Content
1 Introduction ............................................................................................................................................. 2
2 Level of information ............................................................................................................................. 2
3 Timing .................................................................................................................................................... 2
4 Reporting: Project Progress Report ..................................................................................................... 3
  4.1 How to submit a Project Progress Report (PPR)? ......................................................................... 3
  4.2 How is a PPR assessed? .................................................................................................................... 3
  4.3 Exceptional reporting ....................................................................................................................... 3
5 Monitoring ............................................................................................................................................. 3
  5.1 Project Reviews .................................................................................................................................. 4
  5.2 Checklist for SMART project review .............................................................................................. 4
6 Post-closure project reporting ............................................................................................................. 6
7 Change Request ...................................................................................................................................... 6
8 Contact .................................................................................................................................................. 6
1 Introduction

A requirement of the SMART program is to maintain an effective reporting and monitoring process covering administrative and technical aspects of SMART projects.

**Reporting** is organized to inform on the progress of projects with respect to existing plans.
- Based on the information generated by the Project Progress Report (PPR), the SMART team will report to the SMART Executive Committee and to the SMART Public Authorities (PAb) on the progress of the program and on each individual project.
- The information received at project level will be combined with available data on the technical and marketing environment and with key information on the Program (e.g. statistics on participation) to produce a Program Review.

**Monitoring** is organized to evaluate the progress of the projects and to readjust current plans, if necessary.
- Project monitoring is established as a regular activity to provide the appropriate information as well as to initiate changes in the program or in projects, if necessary.
- Additional monitoring can be initiated either by the SMART office, the Technical Committee, the SMART Executive Committee or by the PAs.

The SMART Executive Committee and the PAs will use the results of the reporting and monitoring of SMART projects in their decisions to either maintain or withdraw the SMART label and/or to continue or stop the funding.

Each national PA may require additional specific information (e.g. financial details, technical reports/reviews, etc.) from its project contractors according to specific national regulations.

To ensure the consistency of the project data available to the SMART office and to the PAs, a continuous exchange of information between SMART office and the PAs takes place.

2 Level of information

As a principle, reporting and monitoring should not go beyond the information level of a Full Project Proposal (FPP). The SMART office may however ask the project partners to improve the quality of information in the FPP, if considered necessary. If the information given in a Project Progress Report is not sufficient, an ad-hoc project review team may be installed by the Technical Committee.

3 Timing

The first Project Progress Report (PPR) is required to be submitted 6 months after the project starts, and yearly thereafter. Written reports will be supplemented, when necessary, by face to face monitoring reviews, the first taking place 12 months after the official project start date and then repeated annually.
4 Reporting: Project Progress Report

4.1 How to submit a Project Progress Report (PPR)?

The expected content for a PPR is detailed in the document titled: Project Progress Report template - available in the SMART web page, together with detailed instructions on how it should be completed and submitted.

4.2 How is a PPR assessed?

1. A minimum of two Technical Committee members (where possible those following the project and) first evaluate the PPR independently of one another; then they consolidate their evaluation in a single PPR evaluation report. The names of the involved reviewers remain confidential.

2. This PPR evaluation report is delivered to the PL for further processing of the recommendations.

3. If felt necessary by the Technical Committee, a project check-up team (two Technical Committee reviewers) can be instated to review the project in more detail and propose to the PL recommendations for improvement. In the event of a failure to execute these recommendations, information for action is conveyed to the SMART Executive Committee.

4.3 Exceptional reporting

Major problems appearing in a project should be reported promptly by the PL to the SMART office.

The office team might communicate them to the Technical Committee members following the project, and might make a recommendation to be first approved by them and then communicated to the PL.

If problems remain, the Technical Committee may decide to instate a project check-up team to review the project in detail. The conclusions of the project check-up team and/or the review meeting results will be made available to the Technical Committee and SMART Executive Committee. Should severe problems remain, which could affect the overall SMART program, the SMART Executive Committee and PAs will be informed and make a final decision.

If a project is in danger of not being completed, the SMART Executive Committee may decide to:
- enforce the necessary changes by means of a Change Request,
- exclude the partner(s) responsible for the non-completion,
- withdraw the SMART label,
- inform the PAs.

5 Monitoring

Monitoring consists of the evaluation and verification of project progress to re-assess existing plans and, if necessary, get them adjusted. Monitoring by the SMART office and Technical Committee, accompanied by representatives of the PAs, is done at project level.
For that purpose, information as described below will be used:
- Full Project Proposals (FPP),
- Reports with comments by Technical Committee, if any,
- Results of meetings, including project reviews,
- Data on market situation, competition, etc.

### 5.1 Project Reviews

Project monitoring is the regular evaluation of project progress by means of project reviews aiming to guarantee the progress and quality of the projects and, if necessary, to initiate changes. Reviews will take place annually, the first taking place 12 months after the official start of the project. Reviews can be made remotely by the reviewers based on the received PPR or take place at a location mutually convenient to all parties involved.

The project review is organized and facilitated by the project mentor, and performed by a minimum of two assigned reviewers of the Technical Committee together with the program office and, optionally, an additional expert assigned by the PAs as an external reviewer. The attending external experts assigned by PAs (if they do not belong to the PA organizations) will have signed a Non-Disclosure Agreement (NDA).

Monitoring comprises a review of technical progress with respect to the commitments stated in the current version of the FPP. This includes checking and verifying the milestones and deliverables, the cooperation between project partners and with other projects as well as the utilization of human resources. Monitoring at this level will be based on the FPPs and PPRs, together with the available public and consortium-confidential deliverables.

The review meetings and their outputs are intended to help and improve projects. Project consortia must provide deliverables (both public and private) in time, by sending them to the SMART Office two weeks before the review. These deliverables will be analyzed by the reviewers to gain a better understanding of the overall achievements of the project.

The Public Authorities are also invited to take part in the monitoring process: they will nominate reviewers, teaming-up with the Program Director and the Steering group reviewers in the Project review meetings.

### 5.2 Checklist for SMART project review

*(questions to be answered in the project review)*

The project review will be assessed according to the following criteria:

1. Presentation of technical achievements
2. Manpower involved
   - Do all partners work with the manpower dedicated to the project in the FPP?
   - Is the contracted money expected to be utilized?
3. Progress of the work
   - Is today’s status in line with the results promised in the FPP?
   - Are the milestones/deliverables reached up to now?
- Will later milestones/deliverables be reached?
- List of milestones/deliverables planned versus actual status
- Are delays expected?
- Necessary actions on deviations
- Funding status

4. Co-operation between partners within the reviewed project

- In which ways is the co-operation organized?
- What are the dependencies between the results?
- Experience of work sharing?
- Means of result exchange?
- Limitations to exchange results?
- Benefits of co-operation?

5. Co-ordination with other projects

- What is the information flow between the reviewed project and other related projects?
- Is there an information flow with other relevant projects (inside and outside SMART)?

6. Preparation for necessary future modifications

- Have risks been assessed and are mitigation plans in place?
- Are there plans for changes in the project?

7. Competitive situation

- How do the project partners compare the status of their work/the expected results with competitors?
- Is world competitiveness achievable? By which means?
- Is it possible to exploit the expected results commercially?
- To what extent does the project take care of IPR results?
- Are there activities in standardization bodies?

8. Exploitation/Dissemination Activities

- What is the status of exploitation commitments/contracts?
- Are project partners willing and able to exploit project results?
- Are companies outside the project involved (European/non-European)?

9. Problem report

- Are there serious problems which require a decision by the Technical Experts Group, and or escalation to the SMART Executive Committee?
- Are there proposals for solutions?

10. Miscellaneous

- What specific results are suitable to be presented at SMART
6 Post-closure project reporting

The project consortia must communicate to the Public Authorities the impact of the funding investment made by their country. In many cases, this impact, in terms of exploitation as well as, sometimes, in terms of dissemination, is not visible at the time of the project completion. Therefore, at the final Project Review, emphasis must be put on the exploitation prospects and dissemination plans of the project results.

In addition, upon request and up to six years after the completion of the project, the PL must inform the SMART office of the latest developments concerning exploitation, standardization, dissemination, patent applications and the creation of spin-offs. Public project websites must be available for at least 2 years after the project completion.

For more information on Impact Assessment please see the separate “How it Works” document, available from late 2017 in the SMART Project Zone

7 Change Request

To allow the adjustment of existing plans at project level, a Change Request procedure has been established. The procedure is detailed in the guidelines: “Changes in a SMART project”.

8 Contact

For any questions on these guidelines please contact the SMART office.