

# Reporting requirements for IMI1 periodic and final reports

## Guidance for participants

### Introduction

Participants have a **contractual obligation to report** (Art. II.4 of the Annex II – General Conditions of the Grant Agreement) to the IMI JU on their work progress, **submit due deliverables and declare project costs**.

Interim and final payments are made to participants on the basis of approved **periodic and final reports**.

Both the periodic and final reports consist of two parts, a **technical report** and a **financial report**.

The **periodic report** is a progress report which reflects the collaboration within the Consortium (EFPIA companies, IMI JU beneficiaries and other participants) to achieve the objectives of the project during the period referred to. This report sets the basis for the acceptance of the costs for the period under review.

The **final report** has to be submitted at the end of the project to capture the overall outputs, the potential impact, dissemination and exploitation of results.

#### 1) When are the periodic and final report due?

The **periodic report** is due yearly, at defined periods as planned in the Grant Agreement (Article 4 – Reporting periods and language of reports).

The periodic report shall be submitted by the Coordinator within 60 days of the end of each reporting period.

For the last reporting period, the final report template which includes periodic report for the last period should be used.

The **final report** shall be submitted by the Coordinator at the end of the project. The final report should gather additional information on the results, the plan for research used by participants and dissemination of foreground, as well as the wider socio-economic implications of the project. The information collected will help measurements of the overall success of the IMI programme.

The final report also includes the periodic report for the last period. A single template has been developed combining the periodic report and the final report. In the final report, only the financial reporting for the last period is to be included (including the financial statement (Form C) and the summary financial report).

**To note:** Within 30 days after receipt of the final payment the managing entity shall submit a report on the overall distribution of the IMI JU financial contribution between beneficiaries.

#### 2) Who prepares the report and how should it be submitted

The Project Coordinator and the IMI JU managing entity shall prepare the report with the help of the Work Package leaders.

The coordinator is responsible for ensuring that the report is submitted in a timely manner (within 60 days of the end of each reporting period).

The report and related supporting documents shall be sent by the project coordinator to IMI JU (scientific manager) both electronically and via surface mail. In particular:

- **Electronic submission:** A full pdf version of the periodic report and related supporting documents (Deliverables, Financial statements (Forms C), Certificate on Financial Statements (CFS)<sup>1</sup>, Summary Financial Report (SFR), etc.) must be submitted using the periodic report submission tab in SOFIA (<https://sofia.imi.europa.eu>).

**To note:** Once all required documents are uploaded in SOFIA, the 'Submit to IMI' button must be pressed to submit the report.

- **Submission of originals:** The original signed version of the coordinator's declaration page, all the signed Financial statements (Forms C), the signed Certificate on Financial Statements (CFS) and the signed Summary Financial report must be posted to the IMI JU scientific officer at the following address:

**IMI2 Joint Undertaking  
TO 56 6/3  
B-1049 Brussels  
Belgium**

### 3) What is the objective of the periodic report?

The objective of the periodic report is to describe the work carried out under the project summarising progress versus plan, and the achievements for the relevant period.

It is a progress report which provides an update on the scientific and financial aspects including:

- the degree of fulfilment of the project work plan for the relevant period;
- the continued relevance of the objectives and breakthrough potential;
- the synergies between industry, academia, SMEs and other stakeholders;
- the management quality of the project;
- any deviations to the Description of Work (Annex I of the Grant Agreement);
- the risks and possible mitigations;
- major achievements, the use and dissemination of results.

This report sets the basis for the acceptance of the costs for the period under review. It should be submitted together with the financial statement (Form C) and the summary financial report.

This report is not for public use, but the executive summary will be published.

### 4) Which information is requested for the periodic report?

Guidance notes for preparing the periodic report are given for each section of the [report template](#).

The periodic report covers both scientific (Technical report) and financial aspects (Financial report) of the project, including achievements for the related period, deliverables and milestones.

#### Deliverables

Deliverables are various outputs produced in the course of the project. A deliverable can be the explanation of a result, report on a specific activity, prototype, cell line, proposal of a new standard, etc. All deliverables for the relevant reporting period must be uploaded under the 'Deliverables Submission' tab in SOFIA before submission of the report.

#### Financial report

Information should be provided to support the costs claimed for the reporting period. It is submitted with the financial statements (Form C) and the summary financial report. Note that the financial statements must be filled in electronically via SOFIA (Submission OF Information Application - <https://sofia.imi.europa.eu>).

#### Financial Statements - Form C

<sup>1</sup> For further information please see also the [CFS IMI Guidance Note for beneficiaries and auditors](#) available on the IMI JU website.

The coordinator should invite each participant to complete the financial statement - Form C available in SOFIA. Once submitted, the forms should be printed, signed and uploaded in SOFIA.

The signed Forms C must then be posted to the scientific officer at IMI JU (see address above, point 2).

#### Certificate on Financial Statements (CFS)<sup>2</sup>

Signed Certificates on Financial Statements must also be uploaded when necessary. The original signed CFS must also be posted to the scientific officer at IMI JU (see address above, point 2).

#### Frequently occurring errors - Self-assessment checklist

When preparing the financial report participants have to carefully describe their costs according to the Grant Agreement rules, in particular Annex II, Article II.13. The enclosed "Self-assessment checklist" is suggested as guidance for the beneficiaries to be alerted of non-eligible costs already at the reporting stage, avoiding the most frequently occurring errors detected by the IMI JU.

The Checklist is accessible in "SOFIA > Public Area > Documents > IMI1 Checklist for beneficiaries' most common errors" or via the following link: [Checklist for beneficiaries IMI1 projects](#).

The Coordinator should distribute the document to all the beneficiaries of the projects to be referred to when reporting their costs. Beneficiaries are encouraged to go through the checklist each time when reporting their costs and contact the coordinator/managing entity, but only if the reply to any of the questions is 'NO'. If all is well - only 'YES' replies - they do not need to return the questionnaire. Nor does the questionnaire need to be returned to IMI.

### **5) Who reviews the report?**

The IMI JU scientific manager and the financial manager in charge of the project review the report. When additional information is needed, or the submission is incomplete, the time limit is suspended until the necessary information is received. This may delay the approval of the report and the payment to the beneficiaries.

### **6) What is the outcome of the review?**

The IMI JU scientific manager approves the report and informs the coordinator accordingly. The financial manager proceeds with the payment of the accepted costs. The Project Coordinator and IMI JU managing entity are informed accordingly.

### **7) For which other purpose(s) is the report used?**

Periodic reports are used by independent experts appointed by the IMI JU and Scientific Committee members during the mid-term and/or technical audits and reviews of the project. More information on this can be found in the [Q&A on interim technical reviews](#).

Periodic and final reports will also be used by IMI JU for communication highlighting project achievements. They may also be used by the Court of Auditors and external auditors appointed by IMI JU.

---

<sup>2</sup> For further information please see also the [CFS IMI Guidance Note for beneficiaries and auditors](#) available on the IMI JU website.

## Useful templates & guidance

**Periodic report template:**

[http://www.imi.europa.eu/sites/default/files/uploads/documents/ProjectDocs/Annex%201\\_PeriodicReportTemplate\\_final.docx](http://www.imi.europa.eu/sites/default/files/uploads/documents/ProjectDocs/Annex%201_PeriodicReportTemplate_final.docx)

**Final report template:**

[http://www.imi.europa.eu/sites/default/files/uploads/documents/ProjectDocs/FinalReportTemplate\\_IMI1\\_v2016-03.docx](http://www.imi.europa.eu/sites/default/files/uploads/documents/ProjectDocs/FinalReportTemplate_IMI1_v2016-03.docx)

**SOFIA Guidance for submission of periodic and final reports**

<https://sofia.imi.europa.eu/HttpHandlers/DocumentHandler.ashx?fileid=097b86f4-1c89-43c4-8cfe-4c4803335e02>

**Certificate on Financial Statements template:**

[http://www.imi.europa.eu/sites/default/files/uploads/documents/Rev\\_Grant\\_Agreement\\_2011/IMI\\_Grant\\_Agreement\\_rev2012\\_Annex\\_VI.pdf](http://www.imi.europa.eu/sites/default/files/uploads/documents/Rev_Grant_Agreement_2011/IMI_Grant_Agreement_rev2012_Annex_VI.pdf)

**CFS Guidance Note for beneficiaries and auditors:**

[http://www.imi.europa.eu/sites/default/files/uploads/documents/IMI1/IMIGuidanceNotes\\_CFS.pdf](http://www.imi.europa.eu/sites/default/files/uploads/documents/IMI1/IMIGuidanceNotes_CFS.pdf)