

Project  
Reporting  
and  
monitoring  
guide



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## 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 Board of Directors and to the SMART Public Authorities (PA) 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 Board of Directors or by the PAs. In particular, both EUREKA general KPIs as well as specific SMART KPIs will be measured in order to determine the impact of SMART endorsed projects.

The SMART Board of Directors 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 defined 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.

The next figure represents, as an example for a project lasting 3 years, the different project reporting deadlines and the monitoring activities developed by the SMART office and the Technical Committee.

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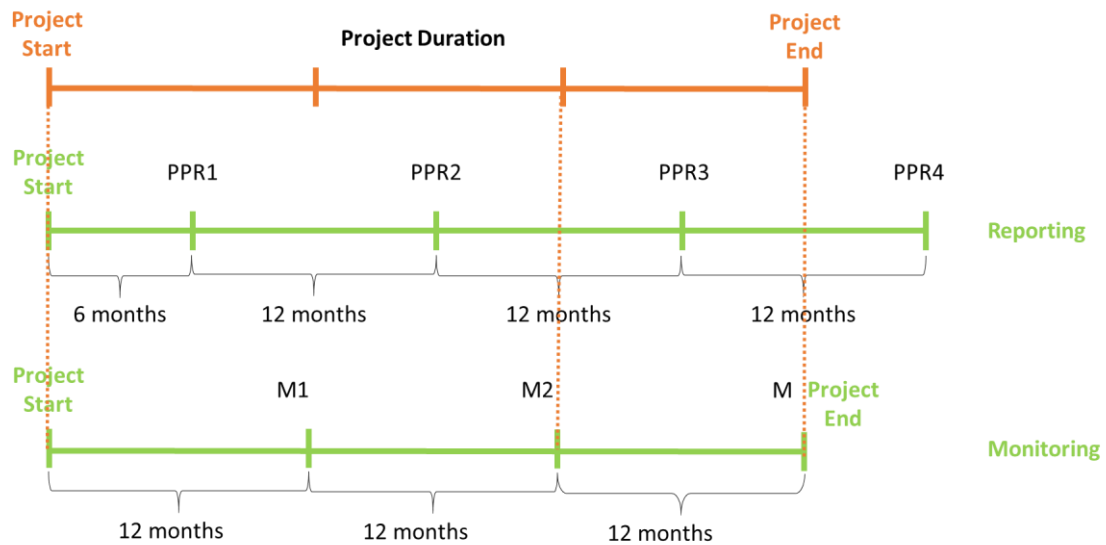


Fig. 1 Example of Project reporting and monitoring activities for a project lasting 3 years

## 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 Review Team composed by Members of the SMART Office and/or the Technical Committee (where possible those following the project and) first evaluate the PPR independently; 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 Project Leader (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 Board of Directors.

### 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 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 Review Team 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 Board of Directors. Should severe problems remain, which could affect the overall SMART program, the SMART Board of Directors and PAs will be informed and make a final decision.

If a project is in danger of not being completed, the SMART Board of Directors 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/or Technical Committee, accompanied by representatives of the Pas if needed, is done at project level.

For that purpose, information as described below will be used:

- Full Project Proposal document (FPP) – Description of activities, in which the activities to be performed are described (it must be noted that any change/update in the activities and/or objectives must be consequently recorded in an updated description of activities document.
- Reports with comments by Review Team, 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 guaranty 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 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

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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

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- 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 Committee, and or escalation to the SMART Board of Directors?
- 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.

As it appears at the *Project Progress Report template* - available in the SMART web page, SMART Cluster office has identified a number of Key Performance Indicators (KPIs), in order to guide project partners in the identification and quantified measurement of project impact.

The 15 SMART KPIs identified are listed in the following table. Whenever possible, they should be measured and reported by all the participating entities and conveniently gathered by the Project Leader to the SMART office:

Nº	KEY PERFORMANCE INDICATORS (KPIs)	VALUE
1	Number of new products that have been developed;	
2	Number of products that have been improved;	
3	Number of new companies commercializing results;	
4	Number of new employees hired by the partner organisations	
5	Number of patents.	
6	Additional turnover (M€/y)	
7	Leveraged investment (M€/y)	
8	Return of Investment (years)	
9	Competitive growth (% reduction in unit cost)	
10	Market share increase (%)	
11	Cost savings generated by development of technologies (M€/y)	
12	Materials saving (Tn/y)	
13	Time to market acceleration (y)	
14	New knowledge and markets (number)	
15	Number of publications in journals	

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.

## 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.