Chapter 5 – Monitoring

Introduction

Project monitoring is a continuous process that has to be performed on a regular basis by the Beneficiary with the support of all the project partners. It is a contractual obligation designed to inform the Joint Management Authority (JMA) and the Joint Technical Secretariat (JTS) on progresses (or delays) in project implementation and to request further pre-financing or the payment of the final balance.[1]

The ENPI CBC MED Programme systematically monitors all approved projects by means of the collection of data and assessing project performances. The logical framework, the Full Application Form, and more synthetically the Action Plan, are the baseline sources of information to carry out the overall monitoring through the information collected from the following documents:

- *State of play* is a synthetic report focusing on financial issues. It aims to identify the incurred level of expenditures and the main problems encountered, if any, by each project partner in the use of its available financial resources. Therefore this report supports an indicative assessment of project **efficiency.**

- *Six Month Report* (see 5.1) includes detailed information on the main activities and budget headings, regardless the source of funding (ENPI CBC MED funding, own resources of the Beneficiary or of the partners). It allows to carry out an overall assessment of the up-to-date **effectiveness** and to identify corrective measures, if needed.

- *Interim and Final Reports* (narrative and financial) (see 5.2) are submitted along with the request for further pre-financing or for the final balance. These reports contain detailed information on indicators, outputs, deliverables and audited expenditures, in order to consent a careful review of the project's potential **impact and its sustainability.**

The JTS officers provide the Beneficiary with the customized templates of the State of play and of the Sixth Month Report. The Interim and Final Report templates are sent to the Beneficiary upon request , as soon as the partnership is ready to submit its request for further pre-financing or for the final payment.

All reports shall be drafted in the language of the Grant Contract according to its General Conditions, Article 2.3 "*The reports shall be drafted in the language of the Contract".* Also art. 25 of the Partnership agreement states that *"all procedures, internal communication, communication with the JMA and documents relating to the implementation of the Project will be in [English or French].*"

For all projects managing more than one million Euro as ENPI funds, the project partnership may also be required to facilitate the **Result Oriented Monitoring (ROM)** missions, carried out by independent external

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[1] See article 4 of the Special Conditions and Article 2 and 15.1 of the General Conditions to the Grant Contract.

experts, at least once along the project implementation. Finally, for particular reasons or problems, **bilateral meetings and short term missions** may be organized by the JMA/JTS any time during project implementation, in cooperation with the JTS Branch Offices and the National Contact Points.

5.1 Six month report

The JTS sends a six month report template to the Beneficiary by e-mail and asks it to fill it in and return it within 30 calendar days. The Beneficiary is the sole responsible for its content. However, the partners are expected to collaborate actively to collect all the required information and the Beneficiary should share the finalized version of the six month monitoring report with them before sending it to the JTS .

The monitoring report shall cover the six month period following:

- the start date of the implementation period, or
- the last day covered by the previous report submitted (Six month or Interim)

The six month monitoring report is an opportunity to notify officially some minor changes either in the Action Plan, the Logical Framework or the Budget.

The six month monitoring report is divided into three main sections:

I.   M**ain Project information**, identification and partnership details;
II. **Project implementation (narrative part) data** on the technical and communication activities carried out, information about the partnership and about changes to the Action Plan or to the Logical Framework;
III. **Financial implementation**, including data on expenses incurred, committed or planned by each Partner and the transfer of funds from the Beneficiary to the Partners.

The information is collected using excel worksheets as listed on the cover page of the Excel file. It is aimed to collect information that enables to elaborate, measure and compare data about the state of play of the project.

The requested content and format, in line with the information of the Annex VI of the Grant Contract, are compulsory. Therefore, the worksheet structure shall not be modified.

I. Main Project information

The first monitoring report period starts the first day of the project implementation as specified in the Grant Contract. The following reporting period will start the day after the last day covered by the previous report (either a six-month report or an interim report), etc.

Worksheet 1. Project identification is automatically filled in, except for the last box "Project summary and main observations" for which a global overview of the Project implementation during the reporting period (no more than ½ page) shall be provided, in order to support the Programme communication and information activities.

Worksheet 2. Partnership description includes data concerning the partnership composition. If needed, the following information may be updated: legal representative; project manager; contact person; financial manager and their contact details. Any change of the legal representative should be notified to the JMA accompanied with the necessary supporting documents.

Please note that any changes in the composition of the partnership (e.g. involvement of a new partner or exclusion of a partner due to either external or internal factors of the partnership) are major amendments that require a prior formal request to the JMA and the approval of the Joint Monitoring Committee (JMC). Any modification to the partnership composition will appear in this worksheet only after the amendment procedure has been completed.

II. Project implementation

Worksheet 3. Description of activities and outputs is conceived to collect information concerning the activities carried out during the concerned monitoring period and to provide an updated overview of the project implementation. It is based on the Action Plan and it should consist of a summarizing report about the development of each activity and the achievement of intermediate and final outputs, if any. The Logical Framework and its indicators in particular shall be considered while completing this section.

The activities carried out should be described by answering the following questions:

- Who carried out the activity?

- Where and when was the activity carried out?

- Who are the beneficiaries?

- Which products or results could you achieve?

- Are there any gaps between the planned activities and those actually carried out?

Quantitative information about final beneficiaries or other indicators is recommended.

All faced challenges should be reported bearing in mind that the activity(ies) that has (have) been, for any reason, deleted or modified should be mentioned in the dedicated worksheet **5. Modifications.**

The structure of **Worksheet 4. Communication and visibility** is the same as the previous one (i.e. of worksheet 3. description of activities and outputs). It includes the communication activities as per Action Plan. While describing the activities (column E), do not forget to include the (sub-)activities mentioned in your "Communication Plan" (if such a plan has been drafted). Compliance with the requirements and recommendations provided by the JTS and the JMA in the Communication and Visibility guidelines shall be considered.

The purpose of **Worksheet 5. Modifications** is to highlight all changes occurred during the reporting period compared with the annual Action Plan.

In case of temporal changes, content modifications, deletion of an activity or introduction of a new one, the following questions shall be considered in the field "Modification adopted: Description and motivation":

- Which are the changes proposed?

- Why is a modification needed?

- How will the expected modification affect the expected results or the objective of the project?

- How will the calendar of activities be modified in terms of months?

- How will the involvement of the Partners in terms of responsibilities or participation be affected?

In **Worksheet 6. Partnership** the Beneficiary is requested to briefly describe the Partnership, especially in terms of joint development of activities and of level/degree of shared knowledge and experiences.

Please consider that the cross-border cooperation is one of the key objectives of the ENPI CBC MED Programme. For this reason, we expect you to describe not only your achievements but also any difficulties with regards to the partnership management.

5.2 Interim narrative Report

Once the project has used at least 70% of the first pre-financing[2], the Beneficiary will ask the JMA/JTS for the Interim Report package. This report has to be submitted in order to request further pre-financing or the final balance.

The Interim Report package is composed of:

- Request for payment – Annex V of the Grant Contract

- Narrative Interim Report – Annex VI of the Grant Contract

- Action Plan for the following year of project implementation (if appropriate).

- Financial Interim Report – Annex VI of the Grant Contract

- List of Expenses

- Expenditure Verification Report(s) (EVR) concerning the Beneficiary and each Project Partner's Interim Report (template is the Annex VII to the Grant Contract "Terms of Reference for an Expenditure Verification of a Grant Contract" as updated and provided by the JTS)

- EVR Findings

- List of all contracts (works, equipment, infrastructures, supplies, services) above 10.000 €, awarded for the implementation of the project during the reporting period. For each contract the list has to specify the amount, the awarding procedure and the name of the contractor

- List of outputs and deliverables and any other proof of the activities actually carried out

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[2] For further information please see
http://www.enpicbcmed.eu/sites/default/files/informative_note_enpi_prefinancing_updated_may_2013.pdf

Please note that **an Interim report is considered as being received by the JMA/JTS only when it includes all the above mentioned documents**[3]**.**

I. Narrative Interim Report template

Some worksheets of the Narrative Interim Report are similar to those included in the Six Month Report. As hereinafter reported for each concerned worksheet, the related instructions for the Six month Report have to be followed. The template for the Narrative report is organised as follows:

Worksheet 1A - Project identification – see instructions above for the Six Month Report (Worksheet 1. Project identification)

Worksheet 1B - Partnership description – see instructions above for the Six Month Report (Worksheet 2. Partnership description)

Worksheet 1C - Target Country - Regions includes the list of the countries and regions in which the activities are implemented or which benefit from the Project activities. If "Other" is selected from the drop down menu, the section "Comments" shall be used to provide a concise explanation.

Worksheet 1D - Beneficiaries and Outputs should include the list of supporting documents corresponding to the indicated results and outputs (see also the "Indicative list of deliverables and supporting documents" included in the Interim Report Package). The list and the supporting documents and deliverables (one sample per deliverable) shall be sent by registered post to the JMA, both as a hard copy, if applicable, and an electronic version (using a CD-ROM or a pen drive).

Worksheet 2A - Executive summary (see instructions Six Month Report – Worksheet 1. Project identification)

Worksheet 2B - Activities and results (see instructions Six Month Report – Worksheet 3. Activities and outputs)

Worksheet 2C - Modifications (see instructions Six Month Report – Worksheet 5. Modifications)

In filling in **Worksheet 3 - Partnership**, please ensure that the following questions are answered:

- How do you assess the relationship among the formal partners of this Project (i.e. those partners which have signed a partnership agreement)? Please provide specific information for each partner organisation.

- How would you assess the relationship between your organisation and the State authorities in the Project countries?

- How has this relationship affected the Project?

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[3] See articles 15. 1 and 15.2 of the General Conditions (Annex II to the Grant Contract).

Where applicable, describe your relationship with any other organisation involved in the implementation of the Project, namely: Associate(s) (if any); Sub-contractor(s) (if any); Final Beneficiaries and Target groups; Other third parties involved (including other donors, other government agencies or local government units, NGOs, etc).

If relevant, outline any synergies you have developed with other actions (e.g. if your organisation has received previous EU grants in view of strengthening the same target group, in which measure has this Project been able to build upon/complete the previous one(s)? (List all previous relevant EU grants).

Worksheet 4 - Communication and visibility actions (see instructions Six Month Report - Worksheet 4. Communication & visibility) **and Worksheet 4a** are both essential to report and promote communication and visibility actions that could also be further enhanced through the Programme communication tools. They should be filled in by the Communication manager and gather all contributions, making sure that the reported information focuses on key facts and figures that might get the interest of a wider group of audience.

Worksheet 5 - Programme Indicators contains the preselected list of relevant Programme indicators according to the Priority and Measure of each project. Therefore, whenever appropriate, this section shall include the project contribution to the achievement of the results at Programme level.

For instance, if the following Programme indicator is indicated in your report: *"n. of common approaches/initiatives to create networks promoting cultural dialogue and exchanges"* the final "Target value" to be reached at the end of the project should be set taking into account the project Logical Framework. Then, the number of approaches/initiatives implemented must be quantified under the column "Achieved up to now (since the start of project implementation)".

First Interim Report example

Indicator ID	Description	Already achieved (Automatically filled in by the System)	STEP 2 **Achieved up to now** (since the start of project implementation)	STEP 1 **Target value** based on your Logical Framework
RM4.1	n. of common approaches/initiatives to create networks promoting cultural dialogue and exchanges	0	2	5

Once your first report is checked and validated by the JMA/JTS, you will find this intermediate result/value (2) automatically included under the first column of your **Second Interim Report template**. The (final) target value is also reported from your first report in the last column. Thus, you should only update the middle column, taking into account the time-frame covered since the start of your project until the end of the current reporting period and indicate the value achieved under the column "Achieved up to now (since the start of project implementation)". In the sample grid below the reported value (3) means that – compared to the previous reporting period above – another common approach/initiative has been implemented. This makes the total achieved up to now equal to 2 + 1 = 3.

Second Interim Report example

Indicator ID	Description	**Already achieved** (Automatically filled in by the System based on the previous Report)	**Achieved up to now** (since the start of project implementation)	**Target value** (Automatically filled in by the System based on the previous Report)
RM4.1	n. of common approaches/initiatives to create networks promoting cultural dialogue and exchanges	**2**	3	5

If any doubt arises about the use / meaning of the indicators to be reported, it shall be clarified with your JTS Project Officer as they must be based on concrete and documented achievements rather than on single activities[4] (e.g. if you plan to have 2 international workshops on the same topic in two different cities you should count them as 1 common initiative only instead of 2 separate units/events).

The same logic applies to all remaining worksheets regarding indicators.

In **Worksheet 6 - Strategic Indicators** the section related to the ID and Description of the Strategic indicators is already filled in by your project officer. It is based on the indicators set by the Programme for the Strategic Projects.

Even if your Project is a Standard project and not a Strategic one, you are kindly requested to quantify (if possible) your Project's contribution to the achievement of the strategic results at Programme level.

Example: if the specific objective of your project is, for instance, *Develop new trans-Mediterranean tourism products such as "routes" on cultural and thematic tourism in the Mediterranean basin,* your project contributes to the achievement of a Programme result related to Strategic Priority 1.2 "Sustainable Tourism". In this case, the following strategic indicator will be indicated: *"Number of touristic packages created"*. Therefore, as for the Programme indicators reported above, you should state first your Project's contribution at Programme level by specifying your target value (e.g. 5 "routes" on cultural and thematic tourism). Then you should quantify the number of packages created since the beginning of project implementation until the end of the reporting period.

In **Worksheet 7 - Specific Indicators**, referring to the specific objective and results indicators included in the Logical Framework of the project, please specify:

- the Project specific indicator (columns A and B);
- the indicator of the objective or result achieved overall including the current reporting period (column D) and

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[4] Remind that any Indicator of achievement has to be objectively verifiable and SMART: Specific to the objective it is supposed to measure; Measurable (either quantitatively or qualitatively); Available at an acceptable cost; Relevant to the information needs of managers; Time-bound – so one knows when the objective/target is expected to be achieved.

- the target value of the objective or result to be achieved according to the logical framework (column E).

The value of the indicator of the objective or result achieved during the previous reporting periods is filled in automatically (column C);

In **Worksheet 8 – Signature** the Narrative Interim report shall be hand written signed and stamped by the legal representative of the Beneficiary, along with the indication of the date and place at the moment of the dispatch and the total number of printed pages.

5.3 Result Oriented Monitoring (ROM)

The main objective of the independent ROM experts is to collect results-oriented information on projects on the field and to report on progresses, in order to maintain and – where possible – to improve the quality of cooperation activities through timely, independent, well-targeted information on projects implementation.

The main criteria to be addressed are: Relevance and Quality of design, Efficiency of implementation to date, Effectiveness to date, Impact to date, Potential sustainability, with particular attention to horizontal and cross-cutting issues[5]. For each criterion a detailed list of questions will be provided before every mission.

During the monitoring visits, the monitor interviews project management and all relevant stakeholders, including the final beneficiaries. Based on the information available in documents, through interviews and, if applicable, observation of the project activities and outputs, the monitors produce three monitoring documents about each project visited: a Project Synopsis, a Background Conclusion Sheet and a Monitoring Report.

These reports include performance ratings, recommendations (or lessons learned) structured according to standard evaluation criteria, (relevance, efficiency, effectiveness, impact and sustainability) and horizontal and crosscutting issues. The assessment of the project's performance is based on the achievement of its objectives as set by the targets in its logical framework or similar planning document.

The ROM assessment is reviewed by the JTS project officers. It also takes into account the information and assessment based on the sixth month and the interim reports. Overall, these assessments are made available not only to the project manager but also to all relevant Programme bodies.

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[5] For further information you may visit the link to ROM: http://ec.europa.eu/europeaid/how/ensure-aid-effectiveness/monitoring-results_en.htm . We also advice you to read the attached file named "Explanation of ROM CBC".