

MANUAL FOR BENEFICIARIES

Updated 01/02/2016

 <p>European Commission Innovation and Networks Executive Agency (INEA)</p> <p>Connecting Europe Facility</p>	<p>Action Status Report (ASR) Reporting period: 1st January 201X/start date of the Action- 31st December201X)</p>
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1. INFORMATION ON THE ACTION	
Grant Agreement N°	INEA/CEF/....
Action number	
Action title	
PCI (for energy only)	

Author of the report	
Name	
Position	
Entity	
Telephone N°	
E-mail	

2. INFORMATION ON THE PROGRESS OF THE ACTION (GA II.23.1.1.c or SESAR FPA II.23.1b.c)

2.1. Overall progress of the Action

Planned dates (GA)		Previous ASR dates		Actual/foreseen dates		Progress achieved at the end of the reporting period (%)*
Start	End	Start	End	Start	End	
*Please explain how the percentage of the progress achieved has been estimated/calculated						

This section addresses the Action's actual technical progress in comparison to the original plans as stated in the Grant Agreement (GA).

Planned dates (GA): These are the start and end dates of the Action as set out in the Grant Agreement currently in force.

Previous ASR dates: If applicable, these are the start and end dates of the Action reported in last year's ASR (N/A in 2016)

Actual/foreseen dates: These are the actual updated start and end dates of the Action.

Progress achieved at the end of the reporting period (%): Insert the percentage technical progress that the Action has achieved at the end of the reporting period (until 31st December 2015). It must not be more than 100%. Please explain the methodology on how this value has been calculated. For example, is it based on the financial progress or on a weighted technical progress? The percentage you have encoded should be consistent with the percentage you have to encode in part 6.1 table. For example, if the progress achieved at the end of the reporting period is reported to be 50%, this same percentage is to be encoded in part 6.1 table for the year 2015. If applicable, please refer to part 6.1 on how to report progress achieved during 2014.

Overview of progress since the start of the Action

The overview should include a description of the actual progress at the end of the reporting period, referring to the main issues, milestones and events that affected progress.

This section addresses the Action's actual technical progress in comparison to the Grant Agreement.

This overview should include a brief description of the Action's actual progress, by activity, at the end of the reporting period.

What activities are currently ongoing and what has been finalised in this reporting period? Are there any delays? If so, please explain and describe how, if at all, they affect other activities and the Action's end date. What milestones have been completed? Are any of them delayed? Please justify and explain what impact this may have on the Action's implementation.

2.2. Progress per activity

Activity 1	Title	Planned Start/End date (GA)		Previous ASR Start/end dates		Actual/Foreseen Start/End date		Progress achieved at the end of the reporting period (%)*
*Please explain how the percentage of the progress achieved has been estimated/calculated								
Milestone no	Title ¹	Planned completion date		Previous ASR date	Actual/Foreseen completion date		Reached (Y/N)	
1								
Explanation for any deviation from planned completion date								
2								
Explanation for any deviation from planned completion date								
3								
Explanation for any deviation from planned completion date								

Progress achieved at the end of the reporting period (%): Insert the percentage technical progress that the activity has achieved at the end of the reporting period (until 31st December 2015). It must not be more than 100%. Please explain the methodology on how this value has been calculated. For example, is it based on the financial progress or on a weighted technical progress? The percentage you have encoded should be consistent with the percentage you have to encode in part 6.1 table. For example, if the progress achieved at the end of the reporting period is reported to be 40%, this same percentage is to be encoded in part 6.1 table for the year 2015. If applicable, please refer to part 6.1 how to report progress achieved during 2014.

2.3 Description of the activities' progress in the reporting period

- a)** Provide a description of the actual progress of the activities compared to what was planned (as stated in the Grant Agreement for the first ASR, otherwise in the previous ASR). Provide a justification for any planned activities which were not carried out.
- b)** Provide information on any new task that was not planned during the reporting period, but was considered necessary for the successful implementation of the Action (even if outside the Action).

This section addresses the Action's actual technical progress at activity level in comparison to the Grant Agreement or (if this is not the first ASR) to the progress reported in last year's ASR:

1) For example, have all activity end dates been maintained? How does the Action's technical progress deviate from what was planned? Have milestones been delayed? If there are any differences, how can you justify this? What mitigating measures have you put in place to ensure further delays/changes do not occur?

2) If applicable to your Action, have any new, previously unforeseen tasks been carried out during this reporting period? For example, an additional study was needed; an additional building permit was requested, etc. Identify these new tasks and describe how they have been considered necessary for the successful implementation of the Action.

2.4. Conclusions on preliminary results of the Action achieved in the reporting period, including the impact of the possible deviations from the planned activities and milestones on 1) the objectives of the Action, 2) the completion of the planned activities, 3) the cost-breakdown and 4) Action end date.

- 1) objectives of the Action
- 2) completion of the planned activities
- 3) cost-breakdown
- 4) Action end date

Please note that amendments to the Grant Agreement should be an exception. Mention of deviations in the ASR does not constitute acceptance of the

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modification. In line with Article II.12 of the Grant Agreement, beneficiaries/Coordinator are to officially submit a duly justified and substantiated request for an amendment at the latest 3 months before Action's end date. In addition, amendments shall not have the purpose or the effect of making changes which would call into question the award of the Grant.

The information should conclude on these elements: i) the preliminary results achieved within the reporting period and/or ii) the impact of these results on the objectives of the Actions and/or on the completion of the planned activities and/or cost breakdown and/or Action end date. In case the Action does not have any deviation please choose at least one element (tick the box) and describe the link between the result and that element. In case there are deviations (more than one box could be ticked) please summarise the consequences of the Action's actual technical progress during the reporting period on:

1) The objectives of the Action: have there been any deviations to the Action's objectives during the reporting period? If so, please explain what and why? For example, for works, have technical difficulties meant that scope has increased/decreased/changed? What measures have been put in place to mitigate this?

2) The completion of the planned activities: have there been any deviations to the completion of the planned activities? If so, please explain what and why? For example, for works, have delays due to technical difficulties meant that some activities will be delayed or end sooner than expected? What measures have been put in place to mitigate this?

3) The cost-breakdown: have there been any deviations to the cost-breakdown (per activity)? If so, please explain what and why? For example, for works, the cost of the raw materials has increased and there are cost overruns affecting the entire Action. What measures have been put in place to mitigate this?

4) Action end date: have there been any deviations to the Action's end date? If so, please explain why and by how long? For example, due to the delays in activities x and y caused by the procurement procedure, the Action is expected to end with a z month delay. What measures have been put in place to mitigate this?

2.5. Description of the activities' progress planned in the next reporting period and until the end of implementation of the Action

Provide a description of the:

- a)** *planned progress of the activities in the next reporting period.*
- b)** *planned progress of the activities to be performed beyond the next reporting period up until the end of the implementation of the Action (if the next reporting period is not the last one).*
- c)** *tasks related to the compliance with the EU legislation (such as environmental, procurement, etc.).*

This section addresses the Action's future implementation plans. Provide a description of:

- a) What activities are expected to be carried out in the next reporting period? What milestones will be finalised?
- b) To be answered only if this is **not** the Action's last year of implementation. Describe what activities are going to be carried out in the following reporting period if it is not the last year of the action. What milestones will be finalised?
- c) Are there any pending issues regarding compliance with EU and national legislation? In some specific cases it is worthwhile to check the text of the Grant Agreement (Annex I) should there be any specific environmentally related clauses linked to the disbursement of EU financial aid. If there are, these should be addressed in this section.

3. VISIBILITY OF UNION FUNDING (GA II.23.1.1.i or SESAR FPA II.23.1b.1)

What measures have been taken within the reporting period to publicise the Action, including EU funding (GA II.7.1)?

Describe the measures which have been taken to publicise the Action and the EU funding during the reporting period.

Examples include: Information on your website, billboards visible to the public during construction (works), permanent commemorative plaque after completion (works), logo on cover of study reports, articles, presentations, events such as inauguration, press conferences, etc.

4. OTHER SOURCES OF EUROPEAN UNION FUNDS (CEF-E only, GA II.23.1.1.m)

If applicable, provide information about other sources of EU funds (CEF, ERDF, Cohesion Fund, H2020, TEN, EEPR, EIPA, etc.) used for the project of common interest (e.g. previous or subsequent phases not covered by the Grant Agreement).

5. COMPLIANCE WITH EU LEGISLATION (GA.II.23.1.1g and h, or SESAR FPA II.23.1b.g and h)

5.1. Environmental information within the reporting period: overview of environmental aspects, compliance with EU and national legislation, possible issues during the implementation of the Action and measures taken.

Identify any relevant environmental aspects of the Action within the reporting period and until the end of implementation of the Action.

For example, what are the key environmental issues expected to impact the Action (if any)? (ex: river diversion, finalisation of EIA documentation, etc.). How have they been addressed?

Also, are there any pending issues regarding compliance with EU and national legislation? In some specific cases it is worthwhile to check the text of the Grant Agreement (Annex I) should there be any specific environmentally related

clauses linked to the disbursement of EU financial aid. If there are, these should be addressed in this section.

5.2. Where relevant, information on the compliance with EU legislation:

- information on the contracts awarded for the implementation of the Action and on compliance with the requirements set out in GA II.9 and II.10
- regarding other matters, notably public procurement, competition, regulatory matters, etc.

Article II.9 refers to the "Award of contracts necessary for the implementation of the Action" and Article II.10 refers to "Subcontracting of the tasks forming part of the Action".

Identify, concisely, the contracts awarded for the implementation of the Action. Ensure that the relationship between the contract title and the Action's scope is clear. Please provide the contractor's name, type of tendering procedure used and the date the tender was launched. Please note that Subcontracting covers the implementation by a third party of part of the Action.

If applicable, also please report on any relevant issues relating to competition (e.g. any state aid cases?), regulatory matters, etc.

6. IMPLEMENTATION SCHEDULE, GOVERNANCE AND MONITORING, OTHER RELEVANT ADMINISTRATIVE PROVISIONS (GA II.23.1.1.k and l, or SESAR FPA II.23.1b.k and l)

6.1. In the first ASR, information on implementation schedule, such as critical path, key performance rates and risk analysis; in subsequent ASR, information on any modifications and, if applicable, on the progress of the implementation of the arrangements referred to in previous ASR. If there are changes in the Action timetable as compared to the latest planning (Grant Agreement or last ASR), attach an updated Gantt chart.

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If this is the first ASR you submit for this Action: it is expected that you provide information on the Action's implementation schedule by identifying its critical path (attaching a Gantt chart or alike for this purpose is sufficient). If relevant identify any key performance indicators (ex: Contractor Performance, Assessment and Monitoring) to monitor its progress. Also, provide a concise update to the Action's risk analysis. You may use the risk analysis submitted in the proposal and update it in light of any new information. Identify the risks and concisely explain the mitigating measures in place to address them.

If this is NOT the first ASR you submit for this Action: if the Grant Agreement has undergone any amendments (which have been **formally** approved by the Agency, eg. extension of the Action's end date) please provide information on the Action's progress and the implementation arrangements which were referred to in the previous year's ASR. Furthermore, please report on any changes to the Action's planning foreseen. If so, what are they and what implications does this have for other activities, if any? If there are changes in the Action timetable, please attach an updated Gantt chart.

Action's implementation progress (cumulated %)								
	2014		2015		2016		year N	
Action level		Current ASR	Previous ASR	Current ASR	Previous ASR	Current ASR	Previous ASR	Current ASR
Activity		Current ASR	Previous ASR	Current ASR	Previous ASR	Current ASR	Previous ASR	Current ASR
1								
2								
3								

The percentages encoded at the end of the reporting period (until 31st December 2015) have to be consistent with those encoded in parts 2.1 and 2.2. Furthermore, any progress achieved during 2014 (if applicable) has to be encoded under the column dedicated to the year 2014.

6.2. In the first ASR, information on governance and monitoring of the Action, such as organisational structure, internal coordination, communication and reporting, and decision making process; in subsequent ASR, information on any modifications and, if applicable, on the progress of the implementation of the arrangements referred to in previous ASR.

If this is the first ASR you submit for this Action: please provide information on **WHO** does what and **HOW**. Provide a list of who is directly

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involved in the implementation of the Action. For example, which department is responsible for carrying out the works/studies? Briefly describe how the actors interact. Do weekly/monthly meetings take place for communications between departments or with contractors? What are the internal and external reporting requirements? Who makes the decisions?

If this is NOT the first ASR you submit for this Action: please update the information provided in the previous ASR.

6.3. In the first ASR, information on other relevant administrative provisions, such as quality controls and audits; in subsequent ASR, information on any modifications and, if applicable, on the progress of the implementation of the arrangements referred to in previous ASR.

If this is the first ASR you submit for this Action: please provide information on what quality controls measures are used internally (at the company/organisation level) and externally (at the national Member State level). For example, are there any departmental or national guidelines which are followed for quality control? Are ISO management standards in place? Have any audits of this Action taken place? If so, by whom and how are they followed up on?

If this is NOT the first ASR you submit for this Action: please update the information provided in the previous ASR.

ANNEX: Financial information (GA II.23.1.1.d to f, or SESAR FPA II.23.1b.d to f)

CERTIFICATION OF THE MEMBER STATE* (applicable only for ASR and for beneficiaries established in the European Union)	
Name	
Position	
Entity	
Telephone N°	
E-mail	
<p>In compliance with Article II.23.1 (or SESAR FPA II.23.1b) of the GA, it is certified that the information provided by the following Beneficiary(ies) in the ASR is full, reliable and true.</p> <p><input type="checkbox"/> Beneficiary 1</p> <p><input type="checkbox"/> Beneficiary 2</p> <p><input type="checkbox"/> Beneficiary 3</p> <p><input type="checkbox"/> Beneficiary n</p>	
Date and signature	
Stamp (optional)	

* In line with the terms of Art. 22 of the CEF Regulation

It is the responsibility of each beneficiary/the Coordinator to liaise with the competent authority in order to obtain the certification. Beneficiaries from third countries (outside the EU) do not have to provide a Member State certification. Please note that the ASR is only considered as admissible and complete when submitted with the certification.

A Member State can certify all the beneficiaries from that Country. For example, if there are 5 beneficiaries, 4 of whom are from Spain and 1 from Portugal, the Spanish competent authority can certify all 4 by providing ONE certification document.