

## Interreg IPA CBC Italy–Albania–Montenegro Programme

### PROGRAMME MANUAL

#### ***4.1.3 ANNEX 3 – Guidance for Small Scale Projects***

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01.2

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## **Introduction**

Through the Small Scale Projects, the Programme bodies intend to contribute to simplification for beneficiaries, especially for small organisations, while using one of the foreseen simplified cost options (SCOs) provided by the Regulations. At the same time the Programme intends to test these innovative financing options, also in compliance with the proposals for regulations 2021-2027 newly issued by the European Commission (see ETC Regulation, Small Project Fund).

On this basis, the Targeted Call expressly included the possibility to submit project proposals as “Small Scale Projects” defined by specific rules.

## **1. Key rules related to management of Small Scale Projects**

The Call identified very specific management rules for Small Scale Projects on following aspects (see under closed calls on the Programme website <https://italy-albania-montenegro.eu>). All aspects not mentioned below, are regulated by the same management rules for standard projects, as well as the other fact sheets of the Manual.

For the specific rules on the selection of Small Scale Projects, see the related annex of the targeted call.

### **Pre-financing and payments**

A Pre-financing 30% of IPA contribution is paid by signature of subsidy contract. The offset of pre-financing with the final payment.

For Small Scale Projects, an interim payment shall be released after the achievement of the fixed milestones:

1) The first/second milestone is achieved upon the complete delivery of the first output or outputs planned, being workshops/seminars/conferences or Incoming missions & B2B meetings, completed at the end of a reporting period. The interim payment should be equal to the lump sum amounts corresponding to the delivered outputs, as well as the preparation costs, if these were requested;

2) The final payment will be released after the achievement of the final milestone, which is the complete delivery of all planned outputs.

The output delivery is considered completed after the follow-up of the concerned meetings is concluded, including the provision of sufficient documentation related to the achievement of the meeting expected results. If the output delivery is not completed, because the meeting expected results have not been achieved, the related part of the interim or final payment may not be released. If there is a clear evidence that meeting results are achieved only partially, the Managing Authority reserves the right to proportionally reduce the amount, upon consultation of the concerned partner.

**Warning: "Output for the lump sum" is not the "Project Output"!!**

- "Output for the lump sum" is the concrete activity, such as workshop, conference, meeting etc., to be carried out to receive the related lump sum. Sufficient evidence of the existence shall be provided to the MA/JS/NIPs, who are responsible for verifying that the activity was effectively delivered, on desk and on-the-spot.

- "Project output" is the global outcome of the project activities, as specified in the application form. The project output contributes to the achievement of a specific programme output. Within the reports, the project partner shall make a self-assessment of the achieved project output, also on the basis of external feedback, e.g. the event evaluation forms. The JS/MA during project monitoring globally evaluate, whether the project output has been reached, on the basis of what the project partner reports.

Example:

A Small Scale Project includes 3 partners, with following budget:

Project total budget							
Partners	Country	Seminars	Sub-total	Preparation	Total	Total IPA	Total Nat.
LP	IT	3	51.000,00 €	5.000,00 €	56.000,00 €	47.600,00 €	8.400,00 €
PP2	AL	2	24.000,00 €		24.000,00 €	20.400,00 €	3.600,00 €
PP3	ME	1	11.000,00 €		11.000,00 €	9.350,00 €	1.600,00 €
<b>Total</b>			<b>86.000,00 €</b>		<b>91.000,00 €</b>	<b>77.350,00 €</b>	<b>13.650,00 €</b>

The project implements following activities and reports them like this in following reporting periods:

	Project reporting					
Partners	Period 0	Period 1	Period 2	Total	Total IPA	Total Nat.
LP	5.000,00 €	17.000,00 €	34.000,00 €	56.000,00 €	47.600,00 €	8.400,00 €
PP2		12.000,00 €	12.000,00 €	24.000,00 €	20.400,00 €	3.600,00 €
PP3			11.000,00 €	11.000,00 €	9.350,00 €	1.600,00 €
	<b>5.000,00 €</b>	<b>29.000,00 €</b>	<b>57.000,00 €</b>	<b>91.000,00 €</b>	<b>77.350,00 €</b>	<b>13.650,00 €</b>
		<b>1st milestone</b>	<b>2nd milestone</b>			

The Programme reimburses therefore following amounts, according to the delivery of specific outputs:

Payments IPA 85%		
Advance (30%)	23.205	At project signature
1st Milestone	28.900	End of first period
2nd Milestone	25.245	End of second period
TOTAL	77.350	

### **Eligibility rules**

The dedicated Small Scale Projects grants shall exclusively take the form of reimbursement of eligible costs declared by beneficiaries on the basis of a lump sum.

Several lump sums could be combined to cover different activities, and to contribute to the total amount of the project.

In compliance with art. 67 (4) of CPR Reg. (EU) No. 1303/2013 small scale projects implemented exclusively through public procurement are not admitted<sup>1</sup>.

Other than the documentation to prove the reality and existence of the output, no supporting documents have to be provided for the real costs during the reporting. Therefore, emphasis is put on the output, to prove that activity took place in the planned way. Once the activity has taken place it will be reported. If the output for the activity is reached completely, the project will be reimbursed with the full amount that was budgeted.

The Small Scale Projects grants can use lump sum for three typologies of actions as follow:

1. Preparation cost
2. Workshop, seminars and conferences
3. Incoming missions & B2B meetings

Lump sums operate on a binary approach, and there are no other choices than paying 0% or 100% of the single lump sum. Special attention should be paid that the conditions (e.g., how the reimbursement of costs can be affected if the conditions have not been fulfilled) are clearly defined in the subsidy contract. If only one input/output to be financed via a lump sum is indicated and that input/output is not delivered, no reimbursement is due<sup>2</sup>.

### **Preparation Cost**

The preparation costs are regulated by the same rules as for the standard projects, except for the amount which is a lump sum in the total amount of EUR 5.000€ (including IPA contribution and national co-financing).

<sup>1</sup> Staff is considered not only persons contracted with a labour law contract or equivalent contract, but other forms of stable cooperation, such as the share-holders of the organisation. In general, Article 67 (4) ratio shall be applied, i.e. there needs to be evidence that project was not 100% externalised.

<sup>2</sup> If there is a clear evidence that lump sum item's objectives are achieved only partially, the Managing Authority reserves the right to proportionally reduce the amount, upon consultation of the concerned partner.

### **Management verifications**

The objective of management verifications in case of the project preparation lump sum is to verify that project preparation occurred in reality, i.e. that it existed.

The proof that the project was prepared is the submission of the application form and its compulsory attachments, filled in in all its parts, as required. To produce this concrete output, the project partners must have carried out a number of preparation activities.

The verification of the Application Form occurs:

- At eligibility check, which requires that 2 assessors at the JS and the National Info Points in Albania and Montenegro check completeness of the application, among other aspects;
- At quality assessment, which requires that 2 assessors at the JS and the National Info Points in Albania and Montenegro assess the content and quality of it;
- During the contracting phase and before the project start date, where an active cooperation of the Lead Partner staff with the JS and Managing Authority takes place, e.g. to collect signatures, add the information required in the eMS, to fulfil any condition set, etc;
- At reporting, which requires that the persons of the JS and of the Managing Authority in charge confirm the existence of the application form.

Instead of the National Controllers, the Managing Authority, supported by the JS and the National Info Points, is performing and confirming the verification of reality and existence.

### **Workshops, seminars and conferences**

The eligible costs are linked to the organisation of events, meetings, seminars, conferences, debates, in particular costs relating to organisation, renting rooms, interpretation, travel, subsistence and accommodation, experts, etc.

The types of costs covered by the lump sum “Workshop, seminars and Conferences” are (non-exhaustive list, only examples):

- executive planning of the event (staff cost + external expertise)
- logistical assistance
- fee for speakers, including travel and accommodation
- services related to studies, analyses, publications, tools, which are functional for the event
- rental services and setting up locations
- kit-event realization
- hostess service
- interpreter service
- catering service

- operational secretary, including travel and accommodation
- preparation and implementation of the promotion campaign for the event
- event follow-up (reporting, evaluation, press releases, etc.)

Projects are entitled to receive reimbursement in the form of a lump sum in the total amount set in the table below, relating to **at least 1 day** and **at least 40 participants** event.

During the preparation, implementation and follow-up of the meetings the partners shall prove that sufficient quality standards are ensured (e.g. involving qualified experts, facilitators, ensuring sufficient services for participants, outcomes of the meeting duly documented, participants satisfaction questionnaire, etc.), which allows for achieving the project goals, outputs and results. This means that the Joint Secretariat shall be in the position to verify with project reports that the outputs and results are achieved in the expected quality in a reasonable way. In particular, an assessment by participants (through questionnaires e.g.), or external experts, or equivalent, is required.

### **Incoming missions & B2B meetings**

The types of costs to be covered by the lump sum “Incoming mission & B2B meetings” are (non-exhaustive list, only examples):

- incoming activities, including travel and accommodation
- logistical assistance for operators of economic activities
- rental services and setting up locations
- hostess service
- interpreter service
- catering service
- operational secretary, including travel and accommodation
- services related to studies, analyses, publications, tools, which are functional for the mission/meeting
- preparation and implementation of the promotion campaign for the event
- event follow-up (reporting, evaluation, press releases, etc.)

Projects are entitled to receive reimbursement in the form of a lump sum in the total amount set in the table below, for at least 10 economic operators.

During the preparation, implementation and follow-up of the incoming missions and B2B the partners shall prove that sufficient quality standards are ensured (e.g. involving qualified experts, ensuring sufficient services for participants, outcomes of the meeting duly documented, participants satisfaction questionnaire, etc.), which allows for achieving the project goals, outputs and results. This means that the Joint Secretariat shall be in the position to verify with project reports that the outputs and results are achieved in the expected quality in a reasonable way. In particular, an assessment by participants (through questionnaires, e.g.), or external experts, or equivalent, is required.

The template for event evaluation form included in annex 4.1.3.2 may be used and adapted to the project specific requirements. The data collected with the evaluation forms could be aggregated, main conclusions on the event achievements could be drawn by the project partner in form an event evaluation, which could be attached to the request for reimbursement. If not this, other suitable methods for event evaluation shall be applied.

#### **WARNING**

In compliance with the GDPR Regulation (UE) No. 2016/679, the project partner must request an explicit consent by the participants to use their own data, photos or videos, which include personal image for the purpose of evaluation, audit or promotion of the event outcomes, except for any commercial use and distribution, which is not allowed <sup>3</sup>.

#### **Management verifications of workshop, seminars and conferences and incoming missions & B2B meetings**

The objective of management verifications in case of the workshop, seminar and conference, as well as Incoming missions & B2B meetings lump sum is to verify that these events occurred in reality, i.e. that they existed.

The proof that the events took place, as output of a number of activities performed by the beneficiaries, is verified (see Annex 4.1.3.1 Check list):

- during the implementation phase, i.e. the JS and National Info Points staff are invited to participate in all events planned with at least one month notice. At least at one event per project, and without prior notice, a member of the JS and National Info Points shall on-the-spot verify the existence of the event and fill in a report to be uploaded with the concerned project report;
- at reporting, i.e. the persons in charge at the JS and at the Managing Authority shall verify the event documentation and request additional proof, if needed.

Event documentation shall be produced and uploaded with the project report and include at least (see Annexes 4.1.3.2/3/4 – Event evaluation, Registration form events, event agenda):

- Documents produced during the preparation of the event: Agenda, invitation, participant lists, event poster, news, publications, studies, etc. A sufficient evidence shall be provided in order to prove to a reasonable extent that the events was well prepared and communicated beforehand.

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<sup>3</sup> If participants deny their consent to use personal data/images for audit/evaluation purposes, the event organiser shall blur out a substantial part of it (still allowing to verify total number of participants by an auditor). If the participants deny their consent to use personal image for institutional promotion, recognisable images of the participants are not usable (to be checked in the concrete case).

- Documents produced during the event: Signature lists, photo and video materials, social media and media coverage, etc. A sufficient evidence shall be provided in order to prove to a reasonable extent that the events took place.

Documents produced after the event: Minutes, Summary, Conference proceedings, meeting evaluation forms filled in, signed memorandum of understanding, etc. A sufficient evidence shall be provided in order to prove to a reasonable extent that the events was followed-up on.

Instead of the National Controllers, the Managing Authority, supported by the JS and the National Info Points, is performing and confirming the verification of reality and existence.

It is advisable to use the template for event evaluation for the necessary follow-up and it is required to strictly apply GDPR requirements for documentation.

### **Applicable lump sum amounts**

In order to take into account the different costs of living in the three countries, adjustments are necessary through the application of a country correction coefficients.

Using country correction coefficients, the Lump Sums of Workshop, seminars and conferences and Incoming missions & B2B meetings, become respectively:

	<b>Italy</b>	<b>Albania 71,3%</b>	<b>Montenegro 62,7%</b>
<b>Workshop, seminars and conferences</b>	EUR 17.000	EUR 12.000	EUR 11.000
<b>Incoming missions &amp; B2B meetings</b>	EUR 21.000	EUR 15.000	EUR 13.000

Costs declared as a lump sum shall be eligible if they correspond to the lump sum set out in the estimated budget for the activity and if the corresponding tasks or parts of the action have been properly implemented in accordance with Application Form.

Each lump sum should be named with a unique, identifiable name; the same name should be used in the project budget.

Detailed information should be given on the content and costs foreseen for the lump sum, per work package and beneficiary.

Through the project report each beneficiary certifies that:

- the information provided is full, reliable and true;
- the work packages have been completed and that the action in general has been properly implemented;

- the proper implementation can be substantiated by adequate records and supporting documentation that will be produced upon request or in the context of checks, reviews, audits and investigations.

### **Project content requirements**

Requirements on project duration, selection criteria and others are specified in the call.

The application form includes planned sources of verification of the output, which shall be given by the applicant, i.e. the Lead Partner has to clearly set out what evidence may prove the existence of the set output. For example, if “meeting with a set number of participants” is the output defined, documental evidence may be proposed by the applicant, such as the meeting agenda, minutes, meeting participants and registrants list, photographic material, video material, external feedback, which is in any case required, e.g through analysis of the evaluation forms by participants.

It is advisable to use the template for event evaluation for the necessary follow-up and it is required to strictly apply GDPR requirements for documentation.

### **DOUBLE FINANCING AND FRAUD**

All project partners are reminded that DOUBLE FINANCING is strictly forbidden and all partners declared that the operation is not double-financed by other EU funds.

It must be noted that the programme follows a strict anti-fraud policy and any fraud detected at any stage of implementation will be reported to the competent national and EU authorities.

### **Project changes**

An extension of project duration may be approved by the Joint Monitoring Committee for maximum six months.

Transfers of outputs and related lump sums among work packages and beneficiaries are possible only if:

- the lump sum output of the concerned work package is not already delivered (and declared in a financial statement);
- the transfers are justified by the technical and scientific implementation of the action;
- a review confirms that the amendment does not call into question the decision awarding the grant or breach the principle of equal treatment;
- each partner’s contribution to the project implementation is ensured.

The reduction of total outputs and related lump sums require the prior approval.

## Annex 4.1.3.1

### CHECK LIST

#### Management verification lump sum Small Scale Project

Project – No:

Acronym:

Lead partner:

#### Methodology of the verification:

☐ On the spot

☐ Desk based

#### Output type:

☐ Workshop, seminars and conferences

☐ Incoming missions & B2B meetings

#### Date of the event verified:

Place / Venue of the event verified:

#### Institution:

In the programme function of:

☐ Joint Secretariat ☐ National Info Point ☐ Managing Authority ☐ National Authority ☐ .....

#### 1. On-the-spot

Implementation of the event				
Control question	Yes	No	N/A	Comments
The event took place in the <u>venue and times</u> indicated in the agenda and invitation to JS /NIPs				
The registered participants were present in the room for <u>at least the minimum number</u>				
For workshop, seminar, conference: There is sufficient evidence that the <u>duration</u> of the event is planned to be equivalent to at least one-day event (e.g. agenda)				
<u>Staff of the beneficiary organisation</u> was personally present during the event (if not the organiser indicated how and when staff is going to be personally involved). There is no evidence that the output was implemented exclusively through public procurement i.e. against art. 67 (4) of CPR Reg. (EU) No. 1303/2013				
<u>The content</u> is in line with the agenda and may contribute to the project objectives, and <u>sufficient material has been provided</u> (e.g. power point, speaker's notes, facilitation exercises, case studies, etc.)				

## 2. Desk based

At reporting				
Control question	Yes	No	N/A	Comments
For workshop, seminar, conference: There is sufficient evidence that at least <b>40 participants</b> were presents (e.g. signature list, photos, videos, participant satisfaction questionnaire, participation certificate, etc.)				
For incoming missions and B2B events: There is sufficient evidence that <b>10 economic operators</b> participated (e.g. signature list, photos, videos, participant satisfaction questionnaire, participation certificate etc.)				
<b>There is sufficient evidence that staff of the beneficiary organisation</b> was personally present during the event (i.e. signatures, photos and partner declaration on how and when staff has been involved). There is no evidence that the output was implemented exclusively through public procurement i.e. against art. 67 (4) of CPR Reg. (EU) No. 1303/2013				
There is sufficient evidence that the <b>content</b> was appropriately implemented according to the agenda and contributing to the project objective (e.g. power point, conference proceedings, minutes, studies, expert inputs, surveys, participant satisfaction questionnaire, etc.)				
There is sufficient evidence that the content of the event was <b>appropriately followed-up</b> on (e.g. meeting minutes, conference proceedings, analysis of the participant satisfaction questionnaire, scientific paper produced, etc.)				
There is sufficient evidence that the event was <b>duly communicated</b> (e.g. emailing to participants, newspaper publications, website publications, social media, etc.)				

Opinion on reality/existence of the output:

☐ POSITIVE

☐ NEGATIVE

Date, place\_\_\_\_\_

Name, Surname, Institution

Signature\_\_\_\_\_

## Annex 4.1.3.2

### Template - Event evaluation form

(for an automatic data collection, this can be also transferred into automatic online forms, even in free tools such as google forms or other suitable survey tools available online. In this case, GDPR consent shall be collected separately during the event in written form, e.g. during event registration)

### **Event title, Venue, place, date**

Name and Surname \_\_\_\_\_

Email \_\_\_\_\_

Telephone \_\_\_\_\_

1) The event was well organised, planned and implemented

*Please select*

*1: I strongly disagree; 2: I partially disagree; 3: I am neutral; 4: I partially agree; 5: I strongly agree*

1  2  3  4  5

2) The speakers were effective, the content was clearly presented, sufficient information was provided

*Please select*

*1: I strongly disagree; 2: I partially disagree; 3: I am neutral; 4: I partially agree; 5: I strongly agree*

1  2  3  4  5

3) The organisers provided appropriate logistics (e.g. venue, event material, logistic information and support, etc.)

*Please select*

*1: I strongly disagree; 2: I partially disagree; 3: I am neutral; 4: I partially agree; 5: I strongly agree*

1  2  3  4  5

4) The event reached the objectives, for which I decided to participate

*Please select*

*1: I strongly disagree; 2: I partially disagree; 3: I am neutral; 4: I partially agree; 5: I strongly agree*

1  2  3  4  5

5) Through this event I gained new knowledge / contacts / ideas

Please select

1: I strongly disagree; 2: I partially disagree; 3: I am neutral; 4: I partially agree; 5: I strongly agree

1  2  3  4  5

6) I will be able to use the new knowledge /contacts / ideas I gained through the event in my work

Please select

1: I strongly disagree; 2: I partially disagree; 3: I am neutral; 4: I partially agree; 5: I strongly agree

1  2  3  4  5

7) What worked particularly well at the event, what made the event useful for me?

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8) What did not work well at the event, what should be improved by the organisers?

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In compliance with the GDPR Regulation (UE) No. 2016/679, I hereby give my explicit consent to use my personal data and image for the purpose of **evaluation or audit** of the event outcomes. Personal data will NOT be published, distributed or commercially used.

Yes

No

In compliance with the GDPR Regulation (UE) No. 2016/679, I hereby give my explicit consent to use photos/videos with my personal image, for the purpose of **institutional promotion** of the event outcomes. Photos/videos with my personal image will NOT be distributed or commercially used.

Yes

No

I am available to be contacted in the future to reply to questions related to an evaluation of the event I attended?

Yes

No

Signature

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## Annex 4.1.3.3

### Template - Registration form at events

(to be adapted according to the event and the visual guidance for each priority axis at <https://www.italy-albania-montenegro.eu/tools/visual-identity> )

**Event title**

**Venue, place, date**

In compliance with the GDPR Regulation (UE) No. 2016/679, in the box below participants give their explicit consent to use **personal data and image** for the purpose of **evaluation or audit**, as well as photos/videos with personal image for the purpose of **institutional promotion**. Distribution or commercial use of data and images is not allowed.

Name/surname	Organisation	Phone	Email	Consent to use data / images for <b>audit / evaluation</b>	Consent to use images for <b>institutional promotion</b>	Signature
				Please tick to consent or write "NO" to deny consent		

## Annex 4.1.3.4

### Template Event agenda

(to be adapted according to the event and the visual guidance for each priority axis at <https://www.italy-albania-montenegro.eu/tools/visual-identity> )

### *Event title, Venue, place, date*

00h00 - 00h00 Registration, welcome greetings 00h00 Start of the meeting – session 1	
<b>ITEM 1</b>	<b>Title, speaker / trainer</b>
<b>Contents and inputs</b>	<ul style="list-style-type: none"> <li>• Content description</li> <li>• File /references: Item01 ....</li> </ul>
<b>Expected output</b>	<ul style="list-style-type: none"> <li>• Expected output, e.g. participants gain new knowledge - skills</li> </ul>
<b>ITEM 2</b>	<b>Title, speaker / trainer</b>
<b>Contents and inputs</b>	<ul style="list-style-type: none"> <li>• Content description</li> <li>• File /references: Item02 ....</li> </ul>
<b>Expected output</b>	<ul style="list-style-type: none"> <li>• Expected output, e.g. participants gain new knowledge - skills</li> </ul>
<b>ITEM 3</b>	<b>Title, speaker / trainer</b>
<b>Contents and inputs</b>	<ul style="list-style-type: none"> <li>• Content description</li> <li>• File /references: Item03 ....</li> </ul>
<b>Expected output</b>	<ul style="list-style-type: none"> <li>• Expected output, e.g. participants gain new knowledge - skills</li> </ul>
00h00 End of the meeting	