# E+CBHE Projects
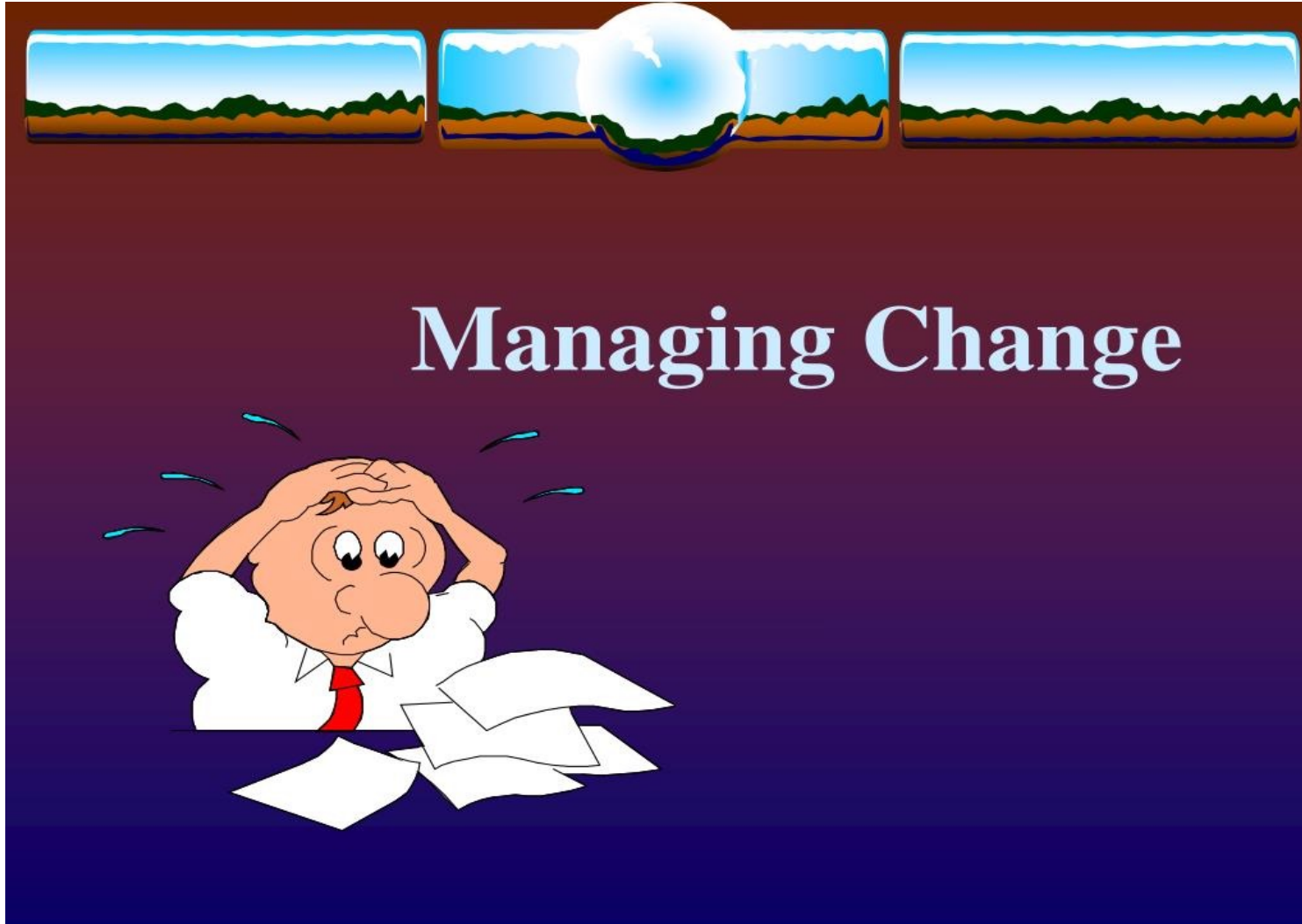
# Implementation, Monitoring and Management

## Grant Holders Meeting CBHE projects 2022

*7 February 2023*

Managing Change

European Commission

# Using lump sum

**Significant simplification potential:**

- Despite all simplification, funding based on "budget-based" grants aka reimbursement of actual, incurred costs stays complex and error-prone

- Lump sum funding removes all obligations on actual, incurred cost reporting per project and financial ex-post audits – i.e. a major reduction of administrative burden

**Focus on performance:**

- Shift in focus **from financial management and checking costs to content of the projects (outcomes, milestones and deliverables)**

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# Overview

❖ **The CBHE Community**

❖ **Rules and regulations**

❖ **Implementing  your project**

❖ **Monitoring your project**

# The CBHE Community: your partners

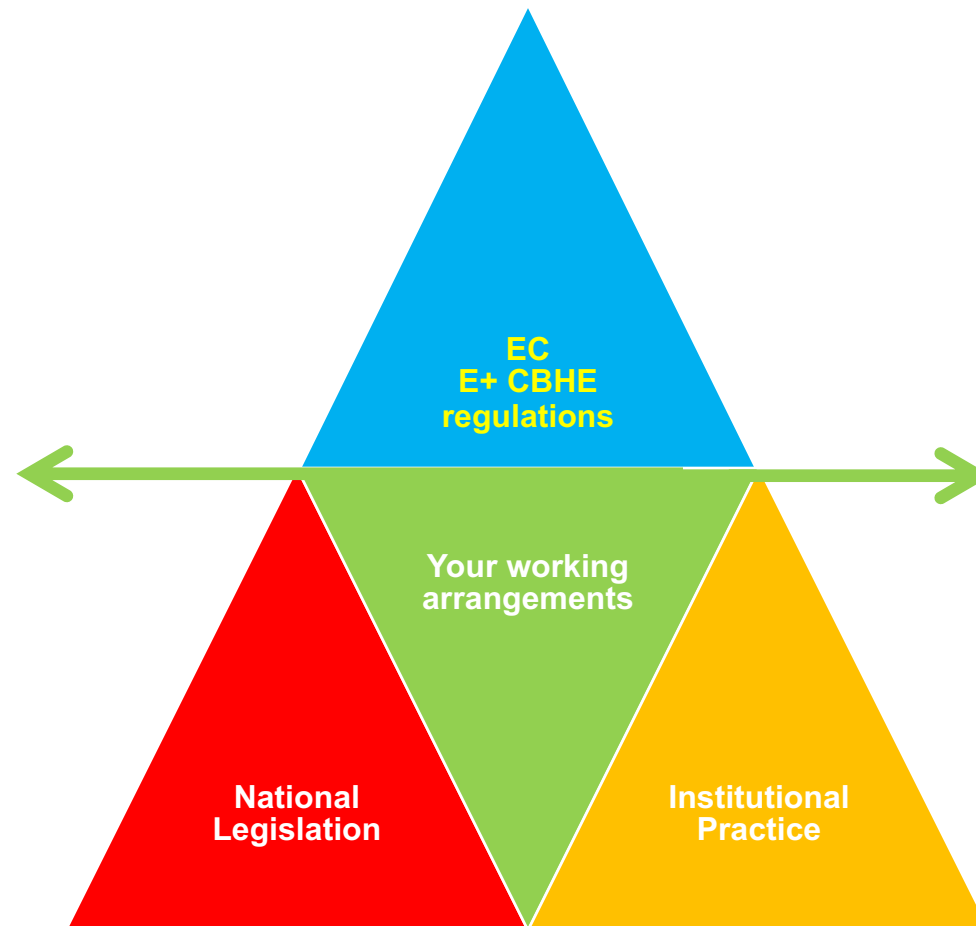| The European Commission | EACEA | At national level |
|---|---|---|
| • Policy making, priority setting<br>• Budget allocation<br>• Impact evaluation | • Management of calls<br>• Supports and monitors project implementation | • **National Agencies**<br>• **Erasmus+ Offices**<br>• <span style="color:red">**Erasmus National Focal Points**</span><br>• **EU Delegations** |

**Your Stakeholders**

• National authorities, HEI services/depts in the partner orgs., target groups and final beneficiaries;
• Other CBHE projects in: your region / your HEI / your thematic area;

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# E+ CBHE: Rules and Regulations



EC
E+ CBHE
regulations

Your working
arrangements

National
Legislation

Institutional
Practice

European
Commission

# Grant Agreement – Legal Provisions

**Role and obligations of the Beneficiaries**

- **Multi-beneficiary** Grant Agreement

**All beneficiaries are jointly responsible**

- In case of recovery

- In case of audits, checks or evaluation in their premises

- **Only organisations** can be Beneficiaries

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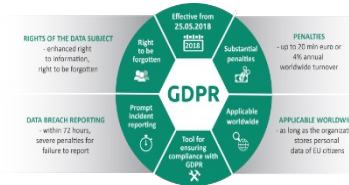
# Contractual provisions related to

**Publicity and Dissemination (Art. 17)**

**Conflict of interest (Art. 12)**

**Data Protection (Art. 15)**

**Grant reduction  (Art. 28)**

**Suspension, Termination and
Force majeure (Art. 31, Art 32, Art 35)**

# Third countries not associated to E+

Are **responsible for:**

- Enhancing Project results **relevance** / **added value**

- **Raising awareness & disseminating** results

- Involving **target groups and local stakeholders**

- Respecting national requirements / **legal constraints**

- **Ensuring implementation and sustainability** of the project results

**Inter-institutional** cooperation projects

# YOUR CONSORTIUM AGREEMENT

- **Objectives:**

  - Formalise of **internal project and grant management procedures**

  - **Institutional commitment** to the project

  - **Partnership conflict** resolution

- **Guidelines** – coming soon

- **Negotiated with partners**

- **Signed by Legal Rep.**

- **Joint or Bilateral**

**Deliverable** at the latest **6 months after** signature of G.A.

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# It should be specific to your consortium !

- The model provided by EACEA can be modified

- Discuss openly and frankly the constraints applying to coordinator and partners

- Describe the management of each work packages, when different choices apply

- Institutional bank accounts shall be used (no private accounts, no cash etc)

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# Your Grant Application

- Forms an **integer part of your Grant Agreement** (Annex I)

- Is the **basis of your partnership cooperation**

- Its implementation has to be **compliant with the three levels of external rules / regulations**

- Can be **adapted** (does not affect the expected results, is compliant with the E+ CBHE rules) and/or **amended**
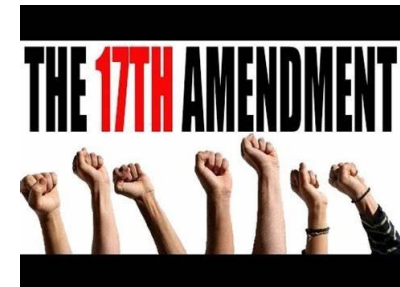
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# What is an amendment?

If there are any changes to:

- its **terms & conditions** (e.g. data or options specific to that agreement)

- its **annexes**

## Amended provisions become an integral part of the agreement

# Who can request an amendment?

The **consortium** is free to propose amendments

- If you are the **coordinator**:

    - Check that the consortium has reached agreement through an internal decision-making process, as set out in the consortium agreement *(e.g. unanimously or by simple or qualified majority)*.

- **Sign & submit the amendment(s) on its behalf**

➡ **Free to propose amendments BUT not always accepted**

**Time to Amend : 45 days**

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# Before asking for an amendment

**Estimate the impact of the proposed change on the project:**

- Compare this change/deviation with the initial work plan
- Make sure it stays within the scope of the project and complies with the programme's rules
- Who does it affect – one partner/the whole partnership?
- Does it have an effect on the project budget?
- Does it have an effect on the project timeframe?
- Any risk that the project will not deliver some of the planned outputs?
- Reflect on alternative solutions (fall-back plan)

**Inform and ask your Project Officer for advice.**

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# Amendment needed !

| Changes involving beneficiaries | Change involving the coordinator | Changes affecting the project or its implementation |
|---|---|---|
| Adding a new beneficiary/affiliated/associated | Change of coordinator | Change to Annex 1 |
| Deletion of a beneficiary | Change in the bank account the coordinator uses for payments | Change in the title of the project or its acronym, starting date, duration or reporting periods, transfer of tasks between beneficiaries |

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# Amendment needed !

**Changes involving the financial aspects of the grant**

- Change to Annex 2
- New /additional activities to be subcontracted

**Budget transfers**

- Within the same work package ( increasing the share of one beneficiary and decreasing the share of another
- Between work packages ( increasing the share allocated to one work package and decreasing the share of another)

**Resuming the action after GA suspension**

- Suspension
- Amendment

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# Budget transfers

⚠️ **All budget transfers require an amendment!**

| | WP1 | WP2 | WP3 | WP4 | WP5 | WP6 | WP7 | WP8 | Total |
|---|---|---|---|---|---|---|---|---|---|
| **Beneficiary A** | 250.000 | | | 50.000 | 300.000 | 250.000 | | 300.000 | 1.150.000 |
| **Beneficiary B** | | 250.000 | 350.000 | 50.000 | | | 100.000 | 150.000 | 900.000 |
| **Beneficiary C** | 100.000 | 100.000 | | 50.000 | | 280.000 | | | 530.000 |
| **Beneficiary D** | | 120.000 | | 50.000 | | | 100.000 | 150.000 | 420.000 |
| **Total** | 350.000 | 470.000 | 350.000 | 200.000 | 300.000 | 530.000 | 200.000 | 600.000 | **3.000.000** |

Transfer of amounts between work packages **only acceptable if**:

- Work packages **not** already **completed** (and declared in periodic report)
- **Justified** by the implementation of the action
- Amendment does **not call into question the decision** awarding the grant or breach the principle of equal treatment of applicants

# MAIN STEPS

Pre-requisite:

GA **signed** by EU

- Launch the Amendment Request

- Compose the Amendment

    (introduce all the changes → "Amendment Clauses" selected automatically)

    → 3 documents generated automatically:

    ❑ Amendment Request Letter

    ❑ **Amendment Core** Letter

    ❑ Grant Agreement Core

- Lock the data

- EU Review (mandatory step) → EU officers revise the data

- EU Officers can validate or send back for revision

- If EU validation → Sign & Submit (PLSIGN Beneficiary) the Amendment request to EU

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- For any questions related to an amendment request, please contact us immediately (via **your Funding & Tenders Portal account > My Project(s ) > Action s > Manage Project > Process communications)**


- [Amendments - H2020 Online Manual (europa.eu)](europa.eu)

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# End of the first part

## ......a bit of stretching

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# Focus on the impact

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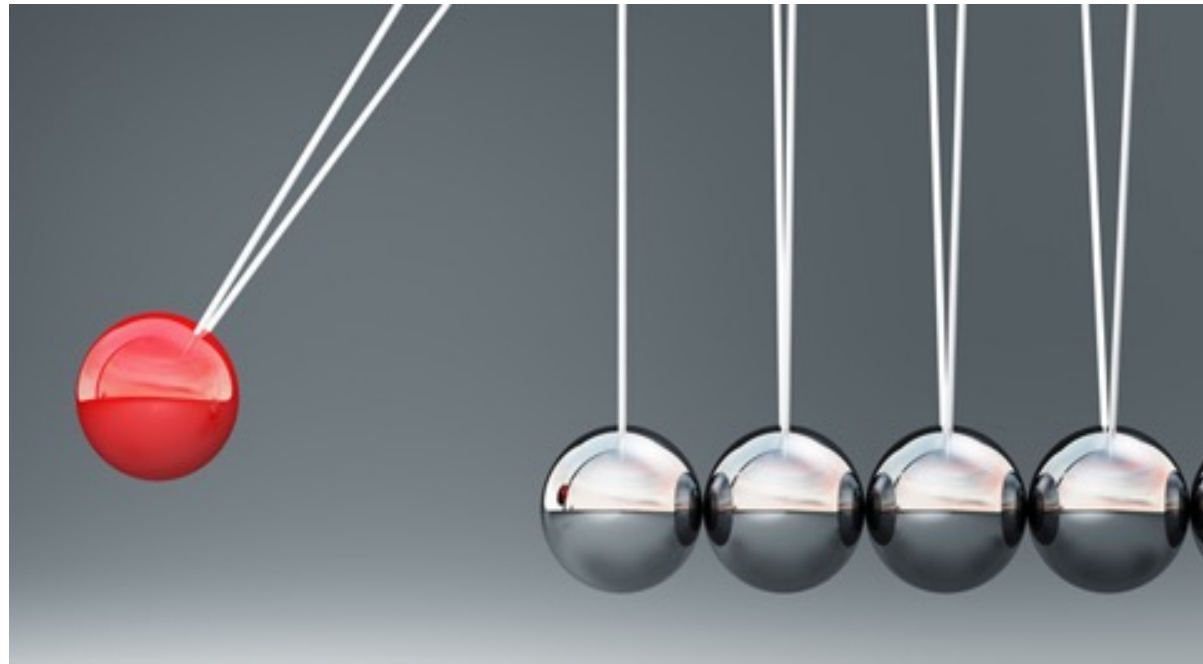
# How can we define impact?

- **Effects** of project results on:
  - ✓ individuals, institutions
  - ✓ education systems

- **They have to introduce a positive, visible, sustainable change**

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# Impact for whom ?

**CBHE** action is targeting **Third Countries HEIs** as **main beneficiaries:**

➢ **Consequences for some activities**

➢ **Added value of European HEIs**:

Need to avoid
2 opposites

DISENGAGEMENT

PRINCIPAL BENEFICIARIES

# Maximizing impact

**Widen impact:**

**Impact on institutions:**
modernization of HEIs and reforming
HE

**Impact on economy:** development
of third countries, creation of jobs

**Societal impact:** public policies and
society

**Impact in different times**

**Short term changes in:**
knowledge, skills, aspirations, attitudes,
awareness

**Medium term changes in:**
behaviour, practices, procedures, values,
decision making

**Long term changes in:**
policies, legislation, economy, society,
technology, environment

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# Measuring impact

**Surveys** → Costly **but effective** for communication of results

**Outcome mapping** → Collection of **stories of change** that the project contributed to over time. Track their evolution from different angles / target group perspectives.

**Significant Changes** → Qualitative assessment – asking beneficiaries, partners, team members what they would consider as a significant change the project contributed to

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# What we expect in terms of sustainability

- Whatever has been created by the project should continue after the end of the project

- HEIs will be willing to fund their maintenance and renewal

- A project should not be a one-man show: institutional ownership is essential !

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# Projects developing a new curriculum

**New curriculum**

Not relevant, if not **taught**
**Implemented in all HEIs**
**Train a substantial n° of teachers**
Followed by a **significant n° of students** in **year 3** of the project
**Involvement of industrial partners**
**Visible** in all **HEIs' websites as an E+ result**

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# Projects updating courses

**Update of courses in existing curricula**

- Priority to update **compulsory courses**
- A reasonable **number of ECTS** updated **in all** partner **universities**
- Same requirements for **n° of staff trained, n° of students** taking updated subjects,
- **Involvement of industrial partners** and **implementation** during year 3

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# Deliverables

For **each updated/new course**, EACEA expects to receive:

✓ Learning outcomes

✓ Teaching methodology

✓ Number of credits allocated (ECTS or others)

✓ Manuals and textbooks to be used by learners

✓ Curricula where the updated subject is taught  and related n° of students

# Projects impacting Governance

**Trainings carried out must produce tangible outputs**:
- ✓ creation of a strategy, policy docs, organisational chart

- ✓ introduction of a new service, new Center, Hub, Focal points
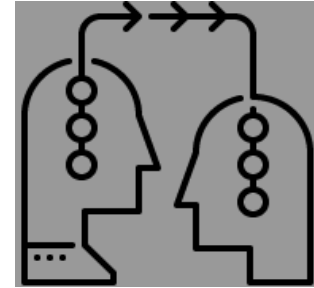
For the new structures/services, **funds and dedicated staff** must be **secured** to ensure **their mission does not remain just on paper**

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# Relations between HEIs and socio-economic sector

**Success** depends on **constant** and **tight links** with **business partners**

If needed, **associated partners** can be **upgraded to full partners** to reinforce their input in project activities
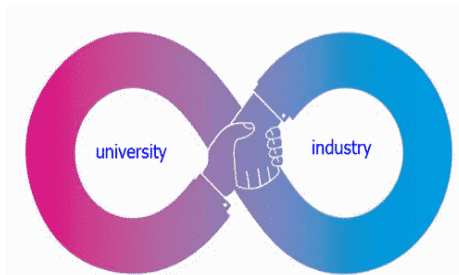


**Internships for students** are a **key element** to be ensured in **all** targeted Third Countries

A**greements with industrial and commercial** partners should continue to be signed and implemented beyond the project conclusion

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# Equipment

Equipment is **instrumental to project activities.**
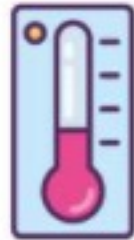
To be **purchased not later than 12 M before the end of the project** (Programme Guide)

**Identical equipment/amount** for every single partner is **unrealistic** and shows no links with real needs of HEIs

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# Innovation is an important aspect of ALL CBHE projects

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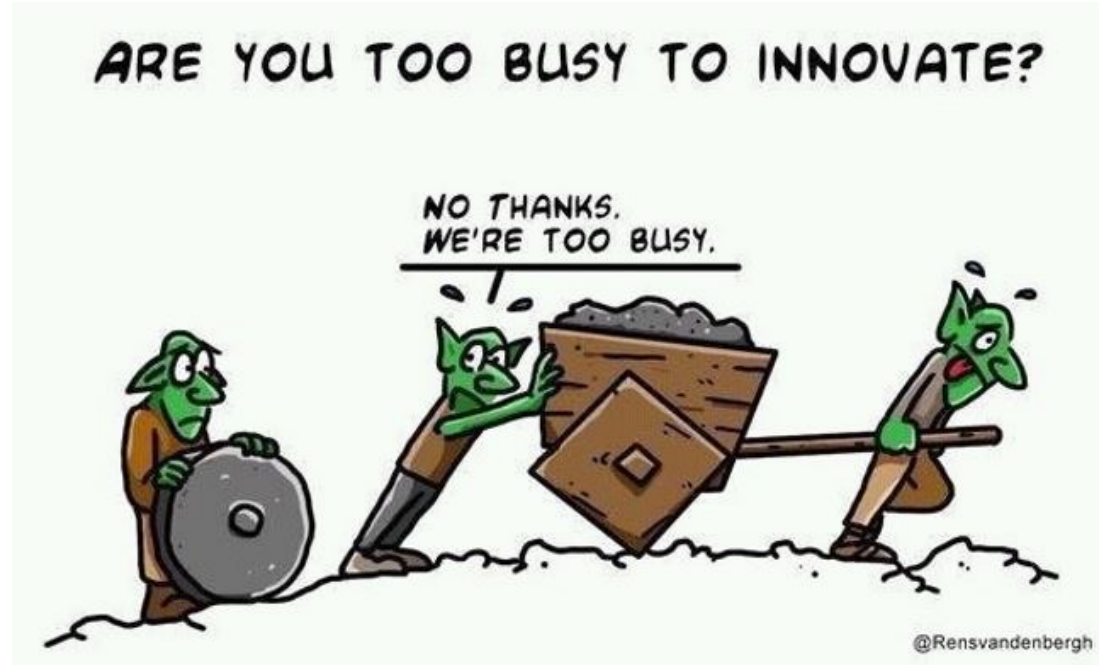
# Key elements for Strand 3

**Steering role of the Ministry**
regardless of the number of WPs led

**Visible impact at systemic level**

**Mainstreaming of good results at national level**

# Quality Assurance / Quality Control

**What ?**

Processes and outcomes

**When?**

On time to prevent mistakes

**Against?**

Required standards

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# E+CBHE Project Monitoring
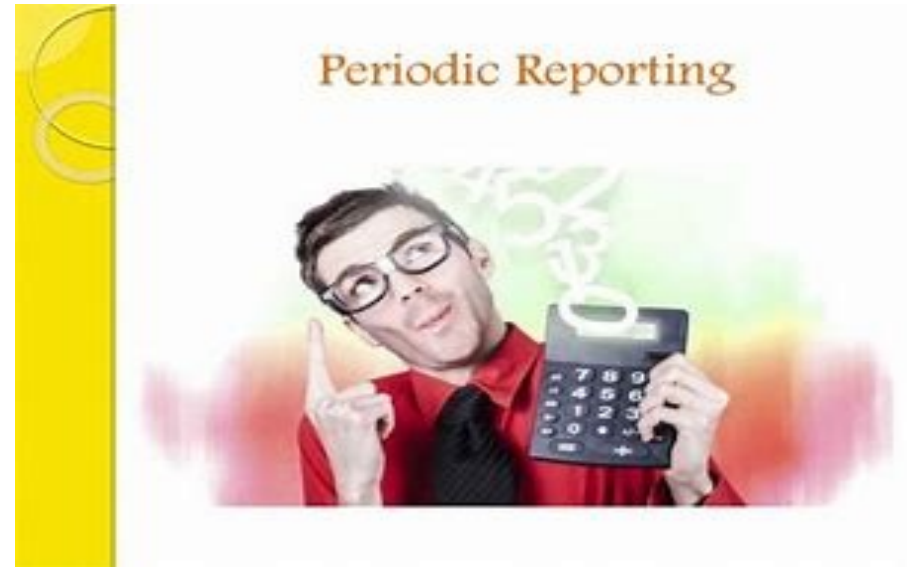
# EACCEA Monitoring and Support

A **Project Officer (PO**) has been assigned with the objective of monitoring your project:

- Ensuring **the project is on track** and respects CBHE requirements
- **Supporting the partnership** during the project implementation
- **Anticipating difficulties**
- **Identifying best practices**

**How?**

- Regular **communication** with the coordinator (email or on line meetings)
- **Assessment of reports**, requests for **amendment**
- **Visits to projects** (individual visits or in the context of cluster meetings)

**Monitoring intensity based on "risk assessment"**

# Project Implementation Monitoring: Reporting

- This "**continuous reporting" (CR)** task takes place during the active period of the project (and beyond).

- The **"Periodic reporting" (PR)** related to specific **reporting periods** leading (or not) to **payments**.
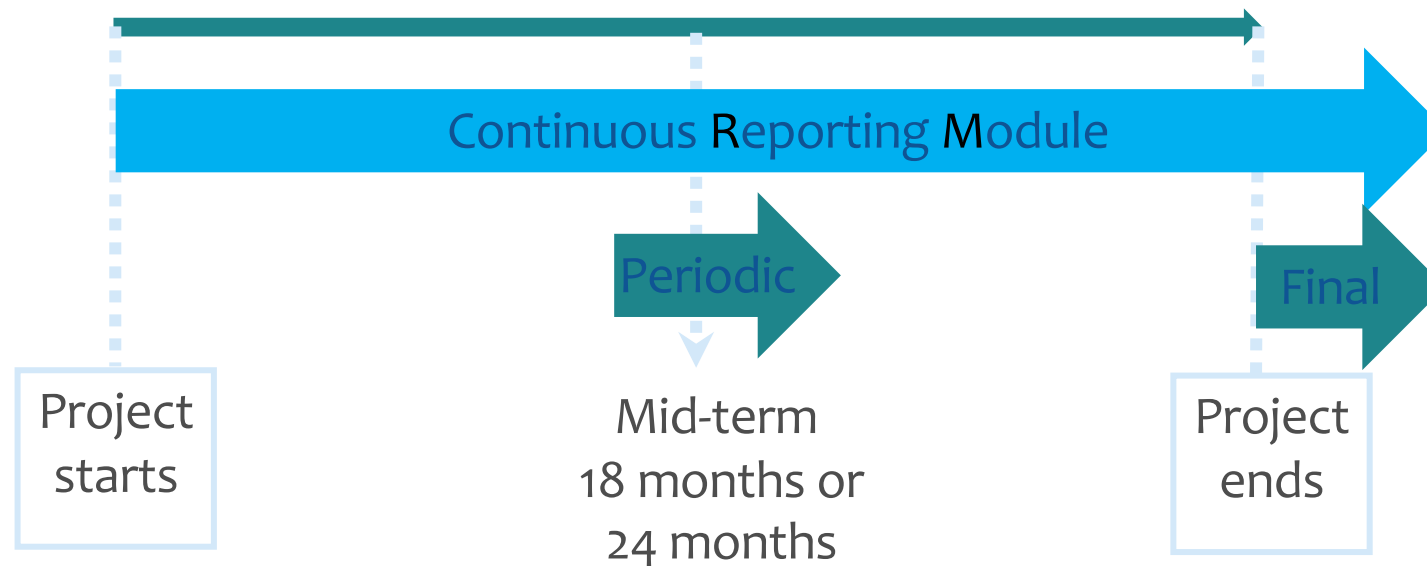
**CR data has to be entered regularly by the Project**

**PR linked to reporting & payments**

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# Continuous Reporting vs Periodic Reporting

- **Continuous** Reporting Module (periodic uploading of results)

- **Periodic** Reporting Module (linked to payment)

Continuous Reporting Module

Periodic

Final

Project starts

Mid-term
18 months or
24 months

Project ends

# Grant Management Portal- Continuous reporting



- Project Summary

- Deliverables

- Milestones

- Critical risks

- Dissemination activities

- Communication activities

-  Events and Trainings

# Deliverables



- Deliverables should be **regularly uploaded** as work is performed <u>and before the reporting deadline</u>

- No specific deadline for the assessment by PO before the periodic reporting deadline

- **Due date changes: no amendment required**

- **"Sensitive" or "Public" – ALL sensitive**

- **"Accept" or "Reject "- depending on QUALITY**

# Useful links



- **Online Manual**

[Continuous reporting on milestones & deliverables – Online Manual - Funding Tenders Opportunities (europa.eu)](#)

- **IT How To**

[Continuous Reporting - IT How To - Funding Tenders Opportunities (europa.eu)](#)

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# Reporting Obligations

**Additional Pre-financing Report** (within <span style="color:red">60 days</span> after the end of the reporting period)

 - *Technical report*
 - *Pre-financing request*

→ *2nd prefin*

**Final Periodic Report**

 - *Final Technical Report*
 - *Final Summary Financial statement*

→ *Final payement*

Article 21 of the GA

Article 22 of the GA

**Electronic submission via the F&T Portal**

<span style="color:red">**The Agency will send a reminder giving an additional 30 days**
**If still not submitted after 30 days, the Agency may terminate the Grant Agreement.**</span>

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# Periodic Report: parts A & B

**Part A – CR tabs in SYGMA**

- Summary for Publication
- Deliverables,
- Dissemination Activities, Risks, etc.

**Part B – Narrative part**

- *Explanation of the work carried out and overview of progress*
- *Update of the plan for exploitation and dissemination of results*
- *Explanations on deviations from DoA*

Info entered in the IT Tool through the **Continuous Reporting module**

Submitted in a PDF through the **Periodic Reporting module**

**The periodic report should be prepared by the consortium participants together and submitted by the Coordinator**

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# How will the Work Packages be assessed?

A **work package** (WP) is a major sub-division of the project (group of activities)

- ✓ Has an objective and expected outcome
- ✓ Can have multiple deliverables
- ✓ Contrary to interim payments, pre-financing payments are not linked to the delivery/completion of the WPs (e.g. to release the next pre-financing in full, of course 70% of previous pre-financing has to be consumed).

Will be **assessed on** the basis of :

- ✓ Activities carried out
- ✓ Quality of the Deliverables
- ✓ Achievement of objectives and expected outcomes

# Performance and Indicators



**Key Performance Indicators (KPIs)** are the elements of <u>LFM</u> that express what you want to achieve by when. They are the **quantifiable, outcome-based** statements <u>you / Agency</u> use to measure if you're on track to meet your goals or objectives.

# WPs: « Completed » Vs « Not completed »

## Completed

- All essential tasks/deliverables have been completed
- Equivalent tasks have been carried out reaching the same results
- All partners have completed it
- If deviations they have been duly jusitified

## NOT Completed

- Can be finished and declared later on in any subsequent report
- Partially completed – show the percentage of completition. Needs to be explained in the final report

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# Ex-post controls

**Checks, reviews and audits for:**

- Proper implementation of the action (e.g. technical/project review)

- Compliance with the other obligations of the grant:

  - Data protection

  - IPR obligations

  - Visibility of EU funding

  - Other obligations (e.g. ethics,values, etc.)

**No more financial audits by the Commission**

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# Ex-post controls

**One needs**

**One doesn't need to show to the AGENCY**

☐ Project related documents

☐ Time sheets

☐ Publications, milestones, deliverables

☐ Pay slips or employment contracts

☐ Who did what?

☐ Depreciation policy

☐ Travel invoices

☐ …any document proving that the work was done as detailed in Annex 1 of grant agreement

☐ ….to show or prove actual costs

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# EACEA FIELD MONITORING

**Aim of Field Monitoring**

➢ Check that the project advances **according to the work plan**

➢ Check that **partners are fully involved** in the project

➢ **Prevent problems** due to weak project implementation

➢ Special emphasis on the **visibility / sustainability/impact** of the project results in the partner country(/-ies)

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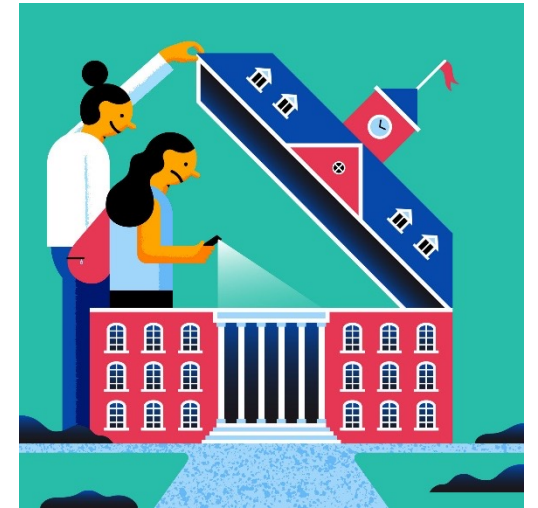
# EACEA FIELD MONITORING

**Format of the visits**

➢ Conducted by **EACEA / External Experts / EU Delegation**

➢ At coord. HEI / at Partner Country partner / during consortium meeting

➢ **Interview of project actors / visit premises** (equipment if any)

➢ **Recommendations** by EACEA to the partnership

Please note that the monitoring intensity is based on a **"risk assessment"**

# Thank you

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