Manual of Procedures

for Joint Technical Secretariats

under 2014-2020 IPA II Cross-Border Cooperation Programmes

**Cross-Border Cooperation Programmes between IPA II Beneficiaries operating under direct or indirect management**

- Draft of 11 March 2016 -

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# A Introduction

## Explanatory notes

Within the 2014-2020 EU financial perspective, the implementation of cross-border cooperation (CBC) programmes between Western Balkans Beneficiaries is envisaged under the Instrument for Pre-Accession Assistance (IPA II). The value of funding available for these programmes is similar to the one that was made available under the 2007-2013 IPA, but rules for their implementation have been changed; a new set of legal documents has been approved and needs to be respected. The joint technical secretariat (JTS) remains to be an important structure of each IPA II CBC programme and “shall be set up to assist the Commission, the operating structures and the joint monitoring committee (JMC)” (Article 52 of Commission Implementing Regulation (EU) No 447/2014 of 2 May 2014 on IPA II, hereinafter IPA II Implementing Regulation). Technical assistance funds that will be used to finance operations of the JTS will be contracted through service contracts and not through direct grants, as was the case under IPA I. In addition, as part of the EU accession process, candidate and potential candidate beneficiaries must be accredited or receive entrustment to handle the implementation of programmes under indirect management; Montenegro and Serbia have received the entrustment of budget implementation tasks CBC programmes between these two beneficiaries and their IPA II partner beneficiaries will be implemented in indirect management since the beginning.

The provisions of the new legal framework entailed a revision of the JTS Manual of Procedures used for the IPA CBC programmes so that it would be applicable for IPA II CBC programmes between Beneficiaries. The CBIB+2 project team has therefore analysed the latter manual and made a series of revisions deemed necessary. Since Croatia has been operating under indirect management for their cross-border programmes with three neighbouring IPA participating countries (Serbia, Bosnia and Herzegovina and Montenegro) since 2009, the CBIB+2 project team has taken the most recent version 7.0 (dated in May 2013) of their Manual of Procedures for JTSs under the IPA Component IIb (CBC) as a reference for the revisions hereby proposed. The versions used under the Serbia-Bosnia and Herzegovina and Serbia-Montenegro IPA CBC programmes have also been taken into account as a comparative reference. In addition, the terms of reference for technical assistance operations under the IPA II CBC programme Serbia-Montenegro and Serbia-Bosnia and Herzegovina have been consulted as a reference to the JTS role in various stages of implementation of a programme operating under indirect management.

\*

The CBIB+2 project team argues that the structure and content of the existing JTS manual of procedures represents a valid ground upon which with some updating and reformulation once can compile a JTS manual applicable for IPA II CBC programmes between Beneficiaries. Furthermore, the CBIB+2 project team considers that there is no need for making two versions of the JTS Manual, i.e. for 1) direct management and 2) indirect management. Distinctions between management modes were made directly in the document so that some passages in the text can be kept or removed depending on the applicable management mode of the programme.

The development of this draft manual comes as a result of the method for workload analysis elaborated during the CBIB+ Phase 1, particularly in the detail list of tasks identified for the JTS under IPA II CBC programmes. Moreover, this draft JTS manual of procedures was an output in the inception period of the CBIB+2 project, presented as an annex to the inception report. A technical working group, under the CBC Regional Consultative Forum, has been established to review this draft and come up with a final proposal of the document that will be forwarded to programme management structures of all IPA II CBC programmes between Beneficiaries. The draft will be comprehensive enough to allow all the programme management structures to adopt it with few modifications.

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## A.1 Legal and institutional background

This draft JTS Manual will be used by IPA II Beneficiaries to facilitate the implementation of their technical assistance priority, i.e. to ensure the normal functioning of the JTS main and antenna offices. The IPA II Beneficiaries are Albania, Bosnia and Herzegovina, the former Yugoslav Republic of Macedonia, Kosovo[[1]](#footnote-1)\*, Montenegro and Serbia.

The procedures set out in this manual are based on the following documents:

* **IPA II Regulation**, i.e. Regulation (EU) No 231/2014 of the European Parliament and of the Council of 11 March 2014 establishing an instrument for Pre-Accession Assistance (IPA II);
* **Common Implementation Rules (CIR)**, i.e. Regulation (EU) No 236/2014 of the European Parliament and of the Council of 11 March 2014 laying down common rules and procedures for the implementation of the Union’s instruments for financing external action;
* **IPA II Implementing Regulation**, i.e. Commission Implementing Regulation (EU) No 447/2014 of 2 May 2014 on the specific rules for implementing Regulation (EU) No 231/2014 of the European Parliament and of the Council establishing an instrument for Pre-Accession Assistance (IPA II);
* **Framework Agreements** between <IPA II Beneficiary 1> and <IPA II Beneficiary 2> and the European Commission on the Arrangements for Implementation of Union Financial Assistance to <IPA II Beneficiary 1> and <IPA II Beneficiary 2> under the Instrument for Pre-Accession Assistance (IPA II);
* **The 2014-2020 IPA CBC Programme** <IPA II Beneficiary 1> - <IPA II Beneficiary 2> adopted on DD/MM/2014;
* **Partnership agreement** signed between <IPA II Beneficiary 1> and <IPA II Beneficiary 2> concluded on DD/MM/201Y in relation to the implementation of the Technical Assistance Service Contract No <…>;
* [Where applicable] **The bilateral arrangement** signed between <Serbia or Montenegro> and <IPA II Beneficiary 2> adopted on DD/MM/201Y;
* Decrees
* Financial Agreement (appropriate for the programme);
* Rules of Procedures of PSC;
* Control Guidelines for CA and Control Body;
* Other documents related to the implementation of the CBC programmes (e.g. Joint Monitoring Committee rules of procedures, rules of procedure of the project steering committee under the technical assistance service contracts (TASC), operating inter-institutional agreements between programme bodies, etc.).

JTS staff members are expected to be familiar with all these documents where applicable.

## A.2 Structure of sections

Each of the manual’s seven sections contains at the beginning an overview of individual tasks relevant to the section with a table indicating responsibilities for preparation of documents or actual performance of tasks, for approval and to whom documentation should be copied. The table format is as below with example information included.

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| **Task** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Endorsed by** | **Copied for information** |
| 1 | OS | JTS | OS | JMC, CA | / | PSC |
| 2 | CA | OS/JTS | CA | DEU | HOS | JMC |

The abbreviations used in the table are as follows: OS = Operating Structure (under indirect management “OS” should be read as “CBC body”[[2]](#footnote-2)), CA = Contracting Authority[[3]](#footnote-3), DEU = respective Delegation (or Office in case of Kosovo[[4]](#footnote-4)\*) of the European Union, HOS = Head of Operating Structure, JMC = Joint Monitoring Committee, PSC = Project Steering Committee.

If there are several stages of verification, approval or endorsement the order of steps is reflected by the order in which institutions are listed in the relevant cell, separated by a comma.

After the table, each task relevant to the section is described in more detail (what, when, how, who, etc.).

It should be noted that the JTS reports directly to the OS, meaning the CBC body in indirect management. Therefore, the usual procedure under indirect management is that the JTS sends documents first to the CBC body, which then forwards them to the OS in the partner beneficiary and the CFCU for verification (if appropriate) before approving them. For ease of presentation, the table does not indicate this first transmission from the JTS to the CBC body, i.e. JTS ( CBC body partner beneficiary OS) CFCU and back to the CBC Body, where this procedure applies. The same logic is applied for any other similar procedural situation described in this Manual.

The JTS Manual of Procedures does not include internal circulation of documents within OSs/CA but just the submission of documents to the relevant institution (as indicated in A6 below).

## A.3 Deviations from the Practical Guide

Documents and procedures to be used with regard to grant contracts under the programmes covered by this manual will generally follow those described in the Practical Guide (PRAG – Procurement and Grants for European Union External Actions). However, in cases where these are not appropriate (in order to reconcile them with the relevant IPA II regulations, to speed up grant award procedures, to strengthen monitoring and control of grant contracts) documents and procedures are to be amended as relevant. For an indication of such deviations and a detailed explanation of their legal implications and desirability, please see Annex 1.

## A.4 Language

The working language of the programmes shall be English and all documents drafted by the JTS shall be in that language unless otherwise specified in this manual or unless clearly inappropriate (e.g. presentations to participants of partner search forums).

## A.5 Communication

Although under IPA II CBC there is only one Contracting Authority, located in one of the participating beneficiaries and the JTS is located in the same beneficiary, there will have to be day-to-day communication between the JTS and OSs in both beneficiaries; therefore, all communication should be by email. Where it is indicated in the manual that communication should be in writing, this includes e-mail. In cases where signed documents are considered absolutely necessary, communication should be either by fax or by email with signed scanned documents as attachments.

## A.6 Posts and staffing, JTS structure, approval circuits

**Posts and staffing**: each JTS shall consist of a number of posts as laid down in the relevant annexes (ToR and ‘organisation and methodology’) which are part of the TASC financing the JTS activities. The posts foreseen might be as follows: Head of JTS; JTS Project Officers, Financial (and/or Procurement) Specialists as well as Communication and Visibility Specialists. Each member of staff shall discharge their duties either at the JTS main office, or at its antenna office, or at premises of one or both Operating Structures, as per the job descriptions in the ToR and the ‘organisation and methodology’. In addition, in some CBC programmes it is envisaged the engagement of programme managers within the OSs to perform as liaison between all other experts engaged under the TASC and the staff in the OSs. The job descriptions of all above mentioned posts are included in Annex 2.

In order to fulfil all the tasks eligible under the TA priority, a certain number of independent external experts might be engaged, depending on needs at any particular moment and border. These can be the following: programme evaluators, assessors for calls for proposals, trainers, web developers, etc.

**JTS structure**: each JTS comprises a headquarters in the beneficiary where the contracting authority is located and one or two antenna offices in the partner beneficiary(ies)[[5]](#footnote-5). The staff placed within the antenna offices are full members of the JTS and perform their duties according to their job descriptions. Any formal distinction between the duties to be secured by headquarters and the antenna(-s) shall be laid down in the partnership agreement to handle the TASC and/ or by decision of the JMC. With regard to daily activities, the division of tasks between headquarters and antenna(-s) shall be decided upon by the Head of the JTS.

**Approval circuits**: the text in the sections of the manual below does not indicate individual posts but rather the institutions (e.g. JTS, OS, CA, HOS instead of JTS Project Officer, Project Manager, Head of JTS, etc.). In all cases, any communication or submission of documents from the JTS to any of the OSs will be carried out between the Head of the JTS and the Project Manager appointed by the relevant OS as liaison with the staff engaged under the TA funds of the programme. This means that all other JTS staff will always pass documents to the OSs responsible for the programme through the Head of the JTS. Once documents have been submitted by the JTS to the OSs, the OSs themselves are responsible for forwarding them for information or approval to other parties, unless otherwise specified in this manual.

A detailed description of the relations, lines of communication, reporting obligations, delegation of tasks and supervision of the JTS in relation to the CBC body, CFCU, HoS and DEU is provided in Annex 3.

The approval circuits within and between institutions where the JTS is not included are governed by the institutions’ internal or inter-institutional procedures which are not included in this manual. Any approvals required to be made by DEU towards the CFCU for programmes operating under indirect management are not addressed in the Manual either.

## A.7 Annexes

The attached annexes mostly comprise example templates to help the JTS with its work. With the permission of the OS that is responsible for the implementation of respective TASC, they may be adapted and/or improved to suit particular situations and the specific arrangements in each partner beneficiary (e.g. request for VAT exemption).

The templates in annexes 2-8 are related to the management of technical assistance while other annexes are used for programme management (e.g. calls for proposals - CfP, monitoring, etc.).

In addition, the format of certain templates will depend on the forms for each CfP (e.g. the documents in implementation packages) and so can only be finalised after the approval of the relevant CfP; in this case the drafting of such templates is included in the tasks of the JTS below.

1. Deviations from PRAG
2. JTS job descriptions
3. Relations between programme structures

3a. Hierarchical relations between the JTS on one side and the OSs and the CA on other side

3b. Description of horizontal and vertical relations within the JTS

1. JTS work plan with workload analysis - example template
2. Staff timesheet – example template
3. TASC monthly report – example template
4. Pre-approval of travel and subsistence costs – example template
5. Approval of travel and subsistence costs – example template
6. Timetable for CfP – example template
7. Statistical information on CfP – example template
8. Checklist for project file
9. Guidelines for risk assessment and conducting project monitoring visit

12a. Model monitoring visit report – example template

12b. Model compliance report – example template

12c. Risk assessment table – example template

1. Guidelines for checking interim and final reports under grants
2. Table for project information – example template
3. Annual Implementation Report - example template

15a Quantitative analysis

15b Contracting and disbursement

1. JMC and PSC agenda - example template
2. JMC and PSC minutes - example template
3. Communication and visibility plan - example template
4. Derogations file
5. Work programme for grants – example template (PRAG 2014)

# B Managing technical assistance

JTS tasks include the following:

1. JTS work plan
2. Reports on technical assistance activities performed and costs incurred under the TASC concluded between the consortium/partnership comprising the OSs of the programme on one side and the Delegation or Office of the European Union in the beneficiary where the contracting authority is located on the other side
3. Project invoices and requests for amendments of the TASC
4. Ensure visibility of outputs produced under the TASC
5. Prepare request for grant prior approval of costs associated with the work of key and non-key experts (incidental expenditure)
6. Prepare claims for payment for key and non-key experts (based on timesheets)
7. Preparing and handling procurement documentation for supplies and services under TASC
8. Recruitment of non-key experts under TASC
9. Managing contracts with service providers and non-key experts under TASC

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| **Task** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 1 | / | JTS | CA, OS | JMC, DEU | CA |
| 2 | / | JTS | OS, PSC | DEU | JMC |
| 3 | JTS/OS | JTS | OS | DEU | / |
| 4 | / | JTS | OS | DEU | JMC |
| 5 | / | JTS | OS | DEU (if & when) | / |
| 6 | / | JTS | OS | DEU | / |
| 7 | JTS/OS | JTS | OS | DEU | / |
| 8 | JTS/OS | JTS | OS | DEU | / |
| 9 | / | JTS | OS | N/A | / |

## B.1 JTS work plan

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| **Task** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 1 | / | JTS | CA, OS | JMC, DEU | CA |

* [By the end of November each year] the JTS shall develop a work plan for technical assistance activities for the next 3 years (regardless of the phase of implementation of any TASC under way). The work plan should also include an estimated timeline of activities, a work load analysis for JTS staff (where appropriate) and external experts. See Annex 4 JTS work plan - example template.
* The document shall be submitted to and verified by the Contracting Authority only if in the context of a TASC, otherwise it should only be sent to the Operating Structure where the contracting authority is located (hereinafter: “OS”); this Operating Structure shall consult the Operating Structure in the partner beneficiary (hereinafter: “partner beneficiary OS”) on the document.
* After receiving the verification by the OS, the document shall be forwarded to the JMC for approval;
* After approval the work plan will be used by JTS for everyday work. It shall also be used by the CA and the OS to coordinate the planning of the consecutive TASC.
* Relevant documents will be included in the programme file.

## B.2 Reports on TA activities performed and costs incurred under TASC

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| **Task** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 2 | / | JTS | OS, PSC | DEU | JMC |

* On a monthly basis, under the TASC, the JTS shall submit the following to the OS who signed the TASC for verification:
	+ Timesheets (Annex 5 Staff timesheet – example template) on activities performed by each key and non-key expert for the given month. In addition to the relevant key or non-key expert, the timesheets shall be approved and signed by: 1) the Head of the JTS, 2) the OS Programme Manager for the TASC and 3) the Programme Manager at the DEU;
	+ Report on activities performed and costs incurred in previous month, as well as activities planned for the following month (Annex 6 TASC monthly report – example template). Figures for costs incurred shall be recorded per month and be totalled so that they can be compared against the budget in the TASC. Monthly reports are approved only by the OS.
* In relation to the implementation of the TASC, reporting requirements are the following (Section 7 of TASC Terms of Reference):

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| **Type of report[[6]](#footnote-6)** | **Content** | **Time of submission** |
| Inception report | Analysis of existing situation and work plan of the project | Usually no later than 3 months after start of the implementation |
| Six-month progress report | Short description of progress (technical and financial) including problems encountered; planned activities for the ensuing 6 months accompanied by an invoice and the expenditure verification report | No later than 1 month after the end of each 6-monthly implementation period starting from the contract signature |
|  Draft final report | Short description of achievements including problems encountered and recommendations | No later than 1 month before the end of the implementation period |
| Final report | Short description of achievements including problems encountered and recommendations; a final invoice and the financial report accompanied by the expenditure verification report | Usually within 1 month of receiving comments on the draft final report from the DEU Project Manager identified in the contract |

* The JTS shall submit to the OS draft abovementioned reports no later than 15 calendar days before the deadline stipulated in the table above[[7]](#footnote-7), i.e.:
	+ Inception Report: usually no later than 3 months after start of the implementation
	+ Six-month Progress Report: by 15 calendar days after the end of each 6-monthly implementation period
	+ Draft Final Report: no later than 15 calendar days before the end of the implementation period
	+ Final Report: any information requested by the OS shall be provided in the shortest notice possible, taking into account the deadline applicable according to the ToR.
* The format of the reports will be provided by the DEU to the OS, in line with the TASC provisions. The OS will agree on the final versions of the reports with the partner beneficiary OS and submit the report to the DEU within the applicable deadlines. Progress and final reports can be presented at meetings of the JMC, when appropriate.
* Relevant documents will be included in the programme file.

## B.3 Project invoices and requests for amendments to the TASC

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| **Task** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 3 | JTS/OS | JTS | OS | DEU | / |

* For each payment due within the TASC, where appropriate, the JTS shall draft the invoice and submit it to the OS. If there is a Financial Officer within the JTS, it will be his or her responsibility to ensure that invoices are dully prepared and submitted.
* All invoices shall be checked by the OS and submitted to the DEU for approval and processing.
* Amendments to the TASC can be initiated either by the JTS or the OS, as needed. The submission of requests for amendments shall be the responsibility of the OS. When initiated by the OS, relevant input may be solicited from the JTS (e.g. drafting a proposal for budget re-allocations, amendments to the activity plan, etc.).
* All relevant documents will be included in the appropriate contract file.

## B.4 Ensure visibility of outputs produced under the TASC

* Please see section G.5 of this manual.

## B.5 Grant prior approval of costs associated with the work of key and non-key experts

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| **Task** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 5 | / | JTS | OS | DEU (if & when) | / |

* In line with their contracts with the OSs under TASC, key and non-key experts, with the green light of the Head of the JTS, shall submit requests for prior approval of activities and associated costs which are directly related to their work (e.g. per diems, travel costs). See Annex 7 Pre-approval of travel and subsistence costs – example template. These costs are approved by the OSs alone, no need to ask for DEU’s approval.
* Per diems and travel costs for persons who are not contracted as key or non-key experts under the TACS require prior approval by the DEU. Compliance with this rule shall be ensured by the Project Manager of the OS, assisted by JTS staff, i.e. the Financial Officer if such post exists under the TASC.
* Please note that there may be other costs under the incidental budget of the TASC for which prior approval by the DEU could be necessary. Please see the provisions of section 6.5 of the ToR.
* All relevant documents will be included in the appropriate contract file.

## B.6 Claims for payment for key and non-key experts

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| **Task** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 6 | / | JTS | OS | DEU | / |

* In line with their contracts with the OSs, key and non-key experts shall submit invoices for the work they have performed if so regulated in their contracts. The invoices shall be supported by signed and dated timesheets. See Annex 5 Staff timesheet – example template and Section B2 above.
* JTS staff shall also submit, in line with their contract with the relevant OS, any other claims for payment (e.g. per diems, travel costs) provided that the activities and costs incurred have been previously approved by the OS. See Annex 8 Approval of travel and subsistence costs – example template.
* When the DEU approves the progress and final reports, it clears the expenses covered both the fee and incidental part of the budget under the TASC.
* All relevant documents will be included in the appropriate contract file.

## B.7 Preparing and handling procurement tenders for supplies and services under TASC

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| **Task** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 7 | JTS/OS | JTS | OS | DEU | / |

* Under the TASC, JTS staff shall draft the tender dossier for procuring services that are performed by third parties. These costs are covered from incidental expenditure in line with the provisions of Section 6.5 of TASC ToR. Supplies may include fuel necessary for one or more vehicles which are provided by the OS and made available to the project team, office stationery and materials necessary for the work of JTS staff, etc. Services may include office accommodation, costs of meetings, field visits and events (conferences, seminars, etc.), speakers, as well as any other logistical support (e.g. room hire, rent of video or audio equipment, etc.). The activities must be necessary for the effective implementation of TASC[[8]](#footnote-8).
* Documents to be drafted shall include ‘technical specifications’ for supplies and ‘terms of reference’ for services along with budget estimates. The preferred procurement procedure for supplies and services is the competitive negotiated one. Since there are no provisions on which procurement templates must be used under the TASC, it is recommended to use those available from PRAG.
* The JTS staff drafts the tender dossiers prepared for the procurement of supplies and services and submits them to the OS for check. When this procurement, according to the provisions of the Section 6.5 of the TASC ToR, requires prior approval by the DEU, the OS will be responsible for seeking it.
* Once the tender dossier is verified by the OS and approved by the DEU, the JTS shall initiate the procurement procedure including publication or sending invitations and selecting companies (legal persons) or individuals (natural persons). They will ensure that the requirements in the related TASC are respected. After selection of a company or individual the JTS shall prepare a contract if applicable.
* The contract dossier (including publication or invitation letters, records of the selection procedure and a draft contract with all necessary annexes) will be submitted to and approved by the OS which is responsible for contract signature after obtaining, when required by the TASC ToR, the prior approvals from the DEU.
* All relevant documents will be included in the appropriate contract file. The OS is responsible for circulating evidence of prior DEU approvals to the JTS, where necessary.

## B.8 Recruitment of non-key experts under TASC

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| **Task** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 8 | OS/JTS | OS/JTS | OS | DEU | / |

* Upon the initiative of the OSs and with assistance as required by the JTS, a set of ToR will be prepared for the recruitment of each non-key expert. This set of ToR must be approved by the DEU. The ToR must contain the required profile of the expert (qualifications and skills, general and specific professional experience), as well as a description of his or her assignment.
* Once the set of ToR for the non-key expert is approved, the OS with assistance by the JTS shall initiate the recruitment or selection procedure in accordance with the provisions of section 6.1.1. of the TASC ToR. The identification of the most suitable candidate can be done according to one of the following two methods: either (i) by comparison of at least three candidates’ profiles out of a pool of experts the OSs had put together at any point in time (even prior to the signature of the TASC), or (ii) by analysis of all administrative compliant candidates’ profiles following the publication of the vacancy. This comparison or analysis must be carried out by a selection panel of at least three people, preferably with no hierarchical relations between them. The findings of the selection panel must be recorded in a written report, which is forwarded by the OS Project Manager to the DEU.
* Until the recommendation issued in the written report is not approved by the DEU, the OSs cannot proceed with the recruitment of the expert and his or her contract cannot start being implemented.
* All relevant documents will be included in the appropriate contract file.

## B.9 Managing contracts for supplies, services and non-key experts under TASC[[9]](#footnote-9)

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| **Task** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 9 | / | JTS | OS | DEU | / |

* The JTS and the corresponding OS shall manage together the contracts resulting from section B.7 and B.8 above, ensuring, *inter alia*, quality of the provided goods and services, adherence to deadlines, and informing contractors/non-key experts with regards to their obligations (e.g. timesheets, EU visibility on outputs, etc.).
* In line with their contracts resulting from B.7 and B.8, contractors/non-key experts shall submit invoices and/or supporting and technical documentation (e.g. proofs of delivery / receipt, contract outputs, reports, timesheets, EU visibility, etc.) to the OS/JTS for the work they have performed or equipment supplied.
* JTS staff shall ensure that, if necessary, additional documentation is prepared (e.g. VAT exemption), signed and sent as appropriate.
* JTS forwards the originals to the OS for approval and subsequent payment.
* All relevant documents will be included in the appropriate contract file.

# C Calls for proposals – launching phase

JTS tasks include the following:

1. Work programme
2. Call for proposals timetable
3. Partner search forums
4. Drafting calls for proposals and related documentation (application packs)
5. Publication/upload to programme website
6. Information sessions
7. Workshops for potential applicants
8. Answering queries from interested applicants

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Task** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 1 | / | JTS | OS, JMC | CA[[10]](#footnote-10) | / |
| 2 | / | JTS | OS, JMC | CA | / |
| 3 | / | JTS, OS | OS | / | CA, JMC |
| 4 | / | JTS, OS | OS, JMC | CA | / |
| 5 | / | JTS, OS | OS | CA | / |
| 6 | / | JTS, OS, CA | / | / | JMC |
| 7 | / | JTS, OS, CA | / | CA | JMC |
| 8 | / | CA, JTS | CA | CA |  |

NOTA BENE: Performing the activities 3, 4, 6, 7, 8 does not represent a situation of conflict of interest for JTS and OS (CBCB, CA, HOS).

## C.1 Work programme

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Task** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 1 | / | JTS | OS, JMC | CA | / |

* [No later than 30 November of each year] or depending on the programme cycle, the JTS will prepare a work programme for all calls for proposals under the relevant programme. The work programme will have an annual duration and will be carried out in the following year (see Annex 20 work programme for grants – example template[[11]](#footnote-11)). Please note that the preparation and publication of a multi-annual work programme could also be envisaged.
* The work programme shall be submitted to the JMC and OS for verification which, after consulting with the partner beneficiary OS, will forward it to the CA for approval.
* Once approved, the work programme[[12]](#footnote-12) shall be uploaded to the programme website (the text may also be translated into the languages of the programme area). It may also be published at other relevant websites (e.g. the CA’s).
* All relevant documents will be included in the relevant the call for proposals and/or programme file.

## C.2 Call for proposals timetable

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| **Task** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 2 | / | JTS | OS, JMC | CA | / |

* At least 3 months before the planned publication of a call for proposals, the JTS shall prepare a timetable for each call for proposals starting with the partner search forums ending with the signature of grant contracts.
* The timetable shall also indicate a) budgetary years funding the call for proposals, b) priorities covered, c) whether partner search forums, workshops for potential applicants will be held, d) whether the call will be open or restricted, e) when internal or external assessors will be used and for which stages of the evaluation process. See Annex 9 Timetable for calls for proposals – example template.
* The timetable shall be submitted to the JMC and OS for verification and forwarded to the CA for approval.
* All relevant documents will be included in the file for the call for proposals.

## C.3 Partner search forums

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| **Task** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 3 | / | JTS, OS | OS | / | CA, JMC |

* Prior to the launch of calls for proposals, the JTS may organise partner search forums, if deemed necessary.
* The number of partner search forums (PSF) per call for proposals, the method for identifying and contacting potential participants and the format shall be developed by the JTS based on the programme area and contacts with relevant stakeholders (e.g. county administrations).
* The proposed PSF(s) shall be organised in coordination with the OS in each participating beneficiary.
* The PSFs shall be announced by the JTS on the programme website and on the OSs’ websites; the CA shall be informed accordingly.
* JTS staff shall present the programme, priorities and measures and give general information about the future calls for proposals. Subsequently, participants shall have an opportunity to present their project ideas to other participants (e.g. short presentations, stalls). OSs from both partner beneficiaries may also participate, if appropriate.
* The costs of renting premises and relevant equipment may be funded under the TASC. When no conflict of interest may arise, the PSFs could take place at premises owned by a local stakeholder (e.g. municipal or county administration, Regional Development Agencies), which could also provide equipment or refreshment free of charge.
* All relevant documents will be included in the file for the call for proposals.

## C.4 Drafting calls for proposals and related documentation (application packs)

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| **Task** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 4 | / | JTS, OS | OS, JMC | CA | / |

* In line with the cross-border programmes and the planned timetable, the CA can require from the JTS to draft an application pack (based on PRAG Annex E), including the guidelines for applicants along with the application form. The JMC’s decision on the thematic priorities, specific objectives, target beneficiaries and specific focus of the call for proposals shall be strictly followed after being endorsed by the Commission, in line with the provisions of Article 78(8) of the Framework Agreement.
* If the EC has decided so, all programmes will use a model application package for IPA II CBC calls for proposals that would have received the endorsement of DG NEAR.
* The JTS officer in charge of communication and visibility shall ensure that, within the guidelines for applicants, potential beneficiaries are made aware of their obligations if their projects are selected, including respect for the provisions of the EC communication and visibility manual and consent to the publication of the list of the final beneficiaries, the names of the operations and the amount of EU funding allocated to each operation.
* The documents shall be submitted to the OSs and JMC for verification and then to the CA for approval.
* All relevant documents will be included in the file for the Call for Proposals.

## C.5 Publication/upload to programme website

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| **Task** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 5 | / | JTS, OS | OS | CA | / |

* Once the documents related to call for proposals have been approved, the CA will send them electronically to the JTS and to EuropeAid for publication. In no case the JTS will publish the application pack before it has not been so already at the EC’s website.
* The JTS shall translate the text of an advertisement for local publication into the relevant national languages and once the date of publication on the EC website is known the OSs, with assistance by the JTS, shall ensure the advertisement’s publication in at least one newspaper being sold all over each of the participating beneficiaries.
* The guidelines for applicants shall be uploaded to the programme website on the same date as their publication on the EC website. They may also be published on other relevant websites.
* All relevant documents will be included in the file for the Call for Proposals.

## C.6 Information sessions

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| **Task** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 6 | / | JTS, OS, CA | / | / | JMC |

* If not announced otherwise in the guidelines for applicants, not later than two weeks after publication of the CfP, the JTS, in cooperation with the CA and both OSs, could logistically organize information sessions for interested potential applicants in both beneficiaries. The costs of renting premises and relevant equipment may be funded under the TASC. When no conflict of interest may arise, the info sessions could take place at premises owned by a local stakeholder (e.g. municipal or county administration, Regional Development Agencies), which could also provide equipment or refreshment free of charge. Information delivered at information sessions is the full responsibility of the CA. The JTS could prepare some deliverables for information sessions. All materials including agenda and timetable will be agreed with the OS and verified by the CA. The JMC should be copied for information.
* Information sessions should take place at the latest 21 days before the submission deadline.
* The aim is to publicize specific CfPs by giving an introduction to the call, presenting the guidelines for applicants and the application form, outlining the eligibility criteria and providing instructions on the application process.
* Any presentation/document to be delivered in the information sessions will also be uploaded at least on the Europeaid website where the call was published.
* It is suggested to organize at least 2 information sessions per CfP in each of the beneficiaries.

## C.7 Workshops for potential applicants

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| **Task** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 7 | / | JTS, OS, CA | / | CA | JMC |

* Before and during the publication of a CfP, the JTS with prior approval of the CA may organise workshops for interested applicants on basic skills on project preparation and application (PCM).
* The number of workshops per CfP and the method for identifying and contacting potential applicants shall be developed by the JTS based on the programme area and contacts with relevant stakeholders (e.g. municipal and district administrations).
* The proposal along with any associated costs under the TASC shall be verified by the OS.
* The workshops shall be announced on the programme website. The CA and OSs from both participating beneficiaries may also participate, if appropriate.
* The costs of renting premises and relevant equipment may be funded under the TASC. When no conflict of interest may arise, the info sessions could take place at premises owned by a local stakeholder (e.g. municipal or county administration, Regional Development Agencies), which could also provide equipment or refreshment free of charge.
* All relevant documents will be included in the file for the CfP.

## C.8 Answering queries from interested applicants

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| **Task** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 8 | / | CA, JTS | CA | CA |  |

* The responsibility to deal with the questions and answers as specified in the guidelines for applicants is the full responsibility of the CA.
* However, upon request by potential applicants, the JTS can also provide advice on requests for clarifications received from potential applicants at any time prior or during the application period. These questions can be formulated in writing or in person. These questions and answers will not be published anywhere and cannot be taken for anything else but advice from a group of experienced consultants. In other words, no applicant can blame the JTS for any mistake or misleading advice, since they always had the possibility to address their queries to the CA in line with the provisions of the guidelines for applicants.
* Some of these consultations can take place in separate or group meetings between potential applicants and JTS staffers, at the JTS main office or antenna or at the potential applicants premises or in a suitable place where many potential applicants in one province could be interested in attending. Advice provided in these consultations can deal with all sorts of topics, including strategic or content related inputs for the project description, budget or logical framework matrix.
* As a secretariat of the CA, the JTS may compile the questions and answers given in information meetings or formulated in writing to the CA.
* Once the CA has published in one or two rounds the questions and answers of a given CfP, the JTS may also publish them at the website of the programme.
* All relevant documents will be included in the file for the CfP.

# D Calls for Proposals – evaluation phase

[*Under IPA II cross-border programmes between two or more beneficiaries, the selection of operations is under the jurisdiction of the CA through calls for proposals (Article 53 of IPA II Implementing Regulation EC No 447/2014). The JMC of the programme shall “examine and provide an advisory opinion on the list of operations selected through calls for proposals before the grant award decision. The contracting authority shall adopt the final decision on the award of grants” Article 78(8) of the Framework Agreement. Article 79 of the Framework Agreement defines the role of the JTS that is responsible, inter alia, for “support the work of the evaluation committees”. Furthermore, the ToR for the TASC awarded to the OS for the programmes implemented under* ***indirect management*** *states in its section 4.2.3 (a) Support to the selection of operations defines the following activities of the JTS in relation to the selection of operations:*

* *Secretarial assistance for the receipt, registration and storage of project proposals*
* *Drafting the letters to notify applicants on the grant award decision*
* *Assisting the contracting authority with the procedures for hiring of assessors (e.g. drafting the terms of reference, preparing the tender dossier, launching the procedure, assist in the selection and contracting)*
* *Supporting the contracting authority with budgetary clearing of selected proposals before contracting*

*Programmes operating under* ***indirect management*** *shall select which tasks listed under this section they will delegate to the JTS.*

*Programmes operating under* ***direct management*** *will only have the tasks 5 & 6 below.*>

JTS tasks include the following:

1. Recruitment of assessors
2. Secretarial assistance for the receipt, registration and storage of proposals
3. Drafting letters notifying applicants on the evaluation results
4. Budgetary clearing & contracting
5. Publicising the award of grants
6. Recording statistical information on the call for proposals

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 1 | CA | JTS | OS | CA | / |
| 2 | CA | JTS | / | / | / |
| 3 | CA | JTS | / | / | / |
| 4 | CA | CA, JTS | / | CA | OS |
| 5 | CA | CA, JTS | / | CA | OS, JTS |
| 6 | / | JTS | / | / | CA, OS, JMC |

## D.1 Recruitment of assessors

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 1 | CA | JTS | OS | CA | / |

* If the programme is implemented under indirect management, the JTS shall draft relevant documents for hiring the assessors (non-key experts) (e.g. terms of reference). See Sections B.8 and B.9 of this manual for further details.
* While drafting the recruitment dossier, attention should be paid to the specificities of the call for proposals that should be evaluated, i.e. thematic priorities, specific objectives, target beneficiaries and specific focus of the call for proposals so that the most qualified assessors should be hired.
* Following the recommendation of the selection panel, the OSs will also issue an opinion given their valid experience with the work of assessors under 2007-2013 IPA CBC. Then the CA will approve or not, fully or partially the list of assessors proposed.
* All relevant documents will be included in the file for the CfP.

## D.2 Secretarial assistance for the receipt, registration and storage of proposals

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 2 | CA | JTS | / | / | / |

* The proposals shall be submitted to the CA.
* In the case that they are delivered by hand a receipt must be provided (see PRAG Annex A7).
* It must be ensured that the envelopes containing the applications remain sealed and are stored in a safe place until the opening session of the evaluation.
* The CA may ask the JTS help in ensuring the above is respected by, for example, delegating one JTS member to assist the CA with these tasks. For the sake of economy, i.e. minimizing the travel and per diem costs associated and taking into account that the vast majority of applications is usually submitted within the last 3 days before the submission deadline, the JTS staffer can spend between 3 to 5 working days in the CA’s premises providing assistance for the receipt, registration and storage of proposals.
* During these days, he or she will take all preparatory steps for the organisation of the opening session such as:
	+ making sure applications are available at the room where the opening session will take place and are sorted according to the sequential number under which they were registered;
	+ ensuring that suitable tools and materials required are available, e.g. scissors, envelope openers, envelopes, folders, pencils, markers, dividers, etc.;
	+ ensuring that necessary templates that should be completed are available in electronic form, or in hard copy, as available; these templates include: declarations of confidentiality and impartiality, checklists for the administrative check of the applications, tables for recording applications (long list) including their titles, applicants, budgets, priority or specific objective for which they applied, etc., sufficient number of copies of guidelines for applicants for the reference of the evaluation committee members, list where the participants of the meeting will sign to confirm their presence, template for the meeting minutes, etc..
* All relevant documents will be included in the file for the CfP except for applications (see task H.4 of this manual).

## D.3 Drafting letters notifying applicants on the evaluation results

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 3 | CA | JTS | / | / | / |

* Once the final evaluation report containing the list of grants to be awarded have been approved by the CA and then the DEU under indirect management, the results will be forwarded to the JTS which shall draft letters to all applicants (successful, unsuccessful and those placed on the reserve list) on the evaluation results. The standard forms contained in the PRAG shall be used insofar as is possible. The letters will be signed and dispatched by the CA.
* All relevant documents will be included in the file for the CfP.

## D.4 Budgetary clearing and contracting

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 4 | CA | CA, JTS | / | CA | OS |

* The budget of each application to be awarded a grant shall be checked with regard to arithmetical errors and the eligibility of costs. Formally this responsibility shall rest with the CA; however, JTS staff could give a hand to support the CA with this task depending on the agreed working arrangement. Any communication between the JTS and the applicants on this issue shall remain at a technical, informal level (e.g. e-mail, telephone and face to face meetings rather than formal letters). In all cases, the final budgets will be approved by the CA.
* The CA will then be responsible for drawing up the contracts and ensuring signature by the Lead Applicant.
* Once the grant contracts are signed, the OS shall request a copy, which will be shared with the OS in the partner beneficiary and the JTS.
* All relevant documents (e.g. communication on budget amendments) will be included in the appropriate contract files.

## D.5 Publicising the award of grants

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 5 | CA | CA, JTS | / | CA | OS, JTS |

* Once all the contracts under a CfP have been signed, upon request by the CA, the JTS shall prepare a list of grants awarded including beneficiaries in each partner beneficiary (see PRAG Annex E11).
* This list will be sent in electronic form to the OSs of the participating beneficiaries for publication on their websites.
* The list shall be also published on the programme website (see G.2).
* All relevant documents will be included in the file for the CfP.

## D.6 Recording statistical information on the call for proposals

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 6 | / | JTS | / | / | CA, OS, JMC |

* Throughout the evaluation process, the CA shall record all statistical information concerning each stage of the procedure, comprising a full list of applications received with registration numbers, applicant and financial details, reasons for exclusion at each stage, pertinent dates in the evaluation process, etc.). This information should be shared with the OSs of the beneficiaries and the JTS so that it should become source material for reporting on programme implementation (e.g. in Annual Implementation Reports). See Annex 10 Statistical information on CfPs – example template.
* All relevant documents will be included in the file for the CfP.

# E Project implementation and monitoring

JTS tasks include the following:

1. Support in preparation of the implementation package for grant beneficiaries (GBs)
2. Support in implementation seminars for GBs
3. Opening and maintaining a file for each project
4. Helpline for GBs
5. Advice on secondary procurement under grant contracts
6. Risk assessment of all projects and follow-up
7. Support to the CA in interim and final reports check and follow up
8. Support in developing an indicative monitoring visit schedule
9. Conducting monitoring visits
10. Drafting monitoring visit reports and follow up
11. Keeping relevant up-to-date project information in electronic form

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 1 | / | JTS | / | CA | OS |
| 2 | / | JTS, OS, CA | / | CA | / |
| 3 | / | JTS | / | / | / |
| 4 | GBs | JTS | CA | / | / |
| 5 | GBs | JTS | CA | / | / |
| 6 | / | JTS | CA | / | OS |
| 7 | / | JTS | CA | / | / |
| 8 | / | JTS | OS, CA | / | JMC |
| 9 | / | JTS, OS, CA | / | / | OS & CA |
| 10 | / | JTS | GBs | / | OS, CA |
| 11 | / | JTS | / | / | / |

## E.1 Preparation of the implementation package for grant beneficiaries (GBs)

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| --- | --- | --- | --- | --- | --- |
| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 1 | / | JTS | / | CA | OS |

* Prior to the signature of contracts, the JTS shall develop an implementation package in English for each CfP. The package shall cover the duties and responsibilities of the GBs from the signature of a contract until its closure. The package shall consist of an implementation guide containing general and horizontal instructions applicable to grant beneficiaries. The instructions should explain the contractual obligations and rules governing implementation, covering provisions such as (1) reporting requirements, (2) rules of secondary procurement, (3) proofs of expenditure and ownership (including VAT exemption) and (4) visibility, with additional provisions to be added, where appropriate. Relevant templates will be annexed to the instructions.
* The package shall be submitted to and approved by the CA.
* Once approved, and before the implementation of projects has started, the package will be sent to all beneficiaries by e-mail and uploaded to the programme website.
* All relevant documents will be included in the file for the CfP.

## E.2 Implementation seminars for GBs

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 2 | / | JTS, OS, CA | / | CA | / |

* No later than 1 month after sending the implementation package to the GBs, the JTS shall organise implementation seminar(s) for GBs.
* The number of implementation seminars per CfP, including details about the venue, the presenters, costs associated, etc., shall be proposed by the JTS (out of the TASC budget). In all cases, the objective must be to have at least one representative from each of entities involved in the implementation of grant contracts present at the seminar.
* The seminar plan shall be agreed with the CA. Participation of OSs and the CA as presenters at the seminar is welcome.
* Invitations to grant beneficiaries shall be sent by e-mail and the seminar(s) shall be announced on the programme website.
* JTS staff shall present the issues outlined in the implementation package while representatives of the CA would answer questions from beneficiaries. Relevant parts of the presentations can be made by the representatives of the OSs and/or the CA, as appropriate.
* All relevant documents will be included in the file for the CfP.

## E.3 Opening and maintaining a file for each project

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 3 | / | JTS | / | / | / |

* The JTS shall open and maintain a file for each project. See Annex 11 Checklist for project file.
* Files shall be clearly and logically arranged and labelled.

## E.4 Helpline for GBs

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 4 | GBs | JTS | CA | / | / |

* JTS staff shall ensure that a helpline is available (telephone and e-mail) for grant beneficiaries.
* Queries should be answered within 2 weeks of the receipt at the very latest. All communication (telephone and e-mail) with beneficiaries must be recorded in the project file.
* Queries can relate to various aspects of project implementation such as: staffing, relations between project partners, procurement, visibility, reporting, filing and archiving, monitoring and evaluation, etc.
* Before submitting an answer to the project beneficiary, on a case by case basis, the JTS may consult the CA. However, the answers provided by the JTS can only be taken as advisory and do not prejudice the opinion or measures the CA may take on, for instance, the eligibility of costs.
* However, upon request by Grant beneficiaries, the JTS can also provide advice on requests for clarifications received from beneficiaries at any time prior or during the application period. These questions can be formulated in writing in person. These questions and answers will not be published anywhere and cannot be taken for anything else but advice from a group of experienced consultants. In other words, no applicant can blame the JTS for any mistake or misleading advice, since they always had the possibility to address their queries to the CA in line with the provisions of the guidelines for beneficiaries.
* All relevant documents will be included in the appropriate project file.

## E.5 Advice on secondary procurement under grant contracts

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 5 | GBs | JTS | CA | / | / |

* GBs may consult with the JTS staff about secondary procurement regardless of the value of the tender, prior to the publication or dispatch of invitations for tenders.
* GBs keep the sole responsibility for secondary procurement as indicated in the Article 10 of the General Conditions of grant contracts. Finally, they may follow or not the advice given by the JTS. In some complex cases, the JTS may consult with the CA. However, the answers provided by the JTS can only be taken as advisory and do not prejudice the opinion or measures the CA may take on, for instance, the eligibility of costs.
* JTS staff shall respond appropriately to GBs within 2 weeks at the very latest.
* All relevant documents will be included in the appropriate project file.

## E.6 Risk assessment of all projects and follow-up

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 6 | / | JTS | CA | / | OS |

* Within the first month of the period of implementation of each grant contract, the JTS will perform a risk assessment for all projects (Annex 12c – Risk assessment table – example template) and indicate follow-up actions for risk mitigation. Both the risk assessment and the follow-up actions will be carried out from a desk, unless to carry out a project visit becomes fundamental.
* The completed risk assessments and follow-up actions will be submitted to the CA.
* The CA can decide to make its own risk assessment independently of the JTS, or to comment the one submitted by the JTS and propose changes for improvement.
* The risk assessment and follow-up actions verified by the CA will be copied to the OS.
* All relevant documents will be included in the appropriate project file

## E.7 Support to the CA in interim and final reports check and follow up

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 7 | / | JTS | CA | / | / |

Approval of the interim and final reports is the sole responsibility of the CA. However, the CA can decide to ask support from the JTS to this regard. Detailed arrangements of this support are programme-specific, are to be agreed between the CA and the JTS and can be formalised by adopting some kind of rules of procedure; the support can encompass the following:

* The JTS receives a copy of the report submitted by the coordinator/lead GB to the CA.
* Within 1 week of receipt of the report, the JTS shall issue an opinion on the report that will address the following:
	1. Administrative and other formal errors in the report, i.e. missing documents, incorrect templates used, arithmetical errors in financial report, supporting documents, deadlines, etc.
	2. Structure of the reports, i.e. have the relevant sections been dully completed, is there any missing information, etc.
	3. Authenticity of the information provided within the report, i.e. is there, to the best of knowledge of the JTS any information that does not correspond to the actual situation during the implementation (taking into account that the JTS is responsible for the monitoring of implementation of projects, see sections E.8 - E.10 of this manual).
* As described in the section E.8, each grant contracts following a call for proposals should be assigned to one staffer of the JTS; as a matter of principle, the JTS member who was in charge of monitoring of a given contract should be in charge of checking the reports submitted under that same contract.
* Please see Annex 13 – Guidelines for checking interim and final reports under grants.
* It could also be considered that the JTS staff could do the check of a report during a few days before the report is due to the CA.
* All relevant documents will be included in the appropriate project file (GBs’ reports and JTS’s comments).

## E.8 Developing an indicative monitoring visit schedule

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 8 | / | JTS | OS, CA | / | JMC |

* Once the risk assessment has been done for all contracted projects under a CfP, an indicative schedule of monitoring visits per project shall be developed by the JTS. See the schedule within Annex 14 Table for project information – example template. This schedule is to be updated after each round of progress reports in ideal cases or whenever need arises.
* The indicative schedule shall take into account the ranking of projects from the risk assessment. Each project shall be assigned to an appropriate JTS member for monitoring purposes and, if possible, should be monitored by this person throughout the entire period of implementation. During visits to the projects the JTS staff can be accompanied by the staff of the OSs or the CA, as appropriate.
* In principle, each project should be visited at least once during its implementation period; projects that are implemented for longer than 12 months should be visited at least twice[[13]](#footnote-13). However, depending on the quality of implementation of the project, or any other circumstances, more visits can be conducted, when justified. Visits should be conducted when the project is well under way, both in terms of activities carried out and expenses incurred. At the same time, visits should not be undertaken too late, in order to still have time for any necessary corrective action, where problems are identified.
* The monitoring visit schedule shall be copied to the beneficiary OSs and the CA for verification, as they can participate at the visits organised by the JTS. Please note that the CA is entitled to organise additional monitoring visits independently, either by their staff or by contractors hired for this purpose.
* All relevant documents will be included in the file for the CfP.

## E.9 Conducting monitoring visits

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 9 | / | JTS, OS, CA | / | / | OS & CA |

* In line with the indicative monitoring visit schedule, the JTS will arrange actual visits to the projects. In general, there are two types of monitoring visits:
	1. Monitoring visits with elements of result-oriented monitoring with the purpose to assess the quality of implementation of the project in terms of relevance, effectiveness, efficiency, sustainability, impact & cross-border effect, coherence & complementarity and community added value (see Annex 12a – Monitoring visit report – example template)
	2. Compliance visit with the purpose of checking the compliance with provisions of the grant contract in relation to the following: payments & budget, procurement, filing, risk assessment results, reporting and visibility (see Annex 12b – Compliance report for on-the-spot checks).
* The visits shall be announced and the date and time agreed with the lead beneficiary by e-mail. The general subjects to be covered and a list of any particular questions will also be communicated to the beneficiary by e-mail. In principle, visits should be announced 2 weeks in advance. In the case that urgent issues arise, the JTS may visit projects immediately without the two-week notice.
* Visits should take place at the premises of the lead beneficiary (the coordinator) who should possess aggregated information and documentation related to the implementation of the project. However, if found appropriate for assessing project results and outputs, the visit can also take place at any other location relevant to the project. Compliance visits shall always take place at the premises of the lead beneficiary.
* The final arrangements will be copied to the OS and the CA in case they wish to accompany JTS staff at the visit.
* All monitoring reports will be copied to the OSs and the CA, and even the DEU when the CA is not an EU body.
* All relevant documents will be included in the appropriate project file.

## E.10 Drafting monitoring visit reports and follow up

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 10 | / | JTS | GBs | / | OS & CA |

* As a general principle, within 2 weeks of the project monitoring visit, findings of the visit shall be drafted by the JTS using report templates in Annexes 12a and 12b covering the issues envisaged therein.
* The completed Annex 12a & 12b shall be sent by e-mail to the beneficiaries for review/comments immediately after completion by the JTS. Any comments must be submitted within 1 week by the lead beneficiaries. If no comments are received within this deadline, it will be considered that there are no objections to the findings of the monitoring report(s).
* The JTS shall incorporate comments from the GBs, if any, within 1 week and send to all concerned parties by e-mail (OS and CA, as well as the DEU in programmes where the CA is not an EU body) the related report(s) or upload them to a MIS, if there is such a system in place. The JTS shall ensure follow up action where required and will monitor the implementation of any recommendations in the context of interim reports.
* All relevant documents will be included in the appropriate project file.

## E.11 Keeping relevant up-to-date project information in electronic form

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 11 | / | JTS | / | / | / |

* The JTS shall ensure that all relevant project data (e.g. contact details, amendments to the contract, reports) and other relevant documents are included in the appropriate project file.
* Information per project will also be recorded in Annex 14 Table for project information – example template.

# F Programme monitoring

JTS tasks include the following:

1. Establish a system for gathering reliable information on programme implementation
2. Preparation of annual and final implementation reports
3. Cooperating with the programme evaluators and auditors
4. Contribution to programme documents and proposal of amendments and revisions
5. Performing the duties of the secretariat of the JMC and PSC

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Endorsed by** | **Copied for information** |
| 1 | OS | JTS | OS | JMC | / | / |
| 2 | NIPAC, OS | JTS | OS | JMC | EC | CA, DEU, NIPACs, NAO |
| 3 | / | OSs, JTS | / | / | / | / |
| 4 | EC, OS | JTS | OS, CA | JMC | EC | NIPACs, DEUs |
| 5 | OSs | JTS | OS, JMC, PSC | / | / | NIPACs, CA, DEUs |

## F.1 Establish a system for gathering reliable information on programme implementation

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Endorsed by** | **Copied for information** |
| 1 | OS | JTS | OS | JMC | / | / |

* In line with the provisions of Article 79.(6).f of the Framework Agreement, the JTS may be responsible for establishing a system for gathering reliable information on the programme implementation. All programme JTSs will be assisted in this task by multi-beneficiary technical assistance. By the end of 2018, the system should be up and running. The JTS will be in charge of uploading the system inputs regularly in order to be able to produce updated statistics.
* Following a comprehensive verification and testing, the system will be approved by the JMC.
* Access to the system will be open to the beneficiary OSs, the CA and the DEUs in both beneficiary countries when neither of them is the CA.
* The system will pay special attention to data on programme indicators and will use all pieces of information collected under the task D6.

## F. 2 Preparation of annual and final implementation reports

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Endorsed by** | **Copied for information** |
| 2 | NIPAC, OS | JTS | OS | JMC | EC | CA, DEU, NIPACs, NAO |

* In line with the provisions of Article 58 of the Framework Agreement, by 15 February of the following financial year, the NIPAC shall provide the Commission with an annual report on the implementation of IPA II CBC programme. Upon initiative of the NIPAC and the OS in the beneficiary where the CA is located, this task is entrusted for performance to the JTS. Information shall be drawn from data gathered by the JTS and financial reporting from the CA. The report shall follow the model attached to the Financing Agreement. See Annex 15 Annual Implementation Report - example template (including annexes 15a Quantitative analysis and 15b Contracting and disbursement) (this could be adapted for the Final Implementation Report).
* Annual and Final Implementation Reports shall be submitted to, verified by the OS, in consultation with the partner beneficiary OS, and approved by the JMC.
* After approval by the JMC the OS shall formally submit the report to the EC (DG NEAR). Copies will be sent to (1) the CA, (2) the DEU (under indirect management), (3) the National IPA Coordinator in each partner beneficiary, and (4) the National Authorising Officer (if applicable).
* All relevant documents will be included in the appropriate programme file.

## F.3 Cooperating with programme evaluators and auditors

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Endorsed by** | **Copied for information** |
| 3 | / | OSs, JTS | / | / | / | / |

* During programme implementation, both OSs and the JTS staff will cooperate with programme evaluators (e.g. supply of relevant documents and information, interviews), hired either under the TASC or by the DEU located in the beneficiary where the CA has its seat.
* Both OSs and the JTS staff are also expected to cooperate with programme auditors in the same way as with programme evaluators.
* If applicable, evaluation and audit reports shall be sent for information to both OSs and the JMC.
* If appropriate, their conclusions and findings shall be included in annual and/or final implementation report.
* All relevant documents will be included in the programme monitoring file.

## F.4 Contribution to programme documents and proposal of amendments and revisions

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Endorsed by** | **Copied for information** |
| 4 | EC, OSs | JTS | OSs, CA | JMC | EC | NIPACs, DEUs |

* During the programming cycle 2021-2026, upon initiative of the EC and the beneficiary OSs, the JTS could play an instrumental role in the preparation of the CBC programme document, as a source of information on the eligible territory and an active participant in the proceedings of the Joint Task Force for programming.
* Once again, upon initiative of the EC and the beneficiary OSs, the JTS may be asked to suggest amendments and revisions of the programme documents after some years of implementation, usually at mid-term, but also whenever the need causes. Findings from a programme evaluation or a report from auditors could trigger the amendment or revision process. The JTS will inform both partner beneficiaries OSs and, under indirect management, the CA about the proposed programme amendment or revision. The partner beneficiary OSs will analyse this programme amendment or revision and will decide whether to put the proposed it forward for discussion and decision-making at the JMC.
* The amendment or revision of a programme document must be adopted by the EC.
* Final, revised documents shall be circulated to the NIPACs and the DEUs and/or all relevant parties, depending on the document.
* All relevant documents will be included in the appropriate programme file.

## F.5 Performing the duties of the secretariat of the JMC and PSC

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Endorsed by** | **Copied for information** |
| 5 | OSs | JTS | OS, JMC, PSC | / | / | NIPACs, CA, DEUs |

* Upon initiative of the OSs, and in line with the JMC and PSC mandates and their relevant rules of procedure, the JTS shall prepare and circulate documentation related to the JMC and PCS meetings, including when the written procedure is to be used.
* The documents shall include invitations, agendas, minutes (draft and final versions), JTS work plans, timetables, thematic priorities, specific objectives, target beneficiaries, specific focus and advice on the final list of selected operations for calls for proposals, annual or final implementation reports, progress and final reports related to the implementation of the TASC, communication and visibility plan, annual audit report(s) and any EC comments, and any amendments thereto. See Annex 16 JMC and PSC agenda - example template and Annex 17 JMC and PSC minutes - example template.
* All documents shall be submitted to and approved by the OSs prior to circulation.
* Documentation shall be dispatched to the members of the JMC and PSC by e-mail within the deadlines prescribed in the JMC and PSC rules of procedure. Minutes of the JMC meetings shall be copied to (1) the National IPA Coordinators, (2) the CA (under indirect management) and (3) the DEUs in the beneficiaries; the latter two shall be invited to JMC meetings as observers.
* The JTS shall also be responsible for ensuring that premises are prepared for JMC and PSC meetings (e.g. ensuring that any necessary materials are available in hard copy). The decision on when and where the meetings are held and the booking of premises shall be the responsibility of the programme OSs.
* Since the JMC shall meet at least twice a year (Article 78 of the Framework Agreement) and the PSC is in charge of approving TASC 6-monthly progress reports and taking into account that the membership in the JMC and the PSC can coincide for several persons (e.g. representatives of the DEUs and OSs) these two meetings can be organised back-to-back whenever found appropriate, for the sake of economies.
* All relevant documents will be included in the appropriate programme file.

# G Publicity, visibility and information

*In all matters related to the publicity, visibility and information, special care should be taken that at any moment provisions of the Communication and Visibility Manual for EU External Actions are respected. The manual is available at the following link:*

[*http://ec.europa.eu/europeaid/funding/communication-and-visibility-manual-eu-external-actions\_en*](http://ec.europa.eu/europeaid/funding/communication-and-visibility-manual-eu-external-actions_en)

JTS tasks include the following:

1. Preparing, monitoring and updating the programme communication and visibility plan
2. Uplifting and maintenance of a programme website
3. Organising information and publicity events
4. Arranging printed materials and other visibility items
5. Ensuring programme visibility and compliance with visual identity rules
6. Establishing and maintaining databases and supplying data
7. Handling media enquiries in accordance ith the internal rules of the OS’s and the institution(s) where they re situated.

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 1 | / | JTS | OS | JMC, PSC | CA, DEU |
| 2 | / | JTS | OS | DEU | / |
| 3 | OSs, CA | JTS | OS | / | CA, DEUs, JMC, PSC |
| 4 | / | JTS | OS | DEU | JMC, PSC |
| 5 | / | JTS | OS | DEU | / |
| 6 | / | JTS | / | / | / |
| 7 | / | JTS | OSs | / | JMC, PSC |

## G.1 Preparing, monitoring and updating the communication and visibility plan

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 1 | / | JTS | OS | JMC, PSC | CA, DEU |

* As one of the annexes of the inception report for TASC, the JTS shall prepare a communication and visibility plan covering the whole programme period and the issues listed below along with a proposed timetable and financing. The plan shall include at a minimum 2 major visibility events for the programme, one to be held towards the inception of the programme and one at the end; they may be combined with other events such as partner search forums and with similar events for other programmes, though financing has to be kept separate. Press conferences and TV or radio broadcasts should also be considered. The communication and visibility plan shall also indicate how printed materials are to be disseminated. See Annex 18 Communication and Visibility Plan - example template.
* The proposal shall be submitted to and approved by (1) the Operating Structure in each partner beneficiary (2) the JMC and (3) the PSC. The JTS shall present the plan at the first PSC meeting and the corresponding JMC meeting.
* Once approved it shall be sent for information to (1) the CA under indirect management and 2) the DEU where the CA is located.
* The JTS will update the plan on an annual basis, within the context of preparing the annual implementation report and in line with costs proposed in the TASC. It should be updated for each year, with amendments submitted for adoption to the PSC and the JMC, annexed to the annual implementation reports (also submitted for approval to the JMC).
* All relevant documents will be included in the relevant programme file.
* The JTS shall implement the plan through tasks G.2-G.6.

## G.2 Uplifting and maintenance of a programme website

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 2 | / | JTS | OS | DEU | / |

* Every three years, with the TASC funds, the website of the programme could undergo an uplifting in order to follow the state-of-the-art web design techniques. The visual identity of the website must be approved by the CA of the TASC.
* The JTS shall establish a programme website and ensure its maintenance. Costs shall be covered from the TASC budget, in line with the ToR. Information should be in English and in the languages of the partner beneficiaries.
* All relevant documentation and information shall be punctually uploaded to the website by the JTS staff - e.g. announcement of vacancies for key or non-key experts or request for supplies or services, work programmes, announcement of events (e.g. partner search forums, workshops, implementation seminars, visibility events), calls for proposals and related documents, frequently asked questions, list of grants awarded, implementation packages, programme evaluations, printed materials – see below for more details. Documents related to the evaluations of calls for proposals remain confidential and must not be uploaded to the website.
* Prior to publication, the JTS shall obtain permission from the OS.
* All relevant documents will be included in the relevant programme file.

## G.3 Organising information and publicity events

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 3 | OSs, CA | JTS | OS | / | CA, DEUs, JMC, PSC |

* In line with the approved communication and visibility plan and the timetables for CfP, the JTS shall organise events related to the programme. Such events include partner search forums, information sessions, and workshops. JTS staff may participate as trainers on such events (i.e. implementation seminars, workshops on project reporting) when they are organised by the CA or OSs. For further details, see the relevant parts of this manual (C.3, C.6, C.7 and E.2).
* Proposals for visibility events (other than PSF, information sessions and workshops), press conferences or TV/radio broadcasts shall be submitted to and approved by the OS in each partner beneficiary.
* Once approved, the proposals should be sent for information to (1) the CA (under indirect management), (2) the DEUs, (3) the JMC and (4) the PSC.
* Premises and relevant equipment will be funded under the TASC budget.
* All relevant documents will be included in the relevant programme file.

## G.4 Arranging printed materials and other visibility items

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 4 | / | JTS | OS | DEU | JMC, PSC |

* In line with the approved communication and visibility plan and the timetables for CfP, the JTS shall organise for the writing, design and printing of documents related to information and publicity (e.g. leaflets, brochures, adverts for CfP, posters, newsletters, press releases), alongside the design and production of other materials (e.g. CDs, DVDs, display panels, travelling exhibitions and promotional items).
* Texts shall be written by the JTS, and design and printing / production ensured through companies hired under the TASC budget.
* Texts and design shall be submitted and approved by the DEU (its officers for visibility).
* After approval, the materials shall be printed. The JTS shall be responsible for their dissemination and presentation at meetings of the JMC and PSC.
* All relevant documents will be included in the relevant programme and/or Calls for Proposals file.

## G.5 Ensuring programme visibility and compliance with visual identity rules

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 5 | / | JTS | OS | DEU | / |

* The JTS shall ensure that the procedures for visibility are followed with regard to the programme in line with the EU Visibility Guidelines, the Financing Agreements and the TASC for the programme. *Inter alia* the JTS shall ensure that the programme website, printed materials (both publicity and information purposes) and electronic documents (e.g. presentations) are clearly identified with the EU flag, disclaimers and the appropriate text about the sources of funding.
* Regular press monitoring shall be carried out by the JTS and the OSs. If appropriate, the costs associated with media search and press clipping compilation could be covered by TASC budget.
* At the level of individual projects and contracts, the JTS will check on beneficiaries during project visits (see E.8), while all printed materials produced under such projects will be checked during the project implementation when the interim or final reports are processed by the CA.

## G.6 Establishing and maintaining databases and supplying data

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 6 | / | JTS | / | / | / |

* The JTS shall develop and maintain a database of stakeholders and potential applicants (e.g. county administrations, chambers of commerce, chambers of crafts, regional development agencies, NGOs, schools, etc.).
* The JTS shall establish and maintain a database of best practice examples out of the operations funded under the programme.
* The JTS shall report to all relevant bodies information on the operations selected following a CfP, after the list of grant contracts awarded is published on the EuropeAid website.
* The JTS shall supply each partner beneficiary OS with any information needed for their publicity, information or visibility purposes (e.g. requests for information in line with laws on freedom of information, contribution to the media).
* All relevant documents will be included in the relevant programme file.

## G.7 Handling media enquiries

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 7 | / | JTS | OSs | / | JMC, PSC |

* Given the high visibility the CBC programmes have, especially at local level, citizens might be interested in receiving programme information. Therefore, media outlets might submit enquiries on various aspects of programme implementation. These enquires might be submitted either electronically (e-mail), or in person, by scheduling an interview.
* The JTS shall provide information requested by replying to the media enquires taking care that the information disclosed corresponds to the general instructions provided by the OSs of the programme. For extensive and more important interviews approval from the relevant OSs might be required, depending on internal set-up to this regard.
* If there is a member of the JTS that is in charge of communication and visibility issues, this person shall handle media enquires; otherwise the Head of the JTS shall be in charge of communicating with media, unless otherwise instructed by the OSs.
* The JTS shall be responsible for the dissemination and presentation of any interview or media production item at meetings of the JMC and PSC.

# H Other

JTS tasks include the following:

1. Preparation of documentation for and oversight of joint operations identified outside CfP
2. Reporting irregularities
3. Recording and reporting exceptions
4. Filing – physical documentation
5. Filing – electronic documentation
6. Other task in line with OS procedures

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 1 | OSs | JTS | OSs, CA | JMC, DEU | / |
| 2 | / | JTS | / | CA | DEU |
| 3 | / | JTS | / | / | CA |
| 4 | / | JTS | / | / | / |
| 5 | / | JTS | / | / | / |

## H.1 Preparing documentation for and oversight of joint operations identified outside CfP

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 1 | OSs | JTS | OSs, CA | JMC, DEU | / |

* According to the IPA II Implementing Regulation, operations may be identified outside a call for proposal, but in such event, the operations shall be specifically mentioned in the cross-border cooperation programme (see IPA II Implementing Regulation Article 53 (3)).
* Once the participating beneficiaries (OSs) have identified a strategic project to be financed, the JTS is responsible for drafting a project outline and justification, as well as basic tender documents (e.g. ToR, technical specifications, bill of quantities). The documents will be verified by both partner beneficiary OSs and the CA. Final approval has to be granted by the JMC and then the DEU under indirect management.
* Responsibility for running any procurement procedures will rest with the CA.
* With regard to the monitoring of these operations the arrangement outlined in section E should be followed *mutatis mutandis*.

## H.2 Reporting irregularities

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 2 | / | JTS | CA |  | DEU |

* JTS staff will be responsible for reporting irregularities (including cases of suspected fraud) to the CA of the programme directly, in line with the rules and procedures applicable in this event, with which they should be familiar.
* The information supplied shall include contract identification, beneficiary details, nature of irregularity and amounts endangered or incorrectly contracted or spent.
* In case JTS staff has any doubt over whether an activity constitutes an irregularity it should contact the CA and/or consult relevant manuals that address this issue.
* The JTS shall supply any subsequent information requested by CA; it will be the latter’s responsibility to treat the reported irregularities in line with their procedures.
* Under indirect management, the DEU in the beneficiary where the CA is located shall be kept duly informed.
* Application of corrective measures and to follow up there of.

## H.3 Recording and reporting exceptions

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| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 3 | / | JTS | OS | / | CA |

* JTS staff will be responsible for reporting exceptions – all instances of the overriding of controls, or deviations from established processes and procedures described in this manual.
* Each JTS must open a derogation file, ensuring that variations to normal practice are recorded and logged by staff. The document (memo) describing exception/s to normal procedures must be enclosed, together with the document to which the exception to normal procedure is referring. The derogation file represents an integral part of the manual of procedures of the JTS and includes all detailed documentation which is available for purposes of verification.
* All approved or rejected exceptions should be registered in a register of derogations with all supporting documents regarding approved or rejected derogations. Please see Annex 19 – Derogation file.
* All instances by JTS of overriding controls or deviations from established policies and procedures under exceptional circumstances must be documented, justified and approved by both OSs before action is taken.
* The CA of the programme and the DEU under indirect management shall receive a copy of the register of derogations.

## H.4 Filing – physical documentation

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 4 | / | JTS | / | / | / |

* The JTS shall establish and maintain files: a) per programme (e.g. cross-border programme document, financing agreements, protocol between partner beneficiaries, annual and final implementation reports, documentation related to JMCs, evaluations, amendments to documents, records of all communications with relevant parties, including electronic correspondence, completed checklists/approvals), b) per call for proposals (e.g. application packages, indicative project visit schedules, amendments to documents, records of all communication with relevant parties, including electronic correspondence, completed checklists/approvals), c) per project/contract including the TASC and related secondary procurement (e.g. comments from budgetary clearing, contract, documentation related to secondary procurement, documentation related to project visits, interim and final reports, amendments to documents, records of all communication with beneficiaries, including electronic correspondence, completed checklists/approvals).
* With regard to applications, originals will be logically stored by the CA within their premises.
* The JTS will have the copies of the contracts with all annexes, including the grant application (description of the action, the budget and the logical framework). It will be the obligation of the programme’s CA to provide these documents to the JTS.
* Documentation to be included per file is indicated under each step of this manual. In principle, only final versions of documents should be included in files together with any comments on previous drafts.
* All files must be clearly and logically labelled and placed. They must be easily accessible.
* Contents within files shall be complete, signed and dated if required, organised clearly and logically (e.g. in reverse chronological order, with dividers separating discrete procedures).
* At the end of each programme the JTS shall ensure that all files are clean and ready for archiving by the relevant programme structures.

## H.5 Filing – electronic documentation

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Tasks** | **Initiated by** | **Performed by** | **Verified by** | **Approved by** | **Copied for information** |
| 5 | / | JTS | / | / | / |

* The JTS shall ensure that it keeps up-to-date documentation in electronic form where it exists.
* Each electronic document should be clearly labelled with a version number and date.
* The JTS shall organise its electronic network in a clear and logical way (e.g. with folders per programme, per call for proposals and per project/contract as indicated under the task above “filing – hard copy”).
* The content in folders is accessible to all JTS staff to prevent disruptions caused by leave or absence of personnel.
1. \* This designation is without prejudice to positions on status, and is in line with UNSCR 1244 and the ICJ Opinion on the Kosovo declaration of independence. [↑](#footnote-ref-1)
2. According to the Article 52 (1)(c) of IPA II Implementing Regulation, in case of indirect management, the operating structure shall include a contracting authority; thusly, the Operating Structure is two-partite as it consists of the “CBC body” (usually the institution that acted as the OS under IPA I) and the “Contracting Authority” (usually a department in the Ministry of Finance, referred to as Central Finance and Contracting Unit – CFCU). [↑](#footnote-ref-2)
3. Relevant Delegation or Office of the European Union (DEU or OEU) for beneficiaries operating under direct management or CFCU for beneficiaries operating under indirect management. [↑](#footnote-ref-3)
4. \* This designation is without prejudice to positions on status, and is in line with UNSCR 1244 and the ICJ Opinion on the Kosovo declaration of independence. [↑](#footnote-ref-4)
5. Please note that in two cases it was decided that one JTS shall cover two programmes, thus three beneficiaries; i.e. Montenegro-Albania and Montenegro-Kosovo\* will be covered by a JTS with its main office in Podgorica. However, while the CBC programmes Serbia-Bosnia and Herzegovina and Serbia-Montenegro will share the same Head of the JTS, its main offices will be established in Užice and Prijepolje, respectively. [↑](#footnote-ref-5)
6. Please note that there are TASC requiring the submission of quarterly reports too. These reports are not associated with any payment. [↑](#footnote-ref-6)
7. This does not apply to the Final Report. [↑](#footnote-ref-7)
8. Please refer to respective TASC ToR for eligibility of costs under incidental expenditure [↑](#footnote-ref-8)
9. This does not represent a conflict of interest with the JTS participation in the acting. [↑](#footnote-ref-9)
10. CA: Contracting Authority, being either a DEU or a CFCU. [↑](#footnote-ref-10)
11. An old regular PRAG template is used out of the PRAG 2014 version since the PRAG 2015 and 2016 do not include one (see Section 6.3.4 of the PRAG 2016 for more information). [↑](#footnote-ref-11)
12. This work programme will be taken into account for the preparation of programme grants plan by the CA (OS) where in accordance with the MoP for indirect management. [↑](#footnote-ref-12)
13. Please note that each monitoring visit consists of two parts: monitoring visit and compliance check visit (see section E.9 for more information); these two parts can be organised as separate visits in which case two visits will be treated as one visit in terms of envisaged number of visits per project as per monitoring visit schedule. [↑](#footnote-ref-13)