

**INTERact**



# Project Monitoring and Reporting Workshop for Interreg programmes

Who, why, how?

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## **Responsibilities of Member States (Art. 122(3) CPR)**

Member States shall ensure that no later than 31 December 2015, all exchanges of information between beneficiaries and a managing authority, a certifying authority, an audit authority and intermediate bodies can be carried out by means of electronic data exchange systems.

## Functions of the managing authority (Article 125(d) CPR)

As regards the management of the operational programme, the managing authority shall:

- (d) establish a system to record and store in computerised form data on each operation necessary for **monitoring**, evaluation, financial management, verification and audit, including data on individual participants in operations, where applicable;

## Joint Secretariat

- (ETC Preamble) (33) The managing authority should set up a joint secretariat which should, inter alia, provide information to applicants for support, deal with project applications and ***assist beneficiaries in implementing their operations.***

## ETC Article 23

2. The managing authority, (...), shall set up a joint secretariat. The joint secretariat shall assist the managing authority and the monitoring committee in carrying out their respective functions. The joint secretariat shall also provide information to potential beneficiaries about funding opportunities under cooperation programmes and ***shall assist beneficiaries in the implementation of operations.***

## Guidance for the Commission and Member States on a common methodology for the assessment of management and control systems in the Member States

**Key requirement 5: Effective system in place to ensure that all documents regarding expenditure and audits are held to ensure an adequate audit trail**

(Articles 72(g), 122(3), 140, 125(4)(d), 125(8) CPR)

Assessment criteria:

5.1 The detailed *accounting records* and supporting documents for operations are kept at the appropriate management level (such as *the technical specifications and financial plan of the operation, progress in achieving outputs and results and **monitoring reports**, documents concerning application, evaluation, selection, grant approval and tendering and contracting procedures and reports on inspections of the products and services co-financed*) and provide the information set in Article 25(1) CDR. The accounting system enables both the beneficiaries and the other bodies involved to be identified together with the justification for the payment.

## Article 13 (ETC)

### Beneficiaries

2. The lead beneficiary shall:

- (b) assume responsibility for ensuring implementation of the entire operation;
- (c) ensure that expenditure presented by all beneficiaries has been incurred in implementing the operation and corresponds to the activities agreed between all the beneficiaries, and is in accordance with the document provided by the managing authority pursuant to Article 12(5);

## Partners' responsibilities during implementation - Responsibilities within the partnership

Responsibilities	Lead partner	Partners
<b>Continuously monitor project progress</b> <i>(ensure that the project stays on track)</i>	<ul style="list-style-type: none"> <li>• Monitor progress of key project elements</li> <li>• Deliverables comply with content and quality requirements</li> <li>• Milestones are met</li> <li>• Cost as budgeted</li> <li>• Review and process requests for modifications to the plan</li> </ul>	<ul style="list-style-type: none"> <li>• Review progress of tasks on partner level</li> <li>• Report to the LP/ inform about the progress</li> <li>• Inform of the potential risks and problems associated with risks</li> </ul>
<b>Conduct team reviews</b> <i>(review progress and plan for the next activities)</i>	<ul style="list-style-type: none"> <li>• Determine the information needs in the partnership</li> <li>• Decide/ discuss how best to communicate information</li> <li>• Acquire the necessary information (e.g., through programme sources)</li> </ul>	<ul style="list-style-type: none"> <li>• Inform about information needs and discuss them with the LP and the rest of the partnership</li> <li>• Regularly exchange status information</li> <li>• Present/ discuss plans for next actions, and outline action points</li> </ul>

Responsibilities	Lead partner	Partners
<b>Manage modifications</b> <i>(monitor modifications to one or more project parameters)</i>	<ul style="list-style-type: none"> <li>• Document the modifications requested, prioritise modifications that involve the whole partnership</li> <li>• Estimate the resources involved to implement the modification that involves all relevant partners</li> <li>• Inform programme management, or make a request for a modification</li> <li>• Include an alternative solution</li> <li>• Provide a description of how the modification requested affects the project resources and outcomes</li> <li>• Ensure the approved modifications are incorporated in the project structure and carried out</li> </ul>	<ul style="list-style-type: none"> <li>• Outline the modification - link it to the original plan - highlight deviations</li> <li>• Estimate the impact of the modification on the partner's part of the project, and on the project as a whole</li> <li>• Inform and discuss with the LP and the rest of the partnership</li> </ul>



## Responsibilities of the lead partner

Towards the programme	Towards the partnership
<ul style="list-style-type: none"> <li>• Responsible for delivering the project.</li> <li>• Responsible for reporting according to the programme's timetable.</li> <li>• Responsible for ensuring that the expenditure presented by partners is in line with the work plan agreed.</li> <li>• Responsible for ensuring that activities carried out are in line with the application.</li> <li>• Responsible for immediately warning the programme if changes occur.</li> </ul>	<ul style="list-style-type: none"> <li>• Making sure that all information available on programme reporting procedures and reporting templates is passed on to the partner level.</li> <li>• Providing clarification related to the information/requirements.</li> <li>• Making sure that the partners provide the right information in order to produce the project report.</li> <li>• Making sure that any feedback from the reports reaches the partners (especially if some of the information is directly related to a specific partner).</li> <li>• Funnelling partner questions to the programme.</li> </ul>

# Reporting Requirements

- Projects submit the progress report at the agreed deadlines throughout project implementation.
- The report includes information about activities carried out, outputs delivered and expenditure incurred.
- The financial part of the report provides information on the amount spent since the last report, split according to the budget lines as those in the application.
- Many programmes regard six-monthly reporting as adequate to obtain a good indication on project progress (though some programmes ask for reports every 3 months).
- Most projects put reporting deadlines in the project partnership agreement and make clear that the lead partner will not be responsible for any project partner losses caused by partners' delays.

# Reporting Process

- Progress reporting required during project implementation.
- Necessary pre-condition for payments.
- Most common practice: one progress report form (financial and content related information) to be supplemented by required attachments.



## Types of report

- Programmes provide reporting templates (checklists or other reporting tools), they set out how information should be provided
- They are distributed well in advance to the lead partners (they may be also be available on programme websites), and they pass them on to the partners.
- Progress and financial reporting require different templates but are prepared at the same time for the same reporting periods, and submitted together to the programme.



# Types of report

Different types of report forms for different purposes:

- 1) Start-up report
- 2) Preparation costs report
- 3) Progress report
- 4) Final report
- 5) Follow-up report





# Features of the report (1)

Typically there is a variety of **annexes** required for the progress or final report:

- activities and outputs delivered;
- information and publicity;
- Meetings' documents;
- achievement of indicators;
- change requests/information;
- certifications of expenditure;
- FLC Designation Certificates and Reports;
- Bank statements or information (LP only)





## Features of the report (2)

From a **technical** point of view, the progress reports are designed in either Word or Excel format, or as on-line application:

- Word-format seems to be most common
- Online Monitoring systems are already used (e.g. Presage)



# Our groups' discussion

1. **ROLES and TASKS:** programme bodies involved in the reporting and monitoring workflows, repartition of tasks within the Secretariat, specific tasks due to (result-oriented) follow-up, creation of ad hoc committees in charge of individual project monitoring
2. **REPORTING WORKFLOWS:** different flows for the submission of activity reports and payment requests, managing feedback rounds and corrections, improvements of projects' implementation (result-oriented) follow-up





## What should be defined or improved?

- **Lessons learnt:** what has worked or not in 2007-2013?
- **Disadvantages:** what should be improved?
- **Possible solutions:** what according to your experience could solve these issues or would be useful to this scope?

**→ Increased Simplification is also a fundamental aspect**

# It's time to exchange...



WHAT  
WORKS/SAVE?

WHAT  
DOESN'T  
WORK/  
CHANGE?

- While project partners are implementing the work plan, the programme co-financing the project is monitoring its implementation. Monitoring project progress is a main programme management tool. As an administrative procedure, the main task of monitoring is to assure that project inputs (budget and activities) and outputs are in line with the original plan (the application), and that the expenditure incurred complies with the rules of eligibility. The main feature of project monitoring is that it is based on the project application.
- For these reasons, it is important that monitoring is an on-going process and not a task left for the end of the project. Programmes put considerable emphasis on project monitoring, and it is one of the core tasks of those responsible for programme management. Monitoring of project implementation provides vital information on the overall performance of the programme; in particular, in terms of how (quantitatively and well as qualitatively) programme objectives and key targets have been met.

Other main reasons for monitoring are that it:

- Gives an accurate picture of the status of project implementation.
- Allows programmes to keep track of whether projects are being implemented according to the plan and thus keep track of all major project variables - cost, time, scope and quality of deliverables.
- Provides programme managers with important information on significant achievements which support programme information and publicity.
- Allows problem identification.
- Verifies and provides transparency on the spending of public funds.

## Partnership

Project implementation consists of carrying out the activities with the aim of delivering the outputs and monitoring progress compared to the work plan.

Monitoring can be defined as control of the project implementation in order to keep the project on track and achieve the end results of the project. The project manager is responsible for the regular monitoring of the project, but the partner organisations should also contribute actively to the effective monitoring of the project.

The whole partnership will benefit from monitoring of project progress because it:

- provides support for project implementation and acts as an indicator of whether targets are being met;
- through feedback activities, it stimulates improvement in project results based upon observations of the value and the quality of the various elements of the project;
- provides reliability and credibility of results;
- foresees potential problems in good time and simplifies decision-making, especially if corrective actions are necessary.

## Reporting

All Interreg programmes require progress reporting during project implementation. The aim of the reporting process is to establish whether project objectives have been achieved, what resources have been expended, what problems have been encountered, and whether the project is expected to be completed on time and within budget. If performance is sufficient, the project will receive payment from the programme for costs incurred, paid and reported.

The most common practice is that programmes have one progress report form which includes both financial and content related information and has to be supplemented by required attachments. In addition, programmes often have a separate final report form which is submitted at the end of the project. The frequency of the reports submitted is decided by the programme, and this varies from programme to programme.



# Thank you for your attention

Please do not hesitate to contact us for any further information  
or visit [www.interact-eu.net](http://www.interact-eu.net)



## Reporting process