Allocation of funds
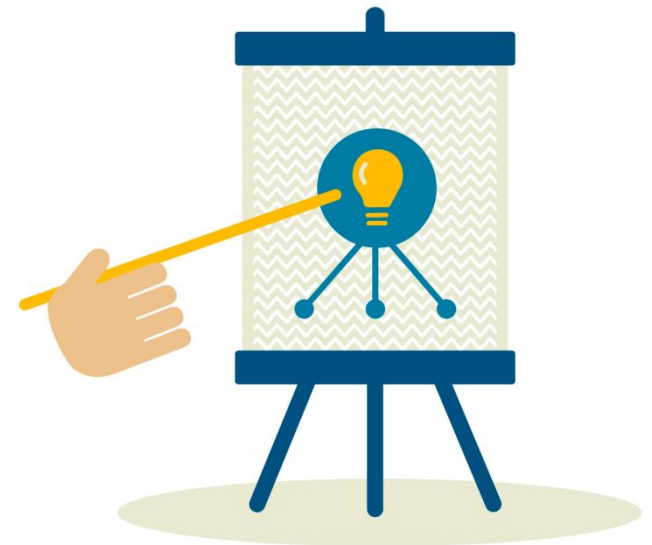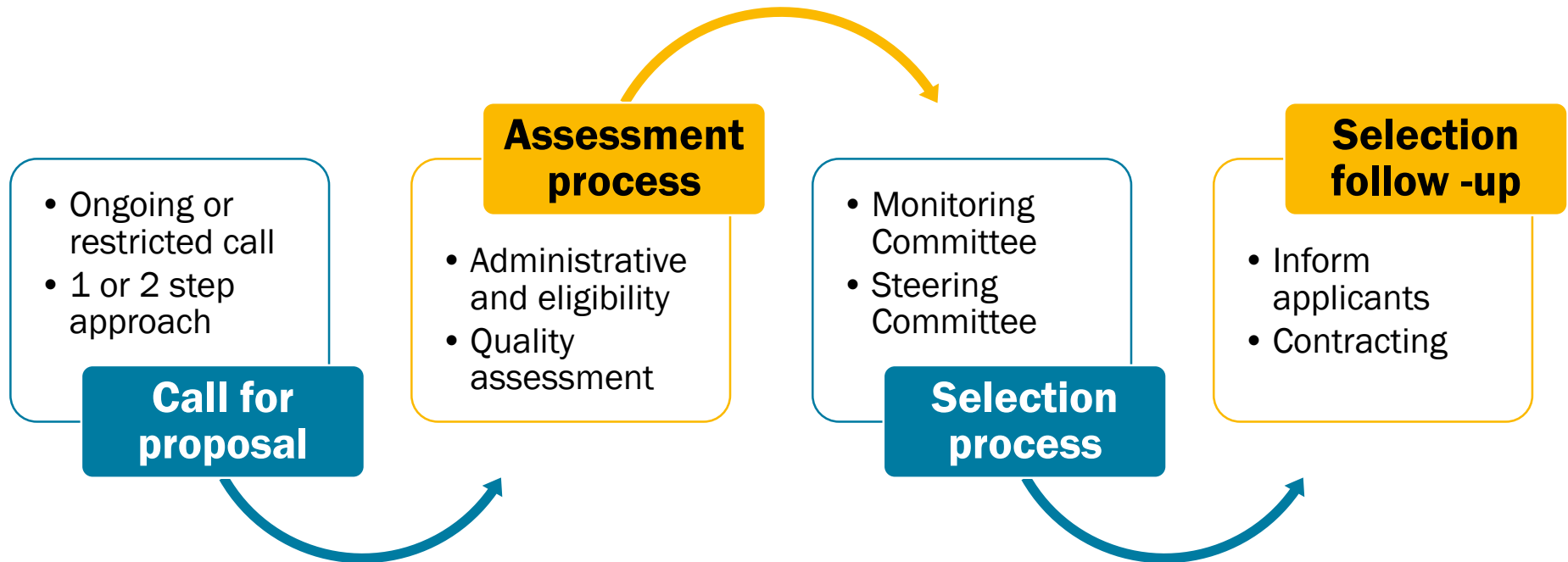
Interact Programme Management for Beginners

17-18 October 2017 I Madrid, Spain

Robert Mazurkiewicz,

Interact Programme

Allocation of funds
the process

INTERact EUROPEAN UNION

Assessment process

Call for proposal
- Ongoing or restricted call
- 1 or 2 step approach

- Administrative and eligibility
- Quality assessment

Selection process
- Monitoring Committee
- Steering Committee

Selection follow -up
- Inform applicants
- Contracting

Calls for proposals

We are ready to announce our first call for proposals!

Programme Manual - check

Application form - check

Internal harmonogram - check

How to achieve the best outcomes out of this process?

- appropriate calls for proposals

- effective assessment procedure

- well-prepared team of assessors

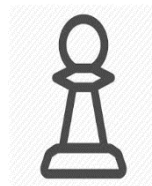- relevant assessment criteria & methodology

- guidance and support

Types of calls for proposals

I – Based on focus

OPEN CALL

TARGETED CALL

CALL FOR
STRATEGIC PROJECTS

CALL FOR SMALL
PROJECT FUND

Open vs targeted calls

OPEN CALLS
+ flexibility + a wide range of opportunities for applicants + easier for new beneficiaries + strong interest
BUT…
- high number of applications to deal with - competitive context - no strong strategic character

| TARGETED/STRATEGIC CALLS |
|---|
| + stronger response to programme objectives (due to specific requirements)
+ more focused projects
+ more and better control at programme level |
| BUT… |
| - more ambitious and more demanding
- political back-up
- capacity of regions to develop projects
- less applicants |

Types of calls for proposals

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II – Based on the duration of the submission phase

ONGOING CALL
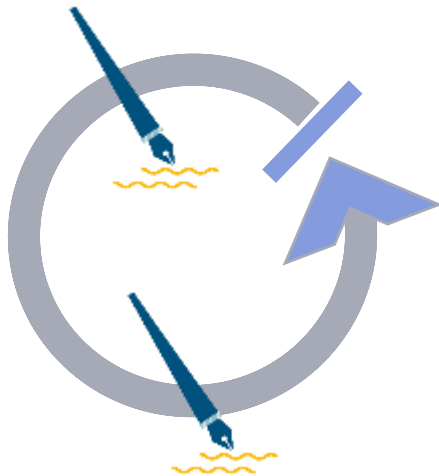
call launched,
no deadline

RESTRICTED CALL

deadline for
submission

Ongoing vs restricted calls

| ONGOING CALLS	RESTRICTED CALLS
+ reasonable workload + easier procedure for applicants + flexibility	+ conditions can be changed (topics, etc.) + more control + more publicity + more support & guidance
BUT…	BUT…
- conditions can be changed (topics, etc.) - less publicity - less support provided	- high workload (peaks) - less user-friendly - more demanding

Types of application procedures

One-step procedure

- full application package submitted

- complete assessment

Two-step procedure

- more common practice in the programming period 2014-2020

- closer follow-up & support
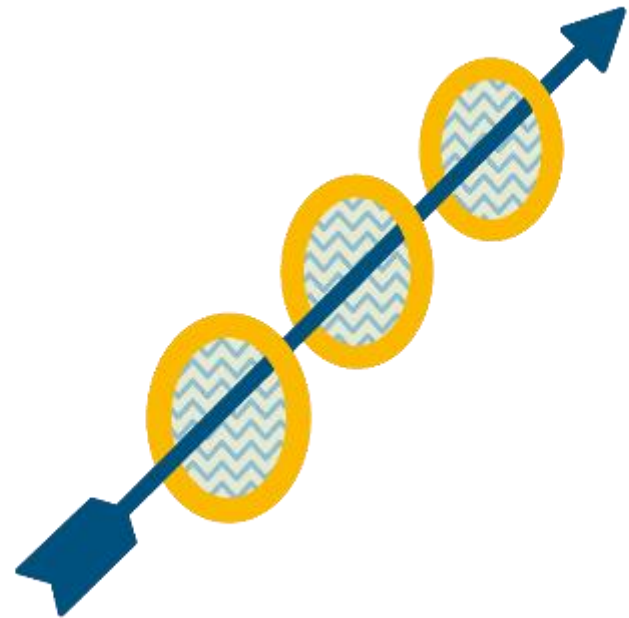
2-step procedure - HOW does it work?

1st **step** → submission of an Expression of Interest (EoI) / Concept Note (CN) incl. a general description of project objectives, expected outputs and results, work plan, overall budget, and structure of the partnership.

2nd **step** → submission of the full application. Project data from the EoI can only be changed to a certan extent.

2-step procedure - WHY does it work?

- less resources needed as not all projects are assessed in depth

- better time management

- saved time and costs at applicant level;

- close support to applicants offered (if only limited number of proposals are invited to submit the full project proposal, the programme can advise project more into details)

- decreasing risk of receiving low-quality projects

The catch: how detailed Expression of Interest / Concept Note should be

Assessment

Assessment process
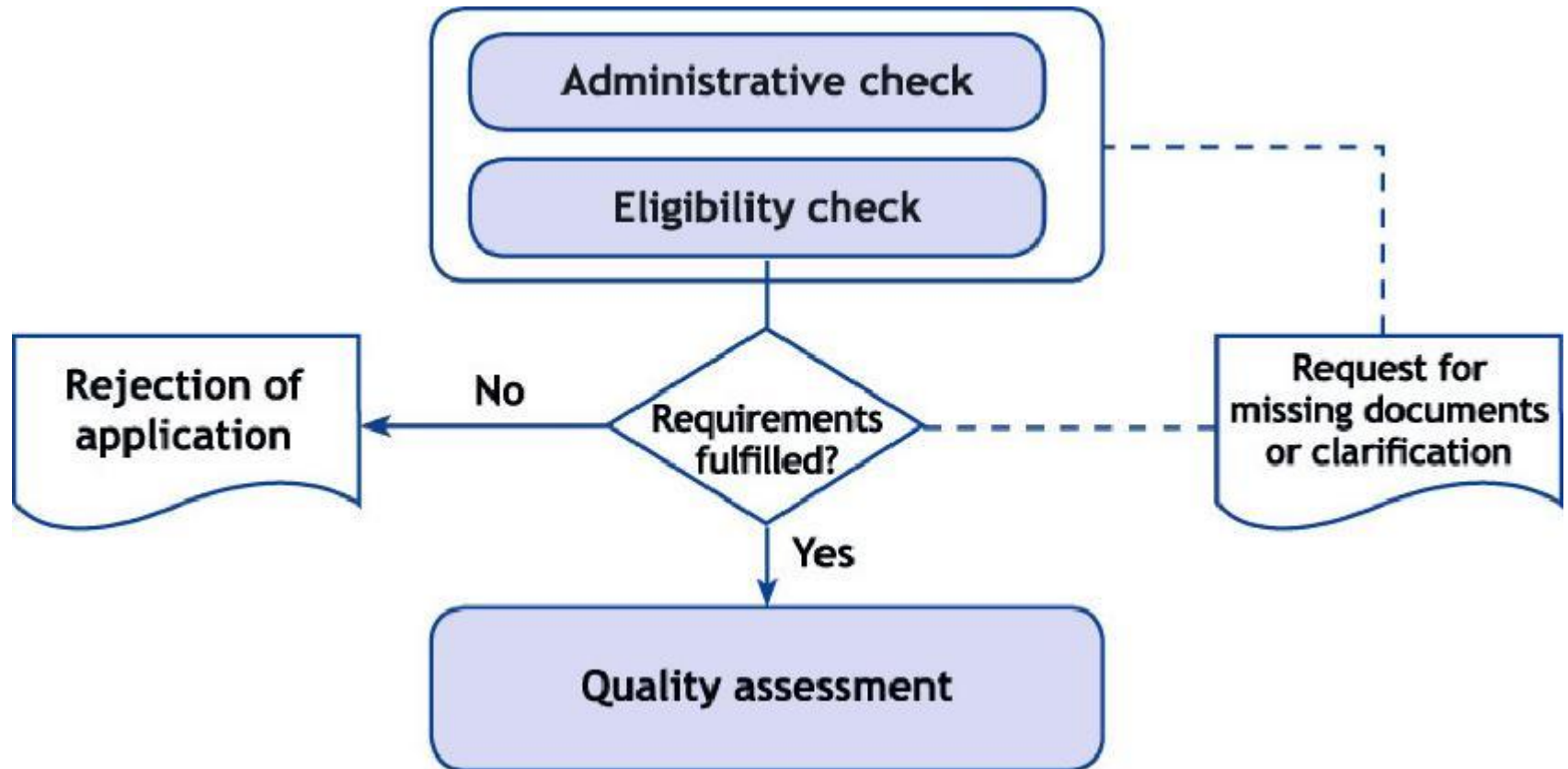
Assessment – who takes care?

Internal assessors

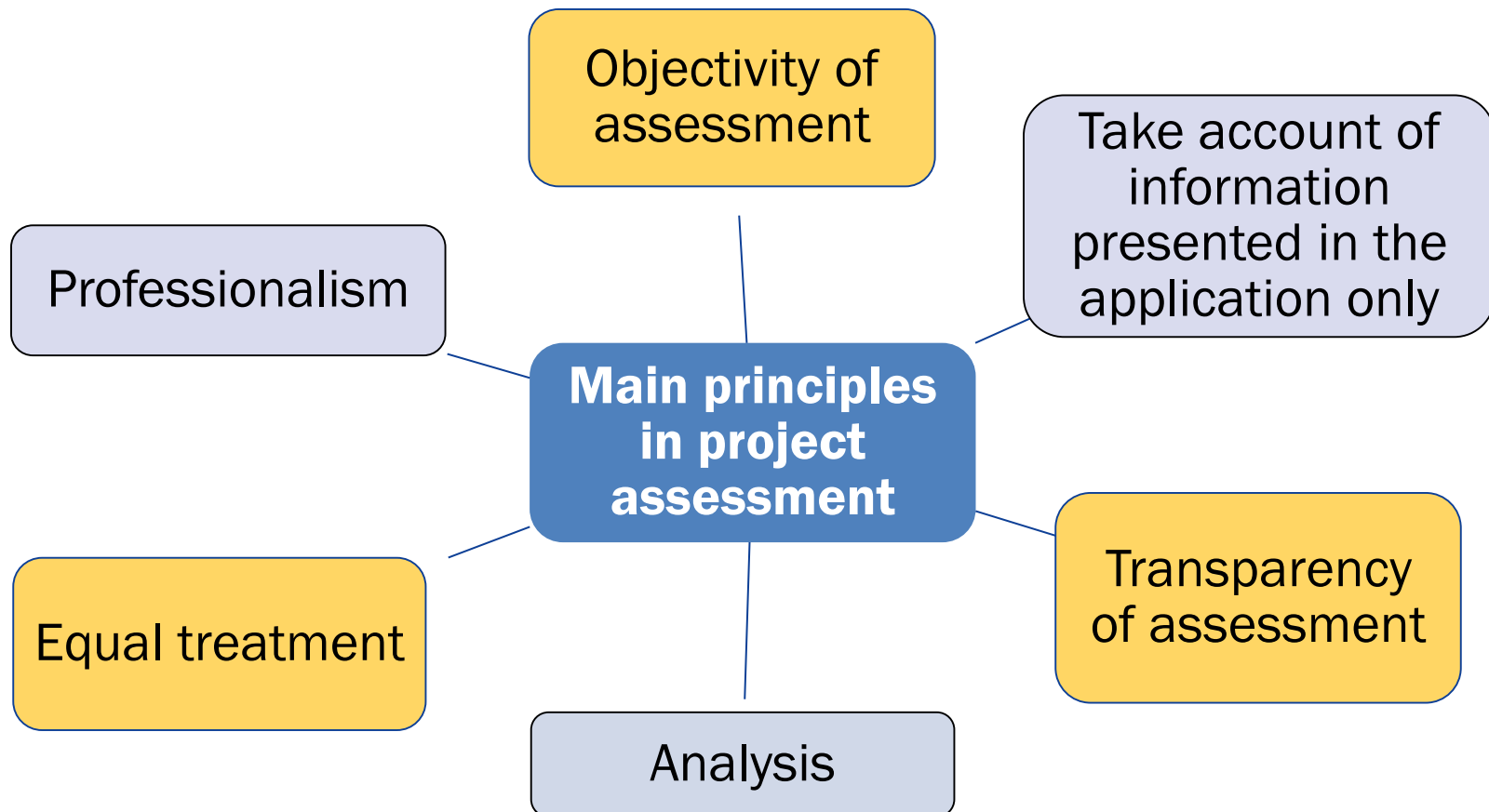- employees of the JSs and MAs

External assessors

- thematic experts/ horizontal issues

- ministry staff

- National CPs

- regional bodies

Internal vs. external assessors

INTERNAL ASSESSORS	EXTERNAL ASSESSORS
+ involved in identifying programme priority/objectives + good knowledge of the programme/projects + better understanding + more experience in terms of what does/doesn't work + can detect early warning signs + higher commitment	+ necessary professional background + thematic knowledge + fresh eyes + no conflict of interest + anonymous
BUT…	BUT…
- conflict of interest/impartiality - lack of sectorial experience - staff turnover/inexperienced staff - capacity when too many applications received	- lack of knowledge about the programme - lack of understanding on territorial cooperation - tend to focus on their field of expertise - costly

Assessment principles

Main principles in project assessment

- Objectivity of assessment
- Take account of information presented in the application only
- Professionalism
- Equal treatment
- Transparency of assessment
- Analysis

Assessment systems numerical vs. descriptive

Criteria	Numerical assessment	Descriptive assessment	Comments
	Max points = 5	High – Medium - Low	
Contribution to transnational and regional development	2 points	Low	The project does not apply a comprehensible transnational approach as most pilot project activities contribute to limited urban, but not transnational, regional development. The actions taken to deliver an EU level agenda are not convincing, benefits generated are not clearly defined.

Assessment systems numerical

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| Scale 1	Scale 2	Scale 3
1 – poor / very poor	-2 – very poor	0 – insufficient
2 – fair / poor	-1 – poor	1 – sufficient
3 – good / adequate	0 - fair	3 – appropriate
4 – very good / good	+1 – good	5 – completely appropriate
5 – excellent	+2 – excellent	

Numerical assessment – weighting

Criterion	Max score	Weighting	Weighted final score
1. STRATEGIC CRITERIA			
1.1 Project's context (relevance and strategy)	10	X3	30
1.2 Cooperation character	10	X3	40
1.3 Project's contribution to programme's objectives, expected results and outputs	10	X4	40
1.4 Partnership relevance	10	X1	10
2. OPERATIONAL CRITERIA			
2.1 Management	10	X3	30
2.2 Communication	10	X1	10
2.3 Work plan	10	X2	20
2.4 Budget	10	X2	20
TOTAL			200
QUALITY THRESHOLD (65 %)			**130**

Guidance & tools for assessors

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Assessment manual:

- understanding/agreement among programme partners about topics

- joint approach whether external or internal, experienced or less-experienced for a coherent assessment

- basic rules and main principles

- more detailed information for external assessors

Assessment tools:

- assessment grids, reports

- templates, standard letters

- sheets
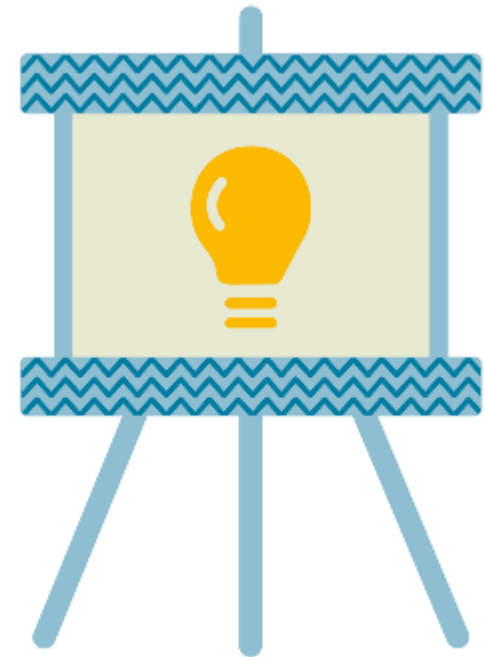
Practical tips
& further considerations

- provide detailed documentation and support to applicants

- encourage applicants to take JS advice/self-assessment

- invest & train new staff (case studies)

- constant use of assessment guidance/available tools/documents

- 4-eyes principle

- internal review/discussion after each call for proposals

- learning by doing process

- exchange practices with other programmes on assessment approaches, test!

- set up a team of assessors that works

- well-written projects are not always the best projects when it comes to implementation!

Selection

Main bodies and actors involved

Programme Monitoring/Steering Committee

National/Regional Committees

Contact Points

Joint Secretariat / Managing Authority

Main bodies and actors involved

Joint Secretariat

- Provides information on scoring and ranking on projects after assessment.
- Provides recommendations on which projects are good enough to be approved.

National subcommittees/ Regional bodies

- Allow relevant actors to express opinion regarding the projects
- Formulate national/regional opinion and priorities
- Consultative body

    - Who can participate?
    - How does it work?

Programme Monitoring / Steering Committee

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Regulation (EU) 1299/2013 in the Article 12(1) says that operations under cooperation programmes shall be selected by a monitoring committee which may set up a steering committee that **acts under its responsibility** for the selection of operations.

Monitoring Committees are the **ultimate** programme's decision-maker on project selection. They act on behalf of the Member States. As such they have a key quality assurance role!

Monitoring vs. Steering Committee

Monitoring Committee	Steering Committee
• **Decion-making body**	• **Optional** programme body
• **Compulsory** for each programme	• Set at the first meeting of the MC
• Secures and oversees programme implementation	• **Responsible for the selection of projects**
• Each contry/region of the programme is represented	• **Reports its task to the MC**
• **Takes decision on list of projects to be funded**	• Usually implies wider representation
• **Takes decision about programme management issues**, e.g. **discusses and reviews criteria for selecting of projects; reviews criteria following the programme needs;** reviews progress on targets, etc.	

Types of selection decisions

1. Approved

2. Approved with conditions

3. Rejected (not approved)

4. Rejected with a recommendation to re-apply

Transparency requirements

Following **standard transparency** requirements, the **selection decisions** need to be **communicated** to **all projects assessed** and to the **general public.**
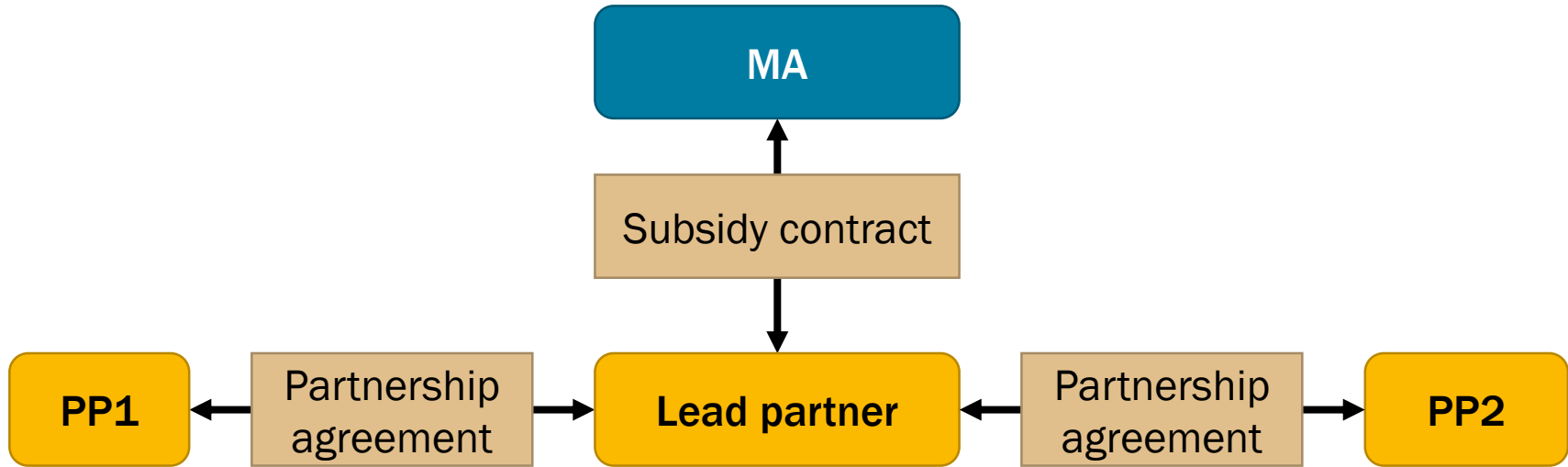
The projects are notified by the JS about the selection decisions made at the Monitoring/Steering Committee meeting.

Negotiations before signing the contract

Negotiations typically take place after the approval letter

is sent and before the contract is signed and can relate to:

- Budget

- Content related

- Timing

Legal agreements

Subsidy contract with the **Programme**

Project **Partnership agreement** within the **partnership**

Subsidy contract

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Legal basis of the Subsidy contract:

Article 125(3)(c) of CPR; Article 12(5) ETC Reg.

OP or other relevant programme documents

Background info:

Subsidy contract is offered by MA to LP in form of

- bilateral contract

- unilateral notification (or subsidy order)

Aim of a Subsidy contract?

- to guarantee the project's compliance with the OP

- to describe the rights and duties of the LP + the authorities involved in the implementation of the programme

Project Patnership agreements

Legal basis of the project partnership agreement:
- Article 13 of ETC Reg.
- OP or other relevant programme documents

Background info:
- The project partnership agreement is signed between the LP and all project partners (PP), either in the form of a bilateral or multi-lateral contract, or as a unilateral notification.

Aim of a project partnership agreement:
- To guarantee the project's compliance with the Operational Programme
- To stipulate rights and obligations of each PP and of the LP contracting project partnership agreements

# Complaints procedure CPR Article 74(3)

"Member States shall ensure that effective arrangements for the examination of complaints concerning ESI Funds are in place."

- Complaints procedure to be set up **within the programme**

- Not replacing (national) **court procedures,** but in the best case rather avoiding such

- Therefore, CPR Article 74(3) providing degree of freedom to MS to decide on a procedure

Types of complaints

- Complaint against **MC/SC** funding decision → internal programme procedure

- Complaint against a decision of the **MA/CA** during project implementation → follows the rules laid down in the subsidy contract

- Complaints related to **FLC**, **Second Level Control** and **Audit** → responsible national authority according to the applicable national rules

Complaints process
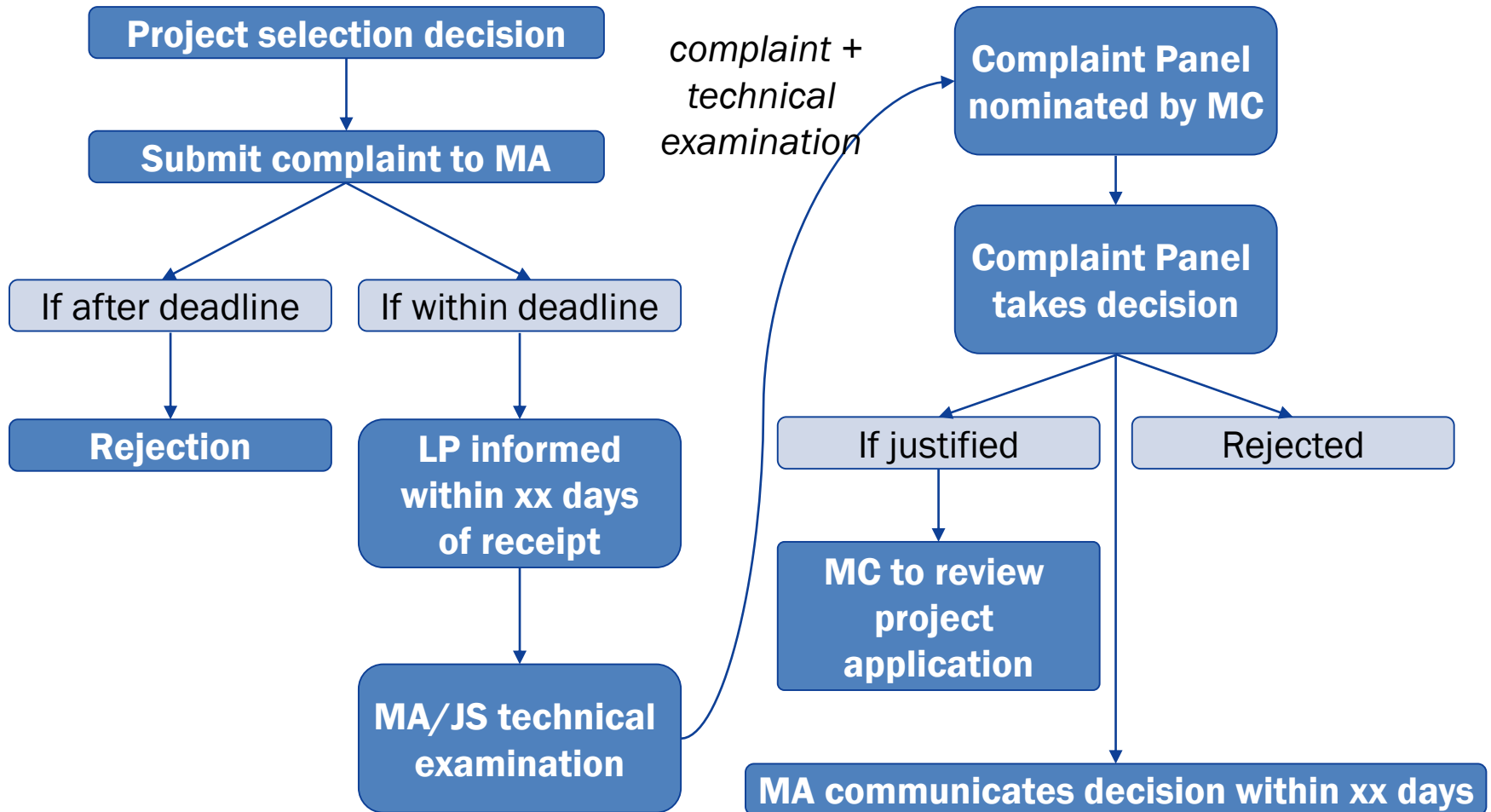
Cooperation works

All materials will be available on:

www.interact-eu.net