING REQUIREMENTS

In addition to the periodic report for the last period of the project (monitoring), a final report has to be submitted with this information:

- A final publishable summary report which includes: an executive summary, a summary description of project context and objectives, a description of the main S&T results, the potential impact (including the socio-economic impact of the project) and the main dissemination activities and exploitation of results/foregrounds.
- A plan for the use and dissemination of foreground, to spread awareness.
- 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.

During and after the project, the coordinator shall provide references of all scientific publications relating to foreground at the latest two months following publication. As part of the final project report, the coordinator will be required to submit a full list of publications relating to foreground of the project.

5.6 THE FORMAT OF REPORTS

The consortium shall transmit the reports and other deliverables through the coordinator to the Programme Manager using the transmission modality established.

The Programme Manager could facilitate a format of report to gather the most important information of the project, such as:

- Publishable summary: this section must be of suitable quality to enable direct publication and should preferably not exceed four pages. The publishable summary has to include all the distinct parts described below:
 - A summary description of project context and objectives
 - A description of the work performed since the beginning of the project and the main results achieved so far
 - The expected final results and their potential impact and use (including the socio-economic impact and the wider societal implications of the project so far)
 - The address of the project public website, if applicable

In line with this, diagrams or photographs illustrating and promoting the work of the project, as well as relevant contact details or list of partners can be provided without restriction. The publishable summary should be updated for each periodic report.

- Core of the report:
 - Project objectives for the period: these objectives are required so that this report is a stand-alone document and should include a summary of the recommendations from the previous reviews (if any) and indicate how these have been taken into account.
 - Work progress and achievements during the period. For each work package, except project management, it is necessary to provide the following information:
 - A summary of progress towards objectives and details for each task
 - Highlight clearly significant results
 - If applicable, explain the reasons for deviations 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 description of work
 - If applicable, propose corrective actions
- Project Management: provide short comments and information on co-ordination activities during the period in question, such as communication between beneficiaries, possible co-operation with other projects/programmes etc. Also check:
 - Consortium management tasks and achievements
 - Problems which have occurred and how they were solved or envisaged solutions
 - Changes in the consortium, if any

Deliverable 1.2: Common monitoring and reporting procedures

- List of project meetings, dates and venues
 - Project planning and status
 - Impact of possible deviations from the planned milestones and deliverables, if any
 - Any changes to the legal status of any of the beneficiaries, in particular non-profit public bodies, secondary and higher education establishments, research organisations and SMEs
 - Development of the Project website, if applicable
- **Deliverables and milestones tables:** the deliverables due in this reporting period have to be uploaded by the responsible participants and then approved and submitted by the Coordinator to the Programme Manager. Deliverables are of a nature other than periodic or final reports (ex: "prototypes", "demonstrators" or "others"). If the deliverables are not well explained in the periodic and/or final reports, then, a short descriptive report should be submitted. Milestones will be assessed against the specific criteria and performance indicators. All these deliverables and milestones must be listed, identified, dated and described in a table to facilitate the evaluation, from the very beginning of the project.
 - **Explanation of the use of the resources:** personnel costs, subcontracting and any major costs incurred by each beneficiary, such as the purchase of important equipment, travel costs, large consumable items, etc., linking them to work packages. 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.
 - **Financial statements and summary financial report:** it is necessary to submit a separate financial statement from each beneficiary together with a summary financial report in an aggregate form, based on the information provided in the project plan.
 - **Certificates:** when applicable, certificates on financial statements shall be submitted by the concerned beneficiaries to the Programme Manager.

5.7 THE FINAL REPORT

The Final Report or Project Completion Report provides the basis for evaluating the performance of a project in terms of its overall objective, purpose and results, its time schedule, and actual eligible expenses. This final report will be compared against the latest approved version of the Project Implementation Plan and will serve as the basis for the disbursement of the grant and the final evaluation of project results in order to close the entire process.

This final report shall comprise three separate parts:

- a) A final publishable summary report has to include 5 distinct parts described below:
 - An executive summary (not exceeding 1 page).
 - A summary description of project context and objectives (not exceeding 4 pages).
 - A description of the main S&T results/foregrounds (not exceeding 25 pages).

Deliverable 1.2: Common monitoring and reporting procedures

- The potential impact (including the socio-economic impact and the wider societal implications of the project so far) and the main dissemination activities and exploitation of results (not exceeding 10 pages).
- The address of the project public website, if applicable as well as relevant contact details.

Furthermore, project logo, diagrams or photographs illustrating and promoting the work of the project (including videos, etc...), as well as the list of all beneficiaries with the corresponding contact names can be submitted without any restriction.

- b) A plan for use and dissemination of foreground (including socio-economic impact and target groups for the results of the research) shall be established at the end of the project. It should, where appropriate, be an update of the initial plan for use and dissemination of foreground and be consistent with the report on societal implications on the use and dissemination of foreground. The plan should consist of:
- Dissemination measures, including any scientific publications relating to foreground. Its content will be made available in the public domain thus demonstrating the added-value and positive impact of the project. This section includes two templates: the list of all scientific (peer reviewed) publications relating to the foreground of the project, and a list of all dissemination activities (publications, conferences, workshops, web sites/applications, press releases, flyers, articles published in the popular press, videos, media briefings, presentations, exhibitions, thesis, interviews, films, TV clips, posters).
 - Exploitable foreground and provide the plans for exploitation which can be public or confidential and also will demonstrate the added-value and positive impact of the project. The applications for patents, trademarks, registered designs, etc. shall be listed and identified, and also their contribution to standards.
- c) A report covering the wider societal implications of the project, in the form of a questionnaire, including where applicable gender equality actions, ethical issues, efforts to involve other actors and to spread awareness, in order to obtain statistics and indicators on societal and socio-economic issues addressed by projects. As well as producing certain statistics, the replies will also help identify those projects that have shown a real engagement with wider societal issues, and thereby identify interesting approaches to these issues and best practices. The replies for individual projects will not be made public.

6. MARTEC JOINT RESEARCH AND DEVELOPMENT PROGRAMME

In MARTEC case, and for the implementation of this deliverable, we have considered:

- Evaluation is related to projects: to the proposals of projects received in MARTEC calls in order to take part in this joint international R&D programme.
- Monitoring is related to projects in execution: those projects approved in MARTEC calls that have entered in MARTEC joint international R&D programme.
- Reporting is related to executed and finalized projects, in order to both monitor and evaluate the entire programme consecution of objectives and goals.

6.1 MARTEC EVALUATION OF PROJECTS

Evaluation can be primarily perceived from three perspectives:

- 1) Evaluation as an analysis: determining the merits or deficiencies of a project, programme, methods and process.
- 2) Evaluation as an audit: systematic and continuous enquiry to measure the efficiency of means to reach their particular preconceived ends.
- 3) In the context agency: evaluation of administration means appraisal or judgment of the worth and effectiveness of all processes designed to ensure the agency to accomplish its objectives.

As we said before, in MARTEC evaluation is related to projects received through the different calls.

The partners have decided to evaluate the proposals against the following 3 criteria's:

- I. Scientific and Technological excellence
- II. Potential impact
- III. Quality and efficiency of the implementation and the management

The scoring for the proposals could be given from 0 (lowest) to 5 (highest). The criteria's and guide for MARTEC Evaluation are described in report D3.6, and is therefore not further described here.

For any MARTEC calls partners suggest suitable national experts for the proposals received to the MARTEC coordinator who then coordinates the work towards the evaluators. The MARTEC Coordinator then acts as liaison between the evaluators to obtain a consensus report (score) for each project, and after that, to make a ranking with the project marks. Then, the Steering Committee decides the minimum score for projects to go on and the funding situation in each country will determine which projects will be finally funded.

6.2 MARTEC REPORTING PROJECTS AND MONITORING PROGRAMME

There is no procedure to do the monitoring of MARTEC because reporting of MARTEC projects is made at national level. There are two main reasons which conditioned MARTEC partners not to make the international reporting compulsory:

- In one hand, there is no budget for translation of documents (which is the most usual reporting method) from the different country language to English.
- In the other hand, there is a problem in terms of confidentiality, as MARTEC partners have different levels of public information about projects. There are countries, as Spain, that the only available information are the partners, the title of the project and not always, the budget (not even en summary and never the results).

That is why monitoring of MARTEC Programme is not defined and structured. The reporting of ongoing projects and results once the project is finalized is made at national level and during MARTEC meetings, with the information available individually from each partner.

6.3 MARTEC IDENTIFICATION OF BARRIERS

The Commission and Member States launched in 2008 new initiatives to develop ERA, including an enhanced political governance of ERA, called the "Ljubljana Process" and five initiatives on specific areas of the ERA Green Paper.

One of the initiatives was the Joint Programmement. Currently, the vast bulk of research in Europe is implemented independently by national or regional programmes. This situation leads both to unwanted duplications and to opportunities lost, to achieve critical mass of research efforts. Therefore, on 15th July 2008 the Commission adopted a Communication on Joint Programmement between EU Member States of their public research programmes.

Barriers to cooperation do exist. These include practical barriers stemming from, for example, the heterogeneity of national and regional rules, laws and regulations governing domestic research spending, as well as the more mundane barriers created by language and currency differences. They also include more entrenched cultural or institutional barriers related to the low priority given at the highest political levels to international cooperation and to the coordination of national and regional programmes.

ERA-NETs improve the quality of consortia and research, and the exploitation of the results. Consequently, the impact of public investment in R&D on national priorities increases. Benefits also include the coordination of policy responses to challenges shared by few countries, the establishment of critical research masses in key areas, and less unintended duplication and redundancy.

To be successful, ERA-NETs demand the active participation of programme owners as well as programme managers in order to overcome barriers which can be presented either according to their own nature or according to the difficulties which they raise in the management of a trans-national programme.

Both the experience gained in MARTEC and the general objectives of the Commission (ERA) described above have been taken into account in the preparation the *deliverable 2.1 "Analysis of barriers"*. In concrete we found:

A: Different types of barriers to trans-national cooperation as at legal, financial, policy, programme (initiation, implementation and management), and project level.

B: Overcoming the barriers: Explicit rules and instruments, lack of legal or political barriers, external influencers, programme owner interest and autonomy and prior experience.

The documents on this subject do not give univocal definitions of the various types of barriers to trans-national cooperation. It is however possible, even if they are not exactly understood in the same manner by all countries, to distinguish the following categories:

- Barriers at the legal level
 - The legislation forbids payment to non-residents.
 - Cross-national funding has to be based on a legal framework which is not set up or even drafted yet.
- Barriers at the financial level
 - Research budget restrictions.
 - Inequality of investment makes it impractical to design joint programmes.
 - Financial administration systems not designed to cope with non-national contracts.

In case of joint funding:

- Lack of control on procedures.
 - Need for common steering.
 - Unused joint funds.
- Barriers at the policy level
 - Conflicts between different policies (Diverse policy objectives have to be coordinated between the ministries).
 - Fear to lose knowledge, competence and political power (sovereignty on national and regional research funding programmes).
 - Another organisation deals with international activities.
 - Trans-national activities are focussed on non-EU countries.
 - Policy to achieve national priorities through internal capacity building.
 - Influential decision makers do not see the value.
 - Source of funding does not encourage use of funds for trans-national activities.
 - Barriers at the programme level
 - a) For programme initiation

- Joint themes hindered due to different partner scopes.
- Different cycles/lengths of national programmes.
- Insufficient knowledge of similar national programmes.
- No European structures to coordinate cooperation in programme area.

b) For programme implementation

- Different call procedures.
- Different evaluation procedures.
- Different time schedules.

c) For programme management

- Sharing activities/results would dilute international leadership.
- Programme owner has limited experience of pan-European collaboration.
- Language and culture diversity makes opening programmes impractical.
- Sufficient volume of high quality applications from internal capacity.
- No explicit criteria that encourage trans-national activities.
- Lack of resources (staff, budget).
- Lack of time.
- Differences across countries concerning the scale of research programmes.

o Barriers at the project level

- Administration costs of trans-national projects outweigh the benefits.
- No demand from national applicants for inclusion of foreign partners.
- National researchers not keen to see more budget used for trans-national.
- Lack of experience on alternative financing mechanism.
- Competition between project partners from different countries.
- Intellectual Property Rights (IPR).

Table 2: Financial difficulties to overcome for each funding option

Option	Advantage	Problems to overcome
National contributions	Easy to implement	Mixed responsibilities for project management and financial control National procedures apply for national contributions Only funding of national researchers
Mixed funding of projects and general activities	Flexibility Different models for project funding are possible More chance of additional funding	Mixed responsibilities for project management and financial control
Adaptation of projects (each participating country adopts (a) selected project(s) and is responsible for its financial control.	Clear responsibilities National procedures apply for adopted projects	Funding of researchers of other countries
Common pot	Flexibility More chance for additional funding Common financial responsibility	Funding of researchers of other countries Acceptance of common procedures for financial control

Deliverable 1.2: Common monitoring and reporting procedures

6.4 MARTEC RECOMMENDATIONS FOR MONITORING AND REPORTING

ERA-NETs have a lot of advantages, as we explain here:

- Better suited to national priorities:

ERA-NETs facilitate mutual learning amongst national and regional programme owners and managers concerning the design and implementation of research programmes. ERA-NETs also provide access to research funds in areas not well covered by international funding schemes, often in areas of interest to only a small group of countries or in technical areas not prioritised by the Framework Programmes (both within and external to the main thematic areas).

- Better project selection:

A great benefit of trans-national cooperation is related to the use of a wider pool of evaluators and applicants than are available in the country. Tapping into external knowledge and collaborating with other countries that have similar, non-competing interests increase research capacity and should lead to higher quality results than might be achieved through unilateral activities alone.

- Less duplicated research inside the ERA:

Unintended duplication and redundancy can be minimised via the exploitation of complementary strengths in national and regional programmes and information exchange between programme managers.

- More consistent projects

Critical mass of funds and size of research partners' network in strategic areas can be more easily attained via trans-national research programmes than at national level. Moreover trans-national cooperation allows utilising:

- research capacity and expertise from other countries by allowing foreign experts to participate in the national programme (with or without funding).
- research capacity and expertise from other countries by allowing participants to use foreign experts as subcontractors.

MARTEC monitoring should be seen in connection with call procedures. At the moment technical and scientific monitoring of projects are made on national level, but should be implemented somehow further.

According to the advantages identified in the activities of the ERA-NETs, and in order to monitor or measure the success of MARTEC (maritime research international cooperation), we recommend the next list of criteria:

- ✓ Development of a sustainable network and partnership of funding agencies and ministries.
- ✓ Participation in calls.

- ✓ Sufficient number of relevant/good applications to calls.
- ✓ Sufficient number of projects started and allocation of funds.
- ✓ Commitment of national authorities by the means of funding.
- ✓ Increased cooperation between participants from different countries.
- ✓ Cooperation between TP Waterborne and MARTEC as one way to implement their strategic agenda.
- ✓ Carrying out of recommended joint activities other than calls.

6.5 DIFFERENT COOPERATION MODELS FOR JOINT R&D PROGRAMMES

In order to propose a best practice for future joint R&D programmes we must first explain the different cooperation models available. ERA-nets classically distinguish three main models for cooperation, based on the national or trans-national implementation of three major steps of programme management, i.e. the call for proposals, the evaluation, and the funding.

The development of a trans-national research programme by Martec partners can progress step by step: the level of cooperation increases as the partners undertake more joint activities. One crucial question is how far the partners can go and what is required to reach that point. In this section these three models will be described.

MODEL 0: NATIONAL CALL, EVALUATION AND FUNDING

Its implementation does not require real modification of the national procedures.

- Objectives: Information exchange: e.g. facilitate the state of the art.
- Mandatory cooperation: Common research priority.
- National programme owner/manager responsible for:
 - National call.
 - Proposal evaluation (including evaluation criteria).
 - Funding decision.
 - Project monitoring.
 - Final evaluation.
- Possible areas for further cooperation:
 - Information exchange about the research.
 - Experts from abroad among evaluators.
 - Funding of foreign institutes (via sub-contracting).
- Main difficulties to overcome:
 - Information to exchange.
 - Consensus on a common research priority.

MODEL 1: JOINT CALL, NATIONAL EVALUATION AND FUNDING

The partners agree on overall common research themes from their national programmes. They launch a joint call for trans-national projects open to researchers from the partner countries. The national organisations remain responsible for the evaluation of the part of the proposal which concerns their nationals and for the funding of their nationals.

This second model requires extra objectives in comparison with model 0.

- Objectives:
 - Critical mass for research consortia: e.g. to facilitate Eureka projects.
 - To avoid to duplicate research in the ERA.
- Mandatory cooperation:
 - Common research priority.
 - Joint call.
 - Information exchange about the research.
- National programme owner/manager responsible for:
 - Proposal evaluation (including evaluation criteria).
 - Funding decision.
 - Project monitoring.
 - Final evaluation.
- Possible areas for further cooperation:
 - Experts from abroad among evaluators.
 - Funding of foreign institutes (via sub-contracting).
- Main difficulties to overcome: Synchronization of call and project lifetime.

MODEL 2: JOINT CALL AND EVALUATION, NATIONAL FUNDING

An international expert committee evaluates the incoming proposals according to the evaluation criteria set by the partners. Each funding organisation makes the final funding decision and each partner funds its national researchers. Special arrangements have to be made between the participating country that is responsible for the management of the project (leading partner) and the countries that are responsible for the financial control.

This second model requires extra objectives in comparison with model 1.

- Objectives:
 - Improve project selection.
 - Critical mass of project funding.

- Mandatory cooperation:
 - Common research priority.
 - Joint call.
 - Common evaluation criteria (at least technical).
 - Common proposal evaluation (at least ranking).
- National programme owner/manager responsible for:
 - Funding.
 - Project monitoring.
 - Final evaluation.
 - Dissemination and exploitation of results.
- Possible areas for further cooperation:
 - Funding of foreign institutes (via sub-contracting).
 - Information exchange about the research results.
 - International evaluation panel.
- Main difficulties to overcome:
 - Harmonisation of evaluation practices (tables 13, 14, 15 and 16).
 - Common evaluators selection.
 - Earmarking of funds (table 17).
 - Disproportion of funding abilities in the partner countries.
 - Organisation and funding of common steering (table 18).
 - Automatic funding when positive common evaluation.
 - Template of consortium agreement.

MODEL 3: JOINT CALL, EVALUATION AND FUNDING

This is the model where the degree of co-operation is the highest. Its mode of funding makes it conspicuous. In this model the partners agree on an overall research theme, launch a common call and the applications are evaluated through a joint evaluation procedure. The funds for research are put in a common pot, and the highest ranked proposals are funded. Each participating country contributes to the common pot. Thus, the partners make the final funding decision jointly.

This is a model where rating, ranking and financing stays in the same forum. The balance between the contribution to and expenditures per participating country out of the common pot can be taken into account. The responsibility of the financial control of the coordinated call is a shared common responsibility. The financial control of the projects and of the programme is carried out by one of the participating countries or by an independent third party. All participating countries have to agree on the procedures of the financial control and to trust the controlling organisation.

The European Economic Partnership (EEP) in which each national funding agency is involved allows paying researchers from another country and is a well-known way to organize a common pot. We notice by the way that the European Commission can be partner of EEP, which could enable it to take part to the funding of joint activities like call preparation for instance.

From a pragmatic perspective, virtual pots are relatively easy for participating programme owners and managers to implement, since they involve few changes of significance to internal structures and procedures, whereas common pots can involve major changes and present real difficulties to some administrations, especially in terms of cross-border money transfers. Conversely, common pots have a number of distinct theoretical advantages, the most important being that all the best projects can be funded until the pot runs out. In contrast, when virtual pots are used, good projects can fail to be funded if they include a research team from a country or region whose individual contributions to the scheme are exhausted.

Mixed-mode schemes offer a compromise. For example, virtual pots can be used until problems arise concerning projects containing partners from a country or region whose funds are exhausted. Contingency plans of a common pot nature facilitating the transfer of money across borders can then come into play.

This second model requires extra objectives in comparison with model 2.

- Objectives:
 - Wider dissemination.
 - Higher mass of project funding.
 - To widen the markets of companies involved in research projects.
- Mandatory cooperation (is not fully fixed):
 - Common research priority.
 - Joint call.
 - Joint evaluation procedures.
 - Common funding (at least partial, possibly with common cost models).
 - Common project monitoring.
 - Common final evaluation.
 - Common policy for dissemination and exploitation of results.
- Possible funding schemes:
 - « Juste retour ».
 - Partially common pot (a part of « juste retour » and a part of common pot).
 - Common pot.
 - Direct control of funds (European economic partnership...).
- Possible types of funding activities:
 - General activities.
 - Research projects.

- o Main difficulties to overcome:
 - Common programme/policy.
 - Common funding.

Table 21: Main barriers to trans-national cooperation

Model 0	<ul style="list-style-type: none"> • Information exchange
Model 1	<ul style="list-style-type: none"> • Harmonisation of call • Theme initiation • Length of programme • Earmarking of funds
Model 2	<ul style="list-style-type: none"> • Organisation and funding of common steering • Application requirements • Evaluation guidelines and criteria • Compositions of panels • Lack of control of evaluation procedure
Model 3	<ul style="list-style-type: none"> • Lack of control of funds • Lack of control of funding decision • Funding of foreign scientists • Lack of national budget control • Financing of common steering

It is clear that the ideal model is number 3, but also the most difficult to reach due to the barriers identified in section 6.3.

In model 3 the partners agree on an overall research theme, launch a common call, the applications are evaluated through a joint evaluation procedure and the partners make the final funding decision jointly. This is a model where rating, ranking and financing stays in the same forum. The financial control of the projects and of the programme is carried out by one of the participating countries or by an independent third party.

All these are the main reasons to select model 3 as the best model to implement a best practice for monitoring and reporting of a joint R&D programme.

6.6 BEST PRACTICES FOR FUTURE JOINT R&D PROGRAMMES

The **programme management** is ‘the action of carrying out the coordinated organization, direction and implementation of a dossier of projects and transformation activities (i.e. the programme) to achieve outcomes and realize benefits of strategic importance to the owner of the programme’.

Programme management differs from project management in several fundamental ways as illustrated in the table below. In the simplest of terms, programme management is the definition and integration of a number of projects to cause a broader, strategic business outcome to be achieved. Programme management is not just the sum of all project management activities but also includes management of the risks, opportunities and activities that occur “in the white space” between projects.

While an individual project will employ a specific project delivery approach (design-bid-build, design/build, DBOM etc), programme management may combine different delivery approaches across multiple projects to best achieve the desired strategic business objectives.

Parameter	Programme Management	Project Management
Organization	Semi-permanent in nature, resourced to address the full range of business requirements associated with achievement of a strategic business objective. Resource requirements may be programmematic in nature and applied to all or major sets of projects undertaken to deliver the programme	Transient organization in nature, resourced to address a limited set of requirements that may be more temporal in nature and not recurring through all project phases. Output oriented vs. outcome oriented
Organizational Alignment	Analogous to building a new company with a sharply defined strategic business objective. When existing owner organizations are adopting programme management for the first time, organizational change management processes are an early activity to assure that owner elements understand their changed role in a programme delivery approach	Team alignment around project and contract requirements. In joint venture or prime-sub project structures this alignment may include “cultural” alignment as well as team building activities
Outcome Definition	Strategic Business Outcome (enterprise viewpoint)	Defined scope, schedule and budget (output viewpoint)
Risk Management	Management of all risks associated with achievement of the defined strategic business objectives	Management of assumed risks
Requirements	Establish programmematic and system technical requirements and allocate as appropriate to individual projects	Manage project to meet the allocated programmematic and system technical requirements
Interface Management	Management of all programmematic interfaces between defined projects as well as other programmematic interfaces with stakeholder groups	Management of allocated interfaces, if any, and all interfaces within the assembled project team
Execution Planning	Programme wide execution planning including top level schedule, budget, performance standards, supply chain configuration and contracting strategy	Project execution planning consistent with agreed to scope schedule, budget, and performance standards
Sequencing	Sequencing of programmematic activities including defined projects; re-sequencing of projects and other programmematic activities as required to achieve the desired strategic business outcome	Sequencing of project activities to achieve project execution requirements within any programmematic constraints imposed by contract
Timeframe	Through achievement of strategic business objectives (more permanent in nature)	Duration associated with completion of project activities
Stakeholder Engagement	Identification and integration of stakeholders’ interests and proactive engagement to assure achievement of strategic business objectives	Interaction with stakeholder groups only as contractually provided for

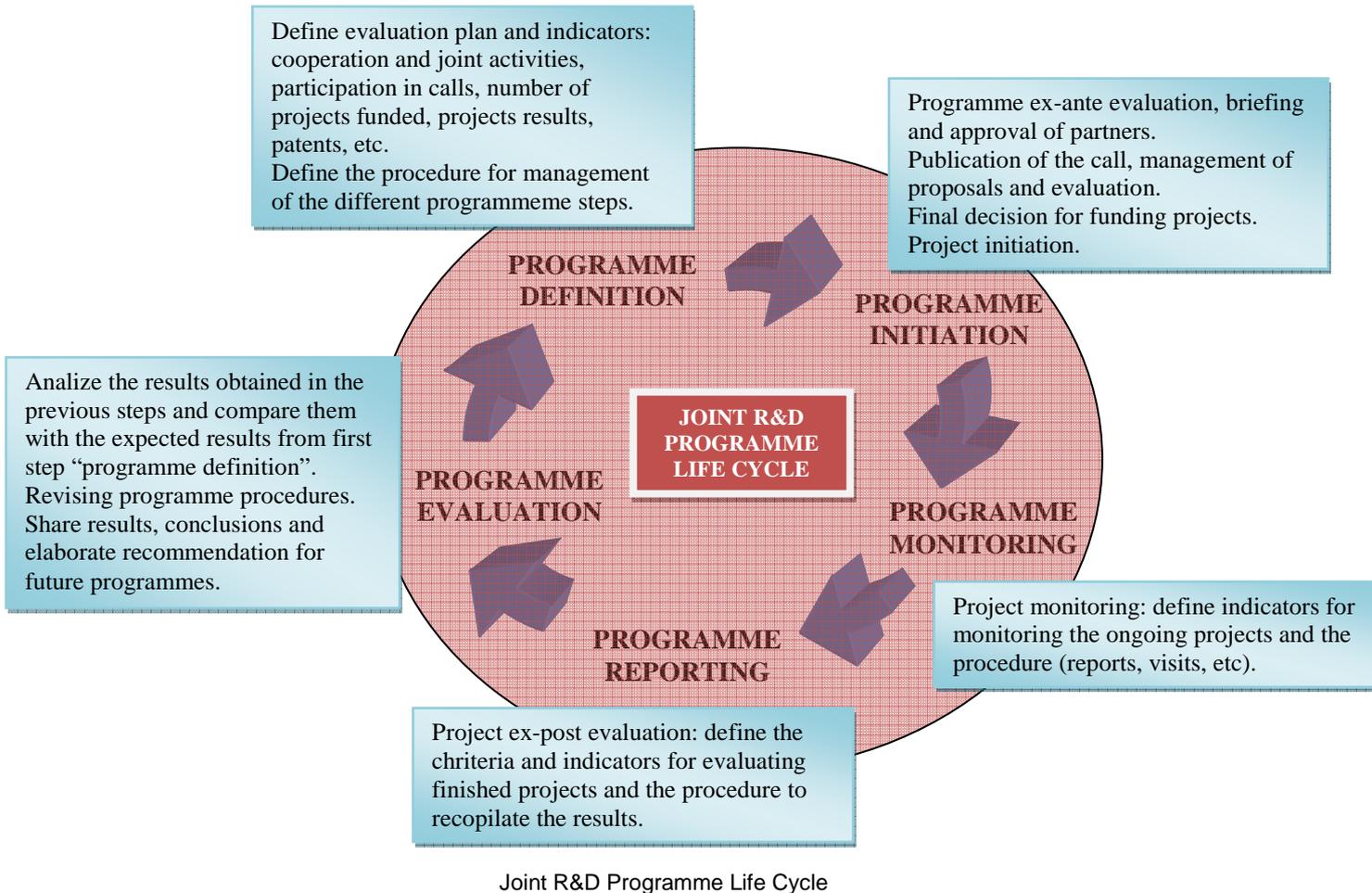
Deliverable 1.2: Common monitoring and reporting procedures

The programme management principles, which apply to every programme and empower individuals to deliver successfully, are these:

- Remaining aligned with corporate strategy: a programme is typically a large investment that should make a significant contribution towards achieving corporate performance targets, maintaining good links with sometimes volatile corporate strategy.
- Leading change: in a programme, leading change includes giving clear direction, engendering trust, actively engaging stakeholders, appointing the right people at the right moments, and living with a measure of uncertainty.
- Envisioning and communicating a better future: a programme is relevant where there is a need to achieve transformational change. In order to achieve such a beneficial, future state, the leaders of a programme must describe a clear vision of that future and then communicate it consistently.
- Focusing on the benefits and threats to them: the programme should be aligned to satisfying strategic objectives by realising the end benefits. Thus the programme's boundaries, including the projects and activities that become part of the programme, are determined to enable the realization of these end benefits and the effective management of any risks related to that realization.
- Adding value: a programme only remains valid if it adds value to the sum of its constituent projects and major activities. If it is found to add nothing then it is better to close the programme and allow the projects to proceed, coordinated independently by corporate portfolio management.
- Designing and delivering a coherent capability: the programme will deliver a business architecture or final capability. This should be released into operational use according to a schedule delivering maximum incremental capability (and therefore benefits) with minimal operational impact.
- Learning from experience: a programme should review and improve its own performance during its life. Good governance requires managing the different themes with regular adjusting and adapting on the basis of experience and results so far.

Transformational flow is the term used to describe the lifecycle of the programme. 'Flow' reflects the evolving nature of the journey the programme takes and the adjustments that will need to be made.

1. Programme definition
2. Programme initiation
 - a. Project ex-ante evaluation
 - b. Projects approval
 - c. Project initiation
3. Programme monitoring
 - a. Project monitoring
4. Programme reporting
 - a. Project ex-post evaluation (project results)
5. Programme evaluation (programme results)



The following activities summarize the stages passed through.

- *Identifying a Programme* takes an outline idea, and undertakes analysis of stakeholders, clarification of the strategic requirements and market consultation to turn it into a business concept that gains strategic support.
- *Defining a Programme* confirms the vision, undertakes detailed analysis of options and designs the programme infrastructure to deliver, resulting in a business case and strategic commitment.
- *Managing the Tranches* describes the cyclical activities involved in managing and proving the coordinating interface between projects, business change and strategic direction.
- *Delivering the Capability* explains how the alignment of the projects and other activities that deliver the blueprint will be managed and controlled.
- *Realizing the Benefits* outlines the preparing, delivering and reviewing activities of transition to take the capability delivered by the projects, and embed it within the business operations to realize the intended benefits.
- *Closing a Programme* structures the end to the programme, consolidating and embedding the change, closing down all programme activity and completing stakeholder engagement.

6.7 MARTEC COMMON MONITORING AND REPORTING GUIDE

We have used all the information of this deliverable to propose a **procedure for common monitoring and reporting of projects in MARTEC Era-Net.**

First we have assimilated the model 3 as the ideal one to implement this procedure. This means a common call, common evaluation and funding.

After that, it has been necessary to make this guide in order to establish a common procedure for common monitoring and reporting of projects in MARTEC. To do that we have taken into account the information gathered from every participant in the Era-Net through the questionnaire of Task 1.2, in order to choose the best alternatives and describe a procedure as most compatible as possible with national procedures in all countries.

As we have made previously a best practice guide for the evaluation of projects in MARTEC (deliverable 3.6 Martec I), now **we are going to propose a guide for monitoring and reporting projects in MARTEC programme.**

STEP 1: DEFINITION OF THE PROGRAMME MANAGEMENT BODY

First of all is necessary to define the entity or body that will be in charge of the management of MARTEC programme and that will be responsible for the monitoring and reporting of projects.

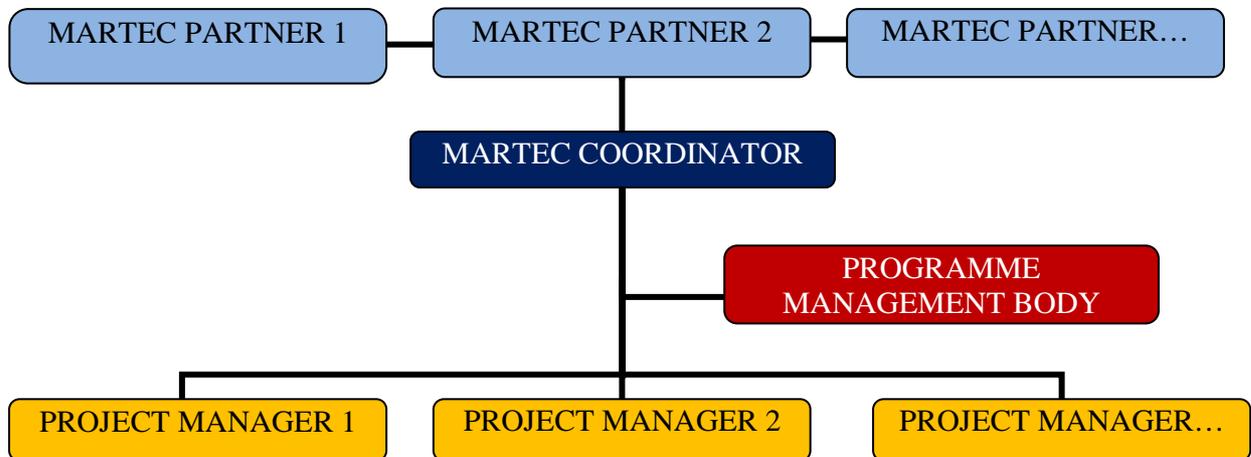


Figure: MARTEC Programme Governance Structure

There are several options that should be analyzed in order to decide the best one:

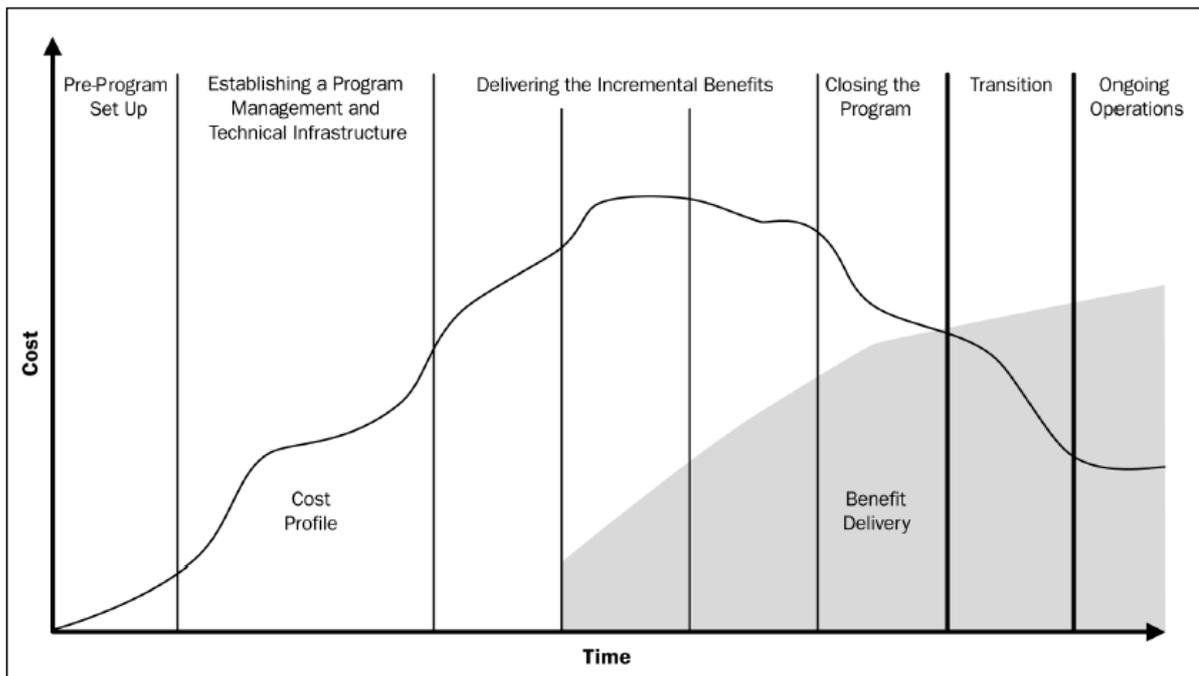
- The coordinator of MARTEC ERA-Net.
- Other participant of MARTEC.
- A board of managers with a representative of any participant in MARTEC and the coordinator of MARTEC as the head-manager.
- Other entities, external to MARTEC with experience and capability enough to accomplish the tasks.

To decide the best Programme Manager, we have analysed the answers of MARTEC consortium to questions 1 and 2 in the questionnaire, where the 70% of the countries said that the funding agency or ministry is responsible for both the evaluation and monitoring of projects.

In MARTEC-model 3 there is not a unique funding agency but a common pot for projects approved. In that case, we could set up a management agency composed by a representant of every funding agency participating in the common pot, but this kind of board of managers would be expensive and very difficult to coordinate.

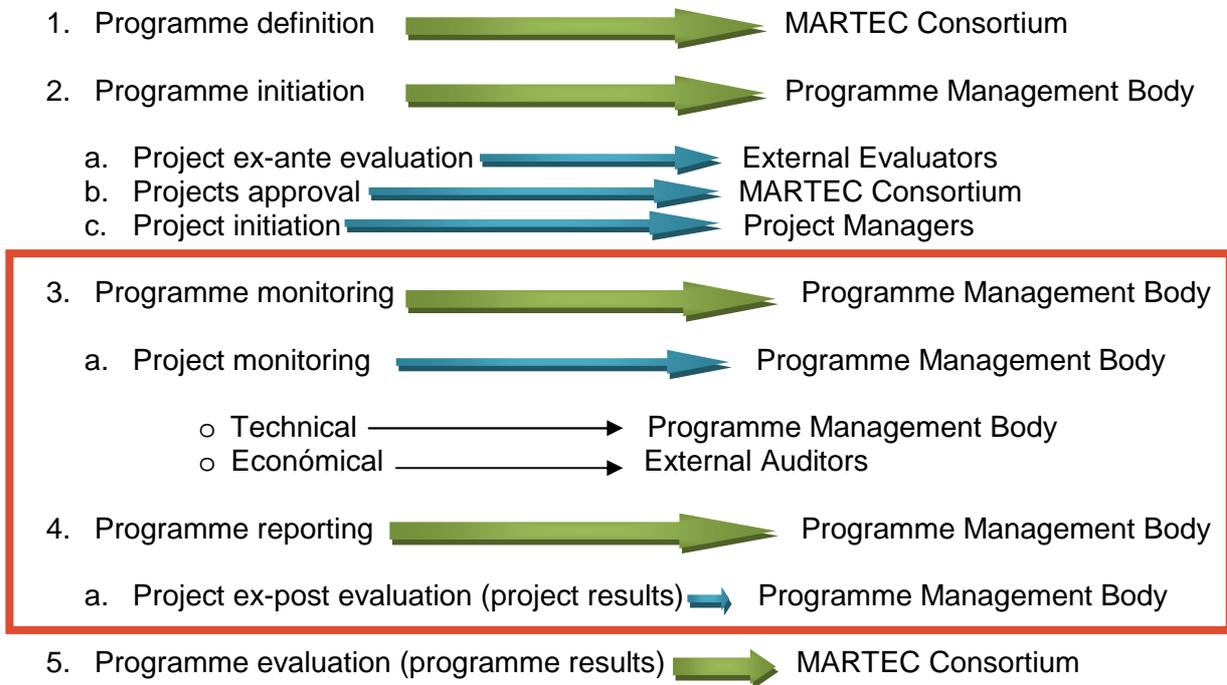
The most economical option is that the coordinator accepts the role of programme manager, but this would not ensure the imparciality and the best quality of the process. We have the same problem if any other participant is in charge of the programme management.

The best option is then to contract an external entity (which is in accordance with the 30% of the national procedures of MARTEC partners) that could be supervised by MARTEC consortium through the coordinator, but this decision will depend on the resources available to pay this service.



Typical cost and benefit profiles across the generic program life cycle

Once the management body is set up, it is very important to establish the different entities in charge of every step in MARTEC programme procedure:



Then, we go on with monitoring and reporting procedure (red squared steps).

STEP 2: MONITORING ON-GOING PROJECTS

Monitoring is the systematic process of collecting, measuring and consolidating performance information, and assessing indicator and trends to generate improvements. The monitoring process should ensure the participation of all stakeholders and beneficiaries.

The overall objectives of the monitoring process are to:

- o Track and review actual project accomplishments and results to project plans.
- o Revise the project plan to reflect accomplishments thus far, and to revise the plan for remaining work, if needed.
- o Provide visibility into progress as the project proceeds, so that the team and management can take corrective action early when project performance varies significantly from original plans.

We can talk about monitoring of projects and monitoring of programs:

- o Project monitoring is carried out during the execution of the project, with the objective of checking the execution of the activities and objectives foreseen and to introduce the necessary modifications.

- For programs, integrated change control involves redirecting or modifying the program as needed, based on feedback from individual projects. Programme monitoring focuses on individual project reporting to understand each project's performance as it relates to the overall program, as well as reporting on non-project deliverables being produced at the program level. So, it ensures the work stays on course, measures progress toward objectives, identifies problems, defines any variance between the planned programme and the actual programme and informs programme managers of needed change.

The project monitoring process will be used by the MARTEC programme and project managers to ensure the satisfactory progress to the project goals. In most of the cases the monitoring consists in a financial justification of the use of the granted funds and the presentation of an annual report with the advances of the project. So, the purpose is to track all major variables of MARTEC on-going projects: cost, time, scope, and accomplishment of objectives.

These indicators (cost, time, scope, objectives) can be evaluated (monitored) through several methodologies as reports, interviews, questionnaires, site visits, audits, etc.

In MARTEC (model 3) we propose next procedure for monitoring on-going projects (we have also taken into account the information gathered from questionnaire in task 1.2 MARTEC II (see annex 1) and all the previous information recopilated through this deliverable):

➤ Technical and economical annual report (annex 2)

According to question 3 of the questionnaire, in the 80% of MARTEC partners the coordinator is in charge of reporting. Only Poland, Turkey, Spain, Germany and Iceland demands extra individual reports of each partner participating in a collaborative project.

According also to questions 7 and 9 it is possible to know how the projects are monitored in each country and which kind of report is compulsory. Every country demands written reports, with both technical (deliverables and analysis of the progress of work) and economical information (audits), minimum one per year, and few countries require two or more reports, even interviews and site visits, that is realized in rest of countries only for some projects. The frequency of monitoring in MARTEC partners is specified in question 9 of the questionnaire where one written report per year is the most used mechanism of monitoring projects. And the period of time available for delivering this report is in questions 10-11 (2-3 months is applicable to nearly every participant).

To make MARTEC procedure simpler and less expensive, we have decided to demand one compulsory report by year made by the project manager and delivered within 3 months after the end of the reporting period (one year).

In resume and with the analisis of the information of the questionnarie, we have decided that the annual report shall include:

- Updates to the plan and schedule, to reflect actual progress of work towards the objective of the project, including achievements and attainment of any milestones and deliverables identified. Updates to lists of action items, risks, problems, and issues.
- Explanation of the use of the resources: comparisons of actual costs to budgeted costs, as well as the cost/benefit analysis used when starting the project.

➤ Economical audits (annex 3)

We have analyzed the compulsory economical information that every MARTEC country demand at national level (question 6 of the questionnaire) and an economical audit is compulsory in any case, a 60% of these audits are made by the agency and the rest (40%) is made by independent auditors.

So, according to this, MARTEC Management Body should be in charge of auditing cost of on-going projects. However, this process may be very expensive and difficult to manage as international cooperation projects have participation of several countries what implies increasing travel costs.

That is why we have decided to implement one compulsory audit for every project made by an external auditor selected by the project manager and delivered within 3 months after the end of the reporting period (one year), according to MARTEC requirements (see model in annex 3).

The MARTEC Management Body will be responsible for the evaluation of this annual report, and could be supported by the pool of evaluators who participated in the evaluation ex-ante of that project.

In questions 7-8 of the questionnaire we said that many countries not only demand the audit report but also interviews and site visits are a common procedure to monitor projects. For that reason we recommend in MARTEC monitoring procedure to schedule a number of site visits and interviews to evaluate the projects and verify these reports and audits. It would be a good practice to monitor "in situ" at least a 10% of projects, but it will depend also on the available budget to manage the entire programme.

In case of the project manager applies for modifications during the project life, the countries participating in MARTEC have very different ways to proceed (questions 14-15 of questionnaire). Related to time, extension or shortening of projects is permitted in 70% of countries and usually have to be approved by the funding agency. Related to budget, increasing is exceptional and only in some cases is allowed the reduction, always approved by the funding agency. Related to execution, modifications are permitted in the 80% of countries, but always must be approved by the funding agency.

With this information is very difficult to decide the best way to evaluate and allow modification to projects. For MARTEC procedure we have decided:

- Modifications related to budget are not allowed. Only in exceptional case of reducing the budget and giving not spent money back.

- Modifications related to time are allowed if well justified and always must be approved by Martec Management Body.
- Modifications to execution are allowed if well justified and always must be approved by Martec Management Body. Only in exceptional cases where the changes proposed may compromise the expected results it will be necessary the participation of the external evaluators in the approval of such kind of modifications.

STEP 3: REPORTING FINISHED PROJECTS

Programme reporting consist of periodic assessments of how well the programme has been implemented (programme success) and how programmes affect change (measures impact) based on defined objectives and indicators established at start-up. It provides a basis for decisions on future direction. Its purpose is to study the work in terms of its objectives, effectiveness, impact, efficiency and sustainability. A participatory approach helps ensure results will be accepted.

Mainly, **programme reporting is based on individual projects reporting**. There are three types of reporting finished projects, taking into account the time schedule of the expected evaluation:

- Final evaluation: assessment based on the comparison of the results of the project with the objectives and prospective results.
- Ex-post evaluation: focus on the direct results of the projects in the short term.
- Impact evaluation: impact analysis focuses on the longer term changes resulting from the programme within 7-10 years.

The reporting in MARTEC is carried out once concluded the project, with the objective of determining its success, as well as the results, effects and impacts that it has taken place. So, MARTEC reporting will focus on the final evaluation of finished projects and a final report made by the project manager will be the main tool.

This final report is compulsory for any MARTEC finalised project, must be delivered within 3 months after the end of the project and shall be based on the comparison of the results of the project with the objectives and prospective results. As indicator of quality we will use the quantity and the impact of the results (publications, patents).

Taking into account the answers to questions 16, 17 and 20 of the questionnaire, the final report shall comprise:

- A summary report which includes: an executive summary, a summary description of project context and objectives, a description of the main S&T results, the potential impact (including the socio-economic impact of the project) and the main dissemination activities and exploitation of results/foregrounds.
- A plan for the use and dissemination of foreground, to spread awareness. According to question 18 of the questionnaire, the 40% of MARTEC countries demand a compulsory dissemination plan. So in MARTEC reporting procedure we have decided to include it. The project manager will be also required to submit a full list of publications relating to foreground of the project, papers and patents.

According to question 21, 60% of countries have this final report publicly available, but usually only a brief summary. So, for MARTEC reporting procedure we also expect to have some kind of summary (part of the final and complete report) that will be accessible to public in web page. To do this, MARTEC will take special care of confidentiality, as the beneficiaries (MARTEC applicants) will own the results of their projects (see question 22 of the questionnaire where 80% of countries agree with that).

As in monitoring step, the evaluation of the final report will be in charge of the MARTEC Management Body, with the support of the external evaluators if needed.

The programme manager will gather all the final reports of every finalised project, in order to analyze the results and make a reporting document to deliver to MARTEC consortium, which is responsible for the monitoring of the MARTEC programme. This report will be based on the previously selected indicators in order to measure the impact and results of MARTEC Era-Net and will provide the basis to decide the future direction of the programme.

STEP 4: TRANSMISSION MODALITIES

In questions 4-5 of the questionnaire, MARTEC countries were asked about the report submission system used for monitoring and reporting projects at national level. A mixed system (some information in paper and other documents in electronic format) is used only in 30% of cases. Most of the countries require all technical and economical documents of the project in paper (45%) and also in electronic may be compulsory (in 20% of countries) or optional (30% of countries).

In order to make the procedure simpler, all documents related to monitoring and reporting in MARTEC will be delivered in electronic version by the project manager to the programme manager (MARTEC Management Body), unless those original documents that requires paper sign.

MARTEC manager will develop specific software in the web page to ensure the proposers the correct management and deliver of all documents with the required security and confidentiality.

ANNEX I

**RESULTS - Survey of project monitoring in Maritime Technology National RTD
Programs of MARTEC II members**

**Task 1.2: Procedures for common monitoring and reporting
MARTEC II**

1. Who is responsible for monitoring of projects in your country?

	BELARUS	LITUANIA	NETHERLAND	NORWAY	POLAND	SWEDEN	TURKEY	SPAIN	
The funding agency/Ministry	Tech+Eco	Eco	Eco	Tech+Eco		Tech+Eco	Tech+Eco	Tech+Eco	
The managing agency		Tech			Tech+Eco				
External consultants			Tech+Eco (15% of projects)		tech				

	GERMANY	DENMARK	FINLAND	FRANCE	ICELAND	ROMANIA	BULGARIA	GREECE	
The funding agency/Ministry		Tech+Eco	Tech+Eco	Tech+Eco	Tech+Eco		Tech+Eco	Tech+Eco	
The managing agency	Tech+Eco					Tech+Eco			
External consultants									

2. Is the entity responsible of monitoring, the same who did the evaluation?

	BELARUS	LITUANIA	NETHERLAND	NORWAY	POLAND	SWEDEN	TURKEY	SPAIN	
YES	x			x	x	x	x	x	
NO		x	x						

	GERMANY	DENMARK	FINLAND	FRANCE	ICELAND	ROMANIA	BULGARIA	GREECE	
YES	x	x	x	x	x	x	x	x	
NO									

3. In cooperation projects, how is the relation of partners with the funding or managing organization?

	BELARUS	LITUANIA	NETHERLAND	NORWAY	POLAND	SWEDEN	TURKEY	SPAIN	
Coordinator reports	x	x	x	x	x	x		x	
Each partner reports					x		x	x	

Deliverable 1.2: Common monitoring and reporting procedures

	GERMANY	DENMARK	FINLAND	FRANCE	ICELAND	ROMANIA	BULGARIA	GREECE	
Coordinator reports		x	x	x		x	x	x	
Each partner reports	x				x				

4. -5 Which report submission system is used? In case of a mixed system, What kinds of documents are sent in paper?

	BELARUS	LITUANIA	NETHERLAND	NORWAY	POLAND	SWEDEN	TURKEY	SPAIN	
Electronic			Optional	Obligatory	Obligatory	Obligatory		ALL	
Paper (indicate)			Optional		Obligatory				
Mixed	Obligatory (tech+eco in paper)	Obligatory (admin in paper)					Obligatory (Eco in paper)	Obligatory (admin in paper)	

	GERMANY	DENMARK	FINLAND	FRANCE	ICELAND	ROMANIA	BULGARIA	GREECE	
Electronic	Optional	Optional	Obligatory		Optional	Optional			
Paper (indicate)	Obligatory (tech+eco+ admin)	Obligatory (signed papers)	Optional (tech+eco+ admin)		Obligatory (tech+eco+ admin)	Obligatory (tech+eco+ admin)	Obligatory (tech+eco+ admin)	Obligatory (tech+eco+ admin)	
Mixed				Obligatory (eco in paper)					

6. Is necessary an economical audit done by a independent auditor?

	BELARUS	LITUANIA	NETHERLAND	NORWAY	POLAND	SWEDEN	TURKEY	SPAIN	
YES			x		X (depends on quantity of funding)		x	X	
NO	Made by agency	Made by agency		Made by agency		Made by agency			

	GERMANY	DENMARK	FINLAND	FRANCE	ICELAND	ROMANIA	BULGARIA	GREECE	
YES						x	x	x	
NO	Made by agency			x					

7. – 8 How are the projects monitored? All projects? What kind of written reports are used?

	BELARUS	LITUANIA	NETHERLAND	NORWAY	POLAND	SWEDEN	TURKEY	SPAIN	
Written Reports (Indicate)	Tech (deliverable) and Eco	Tech (progress of work) and Eco	Tech (progress of work)	Tech (deliverables and progress of work)+Eco+ Sociaetal+ Disseminate	Tech (progress of work) + Eco + Dissemin	Tech+Eco+ Sociaetal + Disseminate	Tech (deliverables and progress of work)+Eco	Tech (deliverables and progress of work)+Eco	
Interviews	All projects	Some projects		Some projects	Some projects			SOME	
Site visits		Some projects	15% of projects	Some projects	Some projects	Some projects	All projects	Most of them	

	GERMANY	DENMARK	FINLAND	FRANCE	ICELAND	ROMANIA	BULGARIA	GREECE	
Written Reports (Indicate)	Tech (deliverables and progress of work)	Tech (deliverables and progress of work)+Eco+ Sociaetal+ Disseminate	Tech (progress of work) and Eco						
Interviews	Some projects	Some projects	Some projects	All projects	Some projects	All projects	Some projects		
Site visits	Some projects	Some projects	Some projects	No	Some projects	Some projects	Some projects		

9. How frequently are projects monitored, revised and checked? How?

Deliverable 1.2: Common monitoring and reporting procedures

	BELARUS	LITUANIA	NETHERLAND	NORWAY	POLAND	SWEDEN	TURKEY	SPAIN	
Technical / scientific Monitoring	1 written report per year	one interview	two written reports and 15% site visits	two written reports per year	1 written report per year and site visits in case of desviation	2 written report and 2 site visits per year	2 written report and 2 site visits per year	1 per milestone	
Administrative/ financial Monitoring	1 written report per year	written report every milestone and one site visit		one written report per year	one written report per year	one written report per year	2 written report and 2 site visits per year	1 per milestone	

	GERMANY	DENMARK	FINLAND	FRANCE	ICELAND	ROMANIA	BULGARIA	GREECE	
Technical / scientific Monitoring	2 per year		1 per year						
Administrative/ financial Monitoring	1 per year		1 per year						

10. – 11 After each reporting period, How long is permitted for submitting the documents required? Approximately how long time does it take to make payment (grant) after the report is submitted?

	BELARUS	LITUANIA	NETHERLAND	NORWAY	POLAND	SWEDEN	TURKEY	SPAIN	
Time to report	1 month	2 months	13 weeks	1 month	3 months	1 month	3 months	3 months	
Time to payment	0-1 month	2-3 months	1-2 months	0-1 month	2-3 months	0-1 month	2-3 months	3 months	

	GERMANY	DENMARK	FINLAND	FRANCE	ICELAND	ROMANIA	BULGARIA	GREECE	
Time to report	6 weeks for 6 months report and 4 months for 1 year report		2-3 months		1 month	2 weeks	1 month	1 month	
Time to payment	1 month		2-3 months	1 month	1 month	3 months		Depending on avaliability of funds	

Deliverable 1.2: Common monitoring and reporting procedures

12. – 13 Is the pre-financing (advance payment) possible? Is it necessary to give some guarantee to the funding institution (bank guarantee, personal guarantee, etc)?

	BELARUS	LITUANIA	NETHERLAND	NORWAY	POLAND	SWEDEN	TURKEY	SPAIN	
NO		guarantee needed depending on the entity/sector		x					
YES (indicate)	two per reporting period up to 60%. No guarantee		One up to 80%. Needed guarantee.		One up to 80-100% per reporting period. No guarantee.	Depending on period and time. No guarantees	One up to 25%. Guarantee needed.	25% by agency Up to 75% by bank. Guarantee needed depending on budget and type of company (SME, BIG)	

	GERMANY	DENMARK	FINLAND	FRANCE	ICELAND	ROMANIA	BULGARIA	GREECE	
NO			x		x				
YES (indicate)	Only for universities			20% at beginning with guarantees		30% by milestone No guarantees	Only for universities	30-50% by milestone with guarantees	

14. – 15 Are modifications possible during the project life? who approves the modification?

	BELARUS	LITUANIA	NETHERLAND	NORWAY	POLAND	SWEDEN	TURKEY	SPAIN	
Related to time		Extension up to 30 % of the time. No limit shortening.	Approved by funding agency	No limit of extension or shortening	Time extension (usual)	Time extension	25% time extension	Up to 6 months	
Related to budget		Usually not increase.		Reduction	Increasing budget is		Additional internal	Reduction	

Deliverable 1.2: Common monitoring and reporting procedures

					exceptional		evolution process is mandatory for increases over %30		
Related to execution	Approved by funding agency and State Committee by Science and Technologies	Approved by funding agency and external consultants	Depending on breakthrough and PL changes. Approved by funding agency	Approved by funding agency and external experts	Approved by funding agency				

	GERMANY	DENMARK	FINLAND	FRANCE	ICELAND	ROMANIA	BULGARIA	GREECE	
Related to time	Exceptional	Approved by funding agency	yes	Yes (1 year max)	yes	No	No	Yes (30% max)	
Related to budget	Exceptional	Approved by funding agency	Exceptional	No	No	No	No	No	
Related to execution	Approved by funding agency	Approved by funding agency	Exceptional		Approved by funding agency	No	No	Approved by funding agency	

16. Are the **results** of projects assessed upon completion / withdrawal?

	BELARUS	LITUANIA	NETHERLAND	NORWAY	POLAND	SWEDEN	TURKEY	SPAIN	
NO									
YES (indicate)	According of solution of Acceptance Inspection, as usual results of all completed projects are assessed	Only completed projects	All projects (methodology)						

	GERMANY	DENMARK	FINLAND	FRANCE	ICELAND	ROMANIA	BULGARIA	GREECE	
--	---------	---------	---------	--------	---------	---------	----------	--------	--

Deliverable 1.2: Common monitoring and reporting procedures

NO									
YES (indicate)	Only report								

17. How are ex-post evaluations carried out in your country?

	BELARUS	LITHUANIA	NETHERLAND	NORWAY	POLAND	SWEDEN	TURKEY	SPAIN	
Self-assessment				x			x	x	
Stakeholder evaluation		x		x					
Publication impact	x								
Externally by consultants only			x	x	x				
Internally (specify the body)									
Externally by a committee / panel of experts	x				x				
Other (specify)				Variety of above			External experts		

	GERMANY	DENMARK	FINLAND	FRANCE	ICELAND	ROMANIA	BULGARIA	GREECE	
Self-assessment									
Stakeholder evaluation									
Publication impact									
Externally by consultants only	ex-post programm evaluation								
Internally (specify the body)	projects by Jülich								
Externally by a committee / panel of experts									
Other (specify)									

18. Is it compulsory a plan for the use and dissemination of foreground?

	BELARUS	LITUANIA	NETHERLAND	NORWAY	POLAND	SWEDEN	TURKEY	SPAIN	
NO		x	x		x	x	x	x	
YES	x			x					

	GERMANY	DENMARK	FINLAND	FRANCE	ICELAND	ROMANIA	BULGARIA	GREECE	
NO		Depending on applicant	x		x			x	
YES	x			x		x	x		

19. Is it compulsory to have a WEB of the project?

	BELARUS	LITUANIA	NETHERLAND	NORWAY	POLAND	SWEDEN	TURKEY	SPAIN	
NO	x	x	x		x	x	x	x	
YES				x					

	GERMANY	DENMARK	FINLAND	FRANCE	ICELAND	ROMANIA	BULGARIA	GREECE	
NO	x	x	x	x	x		x	x	
YES						x			

20. Is it compulsory to inform about?

	BELARUS	LITUANIA	NETHERLAND	NORWAY	POLAND	SWEDEN	TURKEY	SPAIN	
Papers	x		x	x	x				
Patents	x	x		x	x		x		
Spin off	x			x					
Media reports			x	x					
Others				x					

	GERMANY	DENMARK	FINLAND	FRANCE	ICELAND	ROMANIA	BULGARIA	GREECE	
Papers	SI	NO	NO	NO	NO	SI	SI	SI	
Patents	SI	NO	NO	NO	NO	SI	SI	SI	
Spin off	SI	NO	NO	NO	NO	NO	NO	NO	
Media reports	NO	NO	NO	NO	NO	NO	NO	NO	
Others	NO	NO	NO	NO	NO	NO	NO	NO	

21. Are reports publicly available?

	BELARUS	LITUANIA	NETHERLAND	NORWAY	POLAND	SWEDEN	TURKEY	SPAIN	
NO					Not compulsory		x	x	
YES	x	brief summary	brief summary	brief summary		Depends of secrecy			

	GERMANY	DENMARK	FINLAND	FRANCE	ICELAND	ROMANIA	BULGARIA	GREECE	
NO					x			x	
YES	Finally report (brief versión)	Some times depending on project	brief summary	brief summary		brief summary	x		

22. Who owns the results of the projects?

	BELARUS	LITUANIA	NETHERLAND	NORWAY	POLAND	SWEDEN	TURKEY	SPAIN	
Partners			x	x	x		x	x	
Funding agency									
Both	x	x							
Other						All possible			

	GERMANY	DENMARK	FINLAND	FRANCE	ICELAND	ROMANIA	BULGARIA	GREECE	
Partners	X	X	X	X	X	X	X	After 2 years	
Funding agency							X	First 2 years	
Both									
Other									

ANNEX II

ANNUAL (PERIODIC) TECHNICAL AND ECONOMICAL REPORT TEMPLATE

PROJECT: TITLE / CODE
ACRONIM: ACRONIM TITLE
COORDINATOR: COORDINATOR LEGAL NAME
PERIOD: MONTH/YEAR – MONTH/YEAR

ANNUAL (PERIODIC) TECHNICAL REPORT TEMPLATE PER WP (one for each WP)

Work Package: WP.X – Name of WP

1. DESCRIPTION OF WORK PER TASK (one for each task of the WP)

Task X.Y: Name of task

RESULTS:

Please, specify the main results.

DESCRIPTION OF WORK:

Please, specify the work done and the followed methodology.

HUMAR RESOURCES :

	PERSON MONTH	NUMBER OF PEOPLE INVOLVED
Foreseen		
Actual		

TECHNICAL RESOURCES:

FORESEEN:

Please specify the equipment and materials foreseen in the proposal for the development of the research

ACTUAL:

Please specify the actual equipment and materials used for the research. Explain the changes (if any)

2. DELIVERABLES OF WP X

Completed Deliverables of WP X

CODE	TASK	DELIVERABLE
	TASK CODE	DELIVERABLE NAME 1
DELIVERABLE CODE 1	Done by	% participation
	ENTITY 1	%
	ENTITY 2	%
	ENTITY n	%
DELIVERABLE CODE n	Done by	% participation
	ENTITY 1	%
	ENTITY 2	%
	ENTITY n	%

Running Deliverables of WP X

CODE	% foreseen	% actual	Delivery date foreseen	ENTITY/ES
DELIVERABLE CODE	%	%	DATE	ENTITY NAME
DELIVERABLE CODE	%	%	DATE	ENTITY NAME
DELIVERABLE CODE	%	%	DATE	ENTITY NAME

3. DEVIATIONS

In case of relevant changes or deviations, according to the foreseen work, please specify

PROPOSED MESURES FOR THE DEVIATIONS

In case of relevant changes or deviations, please specify measures for managing them

4 . Task progress

TASK	TASK NAME	MAIN ENTITY	% FORESEEN	% ACTUAL
CODE	NAME	ENTITY	%	%
CODE	NAME	ENTITY	%	%

FINANCIAL REPORT TEMPLATE

1. GLOBAL COSTS

TOTAL BUDJECT		
CONCEPT	FORESEEN	ACTUAL
EQUIPMENT		
PERSONEL		
MATERIALS		
SUBCONTRACTING		
MANAGEMENT		
OTHERS		
INDIRECT COSTS		
TOTAL		

Contractor's Certificate

We certify that:

- the costs declared above are directly related to the resources used to reach the objectives of the project ;
- the costs declared above fall within the definition of eligible costs specified in the contract.
- the above information declared is complete and true ;
- there is full supporting documentation to justify the information hereby declared. It will be made available at the request of the Programme Management Body

Contractor's Stamp	Name of the duly authorised legal representative
	Date
	Signature

2. PERSONNEL

PERSONEL				
Name	PM	COST PM	WP	TOTAL COST
Name 1				
Name 2				
Name 3				
Name 4				
Name n				
TOTAL				

3. EQUIPMENT

EQUIPMENT			
DESCRIPTION	WP	FORESEEN	ACTUAL
EQUIPMENT 1			
EQUIPMENT 2			
EQUIPMENT n			
TOTAL			

4. MATERIALS

MATERIALS			
DESCRIPTION	WP	FORESEEN	ACTUAL
MATERIAL 1			
MATERIAL 2			
MATERIAL n			
TOTAL			

5 SUBCONTRACTING

SUBCONTRACTING			
DESCRIPTION	WP	FORESEEN	ACTUAL
TOTAL			

6. OTHER

OTHER			
DESCRIPTION	WP	FORESEEN	ACTUAL
TOTAL			

ANNEX III

MODEL FOR AN AUDIT CERTIFICATE IN MARTEC PROJECTS

PROJECT: TITLE / CODE
ACRONIM: ACRONIM TITLE
COORDINATOR: COORDINATOR LEGAL NAME
PERIOD: MONTH/YEAR – MONTH/YEAR

MODEL FOR AN AUDIT CERTIFICATE IN MARTEC PROJECTS

Addressed to

[full name and the address of the contractor concerned]

We *[legal name of the audit firm]*, established in *[full address/city/state/province/country]* represented for signature of this audit certificate by *[[name and function of an authorised representative]*, hereby certify that:

- We have conducted an audit relating to the cost declared in the Financial Report per Activity of *[name of contractor]* hereinafter referred to as contractor, to which this audit certificate is attached, and which is to be presented to the MARTEC Programme Management Body (MPMB) under contract *[contract reference: title, acronym, number]* for the following period covered by the MPMB contract *[insert period(s) covered by the Financial Report per Activity]*.
- We confirm that our audit was carried out in accordance with generally accepted auditing standards respecting ethical rules and on the basis of the relevant provisions of the above referenced contract and its annexes.

The above mentioned Financial Report per Activity was(were) examined and all tests of the supporting documentation and accounting records deemed necessary were carried out in order to obtain reasonable assurance that, in our opinion, based on our audit:

- The amount of the total eligible costs (*[insert amount in number]* (*[insert amount in words]*)) declared in Box 1 of the attached Financial Report per Activity is complying with the following cumulative conditions:
 - they are actual and reflect the contractor's economic environment;
 - they are determined in accordance with the contractor's accounting principles;
 - they have been incurred during the periods covered by the Financial Report per Activity concerned by this audit certificate;
 - they are recorded in the accounts of the contractor at the date of the establishment of this audit certificate;
 - they are exclusive of any non-eligible costs identified below:
 - any identifiable indirect taxes, including VAT or duties;
 - interest owed;
 - provisions for possible future losses or charges;
 - exchange losses;
 - costs declared, incurred or reimbursed in respect of another National or Community project;
 - return on capital;
 - debt and debt service charges;
 - excessive or reckless expenditure;
 - they are claimed according to the following basis for the conversion rate used of EURO: (Specify the method).

- As declared in the Box 5 of the attached Financial Report per Activity, the contractor paid for this audit certificate a price equal to *([insert amount in number] ([insert amount in words])* in which VAT is equal to *([insert amount in number] ([insert amount in words])*.
- We have verified that as declared in Box 2, the expenditure in respect of costs come from own personnel staff of the beneficiary who has participated in the project.
- We have verified that as declared in Box 2, the time reported in Financial Report has a supporting document by a minimum of monthly hours certifications issued by the entity legal representative.
- The calculation of the personnel cost rate has been conducted in accordance with the following method (Specify).
- We have verified that the Financial Report has been signed by a person with sufficient authority to do so.



Date, Signature and Stamp of the audit firm