

1st call Lead Partner Seminar

Budapest, 25th January 2017

A stream of cooperation

Introduction and Timeframe

09.00 – 09.15	Introduction and Timeframe
09.15 – 09.30	Subsidy Contract: contractual obligations
09.30 – 10.00	DTP Project management structure: <ul style="list-style-type: none">➤ Project coordination➤ Financial manager➤ Communication manager➤ Quality assurance manager
10.00 – 10.15	Best practice on management: CERONAV project
10.15 – 10.30	Communication: minimum requirements
10.30 – 11.00	<i>Coffee break</i>
11.00 – 12.15	Project implementation: <ul style="list-style-type: none">➤ Monitoring and reporting of activities➤ Financial monitoring➤ Sustainability/durability of outputs
12.15 – 12.30	Best practice on implementation: DANUBEPARKS project

12.30 - 13.30

Lunch break

13.30 - 14.15

Project changes

14.15 - 15.15

JS monitoring tools:

- First year review
- Monitoring visits
- Progress Reports

15.15 - 15.45

Coffee break

15.45 - 16.55

DTP Capitalisation Strategy:

- Introduction
- Group discussion

16.55 - 17.00

Closure

Subsidy contract: contractual obligations

Subsidy contract: contractual obligations

Legal document signed by the DTP MA/JS and the Lead Partner

- It establishes the legal framework for the implementation of the project
- It specifies the awarded amount of EU Funds, the eligibility timeframe, the conditions for support, implementing arrangements (including reporting, validation and reimbursement)
- It determines the rights and obligations of the Lead Partner and the MA/JS

Art. 1 Award of subsidy

- It defines the maximum amount of EU contribution, including the co-financing rates
- It clarifies the responsibility of the MA/JS in terms of availability of EU contribution for reimbursement

Art. 2 Project duration and eligibility in time

- It defines the project start and end date
- It defines the timeframe of eligibility of costs incurred by the beneficiaries

Subsidy contract: contractual obligations

Art. 3 Object of use

- It states to which purpose the awarded EU funds have to be spent (i.e. according to the Application Form and Partnership Agreement, which are annexes of the SC)

Art. 4 Progress Report and AfR

- It defines the obligations, deadlines and timeframe of the LP in terms of reporting the project progress (activities and expenditures)

Subsidy contract: contractual obligations

Art. 5 Validation of expenditures

- It defines the responsibilities of the LP in the validation of costs and the modalities of submission of the PR

Art. 6 Reimbursement of the EU funds to the LP

- It defines the modalities of reimbursement of the EU funds from the DTP based on the quality of the PR & AfR, including the transfer of the other PP(s) based on the approved AfR

Subsidy contract: contractual obligations

Art. 7 Responsibilities and obligations of the LP

- It defines the obligations and responsibilities of the LP towards the MA/JS (including avoiding double financing)

Art. 8 Information and publicity

- It defines the minimum requirements in terms of information and publicity to be followed by the project (based mainly on the CPR regulation)

Subsidy contract: contractual obligations

Art. 9 Amendments of the SC and other changes

- It defines which the substantial changes that need the SC modification are, including the timeframes

Art. 10 Assignment and legal succession

- It defines the rights on assignment of the MA/JS and the LP, as well as the responsibilities of the potential legal successor of the LP institution

Subsidy contract: contractual obligations

Art. 11 Audit rights

- It defines the programme bodies entitled to audit the project, as well as the period to retain the related documents (listed in Annex 3)

Art. 12 Irregularities and repayments

- It defines the procedure for the recovery of the detected irregularities (at project, programme and country level)

Subsidy contract: contractual obligations

Art. 13 Decommitment and withdrawal

- It defines the cases of a possible project budget reduction and the extreme consequence of withdrawal of the MA/JS from the project , as well as the consequences of the LP withdrawal

Art. 14 Durability, ownership and use of outputs

- It defines the timeframe for retaining the EU funds in case of investments in infrastructure and the property rights of the produced outputs, if any

Subsidy contract: contractual obligations

Art. 15 Revenues

- It defines the consequences and timeframe in case revenues are detected

Art. 16 Concluding provisions

- It defines language used, applicable law and duration of the SC

DTP Project management structure

3 steps to a good project management:

1. Set up of the organisational framework
2. Preparation of support tools
3. Definition of the processes

*“Make things as simple as possible,
but not simpler “ – Albert Einstein*



Organisational framework



* assistants, additional structures, if necessary

Tasks of the Project Manager

- Liaison to MA/ JS
- Daily coordination and monitoring
- Preparation and timely submission of the PPR/ PR
- Responsibility for the achievement of project objectives and delivery of high quality outputs





Tasks of the Financial Manager

- Management of funds (public procurements, expenditure, spending rate, budget shifts)
- Collection of accounting/ supporting documents
- Preparation of the financial part of the PPR / PR
- Submission of PPR to FLC for verification

Tasks of the Communication Manager



- Development of the communication strategy and Communication Plan
- Defining communication objectives, approaches, activities and key messages to be sent out
- Updating the information on the project website
- Preparation of information materials and promotion items

Tasks of the Quality Manager

- Reviewing and validation of all project outputs
- Preparation of the Quality Reports
- Informing the JS about any obstacles/ problems encountered during the process



A stream of cooperation

Tasks of the other team members

- Contribution to/ input for the development of project deliverables and outputs according to competences
- Support core team in the implementation of project activities as required by the project





Steering
Committee

- Steering and taking strategic decisions with regard to the project
- Validating the project performance and progress towards the achievement of the objectives
- Take decisions with regard to project modifications (e.g. content, partnership, budget, duration)



Support tools

- Communication Plan
- Document manager tool
- Own/ Programme monitoring tools

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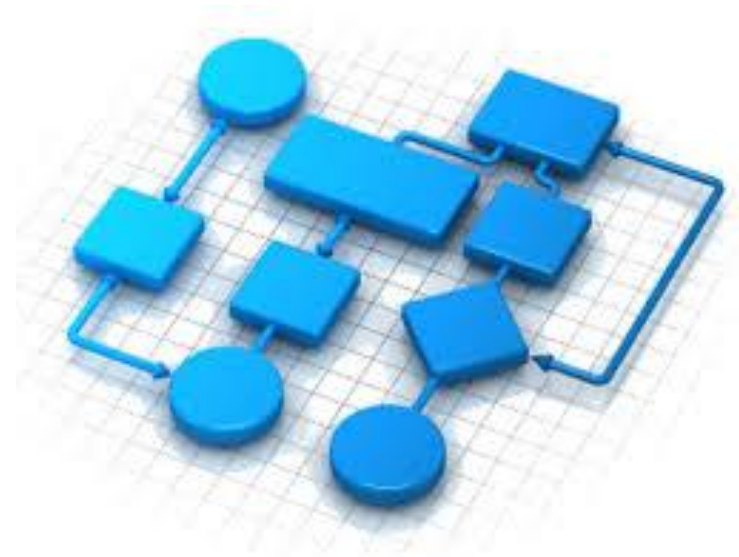
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Defining the processes

- WBS
- Workflow
- Approach
- Relations
- Internal communication



Best practice on management: CERONAV project

Communication: minimum requirements

COMMUNICATION: ESSENTIAL ELEMENT OF A SUCCESSFUL PROJECT

- Integral part of project implementation → Linked to all WP
- Communication objectives linked to project objectives and results
- Communication activities linked to project activities
- Communication aimed to reach the project goal/s and informing about achievements



Good planning and
enough resources



- Visual Identity Guidelines for DTP projects
- Communication Toolkit for DTP projects
- DTP Project webpages – User Manual
- Project logo in different formats
- EC Regulation 1303/2013 (Annex XII, section 2.2)
- Communication Plan → *to be submitted by each project along with its first Progress Report!*

download in DTP website

COMMUNICATION TOOLS

VISUAL IDENTITY MANUAL AND DTP PROJECT LOGOS

Document including all the regulations and requirements that DTP project partners must follow in their communication materials and activities. It includes examples of templates and the COMPULSORY LOGO in different formats.

Download Visual Identity Manual for DTP projects ([version 01/2017](#))

Download the DTP project logos in different formats (1st call):

- Logos projects Priority 1
- Logos projects Priority 2
- Logos projects Priority 3
- Logos projects Priority 4

The 'Standard logo' version (full colour) should be given priority, and only in exceptional cases, the rest of logo formats can be used. For printing purposes, the 'Standard logo for printing' (or, exceptionally, the other pdf formats provided) should be used. The RGB colour mode provided may be needed to be converted to CMYK mode before printing.

COMMUNICATION TOOLKIT FOR DTP PROJECTS

Document to support DTP project partners in their communication activities, including advice and tips on how to better implement the communication of their projects.

Download the Communication Toolkit for DTP projects

USER MANUAL FOR DTP PROJECT WEBPAGES

Manual addressed to DTP project Lead partners to guide them in the technical development of the DTP project webpages, including functionalities such as updating information, publishing news, sending online newsletters, sharing documents among partners, publishing outputs, etc.

Download the DTP Projects webpages - User Manual

- All partners to follow regulations → namely acknowledge the DTP / EU support and adequate project promotion → *Otherwise: not eligible cost !*
- All partners should be involved in communication coordinated by a **communication manager in the project** → qualified person in charge of:
 - Implementing Communication Plan
 - Involving all partners
 - Checking all rules are followed
 - Contacting JS

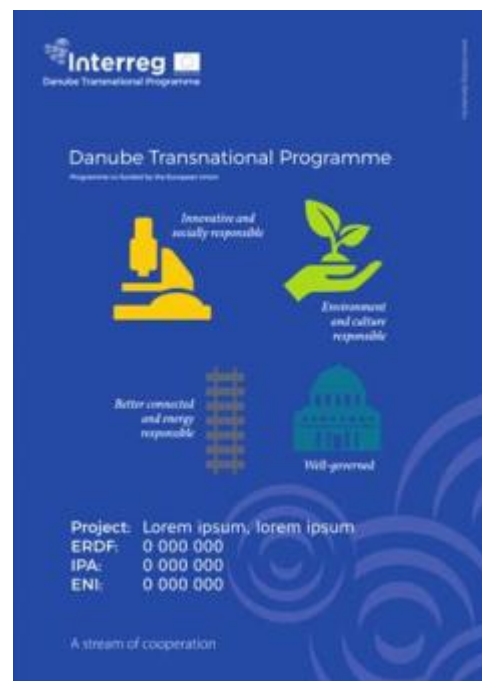
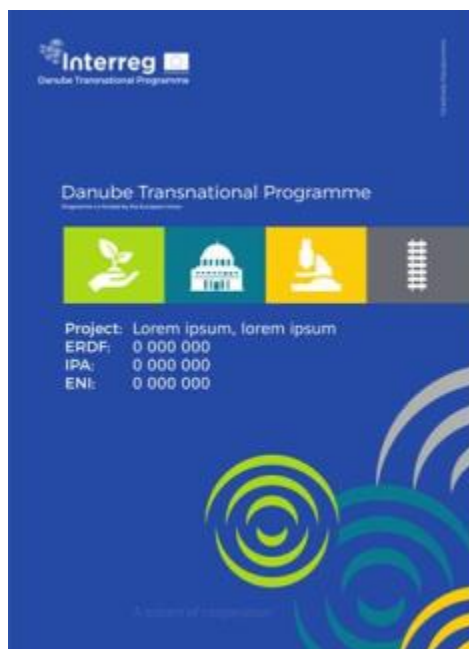


- **Acknowledge support from EU funds in ALL communication activities:**
 - Include the project logo in a visible place (other logos smaller) → *Also events, social media!*
 - **Reference to the Fund/s (ERDF, IPA)!!**
- Include in each partners' **institution website** a short **project description** (aims, results) and EU support
- Place a **poster** (minimum A3) visible in each partner's premises including the EU support
- For small infrastructure of > 500.000 eur: temporary billboard + permanent plaque (*example of templates in Visual Identity Guidelines*)



Mandatory posters

- Within 6 months after project approval:
- Each project partner to place at least one poster at a location visible to the public (such as the building entrance area)
- To stay visible for the whole project duration
- Minimum size A3
- With information about project including EU financial support
→ *Editable templates in DTP website!*



- DTP Project **Communication Plan**
- Frequently updated **project webpages** (within the DTP website)
- Use of the **project logo** provided by the JS
- At least **2 major events**



**To coordinate communication activities
and achieve project objectives**

→ It includes all planned communication activities

- To be submitted along with the 1st Progress Report
- To be developed together by all partners
- Sections → *Check Communication Toolkit!*
 - Communication main goal/objectives
 - Target groups
 - Main messages
 - Tools and methods → linked to project/communication objectives and target groups
 - Evaluation measures
 - Budget



ATTRACTIVE DANUBE - IMPROVING CAPACITIES FOR ENHANCING TERRITORIAL ATTRACTIVENESS OF THE DANUBE REGION

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Territorial attractiveness (TA) is reflected in the set of specific economic, environmental and social potentials of a territory which make it competitive in comparison to other territories. Through good governance, policies can maximise these potentials to increase attractiveness of the regions for residents, visitors and investors. The main challenge in the Danube Region is lack of capacities of target groups involved in development planning for more efficient and cooperative multilevel governance considering the needs of all stakeholders.

The main project objective is to strengthen multilevel and transnational governance and institutional capacities of policy planners involved in territorial development of the Danube Region, which will result in more harmonised governance system of the area. This will be achieved by firstly establishing a permanent common transnational platform for monitoring territorial attractiveness (CO-TAMP), 11 national platforms (TAMP), and Territorial attractiveness atlas. Secondly, we will implement an intensive capacity building programme for empowering multilevel public authorities and civil society in 11 countries related to development planning resulting in enhanced skills and knowledge. Finally, the policy integration process, including transnational workshops, policy recommendations and memorandum of understanding, will capitalise the results and assure the long term impact and leverage effect in the society.



Start date
01-01-2017

End date
30-06-2019

Budget in Euro
Overall: 1060000
ERDF Contribution: 1294550
IPA Contribution: 286450
ENI Contribution: 0

Call number
Call 1

Priority
Well-governed Danube region

Specific objective
Improve institutional capacities to tackle major societal challenges

Project webpages

- **Project webpage within the programme website to keep constantly updated!**
 - ➔ Not eligible to create an own project website
 - ➔ *Manual and training provided by JS!*

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LIBRARY

No documents have been uploaded yet

See all

PROJECT PARTNERS

Name	Type	Email	Country
Geodetic Institute of Slovenia	Lead partner	blaz.barboric@gis.si	SLOVENIA
URBASOFIA, Town and regional planning company	ERDF partner	sabina.dimitriu@urbasofia.eu	ROMANIA
Bulgaria Economic Forum	ERDF partner	chris@biforum.org	BULGARIA
Institute for Spatial Planning of the Koprivnica-Krizevci County	ERDF partner	mladen.matica@kckzz.hr	CROATIA
CENIA, Czech Environmental Information Agency	ERDF partner	jitka.faugnerova@cenia.cz	CZECH REPUBLIC

See all

PROJECT NEWS

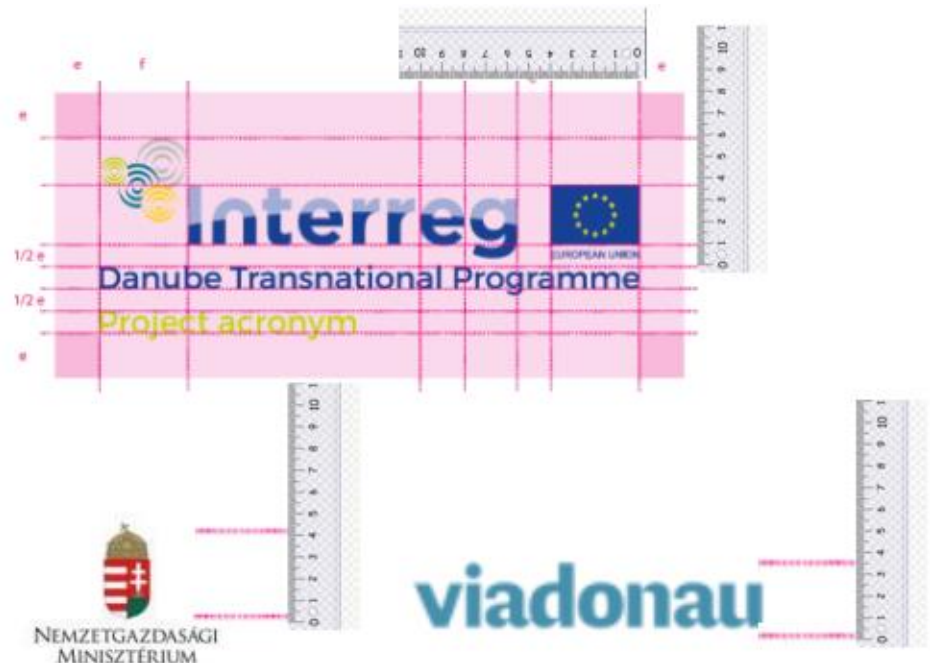
No news yet

See all

- One access per LP to edit all sections
- Access to all partners to only section 'Document manager'
- Connected to Library and Project news in DTP main page
- Online newsletter

DTP Project logos

- **Provided by the JS** → Downloadable in DTP website! → Not eligible to create another project logo
 - Acronym in the color of the project priority
 - Be careful with institution logos: not bigger in height OR width than EU emblem included in the project logo



- Organisation of **at least two public events** to create awareness and disseminate project results:
 - **Kick-off event** within 2 months after project beginning → flexible dates → *Not to confuse with internal partnership meeting!*
 - Final dissemination event at the end
→ *Tips in Communication Toolkit!*



Successful project = Good results + Good partnership cooperation with good internal communication

- Within partnership :
 - All partners engagement
 - Fluent communication LP – partners → *Use the 'Document manager' section of the project webpage*

- With the MA / JS :
 - Participation in LP trainings organised by the MA/JS
 - Participation in other DTP events to present/discuss/develop/share project results and create synergies with other projects/organisations → Capitalisation
 - Informing about all project communication activities!



Communication Training (Budapest, 26/01/2017)

09.35 - 10.00	Introduction: The importance of good project communication and the Kick-off events
10.00 - 10.30	DTP Project Joint branding and minimum requirements
10.30 - 11.00	<i>Coffee break</i>
11.00 - 11.30	DTP Project Communication Plan
11.30 - 12.30	Practical exercise on the Communication Plan
12.30 - 13.30	<i>Lunch break</i>
13.30 - 14.00	DTP Project webpages in the DTP website
14.00 - 14.30	Social media for projects
14.30 - 15.00	<i>Coffee break</i>
15.00 - 15.30	Storytelling and media for projects
15.30 - 16.25	Practical exercise on Storytelling
16.25 - 16.30	Conclusions and farewell

➤ **All approved projects
communication
managers to attend**

Project implementation

- **Monitoring of activities**
- **Reporting on activities**
- **Outputs and their durability**



Project implementation: Monitoring activities

LP (with the support of WP Leaders):

- Organise the work of the PPs
- Monitor the overall timeframe of activities, including:
 - The development and delivery of the deliverables and outputs
 - The involvement of the PPs in each activity
 - 20% activities and costs
- Ensure the quality of the outputs
- Ensure the durability and transferability of the outputs
- Involvement of the target groups and stakeholders

PP:

- Timely implementation of their tasks
- Contribute to the development and delivery of the outputs
- Report to the LP
- Monitor the 20% activities and costs

Project implementation: Monitoring activities

How to monitor?

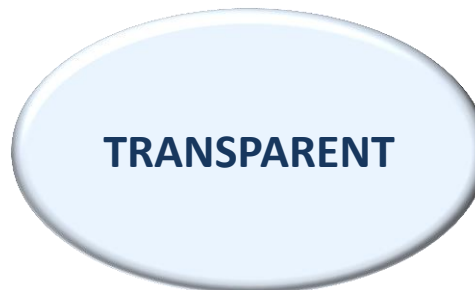
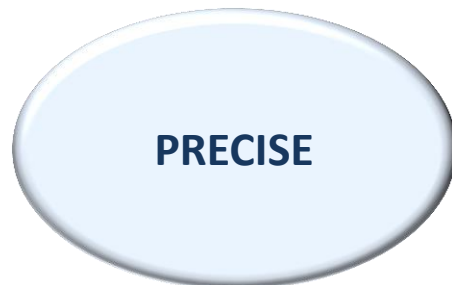
- Ensure a constant flow of information with the partners
- Request frequent reporting on implementation of the tasks of the PPs
- Use the WP Leaders that can help and support you in monitoring
- Develop internal monitoring tools
- Set up period internal project reviews

Project implementation: Monitoring activities

Reporting on activities (PR)

- Set specific internal deadlines for submission of the partner report
- Ensure time for quality check of the report
- Do not wait until the last minute to start filling in the progress report

The Ideal Progress Report



Project implementation: Monitoring activities

Reporting on outputs:

- Finalised outputs have to be validated by the **quality assurance manager** by using the template developed by the programme.

Structure of the quality report:

- Output title
- Type of output
- Contribution to the PO indicator
- Summary of the output
- Added value
- Applicability and replicability
- Suggestions for improvement, if applicable
- Output quality level

The findings/ recommendations of the quality assurance manager have to be implemented by the partnership and all these findings/ recommendations have to be included in the quality assurance report.

Reporting on outputs

- Finalised outputs have to be documented with the **OUTPUT FACTSHEETS**
- One output factsheet per output has to be submitted

e.g. in case 4 actions plans developed then one output factsheet per action plan has to be submitted.

Structure of the output fact sheet

- Output title
- Summary of the output
- Contribution to the project and Programme objectives
- Transnational impact
- Contribution to EUSDR actions and/or targets
- Performed testing, if applicable
- Integration and use of the output by the target group
- Geographical coverage and transferability
- Durability
- Synergies with other projects/ initiatives and / or alignment with current EU policies/ directives/ regulations, if applicable
- Output integration in the current political/ economic/ social/ technological/ environmental/ legal/ regulatory framework

Durability of the outputs

To be ensured by the project during and after project implementation

- Partners have to apply and improve the outputs produced
- Transfer the outputs to new users
- Strong communication plan and activities help



Overview:

- Project level monitoring
- Financial management process
- DTP level monitoring

Why monitor?

- Ensure that the project is financially on track
- Ensure that the obligations undertaken by the project partnership are fulfilled

How to monitor?

- Reporting on a regular basis or at certain stages of the project implementation on financial progress and performance of the project
- Project partners should provide the relevant information
- Monitoring procedures should be prepared and monitoring tools should be developed

What to monitor?

- Overall spending compared to plan
- Spending per budget line and work package
- Spending per project partner (per budget line and work package)
- Revenues (if any)
- Status of validation of expenditure and issues arising (e.g. eligibility of expenditure, delays etc...)
- Status of procurements

Possible example?

- Develop monitoring tool in form of a spreadsheet with each sheet dedicated to specific monitoring area
- It should be clear to the project partners :
 - Which information they should provide (e.g. spending per budget line and work package for period 1, status of procurements above EU thresholds),
 - In which format (disseminating the tool to the partners and using it as a report) and
 - When they should provide it (e.g. quarterly, semi-annually, when requested)

Financial monitoring – project level

Assistance necessary?

- Do you need our assistance in developing the monitoring tool?
- Do you already have such a tool?

What to do if things don't go as planned ?

- Trying to solve problems at project level
 - Project Steering Committee and project management team
 - Good communication essential

- Asking MA/JS assistance
 - Each project has a dedicated Project Officer and Financial Officer
 - Good communication essential

Overview of the main steps

1. Project Partners (including the LP) prepare and submit their Partner Reports (PPR) and the supporting documents to their designated or selected Controller at national level.
2. The Controller, after validation of the reported partner expenditures, sends the validated Partner Report and the issued Control Certificate to the Project Partner.
3. The PP has to forward the Partner Report and the Control Certificate to the LP.
4. Based on the Partner Reports, the LP compiles the project level PR.

Overview of the main steps

5. When the Progress Report is complete and finalised, the LP submits it together with the Application for Reimbursement (AfR) to the MA/JS.
6. The MA/JS checks the submitted Progress Reports (and the AfR), in all its parts and annexes.
7. After verification, the MA/JS initiates through the Certifying Authority the reimbursement of the related EU contribution part (ERDF and IPA) to the LP's bank account.
8. The LP transfers the ERDF and IPA contributions to the PPs according to the approved AfR.

What information are we requesting?

- Financial progress (overall, per budget line and work package, per partner per budget line and work package)
- Expenditure in current reporting period (overall, per budget line, per partner per budget line per work package)
- Revenues (if any)

What information are we requesting?

- Status of validation of expenditure and issues arising (e.g. eligibility of expenditure, delays)
- Expenditure related to 20% flexibility rule
- Transfer of ERDF/IPA contribution to project partners

What are we checking?

- All relevant Control Certificates are available and valid. They are issued by designated controller(s).
- Only eligible expenditures according to the DTP eligibility rules are declared.
- The AfR is in line with the Control Certificates submitted and does not contain any formal or calculation mistakes.

What are we checking?

- All the expenditure reported by the PPs under the different WPs and BLs are validated and correspond to the Control Certificates of the PPs.
- The project expenditure outside (the Union part of) the programme area is in line with the application form or it has been approved by the MA/JS according to the programme procedures. It is below the threshold of 20% of ERDF PP budget/validated expenditure

What are we checking?

- The amounts of revenues of the different PPs are correctly reported (if relevant).
- The ERDF/IPA contribution requested is within the frame of approved maximum ERDF/IPA contribution to the project.
- The transfers of the LP of previously reimbursed ERDF/IPA funds to the PPs are clearly reported.

What are we checking?

- The bank account details in the AfR are in line with the bank account information previously submitted by the LP.
- Whether there are delays and problems in the financial management process (see also Article 13(1) a) of the Subsidy Contract)
- Assessment regarding the financial progress of the project towards its spending target.

Project spending

- Article 4(3) of the subsidy contract
 - Spending forecast of the project per period stated

- Article 13(1) b)
 - in case the LP does not report validated eligible expenditure according to the approved spending forecast in Article 4(3), the MA/JS will assess the level of under-spending and the reasons for the lower financial performance; in such a case, the MA/JS is entitled to de-commit the project by reducing the project budget and the corresponding contribution from the EU Funds.

Project spending

- Article 13(2) j) of the subsidy contract
- The MA/JS is entitled to withdraw from this contract and to demand repayment of the EU Funds in full or in part – on the basis of the decision of the Monitoring Committee – in case the project has not been or cannot be fully implemented by carrying out the planned activities, the planned outputs and results as planned in the latest approved Application Form and by achieving **at least 75% spending of the total project budget**, or the project cannot or could not be realised in due time, when the MA/JS receives information about it;

Project spending

- Article 13(2) m) of the subsidy contract
- The MA/JS is entitled to withdraw from this contract and to demand repayment of the EU Funds in full or in part – on the basis of the decision of the Monitoring Committee – in case that after the reduction mentioned in Article 13 (1) b) the LP still fails to report validated eligible expenditure according to the approved spending forecast in Article 4(3).

Project spending

- Additional monitoring tools
 - First-year review
 - Monitoring visits

Best practice on implementation: DANUBEPARKS project

Project changes

Keep in mind!!!

- **Detect** issues, problems asap (monitoring & close, regular contacts)!
- **Inform and ask JS Project Officer** advice asap!
- Support affected PPs **finding solution** possibly to **avoid project change**
- Sound **knowledge of Implementation Manual** by LP and all PPs!
- **Formulate change request**, justification, supporting documents **clearly & adequately**
 - **Maximum 3 completion rounds** of AF and relevant supporting documents **within max. 2 months**
- Change can be **implemented & costs eligible** (in most cases) **only after confirmation / approval** by responsible programme body

Categories of changes

Minor changes

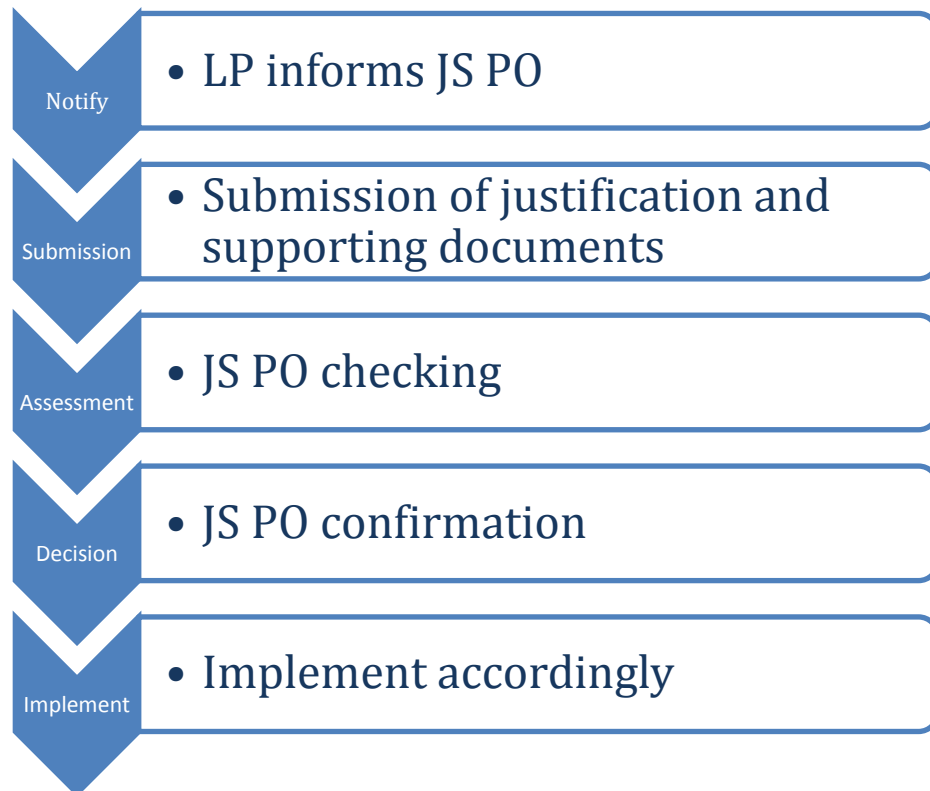
- Administrative and technical character
- No significant impact on
 - Project implementation
 - Intervention logic
 - Transnational character
- Need previous confirmation from JS Project Officer (*in most cases*)
- No Subsidy Contract modification

Major changes

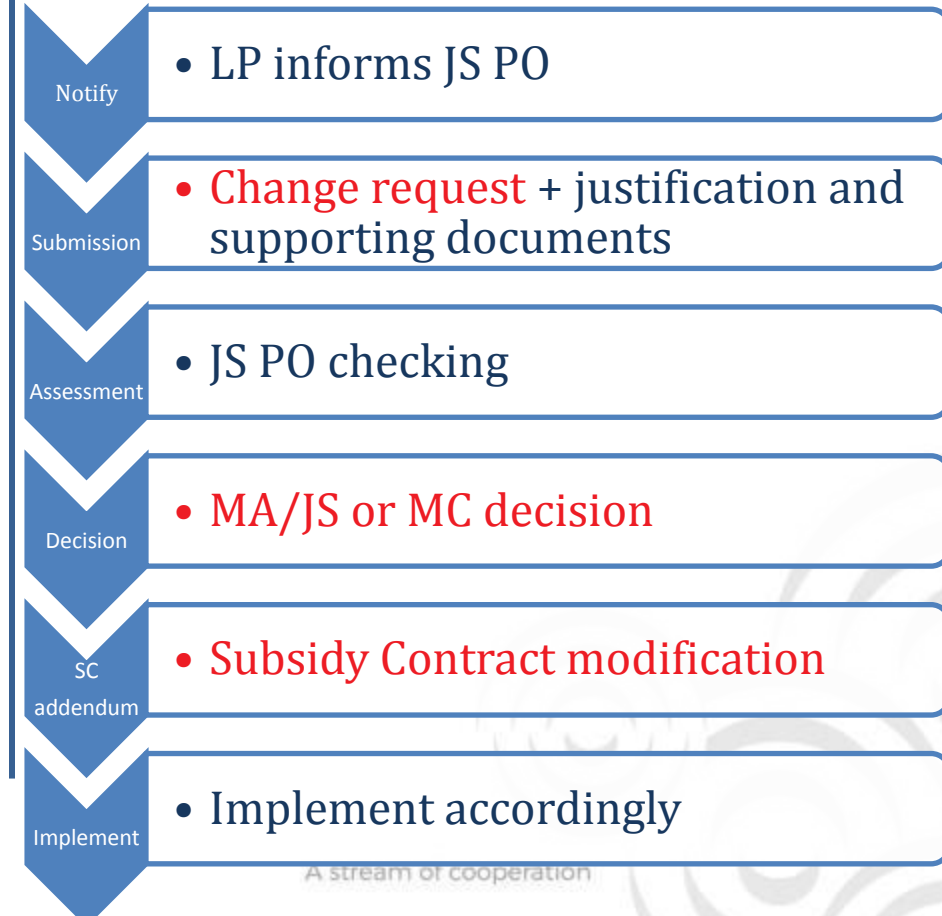
- Substantial deviations from approved AF
- Need previous approval of MA/JS or MC
- Subsidy Contract modification
- Request only after first-year-review (except PP change)
- Latest request 3 months before project end date

Procedures of changes

Minor changes



Major changes



Administrative changes



- **Minor change**
- Administrative data change (contacts, key persons, bank details)
- Legal succession of LP / PP
 - New entity is legal successor
 - Taking over duties and obligations
 - Eligible entity



Changes affecting the partnership

Minor changes

- (Legal succession → admin.)
- ASP change / withdrawal
 - Without affecting PP budget

Major changes

- Change of LP / ERDF / IPA PP



Major partner change

Change cannot affect minimum requirements for transnational partnership!!!

Withdrawing ERDF / IPA PP

Date of withdrawal

- PP remains **responsible and liable** for activities and outputs up till that date
- Expenditures valid, if **incurred and paid** until that date

In case original activity, output cannot be delivered:

- **New activity** – having equivalent value, contributing to project objectives, outputs and results
- Or respective budget part deducted

Major partner change

New ERDF / IPA PP

- Eligible & equally relevant & competent + having sufficient capacities
- Possibly from same country as withdrawing PP
 - In specific case from other “ERDF” / “IPA” country of DTP area
 - ERDF PP only by ERDF PP; IPA PP only by IPA PP can be replaced

Date of new PP entry

- **Activities** and **costs** eligible from that date (*not from MA/JS / MC decision*)

MC decision is necessary in case:

- Budget **reallocation among** ERDF PPs, or among IPA PPs from **different countries**
- Change of **Lead Partner** (*new tripartite Subsidy Contract*)
- Partner change **affects general character** (objectives, outputs, results) of the original project

Changes affecting project content

Minor changes

- **Not affecting** objectives, results, outputs (*except increase of quantity*), target values of indicators
- Changing locations, time plan, format of activities, deliverables
- Increasing quantity of deliverables, equipment

Major changes

- Affecting original **objectives and results**
- Modify **quantitative** (*decreasing*), **qualitative** aspects of outputs
- In case original activity, output cannot be delivered:
 - **New activity, deliverable** - if equivalent value guaranteed
 - Or respective budget part deducted
- Always **MC decision**

Changes affecting project budget

Minor changes

- WP / BL budget reallocation below flexibility limits (5% & 10%)
- *Flexibility rule does not apply to budget reallocations among PPs*

Major changes

- Budget reallocation among PPs
- WP / BL budget reallocation exceeding 10% flexibility limit
- *Revision of spending forecast (as consequence of other major change)*
- *Decommitment of the project (initiated by MA/JS)*

Budget reallocation among ERDF or among IPA PPs

Funds of different sources (ERDF / IPA) cannot be mixed

Without partnership change

- In case not affecting original objectives, outputs, results (*otherwise major content change*)

Due to partnership change

- Distributing activities and related budget among PPs (*major partner change process followed*)

“Sponsoring” of ASP shifted from one ERDF PP to another ERDF PP

Budget reallocation among WPs or BLs

- Process refer to **reallocations not connected to partner / content change**
- **Cannot alter general character** (objectives, outputs result) of project
- Cannot increase **WP1+WP2** budget beyond **35%** of total project budget
- Reducing certain BL **cannot alter relevance of PP or affect core deliverable:**
 - Extreme reduction of staff costs, external expertise
 - Considerable reduction of equipment / infrastructure and work type cost
- Proportions of the **flat rate** (“staff”, “office and admin” BL) **cannot be modified**
- **Flexibility rule refers separately to WP and separately to BL reallocations**

Budget reallocation among WPs or BLs

Minor changes

Reallocation below 5% limit

- Flexibility in reporting PP costs deviating **up to 5% of total PP budget** (if not connected to partner / content change)
- **No previous JS PO confirmation** needed, no modification of AF
- Reallocations **reported and justified in following progress report**

Reallocation below 10% limit (FROM 5%)

- Flexibility in reallocating WP / BL **up to 10% of total project budget**
- **Previous JS PO confirmation needed**
 - WP / BL reallocation of PP **beyond 5% limit**, but project level WP / BL reallocation **below 10%** (of total project budget)
 - No modification of AF
- PP **activities & costs** related to such reallocations **eligible from JS PO confirmation date**

Budget reallocation among WPs or BLs

Level of reallocation and necessary decisions - **examples**

Reallocation status at a certain point in project implementation (basis for scenarios)	New reallocation		
	scenario 1	scenario 2	scenario 3
	without JS PO confirmation	JS PO confirmation for PP1 reallocation	Major change MC decision
PP1 = 6% PP level <i>(by previous JS confirmation)</i>	<i>PP1 = 6% (no change)</i>	PP1 = 11% PP level	PP1 = 20% PP level
PP2 = 3% PP level	PP2 = 4% PP level	PP2 = 3% <i>(no change)</i>	PP2 = 14% PP level
PP3 = 0% PP level	PP3 = 2% PP level	PP3 = 2% PP level	PP3 = 2% PP level
project total 3%	project total 4%	project total 5%	project total 12%

Budget reallocation among WPs or BLs

Major changes

Reallocation beyond 10% limit

- **MC decision and SC + AF modification**
 - WP or BL budget reallocations reach up to 10% of total project budget
 - Eligibility of related activities & costs only after MC decision
- Can be requested **only once** (separately per WP or BL reallocation)
- Following major WP / BL reallocation change **further reallocations within 10% limit** rule still possible

Budget reallocation among WPs or BLs

Flexibility limit calculation method

- Limits and calculations refer **separately** to **WP** & to **BL** reallocations
- **5% limit** is considered **cumulatively** on **project partner level**
- **10% limit** considered **cumulatively** on **project level**
- **Reference base** - division of expenditure among WPs and BLs of **latest approved budget in AF**
- **Difference** between **cumulated planned / real costs of a WP / BL** and budget of **same WP / BL in latest approved AF** is calculated
- **Positive (+) differences at PP level** summed up and **compared to total budget of PP** (for 5%)
- **Positive (+) differences at project level** summed up and **compared to total project budget of ERDF + IPA PPs** (for 10%)
- Budget reallocations due to other project changes not considered

Budget reallocation among WPs or BLs

Flexibility limit calculation method - **example**

	WP1		WP2		WP3		Total		Difference
	AF	new	AF	new	AF	new	AF	new	
BL1	1,500	1,700	1,000	1,100	1,500	1,900	4,000	4,700	700
BL2	1,000	800	1,000	700	1,000	700	3,000	2,200	- 800
BL3	1,000	1,000	1,000	900	1,000	1,200	3,000	3,100	100
Total	3,500	3,500	3,000	2,700	3,500	3,800	10,000	10,000	
Difference	0		- 300		300				

$$\text{WP overspending} = \frac{300}{10,000} = 3.00\%$$

$$\text{BL overspending} = \frac{700 + 100}{10,000} = 8.00\%$$

Budget reallocation among WPs or BLs

Monitoring

MA/JS provides budget reallocation monitoring tool (MS Excel based)

Responsibility of Lead Partner

- **Monitoring WP / BL budget reallocations of PPs in advance**
 - Be able to **initiate and receive** JS confirmation / MC decision for appropriate project modification **in time** – (eligibility of activities!!!)
 - Costs to be reported not reach respective limits (5% / 10%) if not confirmed / approved

Responsibility of Project Partner

- Monitoring that WP / BL real costs do not go beyond 5% without JS confirmation
- Timely inform LP about need for WP / BL budget reallocation

Changes affecting project budget

Revision of the spending forecast

- Fixed in Subsidy Contract
- Modification **only in connection to other major project changes** affecting project budget

Decommitment of the project

- In case DTP affected by decommitment of EU Funds
- Serious problems in financial performance of project
- **MA/JS initiate** budget reduction, based on MC decision

Prolongation of project duration

- Can be requested **only once**
- **Cannot exceed more than 6 months**
- Up to 3 months MA/JS – between 3-6 month MC decision

JS monitoring tools

First Year Review

- Aims at understanding the progress in terms of objectives, outputs and result achievement, as well as the financial spending

BEFORE – NO MAJOR PROJECT MODIFICATION (BUDGET and ACTIVITIES) IS ALLOWED



First Year Review

Based on:

- 1st Progress Report
- Summary of project implementation template
- First year review meeting



Monitoring Visits

- Based on necessity
- Advisory role
- Purpose:
 - To maximise the impact of the programme
 - To ensure proper use of funds
 - To support, advice, assist and assess the partnership



Background for the visits

- Project progress reports
- Summary of project implementation

Progress Report

Keywords: cooperation, trust build, completeness, deadlines, reimbursement

Do: read the guidelines, the approved AF PDF & Excel, the SC and Implementation Manual (pages 49-60), contact the JS

Don't: ignore the importance of good quality reporting within the overall structure of the project and the trust building dimension of the reporting process

1. Main data - This is going to be pre-filled from the approved AF

2. Activity Report

2.1 Highlights of the main achievements

Keywords: cumulative, precise, understandable for non-specialists

Do: focus on the achievement of the thematic WPs, avoid abbreviations, emphasise qualitative aspects and less quantitative ones in relation to outputs

Don't: tackle project management and administration issues (see exceptions)

2.2 Operation of the partnership

Keywords: level of activity, ASPs, improvements, problems

Do: be aware of different administrative and partnering cultures, identify and support the less experienced PPs, explain the lead partner principle, build trust

Don't: ignore the PA, forget to agree on internal reporting deadlines, side-track

2.3 Implementation timeframe and spending

Keywords: timely implementation, financial progress, spending forecast (SC)

Do: be on time, if not, then propose solutions for overcoming time deviations

Don't: underestimate the internal administrative procedures which might affect your spending forecast

2.4 Difficulties and solutions

Keywords: bottlenecks, project specific objectives, outputs, investments etc

Do: report on the difficulties and the identified solution for overcoming them

Don't: ignore the causes or propose solutions outside the programme rules

2.5 EUSDR Contribution

Keywords: support, macro regional strategy, capitalisation strategy (AF)

Do: overview of the project's contribution to EUSDR, involve PACs, embed the EUSDR in your project implementation

Don't: ignore the policy uptake capacity of EUSDR relevant bodies

2.6 & 7 Horizontal principles and sustainable development

Keywords: examples, uptake, positive effects, environment

Do: discuss and implement these principles, be aware of cultural differences

Don't: ignore the value added that these principles can bring to your project outputs/result

2.8 Actions in the field of social innovation

Keywords: innovation, social needs, sustainable society

Do: put the needs of the people at the heart of your social innovation dimension (only for social innovation-related projects)

Don't: confuse eco-innovation/technical innovation with social innovation

2.9 Other issues

Keywords: flexibility, unforeseen issues

Do: use the allocated space, explain and justify, propose solutions, make corrections

Don't: overlap with previous topics

2.10 & 11 Objectives and main outputs & overview

Keywords: timing, level of achievement, completeness

Do: highlight their status, offer clear information, follow the provisions of AF

Don't: forget to quantify the outputs

2.12 Target groups reached

Keywords: involvement, quantification, sources of verifications, realistic

Do: explain and quantify the involvement of the target group in reaching the project outputs

Don't: forget to provide clear information in regard to time and place

3. Reporting by Work Packages

Keywords: put the puzzle together, focus on the content-wise WP

Do: follow the structure provided within the AF, read the examples in the guidelines, report outputs finalised by the end of the reporting period , attach the Quality Report and the Output Factsheet (if requested)

Don't: forget to describe the role of PPs, attach evidence, enforce dissemination , use peer reviews, be transparent.

4. Infrastructure and Works/Investment

Keywords: progress/status, AF and timeframe in case of delays

Do: explain the status (financial and technical), planned measures

Don't: use this section for reporting other items in case your project has no infrastructure and works related activities/budget

5. Financial reporting

Keywords: planning, attention to detail, workable data

Do: make sure the expenditure is related to the project and corresponds to the activities in the AF and validated by FLC, ensure LP sufficient time to compile the PR and submit it on time

Don't: add financial data based on the PPR but only in line with validated certificates

DTP Capitalisation Strategy

Attention Please!

Capitalisation Is About To Start

Capitalisation is continual and cooperative, synergy-building process that enables the take-up of results produced by diverse actions implemented by the projects.



DTP Capitalisation is *at your service* by improving the quality and sustainability of results, strengthening your communication to common stakeholders, reinforcing existing and forming new cooperation networks (synergy-building).

- Be smart and use the DTP Capitalisation Strategy as a tool for reaching wider impact of results and foster positive change at territorial level.

Objectives of DTP Capitalisation Strategy:

- To valorise and further build upon the knowledge resulting from projects working in similar thematic field
- To fill knowledge-gaps by linking actors with complementary thematic specialisation, experience
- To increase visibility of projects
- To strenghten thematic networks in the Programme area.
- (...)

Potential capitalisation activities:

- Joint communication actions
- Joint thematic meetings to exchange on projects' content and outputs
- Joint thematic studies and policy recommendations
- Peer review or benchmarking of project outputs
- Exchange visits (if this enables cross-fertilization and/or take-up of results)
- Joint dissemination activities such as joint (final) conferences addressing common stakeholders
- (...)

DTP Capitalisation Strategy basics

DTP JS has created different Thematic Poles (TPs) based on EUSDR PAs to reinforce the links with the Strategy

Each of TPs shall nominate a pole leader.

Pole leader is responsible for coordinating pole's activities and information flow within the pole and to the JS.

Pole leader has responsibility and task to report to the programme about the implementation of capitalisation activities (progress report).

Involvement of PAC of EUSDR is hoped for since potential synergies with the EUSDR would bring fruitful results.

DTP Capitalisation Strategy basics

DTP Capitalisation Strategy is open to projects from other programmes which may bring added value to the capitalisation within each TP.

DTP Capitalisation Strategy is a work-in-progress and shall involve new projects after each call for proposals.

Changes of thematic poles by the projects possible, as well as inclusion in different thematic poles is possible.

DTP Capitalisation – Group discussion

1. Introduce your project (main objective, activities, outputs)
Each project should express itself if agree to be in the Pole allocated to
(*max 20 min*)

2. What are the potentials for cooperation / how can synergies be created among the projects? (*max 20 min*)

3. What to do next (first step of cooperation)? (*max 10 min*)

4. Decision on Pole Leader (*max 10 min*)

Expected outputs of group discussion:

- Composition of final Pole factsheet: projects, team members (to be communicated to the JS)
- Decision on the Pole leader (to be communicated to the JS)
- Agreement on what to do next and how to proceed

Closure