



**Smart Open Services for European Patients
Open eHealth initiative for a European large scale pilot of
patient summary and electronic prescription**

**D5.3.1
epSOS APM Annual Report including communications
and contracts
(Period of activity covered: February 2011 - December 2011)**

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Executive summary

This annual APM progress report covers activities of the epSOS project between February 2011 and December 2011. The preceding half annual project management report (D5.3.3c) covered the period between September 2010 and February 2011. The two time periods combined represent the duration of reporting period 3 of epSOS which became effective with the submission of the amendment of March 28th 2011. With January 2011 being the official starting date of epSOS phase 2, this Annual APM report was scheduled for delivery at the end of December 2011.

From a content point of view, this report is covering developments of the second phase of epSOS which officially began in January 2011. The previous half annual management report (D5.3.3c) covered activities of the first phase of epSOS. More details on the transition between the two project phases and its repercussions can be found in chapters 1.2.2 regarding the joint activity reserve fund (now: joint activity budget) and chapter 1.3 on the Grant Agreement and Consortium Agreement process.

The key achievements of APM in this reporting period were the successful transition of the epSOS project into its new scope (content and beneficiaries), which required submission of two amendments to the Grant Agreement and a revision to the epSOS Consortium Agreement. These complex processes were supported by resource and financial planning tools provided by APM. Throughout the reporting period, APM continued its monitoring of resource use and expenditures, notably with an effort to provide full transparency on all use of the project's joint activity budget. Detailed guidance documentation to beneficiaries was produced in this reporting period on matters such as the financial and resource reporting requirements, the communication infrastructure and the guidelines on revision of resources.

This APM report will be incorporated in Deliverable D5.1.1 Annual Project Progress Report, which will also include subchapters by the project coordinator, technical project management and the industry team.

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Administrative Project Management

The following sections summarise key activities of APM in the reporting period and presents achievements in the domain of resources and activities reporting, general management assistance and communication support.

1.1 Overview on key developments in the reporting period relevant to APM work

In the reporting period 3, which covers the activities between September 2011 and December 2011, the epSOS project has undergone substantial changes in scope, objectives and governance which have all affected the work of the administrative project manager APM.

With the extension in duration of the epSOS project and the granting of additional EC funding, the project has also extended its scope to new beneficiaries and the inclusion of new use cases for specification and testing. This has resulted in several processes of re-thinking on the policy and management level to which APM has substantially contributed, jointly with the Technical Project Management lead (TPML) and the Project Coordinator (PC). The major changes were the change in the epSOS consortium agreement to accommodate the new number of beneficiaries and resulting changes in decision-making processes and the re-modelling of the resource allocation process in the second phase of epSOS which was built around the idea of core-teams and a split of activities between EU and national-level.

On a generic level, the activities of APM in the project can be subdivided in resources and activities management, contractual support (Grant Agreement/Consortium Agreement process) and communication infrastructure support. The activities and achievements in each of these will be outlined in the following sections.

1.2 Resources and Activities management

In the process of extending the project epSOS to new beneficiaries and a new workplan, APM has contributed tools:

- for resources planning during negotiation of project phase 2
- for financial planning
- for collecting financial information (for financial reporting to the EC)
- for collecting partner information (legal address, etc.) in the form of a webservice
- mailing lists for new working groups in project phase 2

All tools for resource and activities planning are based on MS Excel (and therefore compatible with all platforms) and are provided on the project management platform of the project (Projectplace) to ensure transparency about resources committed and resources used. Every beneficiary who has access to the project management platform can for example reallocate resources from one work package to another, based on resource revision guidelines formulated jointly by APM and the project management team. APM is tracking resource consumption for the two phases of the project. Until approval of the latest project amendment, submitted in December 2011, two separate MS Excel files will be upheld to record resource consumption for work packages following an epSOS phase 1 logic and work package and key tasks belong to the second phase of epSOS.

Advice notes on over- and underconsumption: transparency to the project

In order to increase transparency on activities and resources used in any workpackage, APM has also established an infrastructure of advice note sending, which provides work package or key task leaders in the project with information on resource consumption in the work package and activities recorded by the beneficiaries. This gives the work package or key task leader the opportunity to take appropriate actions if the actual consumed efforts are not in line with the planned figures or if the reported activities do not match with the reported working hours.

As a second type of advice note, beneficiaries receive warnings if they have recorded resources in a WP without recording activities in the corresponding month. Equally, beneficiaries are warned when resources are claimed in a WP where no planned resources for this beneficiary are recorded or if the deviation between reported and planned working hours becomes serious, so that this could endanger the beneficiary's goals within the work package or key task. These tools provide the necessary transparency for discussions on WP or KT level and potentially escalation to the level of the TPM conference or even the Project Steering Board (PSB).

The addressing of resource under- or overconsumption can take different forms:

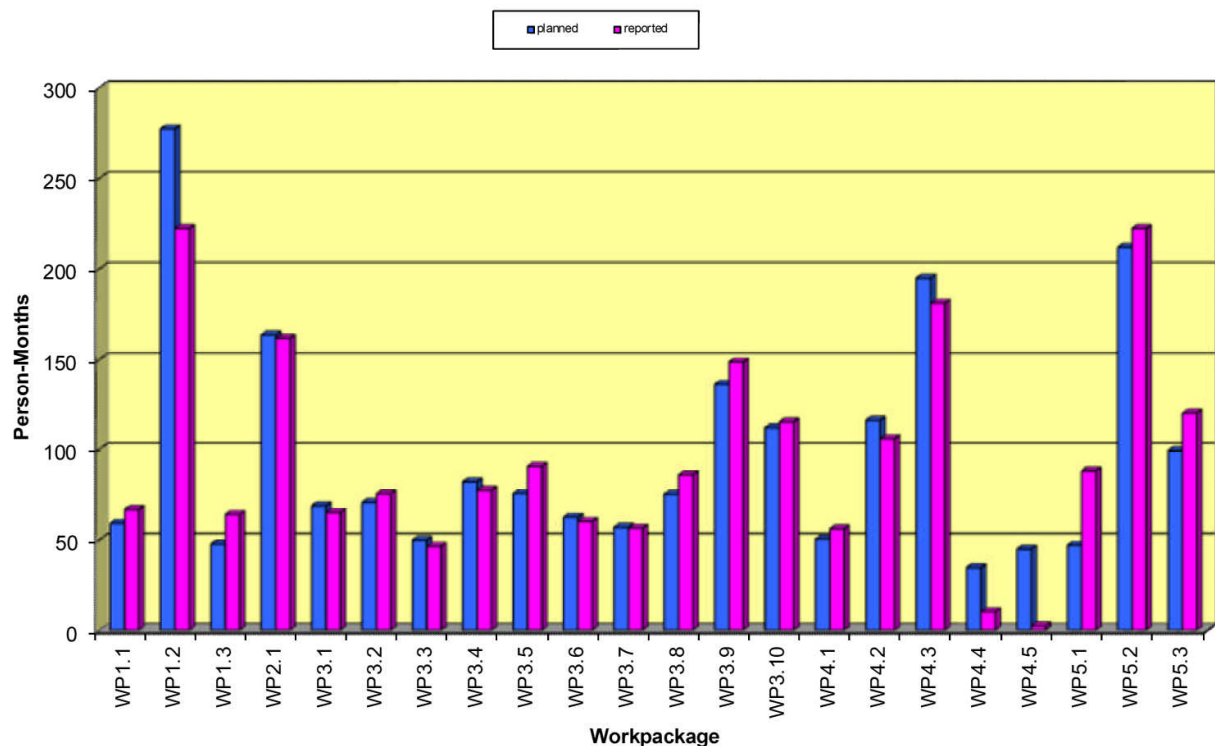
- Beneficiaries can correct the reported consumption if erroneous
- Beneficiaries can use the epSOS resource revision guidelines to shift resources from one workpackage or key task to another
- Beneficiaries can only reduce their overall commitment of resources to the project subject to approval by the PSB.

In each case, APM only provides the planning tools to the project. It does not get involved in technical discussions on the content of activities to be reduced and/or the appropriateness of a given beneficiary to take over activities from another beneficiary.

1.2.1 Resource consumption tracking: data

Resources planned and reported in epSOS phase 1: work package level

The below illustration shows (as an example) the consumption of resources on work package level in the work of the first phase of epSOS against the planned resources. This illustration is presented at regular intervals by APM to the PSB.



Similar illustrations exist for resources planned and reported by beneficiary. They are uploaded on projectplace for consultation by the entire project.

1.2.2 Joint Activities Reserve Fund (Joint Activity Budget)

With the amendment of the consortium agreement of epSOS to accommodate additional beneficiaries and new decision making for the second phase of epSOS, the joint activity reserve fund and the former coordination activity budget table (which listed coordination activities being funded at 100%) were put together in a joint activity budget (JAB). The JAB in the amended

epSOS CA now contains all project activities funded at 100%. The project management team (PMT) reviews together proposals made on the use of the joint activity budget (JAB). APM has the responsibility to record any commitments of JAB once validated by the PSB and the EGA. In reporting period 3 (RP3), APM has set-up a tracking table in MS Excel which feeds information from the JAB allocation process into the remaining budget and resource planning tools. The file allows the management team to track allocations and expenditures of JAB, notably also the use of those allocations to third parties that function as subcontracts with several invoice streams. The file is made available to the PMT via the project management platform.

Based on approvals by the PSB, the following costs have been incurred to be co-financed by the Joint Activities Reserve Fund. Note that this information on the joint activity budget is reflecting the commitments made under the epSOS phase 1 logic of the “joint activity reserve fund (JARF)” and the “Joint Activity Budget” logic of epSOS phase 2. By virtue of Article 6.11 of the amended Consortium Agreement (please also see section 1.3.2 below), the epSOS phase 1 joint activity reserve fund increased in proportion to the budget increase granted by the European Commission when extending the scope of epSOS.

Whereas the category “committed” summarises allocations of JAB that were decided upon and allocated to a beneficiary or third party for a specific purpose, the category “agreed” acts as a placeholder for JAB that is allocated to a beneficiary but not yet specified.

The figures for the Joint Activity Reserve Fund for epSOS phase 1 are as follows:

Total budget: €2 million

The budget for the Coordination Activity Budget table (CABT) in epSOS phase 1 are as follows:

APM role epSOS1	APM	700000
PC role epSOS1	SALAR	442000
Industry team coordination epSOS1	IHE	314026

Total commitments on this budget for purposes of epSOS phase one as of December 2011 (end of epSOS phase 1) are € 3.6109.70. This leads to an overspend of € -154.944.

In addition, €10.000 were earmarked for an epSOS services audit (agreed costs).

With the extension of the project funding by the EC for the second phase of epSOS from January 2011 to December 2013 (which overlaps in time with the first phase), both the former CABT activities and the former JARF were increased in size proportionately to the total funding increase for the project by 7/11th of the original funding.

Analysed separately, the epSOS phase 2 JAB is thus built up as follows:

APM role epSOS2	APM	445391
PC role epSOS2	SALAR	281233
Industry team coordination epSOS2	IHE	199806

The total scope of epSOS phase 2 JAB is 7/11th of the former €2million budget allocated to the JARF, therefore: €1.272.545 plus the sum for the APM, PC and Industry team coordination roles outlined above, which brings the total epSOS phase 2 JAB to €2.198.975. Within this budget, a total of €1.552.630 were committed (which includes the commitments for APM, PC and Industry team coordination). In addition, €80.800 were earmarked for upcoming JAB allocations which would go to activities carried out by beneficiary THESS.

Taken together, the epSOS phase 1 JARF+CABT+ epSOS phase 2 extension of these budgets provides the following total balance in the project.

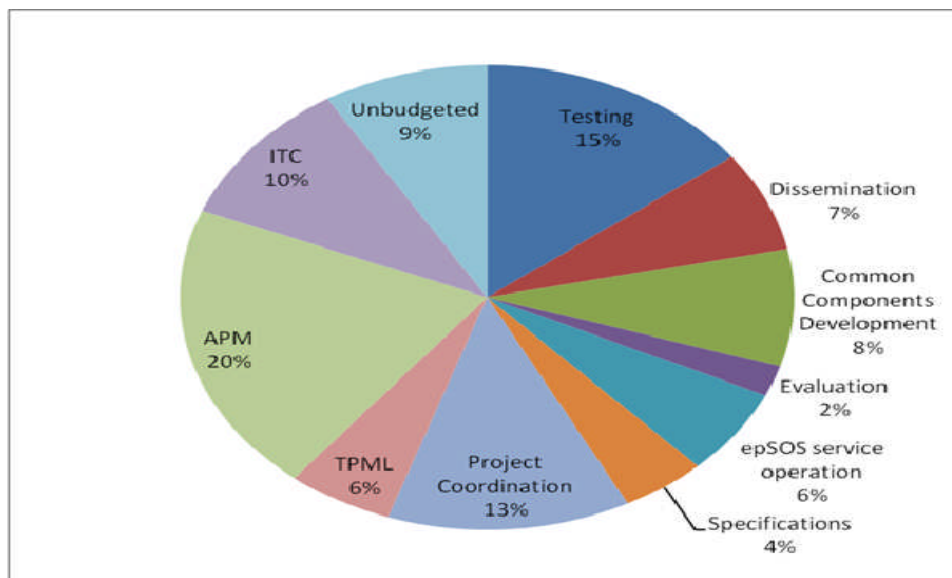
	Total JAB epSOS	
Total	€	5.655.001,09
Committed	€	5.163.600,00
Agreed	€	90.800,00
Balance	€	400.601,09

Possible release	€	31.836,60
Tentative future balance	€	432.437,69

This table displays the state of JAB as of December 15th 2011.

The cost category: tentative future balance describes the balance of activities which were closed and for which expenditure information is available in the form of a financial statement.

The expenditures according to project activities can be visualised as follows:



1.3 Grant Agreement and Consortium Agreement process

APM plays an advisory and support role with regard to any modifications to and advice on the Grant Agreement and Consortium Agreement. In Reporting Period 3, these processes related in particular to the submission of two amendments to the project (in March 2011 and December 2011 respectively) and the modification of the Consortium Agreement in October 2010. In addition, APM coordinates and supervises the payments process.

1.3.1 APM role in the submission of amendments to the European Commission

APM has overseen the submission of two amendments in the reporting period. One in March 2011 (to accommodate the new beneficiaries to the project, to modify the workplan and to change the scope of the reporting periods) and another amendment in December 2011. The latter acknowledged a further need to change the workplan, the duration of certain work tasks and the due dates of deliverables.

In both instances, APM has organised the documentation process, requesting from beneficiaries necessary updates to the organisation profile, contact data and organisational data. In addition, APM provided the necessary financial and resource planning tools. Throughout the process, APM acted as liaison between the European Commission services and the consortium.

1.3.2 Consortium Agreement process

In this reporting period, efforts of APM concentrated on facilitating the transition of the project towards an enlarged epSOS consortium, including new beneficiaries. This required an overhaul

of the project's Consortium Agreement and notably a change in the set-up of the decision-making bodies in the project.

In close cooperation with the lawyer of beneficiary Fraunhofer Gesellschaft, APM has proposed drafts of a new Consortium Agreement, a lengthy process of consultation and approval. The changes made concern the role of the former Project Executive Board (PEB) and the allocation of joint activity budget. The epSOS General Assembly (EGA) was set-up to inherit the tasks of the former PEB. It now is the forum for all beneficiaries in the project. Jointly with the PSB, the EGA bears responsibility for decisions on the JAB. The initiative for JAB decisions lies with the PSB. The EGA then confirms individual commitments. A process of framework budget approval is being put in place at the time of writing this report.

For transparency, the revised Consortium Agreement now also includes a so called "Schedule 6", a tabular overview of beneficiaries funding and contributing payments into the JAB. This document is available in its current version as a separate MS Excel file on the project management platform.

1.3.3 Payments process

APM has developed MS Excel files of financial statements conforming to the requirements of the European Commission's tools for collecting financial data and also enabling project internal transparency on potential use of Joint Activity Budget. At the end of each reporting period, APM distributes and collects financial statement information from beneficiaries. The necessary clarifications and support in filling out the financial statement are provided to beneficiaries.

1.4 Communication support and general management assistance

This section summarises actions by APM which aimed at improving workflows and decision-making in the project.

1.4.1 Mailing lists and conferencing service

APM manages the communication infrastructure of the project and thus ensures that the flows of information reach the appropriate recipients. It hosts all mailing lists of the project and provides an MS Excel file on subscriptions to these lists. Beneficiaries can subscribe and unsubscribe to lists, using this file on the project management platform or by contacting APM directly.

In this reporting period, APM has also proposed the use of a new conferencing service to the project, following the expansion of the project consortium, which required more sophisticated and stable phone- and web conferencing. The service then procured was tested and its features documented in a pdf document, available to the project.

1.4.2 Guidance documentation

All APM activities that have immediate relevance to project beneficiaries in their daily activities within the project are documented in publicly available material. In the RP3, APM has notably produced the following:

- The epSOS Guide on Resources, a pdf document written in an FAQ format which provides concise information on all aspects of reporting of resources and the submission of financial statements.
- The epSOS Guide to Webinar, a pdf document written in an FAQ format to illustrate the use of the conferencing service, including advice on how to avoid disturbances in the audio connection.
- A revised project management handbook to include the agreed epSOS resource revision guidelines, spelling out the approvals required for changes in beneficiary allocations to work packages or key tasks as well as transfer of resources and budgets between beneficiaries.

APM has recently begun to offer in addition to the written documentation an open APM Telephone Conference which is intended to be held in regular intervals. It provides an open forum

for beneficiaries to raise APM relevant questions which have not previously been communicated in writing. Such telephone conferences are also envisaged as a support forum during the submission of financial statements.

1.5 Conclusion on APM activities and achievements in RP3

During RP3, APM has successfully helped the project to master the contractual processes and resource revisions associated with the expansion of the project in members and in scope as well as the subsequent amendments to the Grant Agreement. In parallel, APM has prepared relevant project decisions on joint activity budget and set-up a system for tracking its use. In the day to day work of the project, APM provides beneficiaries with detailed guidance on how to comply with the reporting requirements of the project and how to handle questions of resource planning and revision.