

ANNEX I: DOCUMENTATION CHECKLIST

Present	Absent	Not Applicable	Comments / Notes
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A. PROCUREMENT & GRANTS

A1	Tender dossier, call for proposal documents, technical specifications, instructions to tenderers, terms of reference and other similar documents				
A2	Copy of publications made				
A3	Copy of invitations sent to participants, including proof of dispatch / acknowledgement of receipt				
A4	If additional information is sent to the participants concerning the tender, copy of that additional information, together with the proof of simultaneous dispatch to all participants				
A5	Technical and financial offers received from all tender participants, including unsuccessful tenderers				
A6	Pro-forma invoice - <i>Note (1)</i>				
A7	Signed tender opening report and annexed checklist				
A8	Signed evaluation report and annexed checklist				
A9	Declarations of objectivity and confidentiality signed by the persons preparing the tender dossier, and declarations of impartiality and confidentiality signed by the members of the tender opening and evaluation committees				
A10	Contract award proposal - <i>Note (2)</i>				
A11	Letter of approval of the award of the contract by the Head of EU Delegation - <i>Note (2)</i>				
A12	Letters of notification of the tender results to the successful and unsuccessful tenderers.				

B. CONTRACTING

B1	Supply, Service or Works contract signed with the supplier/service provider/contractor.				
B2	Grant contract signed with the Recipient - <i>Note (3)</i>				
B3	Copy of bank and other guarantees, where contractually required				

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C. IMPLEMENTATION

C1	Delivery documents, preferably originating from a third party (for example, supplier's delivery note, transportation documents or customs documents in case of imported goods)				
C2	If rules of origin apply to the action, official certificate of origin of the supplies				
C3	Provisional / final acceptance reports for supplies				
C4	Provisional / final acceptance certificates for works				
C5	Report on the services provided, duly approved and dated				
C6	Grant implementation report, duly approved and dated - <i>Note (3)</i>				
C7	Supplier's official invoice(s), established following the laws and rules of the country of the supplier - <i>Note (4)</i>				
C8	Credit note(s), if applicable - <i>Note (5)</i>				
C9	Do the invoices/credit notes obtained show at least the following information:				
	- full official name and seat address of the supplier, together with his contact details (e.g. telephone, fax, email, website)?				
	- official registration number of the supplier in the country where he is established (e.g. commercial registry number, VAT number)?				
	- bank account number of the supplier?				
	- identification of the Entity to which the invoice is addressed?				
	- identification of the project or programme to which the invoice relates?				
	- detailed description (list) of the items sold and unit prices?				
	- in case the invoice relates to certain specifically identifiable items, the unique identification numbers of these items? - <i>Note (6)</i>				
	- total amount to be paid with an indication of the currency, and with the amount of VAT or other sales taxes separately disclosed?				

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D. CASH AND BANK DOCUMENTS

D1	Official bank statements issued by the Bank for all receipt and payments				
D2	Petty cash book and related petty cash vouchers				

E. PAYMENT DOCUMENTS

E1	Payment requests received from the supplier - <i>Note (7)</i>				
E2	Bank statements, showing the payee, the account number and the amount paid				
E3	Copies of signed cheques (in case of payment by cheques)				
E4	In case of payment in cash, payment voucher, signed by the payee, acknowledging the receipt of the funds				

F. PERSONNEL EXPENSES

F1	Personnel register, listing the staff together with their relevant data (identification data of the person, address, family status, function, title, etc)				
F2	Signed employment / work contracts and amendments thereto				
F3	Payroll calculation listing for each period of calculation of pay				
F4	Payroll fiches (established for tax purposes as well as for internal purposes)				
F5	Copies of returns to the relevant authorities in respect of social security contributions, social insurances, payroll withholding tax deductions, and, in general, any other returns that must be submitted to official authorities of the country in connection with compulsory payroll-related payments				
F6	Proof of payment of the net salaries to the employees				
F7	Proof of payment of all payroll-related taxes and social security contributions to the relevant national authorities				
F8	Vacation and leave statements				
F9	In the event of termination of the employment contract, documentation regarding any dismissal allowance claims, evidence that these are legal and not excessive, and proof of their payment.				
F10	In the event of payments of costs of personnel seconded from the beneficiary country or from other entities:				
	- list of the personnel concerned				
	- copy of the agreements regarding the payments made				
	- calculation of the amounts paid				
	- proof of payment				

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G. REIMBURSABLE TRAVEL AND MISSION EXPENSES

G1	Mission order approved by the person authorised to approve the mission, with an indication of the date/place of mission and of the person sent on mission - <i>Note (8)</i>				
G2	Approved mission report - <i>Note (9)</i>				
G3	Approved expense report - <i>Note (10)</i>				
G4	Transport invoices				
G5	Ticket stub or tickets for the means of transport - <i>Note (12)</i>				
G6	Hotel bills and bills for other expenses at the place of mission - <i>Note 13)</i>				
G7	Signed training attendance lists - <i>Note (14)</i>				

H. ASSETS

H1	Register of investment assets				
H2	Inventory lists and permanent inventory records				
H3	Approved requests for disbursements of goods from the permanent inventory records				
H4	List of vehicles whose running costs are paid by the project				
H5	Vehicle log books				
H6	Register of leased assets				
H7	Minutes of transfer of ownership of equipment to the beneficiary country				

I. ACCOUNTING

I1	General ledger accounts and trial balances				
I2	All accounting reconciliations, for example:				
	- bank reconciliations				
	- petty cash count forms and reconciliations				
	- physical inventory lists				
	- analysis and reconciliation of each asset or liability account, showing the analysis of the content of the account				
I3	Financial reports from project partners or other programme implementing entities				

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J. OTHER

J1	Evidence that the EU visibility obligation is respected (for example, photos of the vehicles showing the EU logo, photos of the premises showing EU display panels, etc)				
J2	If the project has pending litigations, legal file per litigation case containing the legal letters, the court decisions and other related pertinent documentation.				

Prepared by: Name, Position, Signature, Date

Approved by: Name, Position, Signature, Date

NOTES

- (1) In case of certain supply procurements, it is frequent practice that the supplier submits its offer under the form of a pro-forma invoice
- (2) For cases where the project arrangements require the ex-ante approval of the contract award by the Head of EU Delegation
- (3) In case of sub-grants within the project or programme
- (4) Please note that this is the official invoice and not the pro-forma invoice (a pro-forma "invoice" is not an official invoice, it is only a price offer)
- (5) A credit note is an official invoice with a negative amount. Credit notes are generally used in case a correction needs to be made to an amount already invoiced.
- (6) For example, vehicle serial number in case of the purchase of a vehicle, or vehicle plate registration number in case of gasoline refill of the vehicle
- (7) In case no invoice is established, for example payment requests for advances
- (8) A mission order is a document authorising a staff member to carry out a specific task during a fixed duration and at a precise location that is different from his or her normal place of work. The purpose of a mission order is to evidence that the mission was duly authorised and is in the interest of the project.
- (9) A mission report is a document prepared by the person who carried the mission, explaining the mission accomplishments. The purpose of a mission report is to evidence that the work has actually taken place and is in the interest of the project.
- (10) An expense report is a statement prepared by the person who carried the mission, detailing his or her claim in respect of the mission expenses to be reimbursed to him or her.
- (11) These documents prove the actual travel in case of travel by public transport other than by air (e.g. train or bus)
- (12) Hotel bills and bills for other costs at the place of mission are not necessary to prove the costs if the mission allowances are reimbursed by means of fixed per diem allowances. It may however be useful to retain them, as they can be used to prove the presence of the person at the place of mission during the foreseen dates.
- (13) Signed attendance lists can be useful to prove the presence of the attendees to a training session. They can be used to prove costs reimbursed to training attendees. They can also be useful to prove that the training has actually taken place.