



European Union

European Regional
Development Fund

Investing in your future

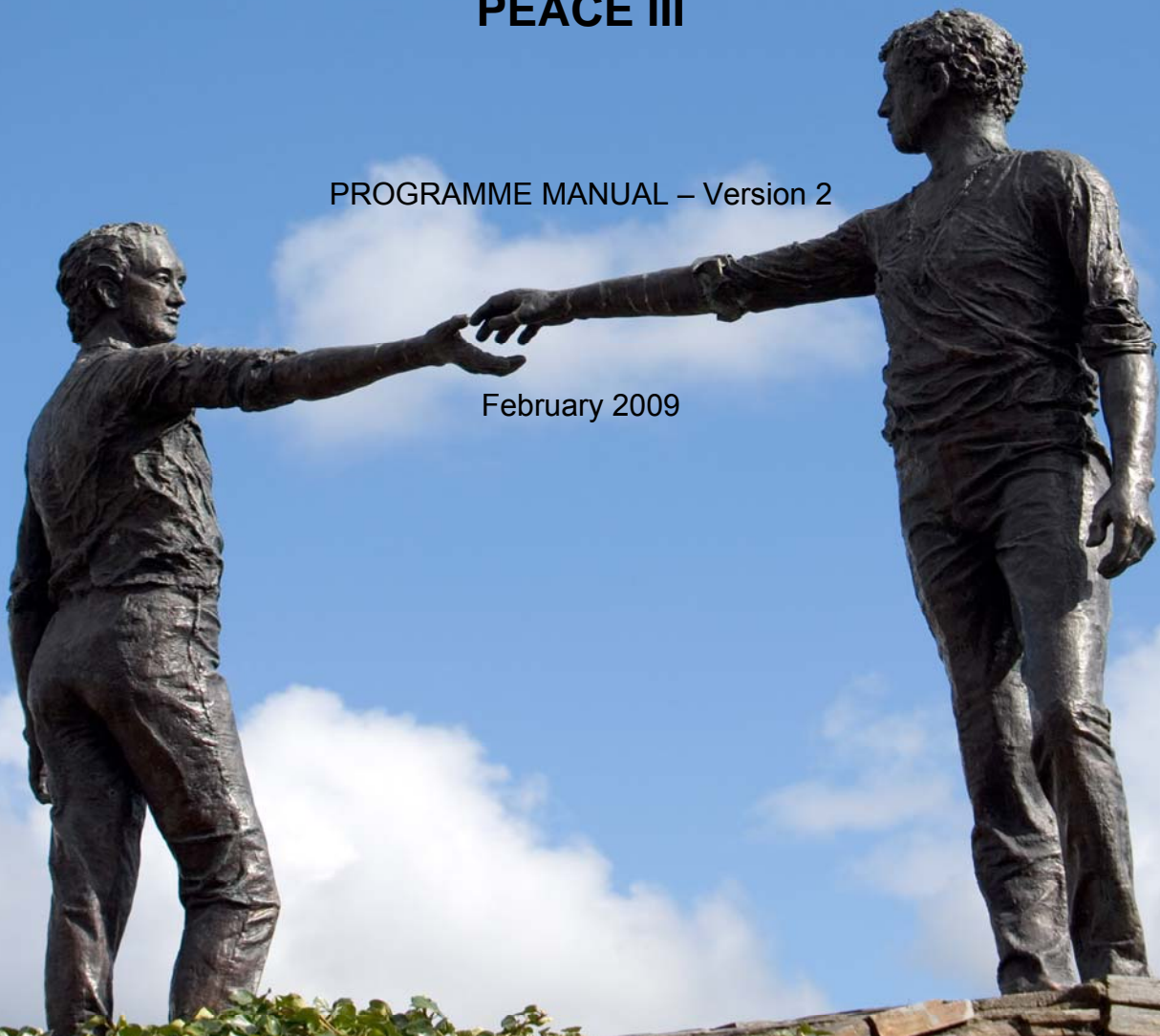
EU PROGRAMME FOR PEACE AND RECONCILIATION

2007-2013

PEACE III

PROGRAMME MANUAL – Version 2

February 2009



Contents

1. Introduction	1
2. Overview of the PEACE III (2007 – 2013) Programme.	2
3. The Programme Authorities and their Structures.....	5
4. Programme Selection and Approval Processes	13
5. Financial Management.....	20
6. Monitoring and Evaluation.....	36
7. Information and Publicity.....	47
8. System 2007 – Online Management Information System	50
9. Guidance Notes	52
Annex 1	54
Glossary of Terms.....	56

1. Introduction

The purpose of this manual is to provide a single, clear and easily accessible source of information on programme structures, processes and procedures to assist current and prospective lead partners and partners, as well as SEUPB staff. The implementation arrangements for the programme will continue to develop as the programme progresses. Consequently, this manual will be subject to regular review by the Managing Authority. The latest version will be available from the programme publications website (http://www.seupb.eu/pub_PIII.html). For convenience and in the interests of clarity, a glossary of selected terms is included.

1.1 Background to SEUPB

The Special EU Programmes Body is one of the six cross-border Bodies set up under the “Agreement between the Government of Ireland and the Government of the United Kingdom of Great Britain and Northern Ireland establishing implementing bodies” signed on 8 March 1999 (the British-Irish Agreement of 8 March 1999). The Agreement was given domestic effect, North and South, by means of the North/South Co-operation (Implementation Bodies) (Northern Ireland) Order 1999 and the British-Irish Agreement Act 1999 respectively.

SEUPB’s primary function is to manage EU Structural Funds Programmes, namely, the INTERREG IVA and PEACE III Programmes for Northern Ireland and the Border Region of Ireland. In order to implement these programmes SEUPB has established three Directorates operating under the Chief Executive. These Directorates are the Managing Authority Directorate, the Joint Technical Secretariat Directorate and the Corporate Services Directorate. Additionally an independent Audit Authority has been established under the supervision of an Audit Committee. Further details on the programme authorities are provided in Section 3 below.

Find Out More

Further information on SEUPB, its structure and past programmes and publications is available from <http://www.seupb.eu>

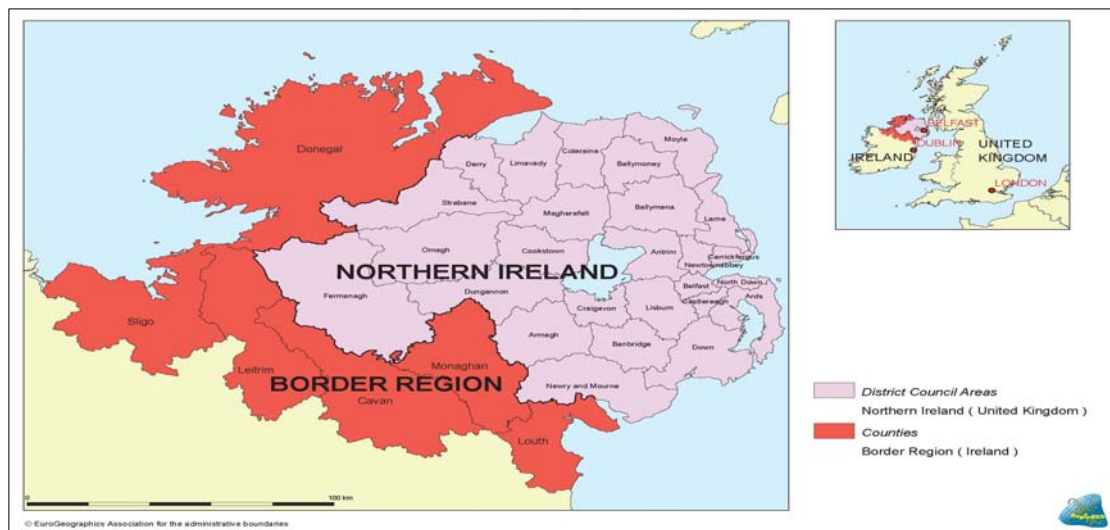
Further information about European Territorial Cooperation (ETC) Programmes is available from INTERACT, the programme which supports good governance in ETC. The INTERACT website is <http://www.interact-eu.net/>

2. Overview of the PEACE III (2007 – 2013) Programme

2.1 Programme Rationale and Structure

The PEACE III Programme advances social and economic stability in Northern Ireland and the Border Region by supporting actions that promote cohesion between communities. The Programme carries forward the key aspects of the previous peace programmes (PEACE I and II) and has a continued and renewed emphasis on reconciliation. The eligible area of the PEACE III programme is given below at Figure 1.

Figure 1: PEACE III Eligible Area



The PEACE III Programme is a distinctive programme aimed at reinforcing progress towards a peaceful and stable society and promoting reconciliation within Northern Ireland. The programme has a total value of €332.89 million. The overall aim of the PEACE III Programme is “to reinforce progress towards a peaceful and stable society and to promote reconciliation”. The programme will focus on two key strategic objectives:

- **Priority 1 - Reconciling Communities:** this priority aims to facilitate relationships on a cross-community and/or cross-border basis to assist in addressing issues of trust, prejudice and intolerance and accepting commonalities and differences. In addition, key activities will seek to acknowledge and deal with the hurt, losses, trauma and suffering caused by the conflict.

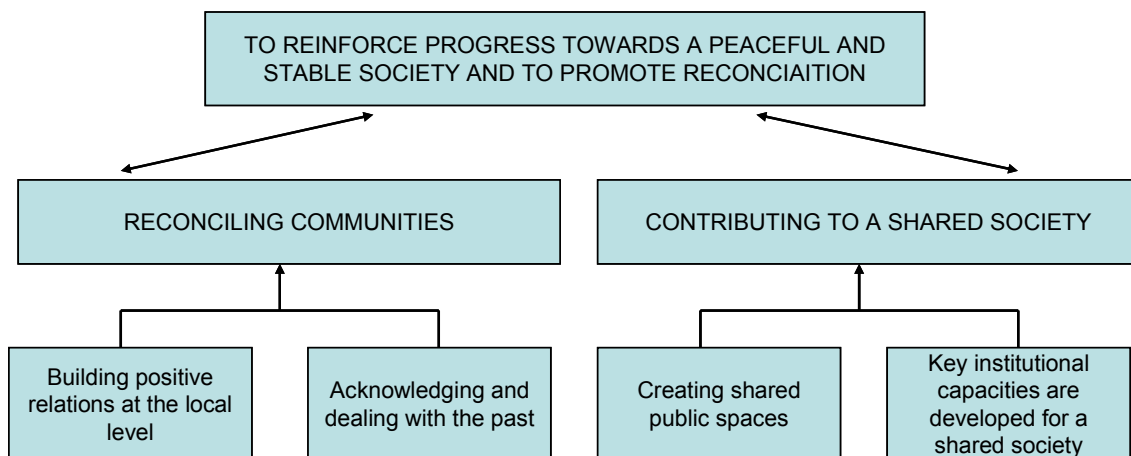
- **Priority 2 - Contributing to a shared society:** this priority aims to address the physical segregation or polarisation of places and communities in Northern Ireland and the Border Region with a view to encouraging increased economic and social cross-border and cross-community engagement.

Additionally the programme includes five cross cutting themes which will act as strategic guidelines for those engaged in the implementation of the Programme:

- Cross border co-operation;
- Equality;
- Sustainable Development;
- Impact on Poverty; and
- Partnership.

The structure of the programme is summarised in Figure 2 below.

Figure 2 – The Structure of the PEACE III Programme



Find Out More

A detailed explanation of the background to the programme, a description of the eligible area, the programme strategy and rationale as well as the priorities and areas of intervention are provided in the Operational Programme document. This is available for download from the SEUPB website at:
<http://www.seupb.eu/documents/PEACEIII/OP/PEACE%20III.pdf>

2.2 The legislative basis of the PEACE III Programme

PEACE III is a European Territorial Co-operations Programme financed by a European Regional Development Fund. Consequently, the implementation of the programme is strictly defined by European Union Regulations. The key Regulations governing the programme are:

- **The General Regulation (EC No 1083/2006)** establishes rules governing the implementation of all EU Structural Funds programme including setting objectives, monitoring, evaluation, financial management, control systems and programme structures.
- **The ERDF Regulation (EC No 1080/2006)** establishes specific rules for ERDF programmes such as PEACE III including audit, project selection and the lead partner principle.
- **The Implementing Regulation (EC No 1828/2006)** provides more detailed rules on programme implementation.

Find Out More

This manual, as with all other programme documents, structures, systems and procedures reflects the requirements of these Regulations. You can access these documents through the DG Regio website at:

http://ec.europa.eu/regional_policy/sources/docoffic/official/regulation/newregl0713_en.htm

3. The Programme Authorities and their Structures

A number of programme authorities have been established in accordance with the Regulations under the control of two Member States, the UK and Ireland, and the European Commission. This section will summarise the role and function of each authority.

The structure of SEUPB, demonstrating the relationship between the authorities and their functions, is illustrated in Figure 3 below. The relationships between the bodies involved in the implementation of the programme, both inside and outside SEUPB are indicated in Figure 4.

Figure 3: Structure of SEUPB

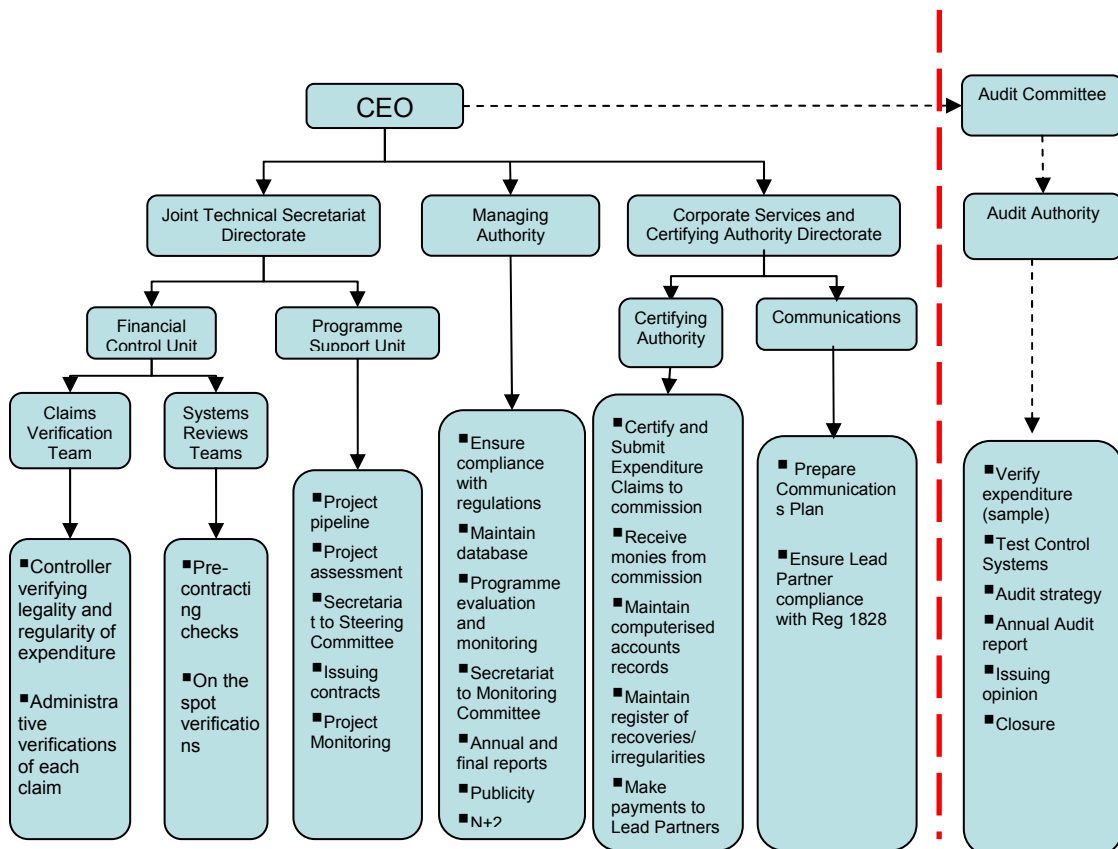
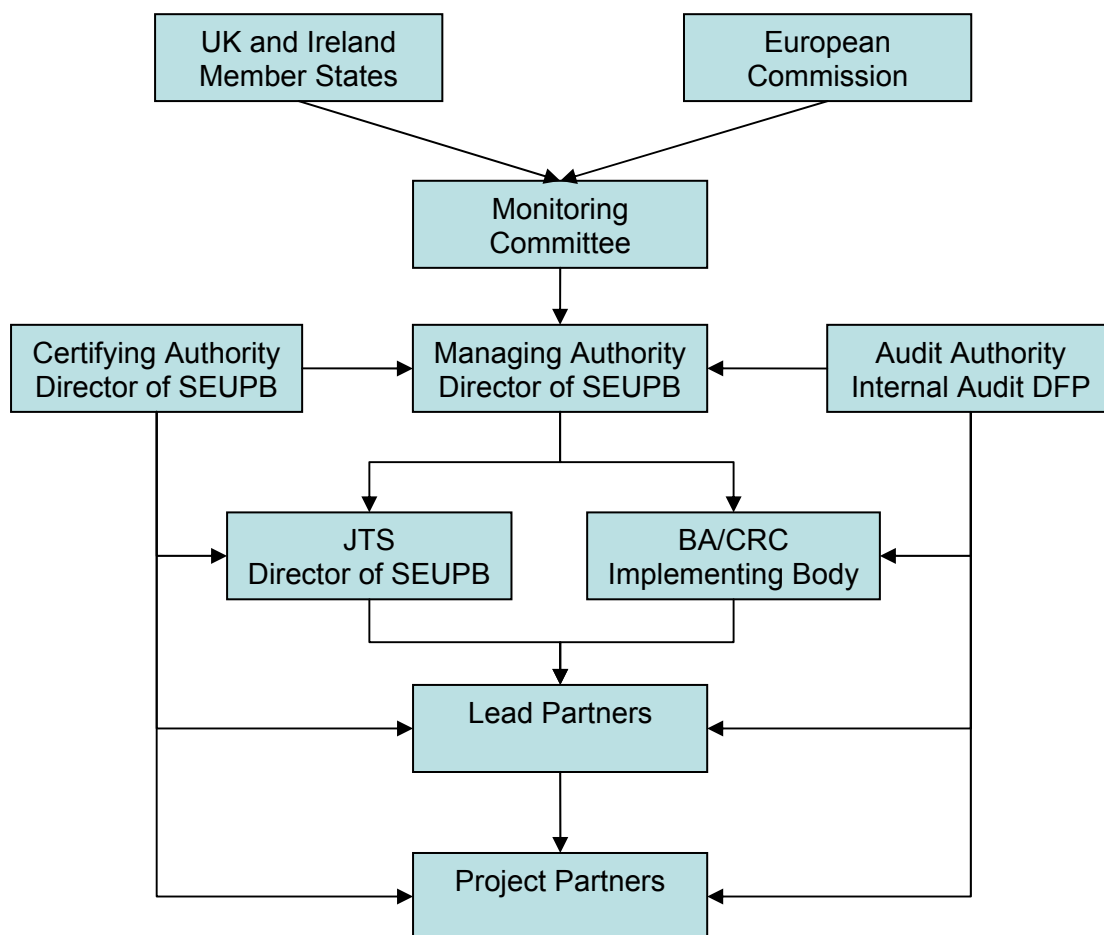


Figure 4: The Relationship Between Bodies Implementing the Operational Programme



3.1 The Monitoring Committee

The Monitoring Committee is established under European Regulation to monitor the effectiveness and quality of the implementation of the programme. The Managing Authority undertakes a secretariat function by providing the Committee with the information it needs to carry out its role. The committee fulfils a number of key responsibilities established by European Regulation:

- It must approve selection criteria to be used in the programme or any revision to them.
- It must review progress toward achieving the targets of the programme and examine the results of implementation.
- It will consider and approve the annual and final reports on programme implementation and be informed of the annual control report produced by the Audit Authority.

- It may propose any amendment to the operational programme to the Managing Authority.
- It will consider and approve any proposal to amend the Commission decision on the programme.

3.2 The Managing Authority

Authorisation for SEUPB to carry out its role as Managing Authority was granted by the European Commission in its decision formally adopting the PEACE III Operational Programme. As Figure 3 indicates, the Managing Authority is established as a separate directorate within SEUPB. The Managing Authority has a number of responsibilities established by Regulation. Consequently, the Managing Authority must:

- Ensure that operations, or projects, are selected for funding according to the criteria which have been approved by the Programme Monitoring Committee for the PEACE III Programme and which comply with relevant European Community and national law for the whole of their implementation period.
- Satisfy itself that expenditure of each beneficiary participating in an operation has been approved by the Controller who is established under EC Regulation to verify the legality and regularity of payments to projects, and that the Certifying Authority has the information it needs to certify payments to projects and claims for funds to the Commission. The Managing Authority must also ensure that a proper audit trail is maintained and the relevant documents retained.
- Ensure that there is a system established to electronically record and store accounting records for each operation and that the data on implementation necessary for financial management, monitoring, verifications, audits and evaluation are collected.
- Ensure that separate accounting systems for transactions relating to the operation are implemented in accordance with national accounting rules.
- Ensure that the evaluations of the programme required by European Regulation are completed and that the Commission has been provided with the information it needs to appraise major projects.
- Guide the work of the Monitoring Committee and provide it with the documents required to permit the quality of the implementation of the Operational Programme to be monitored in the light of its specific goals.

- Draft and, after approval by the Monitoring Committee, submit the annual and final reports on implementation of the programme to the Commission.
- Ensure compliance with the information and publicity requirements established by European Regulation.

The Managing Authority has formally delegated a number of functions, primarily the selection of operations, to the Joint Technical Secretariat and Intermediate Body. The Managing Authority will oversee the implementation of the functions by a number of means, including an annual review of the function of the Joint Technical Secretariat and Intermediate Body.

3.3 The Joint Technical Secretariat and Intermediate Body

The Joint Technical Secretariat (JTS) and one Intermediate Body will assist the Managing Authority and Monitoring Committee in carrying out its functions. The Joint Technical Secretariat, located within SEUPB, will be responsible for implementing Priority 1, Theme 1 Building Positive Relations at the Local Level and also Themes 1 and 2 within Priority 2, namely, Creating Shared Public Spaces and Key Institutional Capacities are Developed for a Shared Future.

The Intermediate Body, a consortium of Border Action and the Northern Ireland Community Relations Council will be responsible for implementing Priority 1, Theme 2 Acknowledging and Dealing with the Past. Due to their relevant expertise and skills, these organisations have been contracted through a global grant to administer this element of the Programme.

A number of tasks have been delegated to the JTS and the Intermediate Body. These are divided into programme support and financial control functions.

3.3.1 Programme Support

The JTS and Intermediate Body, through their Programme Support Units, must undertake a number of tasks in order to develop, select and implement projects. The JTS and Intermediate Body must:

- create a project pipeline by issuing calls for proposals in line with the programme selection criteria agreed by the Monitoring Committee;

- support the selection of operations by assessing project proposals for Steering Committee approval and issuing contracts of funding to successful projects;
- ensure that projects comply with the relevant European and national rules during their implementation;
- ensure that the data on implementation necessary for financial management, monitoring, verifications, audits and evaluation are collected; and
- ensure that all documents regarding expenditure and audits required to are held to ensure an adequate audit trail.

3.3.2 Financial Control

The JTS and Intermediate Body, through their Financial Control Units, will act as Controller for their respective themes, as defined by European Regulation, to verify that expenditure incurred and claimed during the programme comply with the relevant European and national rules. The Controller will undertake a number of checks and verifications:

- Pre-contracting checks undertaken before a contract or letter of offer is issued to ensure that the Lead Partner has appropriate systems and expertise to deliver the project.
- Administrative verification of claims to verify that the expenditure incurred is real and complies with the relevant rules on eligibility of expenditure.
- On the spot verifications of individual projects.

3.3.3 Delivering Priority 1, Theme 1 - Local Peace Action Plans

Capitalising on the experiences and lessons learned by local partnerships in both PEACE I and II, the implementation methodology for Priority 1, Theme 1 comprises both a regional element, delivered by JTS directly, and a larger local element delivered on a partnership basis at a local level.

Following guidance issued by the JTS, 14 Local Peace Action Plans have been submitted and approved by Steering Committee to implement the local element of Priority 1, Theme 1. Each has been issued with its own letter of offer. The arrangements for implementation differ between Northern Ireland and the Border Region.

Northern Ireland - Eight plans have been submitted by seven self-defined clusters of local councils and Belfast, which is participating as a single entity. The clusters are structured as follows:

LEAD COUNCIL	CLUSTER
Belfast	Belfast
Derry	North West (Omagh, Strabane, Derry)
North Down	North Down, Ards, Down
Lisburn	Lisburn, Castlereagh
Newry & Mourne	Southern (Armagh, Craigavon, Banbridge, Newry & Mourne)
Newtownabbey	Newtownabbey, Antrim, Carrickfergus
Magherafelt	South West (Cookstown, Magherafelt, Dungannon, Fermanagh)
Coleraine	North East (Ballymena, Ballymoney, Larne, Limavady, Coleraine, Moyle)

Following the guidance of JTS, the clusters have been developed on a partnership basis and the plans are structured to reflect and complement the work of each local authority's Good Relations Programme. The first action plans cover the period 2007 to 2010 inclusive. From 2011 delivery will reflect the council structures approved by the Review of Public Administration with all clusters having the option to review in 2009-2010.

Border Region - In the Border Region 6 plans have been brought forward with funds managed under the supervision of the County Councils. The plans delivered in these regions will continue until 2010.

Find Out More

Further information on implementation of Priority 1, Theme 1, is available direct from each Local Authority cluster.

A full list of contacts for each of the Local Peace Action Plans is included below at Annex 1.

3.4 The Certifying Authority

The Certifying Authority is also established within SEUPB but is independent of both Managing Authority and JTS and Intermediate Body. The Certifying Authority undertakes a number of tasks including making payments to lead partners, claiming money from the European Commission and recording and reporting on any irregularities identified within the programme. Consequently, the Certifying Authority must:

- make applications for payment to the Commission through a certified statement of expenditure which confirms that the expenditure is accurate, supported by documentation and that it complies with Community and national rules;
- ensure adequate information is provided by the Managing Authority on the verifications undertaken to complete the certified statement of expenditure;
- maintain computerised accounting records of expenditure declared to the Commission;
- keep an account of amounts recoverable or withdrawn from an operation to be repaid to the general budget of the European Union before programme closure; and
- manage the cashflow of the programme.

The Certifying Authority performs a supervisory role in relation to the Managing Authority and if necessary will initiate corrective action against the Managing Authority.

3.5 The Audit Authority

The Audit Authority is established according to European Regulation and with the agreement of both Member States. The role is undertaken by the Internal Auditor of the Department of Finance and Personnel in Northern Ireland. The Internal Auditor is functionally independent from the SEUPB and reports to an Audit Committee established by the Chief Executive of SEUPB in his capacity as Accounting Officer for the organisation. The Audit Committee consists of an independent chair and independent member along with Member State representatives. The Audit Authority undertakes a number of tasks including:

- ensuring that audits are carried out to verify the effectiveness of the management and control systems of the programme;
- ensuring that audits are carried out on operations using an appropriate sample to verify expenditure declared;
- developing and reviewing an audit strategy covering the bodies which will audit systems and expenditure to ensure that they are carried out effectively;
- submitting an annual control report to the Commission by 31 December each year from 2008 to 2015 providing the findings of audits carried out during the 12 months to 30 June each year;
- providing an opinion as to whether the management and control system functions effectively;
- submitting a closure declaration to the European Commission by 31 March 2017 assessing the validity of the Certifying Authority's application for payment of the final balance; and
- issuing an opinion, on the basis of the controls and audits that have been carried out under its responsibility, as to whether the management and control system functions effectively.

4. Programme Selection and Approval Processes

4.1 The Project Application Process

The project selection process begins with the submission of project applications by Lead Partners to the JTS or Intermediate Body. These may be submitted in response to calls for applications opened by JTS or Intermediate Body and advertised in the press. In order to simplify the application process a new EU grants administration website (Systems 2007) has been developed to allow all application documents, including the application form itself, to be submitted electronically. However, applications may still be submitted in hard copy or by email. The application process consists of the following stages:

- The applicant submits their Part A application (capturing basic registration details) via www.eugrants.org web site which will automatically generate a unique reference number for the application to be referenced in all future correspondence.
- The applicant will then complete the Part B application (capturing full application details) and submit this with all relevant accompanying documentation to the JTS or Intermediate Body. This may be submitted via the website, by email or in hard copy.
- The JTS or Intermediate Body verify that the application complies with requirements.
- The JTS or Intermediate Body will issue a letter acknowledging receipt of the application.
- The JTS or Intermediate Body may request clarification of information supplied in the application. Non-compliant applications will be rejected and the applicant will be informed about the rejection and the rejection reasons.

Find Out More

A wide range of further information useful for those making an application, including background information on the programme, current/closed calls for applications, details of how to apply, who can apply and frequently asked questions on the programmes section of the SEUPB website:

<http://www.seupb.eu/programmes.htm>

4.2 The Project Selection Process

Once a completed application has been received by the JTS or Intermediate Body the selection process begins. The selection process consists of two stages: a basic eligibility check and full appraisal and scoring.

4.2.1 Stage one: basic eligibility check

This stage checks the application against a number of fundamental published criteria. If the application does not meet all the basic eligibility criteria it will not progress any further in the appraisal process.

The stage one basic eligibility criteria consists of the following:

<i>Eligibility Criterion</i>	<i>Yes / No</i>
The project proposal must clearly address one of the priorities outlined within the Operational Programme	
The project activity must be within the eligible area as defined in Council Regulation (EC) No1080/2006, (Article 21)	
All sections of the application form must be completed accurately and in full	
Applications must be submitted on time (in the case of a published closing date)	
The project must be in accordance with the governing EU Regulations in particular, rules on the eligibility of expenditure, public procurement, state aid, environmental assessment and equal opportunities	
The willingness for project partners to engage in the partnership must be fully demonstrated in the application	

If the JTS or Intermediate Body staff answer 'no' in response to any of the above questions when conducting their initial check, then the application is deemed to be ineligible and progresses no further in the appraisal process.

4.2.2 Stage two: full appraisal and scoring

This is the more detailed stage of appraisal when operations are appraised and scored against the programme, priority and theme criteria and against the generic selection criteria.

These criteria are weighted as follows:

1. They will be appraised and scored according to the programme, priority and theme specific selection criteria. Programme and priority/theme specific criteria each constitute 30% of the marks so that this element totals 60% of the total marks.
2. They will be appraised and scored according to generic selection criteria providing the remaining 40% of the total marks. These criteria comprise efficiency, effectiveness and the cross cutting themes of impact on poverty, partnership, sustainable development and equal opportunities.

Each application must provide evidence of how the project contributes to the overall objective of the PEACE III Programme and must match with the overarching programme objectives. Applicants are therefore advised to carefully read the Operational Programme document.

Similarly, each application must provide evidence of how the project contributes to the priority and theme objectives as detailed within the Operational Programme. In addition to the detail provided in the Operational Programme the JTS and Intermediate Body will provide targeted information for each theme for which a public call for applications is made.

The generic selection criteria assess how the operation will potentially perform in terms of efficiency and effectiveness, and how it meets the cross cutting themes of the programme.

Within efficiency and effectiveness, evidence of the value for money of the operation is assessed. Proposals must also demonstrate that they are additional, in that they must not replace other expenditure planned by a Member State, and have the capacity to provide a lasting legacy to the Programme. Sustainability and mainstreaming will also be considered under this criterion. Operations must provide assurance that outcomes would not otherwise be achieved without EU funding. Evidence of need is also considered within efficiency and effectiveness. The need for the project must be well established and described. Further information is available from JTS and Intermediate Body in the application guidance pack on what is considered under the areas of efficiency and effectiveness.

The final area that is scored and appraised under the generic selection criteria are the cross-cutting themes. Operations must adequately demonstrate that they contribute to the cross-cutting themes of the programme.

4.2.3 Economic Appraisal

Proposals greater than £500,000 or €725,000, applications will be subject to 'Green Book' standard economic appraisal. The appraisal will be independent of the applicant and will be commissioned by the Managing Authority. The purpose of economic appraisal is to ensure good financial management and to promote sound decision-making and proper accountability. The process applies to all public expenditure, including European Union Funds. Programme Guidance Note 3 defines how national rules on economic appraisal are applied to the programme. However, in summary the extent of the appraisal will depend on the value of the project. Projects valued at up to £500,000 will be subject to a value for money assessment only. Those projects over this threshold are subject to a full economic appraisal as defined by the 'Green Book' produced by the UK Treasury. A full appraisal will consider:

- the purpose of the project;
- whether a need been established;
- the specific objectives of the project;
- whether measurable targets and quantifiable outputs are provided;
- whether alternative options have been considered;
- whether the project will provide added value
- whether the project would be scaled down or delayed without grant; and
- the anticipated benefits of the project and who are the primary beneficiaries.

Find Out More

The Department of Finance and Personnel (Northern Ireland) has produced a comprehensive guide to the conduct of a Green Book appraisal. This "Northern Ireland Practical Guide to the Green Book" may be downloaded from:
http://www.seupb.eu/pub_green_book.htm

On completion, the findings of the economic appraisal will inform the overall score applied to the application. A consistent scoring system has been

developed. In keeping with the other EU Programmes for the region, all operations will be scored out of 200. The quality threshold has been set at 130 i.e. 65%. Operations that do not score at least 65% of the total marks available will not be selected for support. However, a score of 65%, or above, will not guarantee funding. This may particularly be the case later in the programming period when the finite amount of funding will be allocated to the highest ranked operations. To ensure that the selection process is applied consistently, the Managing Authority has developed G1 Guidance on Project Selection.

4.2.4 The Steering Committee

The Monitoring Committee has delegated its responsibility for project selection to three Steering Committees as provided by Article 19(3) of Council Regulation (EC) No 1080/2006. The Monitoring Committee has approved the formation of three Steering Committees constituted on a cross-border basis to reflect the principles of partnership. The JTS is the secretariat for two Steering Committees, while the Consortium of Border Action / CRC are secretariat for the third. The role and structure of the committees are described below:

- **Steering Committee 1** – Priority 1: Building Positive Relations at a Local Level. This committee considers both the Local Authority Action Plans and applications for regional projects.
- **Steering Committee 3** – Priority 2: Contributing to a Shared Society. This committee considers applications in relation to ‘creating shared public spaces’ and ‘key institutional capacities are developed for a shared society’.

The JTS provide the secretariat function to Steering Committees 1 and 3.

- **Steering Committee 2** – Priority 1, Theme 2: Acknowledging and Dealing with the Past. This committee will consider applications under all three strands of Priority 1 Theme 2.

The Intermediate Body will provide the secretariat function to Steering Committee 2.

Once appraisal and scoring is complete, applications are presented to the appropriate Steering Committee with a recommendation and a supporting rationale for that recommendation. The Steering Committee will scrutinise the scores and supporting arguments made and make the final decision on the application.

Projects approved by Steering Committee at a value over £1 million require Accountable Department approval. The Accountable Department may recommend amendments or conditions to the Letter of Offer prior to issue.

Projects approved by Steering Committee at a value over £1 million require Accountable Department approval. The Accountable Department may recommend amendments or conditions to the Letter of Offer prior to issue.

4.2.5 Pre-contract Check

Prior to issuing of a Letter of Offer projects selected by Steering Committee undergo a technical, financial and governance assessment of selected Lead Partners as part of a pre-contracting check in accordance with Guidance Note G11. This check is developed around four strands, namely:

- Check on their financial management capacity: including collation and validation of claims from partners;
- Check on their adherence to EC and domestic legislation to include: equality of opportunity and protection of the environment;
- Check on their ability to maintain a computerised data recording and monitoring systems; and
- Check on the administration systems in place for the maintenance of a complete audit trail.

In order to provide prospective Lead Partners and Partners with the knowledge and skills necessary to ensure operations meet the standards required by the programme and the pre-contracting check SEUPB provide information and training in the form of:

- Programme manual;
- Guidance notes;
- Communications network;

- Programme Support Unit advice and support on project preparation and implementation; and
- Lead Partner Training.

To complement the established procedures for selecting and approving operations, clear guidance on eligibility of expenditure has been developed by the Managing Authority on the basis of guidance given by Member States and with the approval of those Member States.

4.3 The Review Process

In the case of an application to the Programme being unsuccessful, the Lead Partner, on behalf of the Partnership, may seek a review of that decision. The applicant may request a de-briefing session where they will be afforded the opportunity to discuss either over the telephone or in a meeting the reasons for rejection with a member of staff from the JTS or Intermediate Body. During this discussion, the scoring and the basis for the decision taken will be communicated to the applicant.

On the basis of this feedback, the applicant may then make a written request for a review of the decision not to fund. Upon receipt of a written request for a review the Managing Authority will convene the Review Panel, which comprises Members of the Monitoring Committee who were not involved in the original decision making process and an independent member.

Further detailed information on the review process is provided by the Managing Authority in Guidance Note G2.

5. Financial Management

5.1 First Level of Control

The requirements for the First Level of Control in the 2007-2013 Programmes are established in European Union Regulations. The control system is established to ensure that the projects receiving funding are actually delivered and that expenditure declared has actually been incurred and is eligible in that it complies with Community and national rules.

As outlined in 3.3.2, SEUPB and the Intermediate Body have been designated Controllers by the Member States for the European Territorial Co-operation Programmes in Northern Ireland and the Border Region of Ireland, namely the PEACE III Programme. In order to fulfil this role and meet the regulatory requirements in full, SEUPB has established an independent Financial Control Unit within the Joint Technical Secretariat comprising a Claims Verification Team and a System Review Team who will, in addition to completing pre-contracting checks as part of the selection process, undertake the financial and administrative verifications.

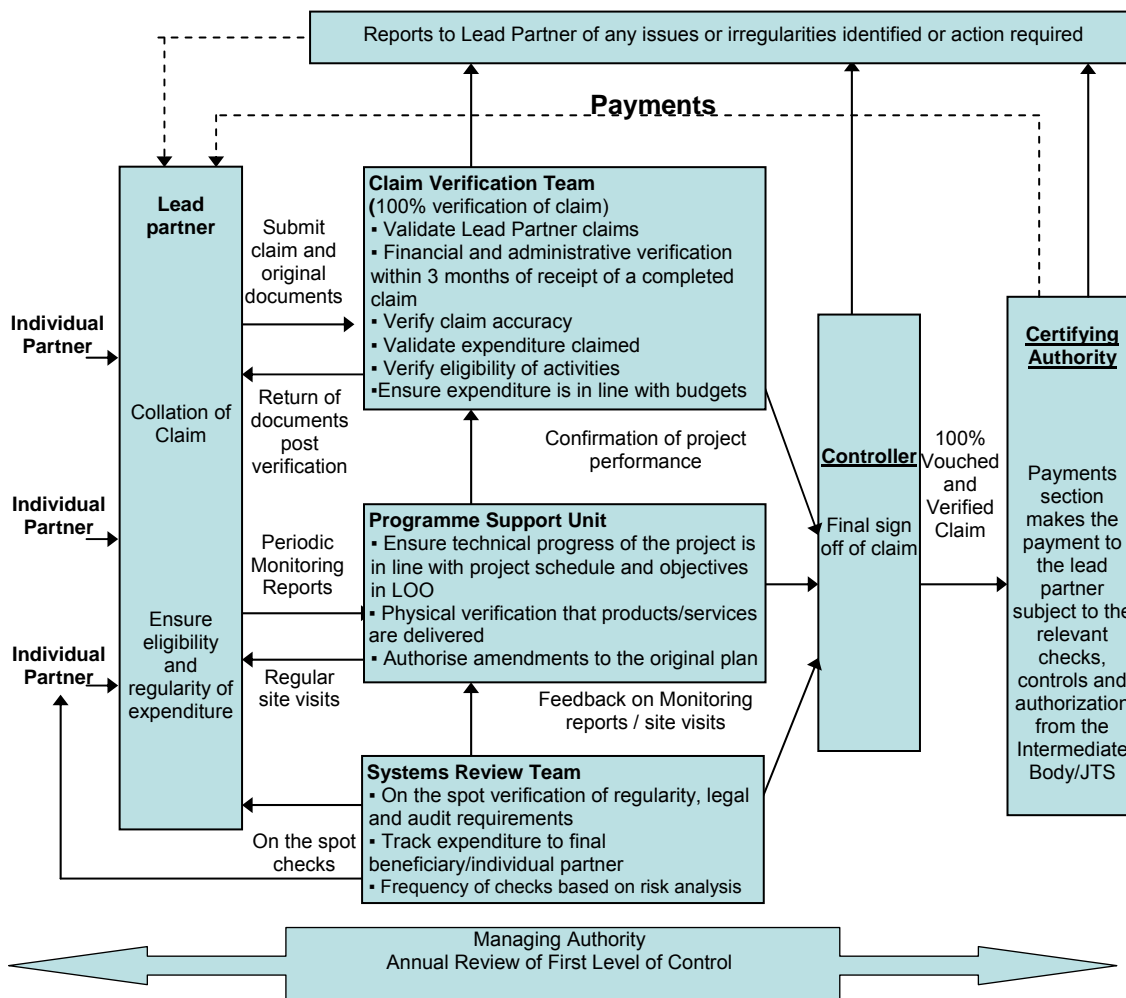
In addition, the Programme Support Unit, also within the Joint Technical Secretariat, will have the lead role in monitoring that the products or services for an operation or project are being delivered. The Intermediate Body will also act as a Controller and will implement a similar structure as outlined for the JTS with a Financial Control Unit consisting of a Claims Verification Team and a Systems Review Team. In addition, Intermediate Body has established a Programme Support Unit. The Managing Authority has issued detailed guidance on first level of control in the programme through Guidance Note G10 on First Level of Control. The first level of control process for PEACE III includes administrative verification and on the spot verification and is described below and illustrated in Figure 5.

5.1.1 Preparation of Claim by the Lead Partner

Lead Partners are responsible for the collation and submission of claims in line with the contract for funding issued by the JTS and Intermediate Body. The Lead Partner will collate the claim based on information submitted by individual partners. The Lead Partner is required to ensure that all expenditure included is eligible and that activity undertaken by all project

partners is congruent with the approved project. The finalised claim, which has been collated and reviewed by the lead partner, will be submitted to the Claims Verification Team within JTS and Intermediate Body. Claims made under PEACE III must be submitted electronically via the EU Grants website www.eugrants.org

Figure 5: PEACE III First Level of Control Workflows



5.1.2 Administrative Verification and On the Spot Verifications

The process of administrative verification will primarily be undertaken by the Claim Verification Team and on the spot verification by the Systems Review Team. However, the Programme Support Unit will contribute to both processes. The role of each body in relation to both administrative and on the spot verification, illustrated in Figure 5, is described in detail below.

The Claims Verification Team

The Claims Verification Team, located within the Financial Control Unit of the JTS and Intermediate Body, will undertake an independent desk based 100%

verification of the claim. The Claims Verification Teams will validate claims for expenditure received by verifying the delivery of the products and services receiving funding, the soundness of the expenditure declared and compliance of expenditure and related operations with Community and defined national rules.

By undertaking this verification the Claims Verification Team will:

- verify the accuracy of the claims submitted;
- validate expenditure claimed;
- verify eligibility of the activities funded against those stipulated in the approval documents (contract for funding);
- verify the reality of expenditure through examination of original documents including invoices, timesheets, salary records and bank statements; and
- ensure that the project expenditure is in line with the agreed budget set out in the contracting document.

The Claims Verification Teams will complete the verification of expenditure within three months of receipt of a claim as required by Regulation.

Once the 100% verification checks have been completed and the original documentation will be returned to the Lead Partner. The claim and completed checklist will pass to the Heads of Financial Control Unit (Controllers) in JTS and Intermediate Body for final sign off.

The Programme Support Units

Through its role in overseeing progress in the delivery of each project's outputs and products the Programme Support Units will contribute to both administrative and on the spot verification.

Administrative Verification: In its verification role the Programme Support Units will:

- Ensure that the project is progressing in line with the agreed technical plan (key milestones/output indicators) as set out in the Letter of Offer.
- Physically verify that products or services are actually being delivered.
- Authorise any amendments to the original project plan.

Prior to completion of the verification of a claim the Programme Support Units will confirm that project output targets are being met. Only where progress is satisfactory will the financial verification process be completed and payment authorised.

On the Spot Verification: The Programme Support Units will contribute to the on the spot verification process through a combination of analysis of periodic monitoring reports, completed and submitted by the Lead Partner, and by regular on site visits by Programme Support Staff to view actual progress.

The Systems Review Teams

In addition to their role in carrying out pre-contracting checks, the Systems Review Teams located within JTS and Intermediate Body will have primary responsibility for completion of on the spot verifications in order to verify that regularity, legal and audit requirements are being met. These on-the-spot verifications will include tracking actual expenditure to the final beneficiary at the individual project partner level. In addition, the Systems Review Teams will conduct site visits to every Lead Partner during its active lifetime. All other partners will be checked on the basis of the risk sampling methodology.

The frequency of the on the spot verifications will be determined on the basis of risk analysis which will be applied in the selection of the specific partners to be reviewed. This is to ensure audit resources are directed to high-risk areas whilst also ensuring adequate coverage of lower risk areas. The Financial Control Units will maintain a record describing and justifying the sampling method and this will be approved by the Audit Authority. The risk rating will be documented and reviewed annually. Any amendments to ratings will also be fully justified and recorded.

The information gathered during the pre-contracting stage will be used to determine an initial risk rating for the project. This will take account of the adequacy of governance and financial control systems operated by the Lead Partner. In addition the Systems Review Teams will take into account previous knowledge of the Lead Partners' adequacy in delivering EU funded projects (where appropriate).

Most of the on the spot verifications will be initially targeted at Lead Partners but any Partner may be checked, particularly if a Lead Partner check reveals weaknesses in the operation. The findings of other audits and reviews will be examined prior to the spot checks and any outstanding issues addressed as part of the review.

As well as verifying the existence of the operation, the on the spot verifications will review and assess:

- administrative and financial systems; and
- adherence to procedures, guidance and contract conditions.

The checks will also require partners to produce evidence of a complete audit trail.

In order to have successful on the spot verifications, it is vital that key members of staff in the partner organisations are available during the monitoring visit. Visits will be arranged in advance and in consultation with the Lead Partner. The Lead Partner will inform the partners of their requirements with respect to access to personnel and documents. The date and timing will, where possible, be confirmed in writing detailing the documentation and personnel that need to be available. The outcome of the on-the-spot verifications will be documented and recorded on the checklist and electronically on the Systems 2007 database.

Verification by the Controller and Payment of the Claim

The Controllers - The Heads of Financial Control Unit within the JTS and Intermediate Body have been designated as Controllers in accordance with Regulation. The Controllers will, upon receipt of the claim and satisfactorily completed administrative checklist from the Claim Verification Teams together with confirmation of project performance from the Programme Support Units, verify the legality and regularity of the claim and forward a payment request to the Payments Section within the Certifying Authority.

The Certifying Authority – Upon receipt of a verified claim from the Controllers, and having satisfied itself that the relevant checks, controls and authorisations have been undertaken and provided by the Controllers, the

Certifying Authority Payments Section will make the payment directly to the Lead Partner.

Reporting and Follow-up

First Level of Control Reports

A report will be issued to the Lead Partner containing any issues/areas of concern and action required. If the issues relate to other partners, the Lead Partner will be responsible for ensuring and verifying implementation.

The Financial Control Units will electronically record any irregularities detected through the First Level of Control processes. These irregularities will be processed in accordance with the procedures outlined below.

The findings of all the First Level of Control checks will be held primarily by the Financial Control Units but will also be copied to the Managing Authority as part of the annual review and to the Certifying Authority to assist in the certification of the expenditure claims. These will be utilised, as appropriate, to indicate areas where further guidance/training for partners is required.

Managing Authority Annual Review

The Managing Authority has established a system of annual checks by an independent auditor to validate the implementation work of the JTS and Intermediate Body. This will include checks on first level of control in order satisfy itself that all expenditure has been accurately validated by the controller as required by Regulation. These checks will include:

- A review of the procedures and processes utilised by the JTS and Intermediate Body in relation to the implementation of the programme.
- Review of JTS and Intermediate Body schedules of actual and planned physical site visits by year and determination of its adequacy.
- Sample checks of desk verification carried out by the Financial Control Units.
- Accompanying the Financial Control Units on at least one visit per year to Lead Partner or partner.
- Visit a sample of lead partners per year.
- Verification checks on the use of Technical Assistance.

Summary of the Claim Processing System

Step 1: Individual Project Partners will incur expenditure and submit original invoices to the Lead Partner for re-imburement in a manner agreed with the Lead Partner.

Step 2: The Lead Partner will check and ensure the eligibility of the activity at the individual project level during the lifetime of the operation. The Lead Partner will be responsible for collating expenditure from all individual partners and preparing combined claims for submission to the Claims Verification Team of the Financial Control Units having ensured the eligibility and regularity of expenditure. The Lead Partner will reimburse individual partners.

Step 3: The Claims Verification Teams will acknowledge receipt of the claim and will begin the administrative and financial check of the claim. This check will include a 100% verification check on administrative and financial elements. Physical checks will take place on a sampling basis throughout the lifetime of the programme.

Step 4: Upon completion of the verification check, the Claims Verification Teams will generate a payment request form. This payment request form will be submitted to the appropriate Head of Financial Control Unit (Controller) for final check and sign off.

Step 5: Upon final sign off the Claims Verification Team will forward the payment request form to the Certifying Authority Payments Section.

Step 6: The Certifying Authority Payments Section will ensure sufficient cash flow is maintained throughout the lifetime of the programme, process the payment requests according to CAP7 procedure for making payments to lead partners and make payment directly to the Lead Partners bank account having satisfied itself that the relevant checks, controls and authorisations have been undertaken and provided by the relevant Controllers.

Eligibility of Expenditure

Project expenditure is eligible for support under the PEACE III Programme where it has actually been paid between the date 1st January 2007 and 31st

December 2013 and it complies with national rules defining the type of expenditure which may be claimed.

In general, expenditure is eligible where it meets the provisions established in the Letter of Offer and Standard Conditions of Grant. Expenditure claimed must be actually incurred and paid and the claim supported by original documentary evidence. This will vary according to the type of expenditure. Staff related expenditure should be supported by, for example, P11 documents, contract of employment or paperwork supporting travel and subsistence claims. Expenditure on goods and services must be supported by original invoices and evidence of proper procurement practice (advertising/invitations, specification, quotes/tenders, scoring and contact award decision). Expenditure must be incurred solely for the purpose of the project, provide value for money and it must be real in that it is capable of verification.

It is the responsibility of the Lead Partner and project partners to ensure that expenditure claimed is eligible. The Managing Authority produced extensive, though not exhaustive, guidance on the types of expenditure which is eligible and also provides guidance on expenditure which is explicitly ineligible (Guidance Note G6 on Eligibility of Expenditure). The purpose of these rules is to distinguish clearly between eligible and ineligible costs, and to ensure that only eligible activity / expenditure features in applications and, upon approval of a project, in claims.

Where there is doubt as to eligibility guidance must be sought from the JTS and Intermediate Body.

5.3 Certifying Authority Checks and Payment Applications to the Commission

In order to initiate a claim for payment by the Commission the Certifying Authority will prepare a Statement of Expenditure and Application for Payment as required by European Community Regulation. This is drawn up directly from records on Systems 2007 and is made up of a series of individual certificates of expenditure from the Joint Technical Secretariat and Intermediate Body (B1 certificates). Each B1 certificate details expenditure records at final beneficiary level which have previously undergone First Level

Control as well as a certification checklist to be completed and signed off by the Controller.

In order to be satisfied that the eligibility and regularity of all expenditure recorded in the Statement of Expenditure the Certifying Authority will undertake two types of certification.

5.3.1 Desk Based Checking

Desk based checking comprises of two key elements:

Numerical and administrative certification

In preparing a claim the Certifying Authority prepares individual certificates of expenditure by year and theme. The Certifying Authority will ensure that all B1 certificates of expenditure have been signed and dated by each Controller. In signing the Controller is confirming that:

- Operations are progressing in accordance with the objectives laid down in the Commission Decision for the PEACE III Programme and generally with the provisions of EC regulations.
- Expenditure declared complies with the applicable Community and National rules and has been paid in respect of properly selected operations.
- The statement of expenditure is accurate, results from reliable accounting systems and is based on verifiable supporting documents.
- The underlying transactions are lawful and comply with the rules and the procedures have been followed satisfactorily.
- The statement of expenditure and the payment application take account, where applicable, of any amounts recovered and of any interest received, and of revenue accruing from operations.
- The breakdown of the underlying operation is recorded electronically and is available to the relevant authorities on request.
- The overall intensity of verifications, both desk based and on the spot is sufficient to give reasonable assurance of the legality and regularity of the expenditure co-financed under the programme.
- Any irregularities have been excluded from the expenditure claim and have been reported to the Certifying Authority.

The Certifying Authority will consolidate all individual B1 certificates into an overall Statement of Expenditure and Payment Application and ensure all records reconcile. The process outlined above in conjunction with the consolidated web based Systems 2007 which captures all expenditure records at the lowest level will ensure the numerical accuracy of the claim.

Review of all audit and control activity on the programme

All audit reports will be copied electronically to the Certifying Authority by any body in the programme carrying out any audit or review activity. In satisfying itself as to the eligibility and regularity of payments included in the final statement of expenditure the Certifying Authority will carry out a desk review of all audit reports issued on the programme and all processes and procedures implemented by the Managing Authority and Joint Technical Secretariat/Intermediate Body.

In completing this process the Certifying Authority will consider reports prepared by the following bodies:

- The European Court of Auditors;
- The European Commission;
- Member States;
- The programme bodies (Audit Authority, Certifying Authority, Managing Authority, JTS); and
- Lead Partner.

The detailed review of each audit report will include identification of systematic errors, identification of irregularities found (ensuring that these have been reported), a check on the adequacy of the follow up action taken by the body responsible:

- Identification of systemic errors.
- Identification of irregularities found and ensuring these have been reported.
- Adequacy of follow up action by body responsible.

5.3.2 On site visits

In the event that the desk check has demonstrated a weakness in procedures, the Certifying Authority will perform an on-site visit to the

Managing Authority in an attempt to resolve the issue. If the weakness cannot be resolved at this level, the Certifying Authority will perform an on site visit to the JTS and Intermediate Body and on to Lead Partner and partner level until the procedural issue can be identified and resolved.

5.3.3 Submission of Payment Applications to the Commission

On completion of the checks described above the Statement of Expenditure and Application for Payment is signed and dated in hard copy. This information is input to the European Commission Online Structural Funds database (SFC 2007) in the form of an interim payment application. This is electronically signed by the Certifying Authority Director submitted to the EU Commission.

5.4 Cash Management

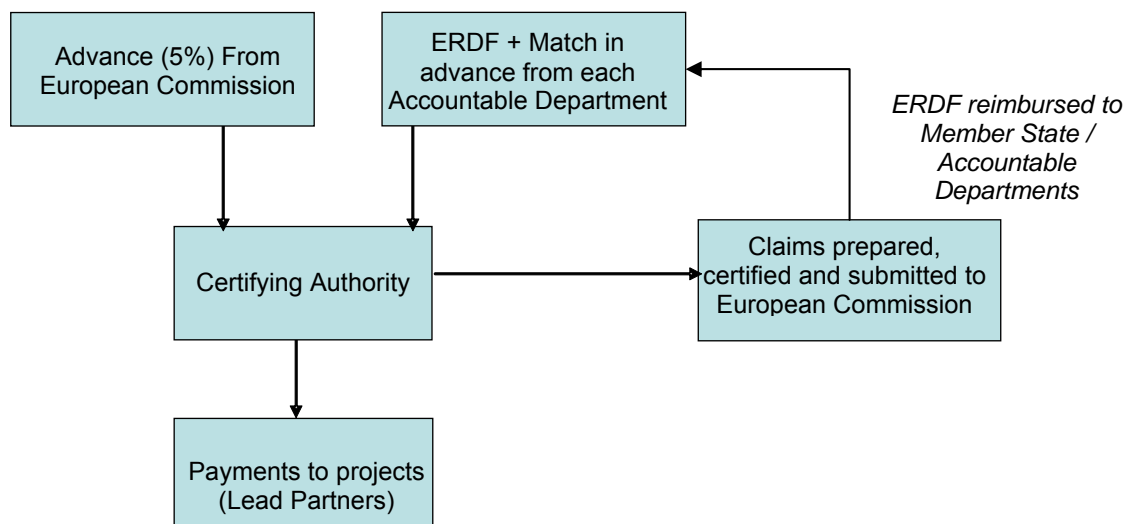
In order to ensure sufficient cash is available to make payments the Certifying Authority receives funding from the Commission and Member States. The cash arrangements are illustrated in Figure 5 below.

The Accountable Department, representing the government department in each Member State, provides both ERDF and match funding to the Certifying Authority following requests for funding submitted each quarter in advance to each Accountable Department. The Payments Section makes payments to the Lead Partner in advance of submission of a claim to the European Commission following the completion of the first level of control process described above.

The Certifying Authority subsequently submit interim claims for reimbursement to the EU Commission at least three times per year. On receipt of the ERDF payment from the Commission the Certifying Authority re-pays each Member State and Accountable department.

These procedures comply with the governance arrangements established between SEUPB and the Accountable Department under Terms and Conditions of grant signed by both bodies.

Figure 6: Certifying Authority Cash Flow



5.5 Irregularity Reporting and Processing

The definition of an ‘irregularity’ in Structural Funds terms includes any administrative or financial mismanagement which has an impact on the EU budget that comes about either by act or by omission whether or not there is an actual loss of funds.

In applying this to PEACE III, therefore, an irregularity will be considered to be any breach of the conditions of grant set out in the terms of the Letter of Offer. Such breaches will include action on the part of those receiving grant or any relevant failure to act.

While an irregularity may be identified at any stage and by any body, the JTS and Intermediate Body will ensure that identified irregularities are recorded on the Systems 2007 database in enough detail to allow them to check whether there is any evidence of a breakdown of systems or a need to take action to correct emerging systemic weaknesses in the programme management and control arrangements. The amount of the irregularity will be specified in Euro. If the JTS or Intermediate Body has a suspicion of fraud, theft or corruption then the details will be reported to the Certifying Authority immediately.

The JTS or Intermediate Body will investigate and resolve any irregularities working towards achievement of the Commission target that all irregularities should be cleared within six months of identification. Grant will be recovered where applicable and steps taken to ensure the irregularity is not repeated.

Details of follow-up and clearance action will be included in quarterly reports to the Certifying Authority.

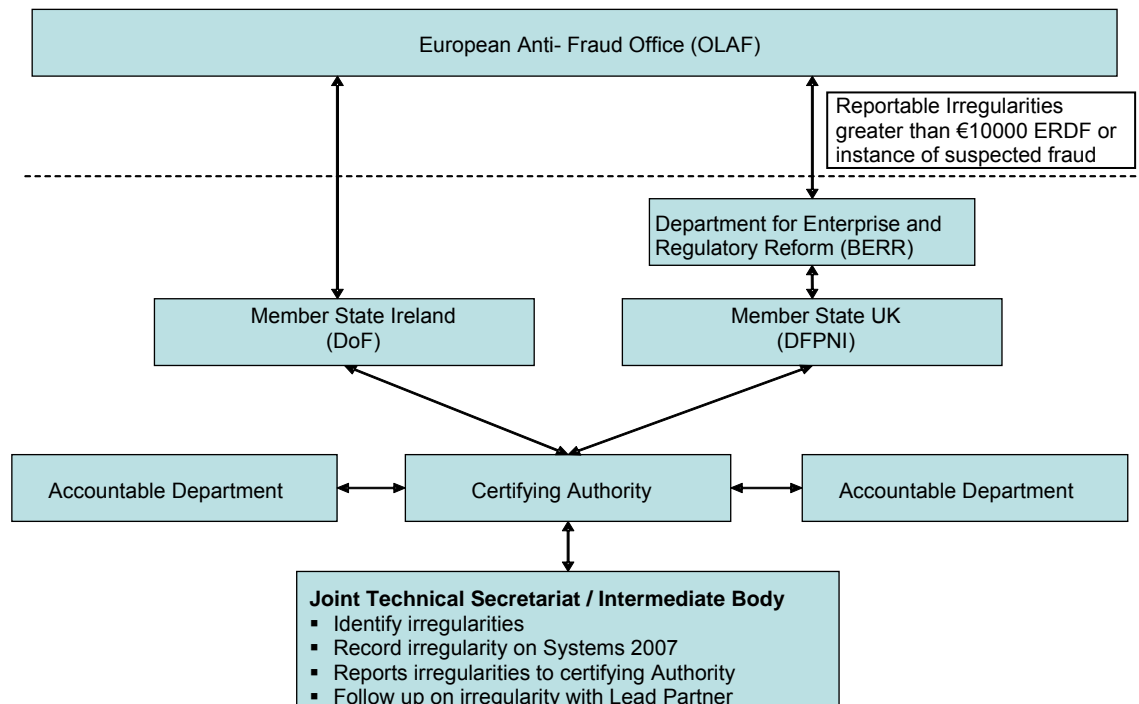
Where an irregularity involves an incorrect payment of grant, action will be taken to recover any overpayment. If recovery proves to be impossible, or the JTS or Intermediate Body wishes to recover less than the full amount due, the matter must be referred to the Certifying Authority and the Accountable Department, for consideration for write off and removal from the declared expenditure to the European Commission.

In any case, the amount of all recoveries will be recorded by JTS or Intermediate Body on the Systems 2007 database in a format that will facilitate the extraction of data related to the recovery of funds in order to report to the European Commission in the required format which will also identify the nature of the recovery:

- refund / recovery of an unvouched advance;
- refund / recovery of an irregularity;
- refund / recovery of any other type of overpayment;
- off-set recovery of against a future claim; and
- cancellation of potential irregularities.

In all instances, a clear formalised audit trail will be maintained detailing action taken in trying to resolve any irregularity, including recovery and write-off action.

Figure 7: Procedure for Processing and Reporting Irregularities.



The Certifying Authority will extract details of all reportable irregularities at the end of each month and forward to the Department of Finance in Northern Ireland / Scottish Government (as appropriate) representing the UK Member State and Department of Finance in Ireland for onward transmission to the European Anti-Fraud Office (OLAF) within two months of the quarter end. As irregularities will be recorded on the Systems 2007 database, up to date irregularity reports (including identification method, amount, action, recovery, closure and or cancellation) submitted electronically to the European Commission as required.

5.6 Recoveries

In order to ensure the successful and timely recovery of community assistance the JTS and Intermediate Body will raise an irregularity on the appropriate project and request recovery from the Lead Partner within one month of identification. The Certifying Authority will remove the project from any claim to the Commission immediately and prior to the next claim being prepared. The lead partner will be given the opportunity to pay funds back to the programme within six months of the request being made. This process is illustrated in Figure 8.

Figure 8: Process for Recovery of Community Assistance

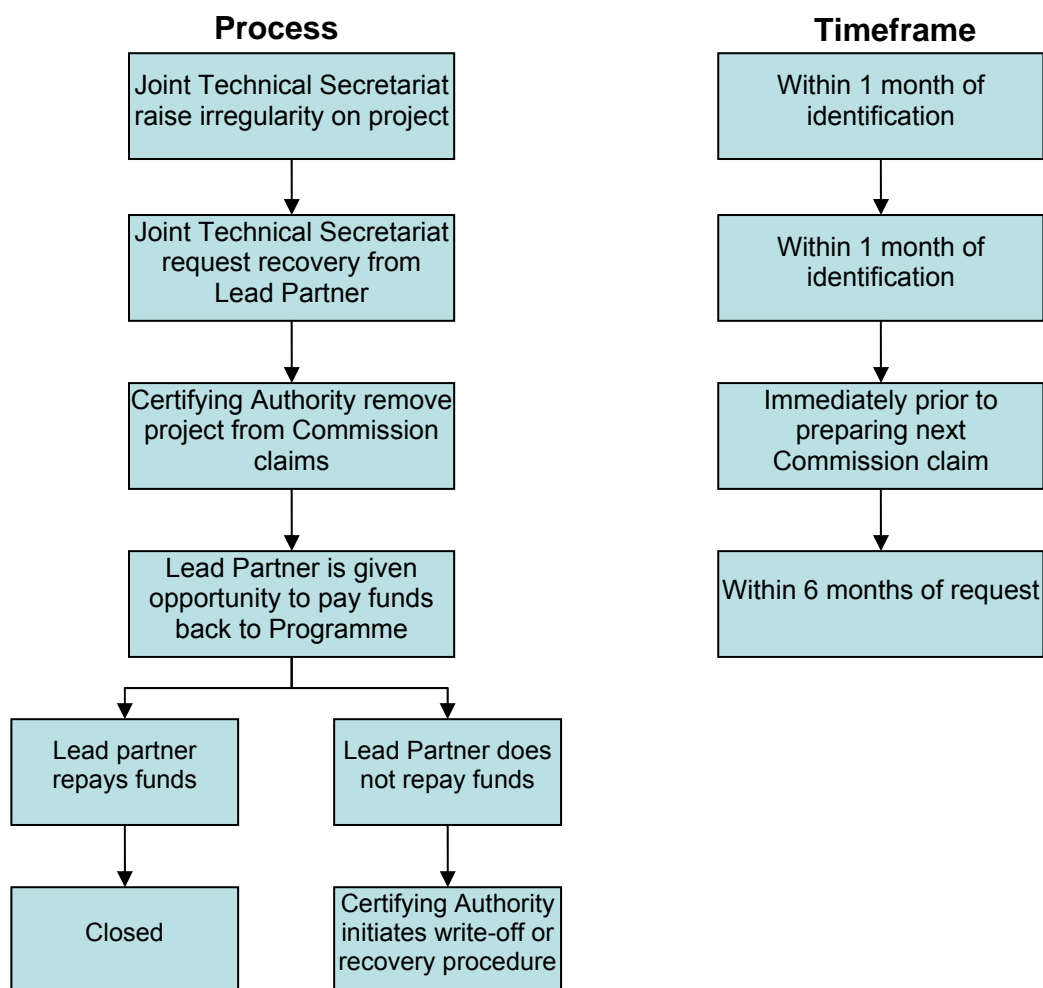


Figure 8 highlights that one of two scenarios may arise following the request for the lead partner to repay funds.

Successful recovery of monies from the Lead Partner

In the event that monies are recovered from the Lead Partner, the Joint Technical Secretariat will process a clawback transaction on Systems 2007 and return the funds to the Payments Section in the Certifying Authority.

The Certifying Authority will ensure that this is transacted correctly and a full audit trail is maintained including:

- deduction in the next payment application to the Commission; and
- recording recovery on the Central Payments System (the SUN Accounting system).

Unsuccessful Recovery of Monies from the Lead Partner

In the event that the Lead Partner cannot or will not re-pay the monies due to the Programme, the Certifying Authority notify the Accountable Department of the non-recovery recommend further action. The Accountable Department may take one of the following actions:

- the monies may be written off by the Member State;
- the Accountable Department may initiate legal action against the lead partner to recover the monies; or
- the Accountable Department may request that the European Commission write of the monies.

Procedures for the recording of recovery transactions

All recovery transactions are recorded on Systems 2007. Records of the nature of each irregularity are maintained and populated by the JTS and Intermediate Body. In addition to the irregularity details identified as being recorded at 5.2 above the following information will be retained:

- details of recoveries requested from Lead Partner;
- details of recoveries received from Lead Partner;
- details of recoveries pending receipt from Lead Partner;
- details of recoveries written off by Member State;
- details of recoveries written off by EU Commission; and
- details of recoveries undergoing legal action.

The Certifying Authority will ensure that the overall process is being carried out effectively by undertaking a review of all Irregularities and Recoveries and their status when certifying each Commission claim. In the event that the expenditure has already been included in a previous interim declaration, the Certifying Authority will ensure that a claw back is included in the current claim, resulting in a deduction of the amount of expenditure declared. In the event that a recovery is pending or has not yet been included in a declaration, the Certifying Authority will ensure that the ineligible transaction has been excluded from the current claim in its entirety.

6. Monitoring and Evaluation

6.1 Role of Monitoring and Evaluation

The Managing Authority has developed a Monitoring and Evaluation Plan based on European Regulations and European Commission working documents. The plan has been agreed by the Programme Monitoring Committee (PMC) and implemented by the Monitoring and Evaluation Working Group (MEWG) for the PEACE III Programme and will be revised on an annual basis.

Monitoring and evaluation are closely related concepts. Monitoring is essentially the checking of outturns against expectations. Monitoring is generally straightforward if objectives and expectations are clear. The monitoring system for the EU Programmes consists of indicators which are used by the Managing Authority to assess the performance of a Programme.

An indicator is measurement of an objective to be met, a resource mobilized, an effect obtained, a gauge of quality or a context variable. There are three types of non-financial monitoring indicators:

- **Output** indicators are a measurement of initial directly-funded activity.
- **Result** indicators are a measurement of the interim direct and immediate effects on direct beneficiaries.
- **Impact** indicators measure the longer-term effects which can either be directly linked to the action taken and the direct beneficiaries or be longer-term effects affecting the wider population.

Evaluation is an exercise that assesses the relevance, performance and success of on-going and completed programmes using information from monitoring and other sources to find out and explain the effects of programmes. Regulations identify two types of evaluation:

- **Strategic** assessing the contribution of the OP to domestic and European strategies.
- **Operational** focusing on how the programmes are delivered, if targets are met, and making recommendations to improve performance.

Evaluation of the Structural Funds can be broken down into three phases: ex-ante, on-going and ex-post evaluation. The following sections detail how the three phases of evaluation are being implemented in PEACE III.

6.2 Ex-ante evaluation

The purpose of an ex-ante evaluation is to optimise the allocation of resources and to improve the quality of programming (programme development). Ex-ante evaluators for the programme were appointed at the beginning of the planning process and worked closely with the programme development team. The ex-ante was an iterative process and the evaluators provided feedback and guidance, both informally and through written reports. The final version of the ex-ante evaluation for the PEACE III OP is available from the SEUPB website.

6.3 On-going evaluation

In the 2000-06 Programming period there was a regulatory requirement for each Programme to carry out a formal mid-term evaluation (MTE) by a specified time. Since PEACE II experienced a delayed start, the MTE was required very early in the implementation of the Programme so that the focus of the evaluation was on process rather than impact.

In the 2007-13 Programmes, there is no longer a requirement for a mid-term evaluation or mid-term evaluation update. They have been replaced with on-going evaluation, a more pragmatic needs-based evaluation. This is defined by the Commission as a process that takes the form of a series of evaluation exercises. Its purpose is to track the implementation and delivery of the OPs on an on-going basis and highlight any changes due to external factors that may impact on programme results or targets allowing corrective action and aiding decision making.

The Commission recommends a flexible approach to evaluation stating that Member States and Managing Authorities must be proactive in identifying real or potential difficulties which could lead to evaluation. The demand may come from policy (strategic) issues or more specific operational issues.

However, alongside this flexible approach the Commission identified two specific cases when evaluation must be carried out:

- where the monitoring of operational programmes reveals a significant departure from the initial annual goals/targets set; and
- when operational programme revisions are proposed:

6.4 Proposed Evaluations of the PEACE III Programme

The Aid for Peace Approach

The experience of previous PEACE Programmes has indicated that monitoring and evaluation is not straightforward. As unique programmes they do not easily fit the approach to measurement and quantification applied to conventional economic and social development programmes. These difficulties were recognised in recent evaluations such as the Mid-Term Update Evaluation for PEACE II and the Ex-Ante Evaluation for PEACE III. It was recognized that further steps should be taken to develop an appropriate monitoring and evaluation approach.

In an effort to inform this issue, the Monitoring and Evaluation Working Group of the PEACE II Monitoring Committee commissioned PriceWaterhouseCoopers to conduct research into development of a monitoring and evaluation framework for peace building. The research identified five approaches potentially applicable to the Northern Ireland/Ireland context. However, the principal recommendation was that the Aid for Peace Approach to evaluation should be adopted. This technique is known as third generation Peace and Conflict Impact Assessment (PCIA).

PCIA is a methodology first developed by Kenneth Bush in 1996. It is a means of anticipating, monitoring and evaluating the ways in which an intervention may affect or has affected the dynamics of peace or conflict in a region.

The Third Generation PCIA: Aid for Peace Approach, developed by Thania Paffenholz¹, builds on PCIA. It focuses on assessing the needs for peace building in a given country or area and then tailoring the intervention's

¹ Paffenholz, T. (2005) *Third Generation PCIA: Introducing the Aid for Peace Approach*, <http://www.berghot-handbook.net>

objectives and activities to these needs by identifying their peace building relevance and developing appropriate indicators. There are four key stages:

- Peace building needs analysis
- Peace building relevance assessment
- Conflict risk assessment
- Peace and conflict effects assessment

These stages will be applied to projects participating in the PEACE programme. Prior to the issue of a letter of offer, each lead partner of a project or operation will be taken through these four key stages of Aid for Peace by a facilitator. The Lead Partner will:

- be asked to identify their current understanding of the conflict in their area;
- identify the peace building needs the project is seeking to address;
- assess how the project is relevant to these needs;
- identify any risks for the project and evaluate the conflict and peace building effects of the project including identifying appropriate indicators.

Each operation will have a minimum of three evaluative reports – one at the initial stages of the operation, one at the mid-point of implementation and one at operation completion.

Find Out More

Further information on the Aid for Peace Approach and other methodologies considered by the researchers may be found in the PriceWaterhouseCoopers report 'A monitoring and evaluation framework for peace building (2007)'. A copy of the final report may be downloaded from: http://www.seupb.eu/pub_peace.htm

Programme Level

Although a formal mid-term evaluation is no longer required by the Commission, the Managing Authority of PEACE III are committed to conducting an evaluation of the Programme during its life-cycle timed to achieve a balance between sufficient progress to make assessment of performance valuable, while also allowing time for amendments to the Programme to be made as a result of recommendations. The Managing

Authority will take advice from the MEWG on this timing, although it would be expected that it will be late 2010/early 2011.

Evaluation of Local Peace Action Plans

The Managing Authority plan to conduct an evaluation of the Local PEACE Action Plans funded under Priority 1, Theme 1. These projects will be multi-annual plans, with the first plans covering 2007-2010. An evaluation of these projects will be carried out towards the end of 2010 to assess the overall impact of these projects, to make an assessment of continuing need for funding and whether this method of funding is the most appropriate for the second half of the Programme.

Ad Hoc Evaluation

It may be necessary to undertake ad-hoc evaluations at a programme level or priority level. The necessity for these would be dictated by a range of factors resulting from the annual review process or under-performance of a priority and would be undertaken by an independent evaluator. It is essential to retain flexibility in how and when these evaluations are undertaken. Therefore, the methodology for the ad-hoc evaluations cannot be prescriptive.

Thematic Evaluation

Thematic evaluation may cover the horizontal themes of the Programme (cross-border co-operation, equality of opportunity, sustainable development, impact on poverty and partnership) as well as vertical issues targeted by each of the priorities in respect of the over-arching programme aims.

6.5 Ex-post evaluation

The aim of the ex-post evaluation is to compare the expected objectives with those actually achieved by looking at the impact and utilisation of resources to determine the effectiveness and efficiency of the assistance. The evaluation will cover the factors which contributed to the overall success or failure of implementation and the achievements and results, including their sustainability. This evaluation must be carried out by an independent evaluator within three years of the end of the programming period. The Commission has primary responsibility for the ex-post evaluation in collaboration with the Managing Authority.

6.6 Indicators and Project Monitoring and Evaluation.

Alongside the development of the programme, work was carried out to produce a suite of indicators at priority and theme level which could be used for the on-going monitoring of the programme. The result of this work was a comprehensive list of monitoring indicators at theme level, within a priority.

The Letter of Offer process will be used to agree relevant monitoring indicators and targets with each operation. Lead Partners will be expected to provide updated information on their indicators on a six-monthly basis. This will allow an assessment to be made of how the project is progressing towards targets and highlight any particular areas of concern where action is required.

Progress reports will be used by JTS and Intermediate Body to ensure that project budgets and activities are in line with the work plan thus ensuring the project is on track. Project indicators are the main tool for monitoring project progress. Monitoring of individual projects will take place at various levels including the Managing Authority, JTS and Intermediate Body and Lead Partner level.

Managing Authority Monitoring

Progress reports, based on data collated from the monitoring system, will be produced for each Monitoring Committee meeting. These will describe, for each theme and priority, the progress that has been made as well as analysis of where progress is either notably good or below expectation.

Annual monitoring information will be used to complete the Annual Implementation Reports (AIRs) which must include the progress made in implementing the OP in relation to the specific, verifiable targets, using the indicators at theme level.

JTS Monitoring

The JTS and Intermediate Body Programme Support Units and Financial Control Units will monitor project progress as part of the administrative verification and on the spot checks which comprise the first level of control (described at section 5.1). This will enable JTS and Intermediate Body to verify progress according to the technical plan in the LOO and establish that

physical progress is being made in delivery of services. JTS and Intermediate Body will provide Lead Partners with a template to report on progress in terms of activity and financial progress.

Lead Partner Monitoring

Lead partners have primary responsibility for monitoring, although other partners may be involved. The lead partner will ensure that activities are progressing to target and will submit an Activity Progress Report and a Financial Progress Report on a three monthly basis. These will track progress to target or budget and account for any variance.

Additionally, every project must be subject to evaluation on completion to review the design, implementation and results of the project and to assess the quality of the work carried out. This evaluation must be systematic and objective. The purpose of the evaluation is to provide the Managing Authority and other stakeholders with information to report on the implementation of the programme and to inform future decision making. This will be undertaken either by the lead partner (where an appropriate budget is included in the Letter of Offer) or externally.

6.7 Environmental monitoring

Sustainable development cuts across the objectives of all of the EU Structural Fund Programmes. Environmental monitoring of the Programme will identify the extent to which sustainability is mainstreamed into programme implementation.

A Strategic Environmental Assessment (SEA) of the PEACE III OP was conducted alongside the development of the Programme. The SEA highlighted the need to monitor a selected number of environmentally focussed indicators.

Within the Northern Ireland structural funds programmes the Development Path Analysis (DPA) is the main tool for helping to guide the region toward a more environmentally sustainable path of development and for monitoring the extent to which this transformation is taking place. DPA is based on an assumption that certain patterns of development, or “development paths,” are

more environmentally sustainable than others and that regions have choices about which path to pursue. The tool recognises six development paths.

- Path A: Actions that promote activities that simply meet environmental regulations.
- Path B: Actions that clean up the mess from past activities or actions that promote physical regeneration.
- Path C: Actions that put in place environmental infrastructure to reduce the negative environmental impact of development activities.
- Path D: Actions that help organisations to meet increasing environmental standards.
- Path E: Actions that improve the resource efficiency (“eco-efficiency”) of existing activities.
- Path F: Actions that support, as well as encourage, new types of activity or behaviour using fewer environmental resources, or producing less pollution, than existing activities in the area.

The objective of the tool is to help shift activity away from Path A, meeting minimum environmental requirements, and toward activity under Path F, where the activity makes a significant contribution, pursuing environmental protection at the same time as it pursues economic and social development. The paths in between are paths that mitigate the impact of existing activity in some way.

As part of the selection process, each application to PEACE III will be assigned to a development path. The budgets of the projects will then be added together to give a profile of the amount of funding committed under each path. This will be monitored on a regular basis and reported to the programme monitoring committee.

6.8 Equality Monitoring

Similarly to environment, the protection and promotion of gender equality cuts across each of the EU structural fund programmes. In addition in Northern Ireland, Section 75 of the Northern Ireland Act 1998 requires that all public authorities shall, in carrying out its functions relating to Northern Ireland, have due regard to the need to promote equality of opportunity:

- between persons of different religious belief, political opinion, racial group, age, marital status or sexual orientation;
- between men and women generally;
- between persons with a disability and persons without; and
- between persons with dependants and persons without.

Section 75 also requires public authorities to “have regard to the desirability of promoting good relations between persons of different religious belief, political opinion or racial group.” In Ireland, the Equal Status Act (2000), as amended by the Equality Act (2004), also applies.

Balanced participation by men and women, and accessibility for disabled persons, are central requirements of the EU Structural Funds Regulations. Member States and the Commission are also required to take appropriate steps to prevent any discrimination based on sex, racial or ethnic origin, religion or belief, disability, age, or sexual orientation during implementation of programmes.

In order to ensure that the principle of equality of opportunity is embedded within every aspect of programme implementation, equality is one of the cross-cutting themes of PEACE III. For the impact of equality of opportunity to be assessed, monitoring data must be gathered and reported on to the Programme Monitoring Committees.

Where projects clearly have individual participants, monitoring data will be collected using a short, anonymous questionnaire designed to reflect Equality Commission best practice. The questionnaires will be returned in a Freepost envelope to the Northern Ireland Statistics and Research Agency (NISRA), who will analyse the returns.

However, identifiable participants may be less clear for projects that aim to benefit a larger population on an ongoing basis, e.g. infrastructure projects may benefit large numbers of people who cannot be meaningfully surveyed. In such instances, the Managing Authority, in conjunction with NISRA, will provide advice on how an assessment of equality of opportunity can be made.

6.9 Quality

Assessing the quality of monitoring and evaluation is an integral and fundamental part of this process. Systems or evaluations that do not meet minimum quality standards could mislead decision-makers and programme managers. However, to assess evaluation quality is a complex and difficult process. The evaluations performed in the context of socio-economic development programmes and policies are too different from each other to allow the existence of few simple rules that can guarantee the quality across the board. However, the quality of the evaluation as a whole is conditional upon the presence of three distinct but interrelated aspects:

- the quality of the planning and design phase, including the commissioning of the evaluation;
- the quality of the implementation of the evaluation itself; and
- the quality of the monitoring system and of the available data.

The following table presents both quality control and quality assurance criteria to bear in mind when carrying out evaluation.

Find Out More

Further detail on quality control and quality assurance criteria which will be applied in evaluating PEACE III may be obtained from EVALSED (the online and interactive resource for the evaluation of socio-economic development). This is published on the Internet at: www.evaled.com

Use of an Evaluation Steering Group (ESG) is an important part of the evaluation process. The principle role of the ESG is to ensure a high quality and useful evaluation. This will involve facilitating the work of the evaluators exerting influence on inclusion of evidence or conclusions drawn. Evaluation Steering Groups will be established for all major evaluations carried out under this plan. Membership for these steering groups will be drawn from the programme's Monitoring and Evaluation Working Group.

6.10 Dissemination

All major evaluation reports at programme/priority level or thematic evaluations will be presented to the Monitoring Committee. These

presentations will be accompanied by a response from the Managing Authority on each recommendation presented within the report, detailing whether the recommendation has been accepted and how it is being taken forward. The Monitoring Committee may request that the Managing Authority will provide further updates on these recommendations.

In the interest of transparency and in order to stimulate public debate on evaluation findings, all evaluation reports will be published. This will involve broader circulation of evaluation documents and also examples of good practice. The most effective method for this is to use the SEUPB website supplemented with presentations. This aims to promote interest in evaluations and strengthen credibility. Information sharing will be particularly useful when undertaking thematic evaluations.

7. Information and Publicity

The European Commission has identified a need to take action to ensure as many European Citizens as possible know about the assistance of the European Union. Consequently, European Regulations for the 2007-2013 programme period establish extensive publicity requirements for the Managing Authority and Lead Partners.

7.1 Managing Authority Obligations

The Managing Authority must submit a Communication Plan for the programme. The Communication Plan for INTERREG IVA has been developed to apply jointly with the PEACE III Programme. The plan details all information, publicity and evaluation measures which are planned for the programme period. These measures will be undertaken by the SEUPB Communications Team.

The Communications Team will organise and manage a Communication Network to provide guidance and support to Lead Partners. The team will, with support from all directorates, organise and participate in information and publicity workshops and roadshows. The team will verify and advise on information measures undertaken by programme stakeholders and maintain a log of all media enquiries and the responses provided. Finally, the Communications Team will assess the compliance of the communication plans and budgets of all applications for funding.

7.2 Lead Partner Obligations

The Communications Plan establishes a number of responsibilities for Lead Partners. Lead Partners must identify at least one member of staff with responsibility for all publicity and information activities (the Communications Lead). The Communications Lead must attend all Communication Network meetings held by the SEUPB. Additionally, the lead partner must ensure that any document includes a statement to the effect that the operational programme was co-financed by the ERDF as required by Regulation.

The Lead Partner must ensure that press releases are issued by each project on at least three separate occasions over the life of the project. Further, at

least one regularly updated webpage must be developed for each project/operation, ideally this should be hosted on the website of the Lead Partner. Websites/pages must include the correct use of logos as stipulated by the Managing Authority (SEUPB) and there must also be a link to the SEUPB website on these pages (www.seupb.eu).

The Lead Partner must arrange proportionate and appropriate media events or publicity opportunities to mark both the commencement and closure of all projects/operations and distribute a newsletter or e-zine with updates of the progress of projects and key events at least twice a year to identified stakeholders. Further, the Lead Partner must use appropriate publicity and information measures to ensure that those taking part in the operation are aware of the ERDF funding received.

Following a stakeholder analysis the Communications Lead must submit to the SEUPB a report on the range of measures to be undertaken to communicate with all identified stakeholders and target groups. Communications Leads must submit to the SEUPB on a bi-annual basis a report which demonstrates and evaluates all publicity and information undertaken.

Any infrastructure or construction project with total contributions from ERDF exceeding €500,000 must erect a billboard during the implementation of the project. Any project with total ERDF contributions exceeding €500,000 and involving infrastructure, construction or the purchase of a physical object must also erect a permanent explanatory plaque within six months of completion of the project. The requirements in relation to both the billboard and plaque are available from the SEUPB Information and Publicity Guide and the Information and Publicity Toolkit. Lead Partner Communication Leads can download these from the Member Login section of the SEUPB website: www.seupb.eu.

The SEUPB information and Publicity Guide also provides guidance on how and where lead partners must ensure EU logos are displayed. However; two general rules may be applied:

- European Union recognition must always have equal prominence to all other recognition it features near.

- If European Union funds have been used, include the ERDF reference. This will apply to all documents including invitations, web-pages, press adverts, promotional items or materials, plaques, publications, press releases etc (this list is not exhaustive).

It is essential that Lead Partners give sufficient attention to information, publicity and communications. In the event that a Lead Partner is unsure how to proceed they must contact the SEUPB Communications Team. Lead Partners are expected to give the SEUPB Communications Team a sufficient lead time to respond to queries and must give adequate notice of any events they may be planning.

Find Out More

Programme logos may be downloaded from:

http://www.seupb.eu/media_newlogos.htm

The SEUPB Communications Team can be contacted on:

communications@seupb.eu

8. System 2007 – Online Management Information System

8.1 System overview

A single central computer system has been commissioned for use by the Rural Development, Competitiveness and Employment Programmes as well as the PEACE III and INTERREG IVA Programmes. The system, which has the working title Systems 2007, is used by all programme bodies to record and store data on implementation of the programmes.

Systems 2007 is an on line database system operating through two connected systems: a management information system (MIS) for use by programme authorities; and a public site for use by applicants and approved projects.

8.2 The Management Information System

All operations funded under the Operational Programme are recorded on this system. This includes the recording of all stages of the application / project life-cycle and all transactions associated with approved projects. The system allows programme-level administrators to control access to the system and to establish user profiles appropriate to the duties of officials requiring access. Users are assigned to a specific body (e.g. Certifying Authority), are granted either viewing or update access and a hierarchical role (viewing access, standard user, authoriser, administrator). Members of staff requiring access to System 2007 will be issued with login details by the appropriate administrator.

The MIS system may be accessed through:

<http://mis.eugrants.org>

8.3 The Public Website

The system is accessed by applicants and project partners via a public website for the purposes of making applications and processing claims.

The public website may be accessed through:

www.eugrants.org

8.4 Implementation.

System implementation is taking place in 5 stages:

1. System maintenance and online applications;
2. Application processing and decisions;
3. Project claims, payments to projects and monitoring transactions;
4. Recording verifications, audits and irregularities;
5. Processing interim and final claims to the European Commission.

It is anticipated that the system will be fully implemented by 31st December 2008.

Find Out More

Further information on Systems 2007 may be obtained from the systems manual. This manual is be updated as the final implementation of the programme reaches its conclusion, and subsequently as the system is reviewed and updated.

The most up to date version of the manual may be downloaded from the PEACE publications section of the SEUPB website:
http://www.seupb.eu/pub_PIII.html

9. Guidance Notes

The Member States and Managing Authority within SEUPB have issued a number of Guidance Notes in relation to the programme. These Guidance Notes are aimed primarily at the Intermediate Bodies in order to ensure that the programme is implemented in line with EU relations and Member State rules. The following Guidance has been issued to date.

Member State Guidance (UK)

Department of Finance and Personnel (Northern Ireland)

Department of Finance and Personnel have issued procedures for the management of public funds entitled 'Managing Public Money Northern Ireland'. These are available from:

<http://www.aasdni.gov.uk/frab/browse.asp?branch=1&category=43&maxres=20&orderby=3&start=0>

The Northern Ireland Practical Guide to the Green Book (2003)

Northern Ireland EU Structural Funds Guidance Note 1 Information and Publicity (February 2007)

Northern Ireland EU Structural Funds Guidance Note 3 Economic Appraisals (February 2007)

Northern Ireland EU Structural Funds Guidance Note 4 on Treatment of Irregularities (April 2008)

Northern Ireland EU Structural Funds Guidance Note 5 Eligibility of Expenditure Rules (May 2007)

Northern Ireland EU Structural Funds Guidance Note 7 State Aid (March 2007)

Northern Ireland EU Structural Funds Guidance Note 9 Equality of Opportunity (June 2007)

Northern Ireland EU Structural Funds Guidance Note 11 on Appeal/Review Process (April 2008)

Northern Ireland EU Structural Funds Guidance Note 12 on Development Path Analysis (April 2008)

DFP Finance Bulletin No. 1/06 Engagement of External Consultants - Departmental Procedures

Member State Guidance (Ireland)

Circular 12 of 2008 – National Eligibility Rules

Circular 16 of 2008 – Financial Management and Control Procedures

Department of Finance Public Financial Procedures

These procedures are located at:

<http://www.finance.gov.ie/ViewDoc.asp?fn=/documents/PublicFinancialProcedures/default.htm&CatID=15&m=f>

National Strategic Reference Framework for Ireland - EU Regional Policy 2007-2013 (available from

<http://www.finance.gov.ie/documents/publications/other/NSRF0713.pdf>)

In addition the Managing Authority has issued the following Guidance in relation to the Programme:

Managing Authority Guidance

The Managing Authority has issued the following Guidance in relation to the Programme in order to be complementary to the Guidance already issued by the Member States. This Guidance is more programme specific and requires both Member States approval prior to issuing:

G1 Guidance on Project Selection	(December 2007)
G2 Guidance on Review Procedures	(January 2008)
G3 Guidance on Fraud	(October 2008)
G4 Guidance on Procurement and Tendering	(July 2008)
G5 Guidance on Information and Publicity	(July 2008)

Further Guidance has been written and is currently awaiting Member State approval:

G6 Guidance on Eligibility of Expenditure	(Version 1)
G7 Guidance on Payments	(Version 1)
G8 Guidance on the Exchange Rate Usage	(Version 1)
G9 Guidance on Monitoring of Expenditure Outside the Eligible Area	(Version 1)
G10 Guidance on First Level of Control	(Version 1)
G11 Guidance on the Pre Contract Check	(Version 1)

Annex 1

Priority 1, Theme 1 - Local Peace Action Plan Contact Details

Cluster Name	Lead Partner	Contact	Councils
Belfast City Council Peace III Partnership	Belfast City Council	Hazel Francey Good Relations Manager FranceyH@belfastcity.gov.uk Tel: 90320202 Ext 6020 DDI: 90270330	<ul style="list-style-type: none"> • Belfast City Council
Interim North West Peace III Partnership	Derry City Council	Rosalind Young Oonagh McGillion Oonagh.mcgillion@derry.gov.uk Tel: 71308466	<ul style="list-style-type: none"> • Derry City Council • Omagh District Council • Strabane District Council
North Down Peace III Partnership	North Down Borough Council	Jan Nixey Projects Officer Jan.nixey@northdown.gov.uk Tel: 91278028	<ul style="list-style-type: none"> • North Down Borough Council • Down District Council • Ards Borough Council
Lisburn/ Castlereagh Peace III Partnership	Lisburn City Council	Jim Rose Director of Leisure Services jim.rose@lisburn.gov.uk Tel: 92509250	<ul style="list-style-type: none"> • Lisburn City Council • Castlereagh Borough Council
Southern	Newry and Mourne District Council	Sonya Burns Good Relations Officer Sonya.burns@newryandmourne.gov.uk Tel: 30313074 Mobile: 07973225398	<ul style="list-style-type: none"> • Newry and Mourne District Council • Armagh City and District Council • Craigavon Borough Council • Banbridge District Council
Newtownabbey Peace III Partnership	Newtownabbey Borough Council	Majella McAlister Community Development Manager mmcalister@newtownabbey.gov.uk Tel: 90340000	<ul style="list-style-type: none"> • Newtownabbey Borough Council • Carrickfergus Borough Council • Antrim Borough Council
South West Peace III Partnership	Magherafelt District Council	Chris McCarney chris.mccarney@magherafelt.org Tel: 79397979	<ul style="list-style-type: none"> • Cookstown District Council • Dungannon and South Tyrone Borough Council • Fermanagh District Council • Magherafelt District Council
North East Peace III Partnership	Coleraine Borough Council	Moira Mann Moira.mann@colerainebc.gov.uk Tel: 70347044	<ul style="list-style-type: none"> • Coleraine Borough Council • Ballymoney Borough Council • Ballymena Borough Council • Larne Borough Council • Limavady Borough Council • Moyle District Council

Cluster Name	Lead Partner	Contact	Councils
County Cavan Peace III Partnership	Cavan County Council	Orla Brady Tel: 00353 49 4331799 Ext 8578 Email: orlabrady@cavancoco.ie	• Cavan County Council
County Donegal Peace III Partnership	Donegal County Council	Garry Martin Tel: 00353 74 9172347 Email: gmartin@donegalcoco.ie	• Donegal County Council
County Leitrim Peace III Partnership	Leitrim County Council	Deirdre Rooney Paul Kirkpatrick Tel: 00353 71 9620005 Ext 318 and Ext 230 Fax: 00353 71 9621982 Email: drooney@leitrimcoco.ie pkirkpatrick@leitrimcoco.ie	• Leitrim County Council
County Louth Peace III Partnership	Louth County Council	Paddy Drumgoole Tel: 00353 42 9335457 Fax: 00343 42 9334549 Email: paddy.drumgoole@louthcoco.ie	• Louth County Council
County Monaghan Peace Partnership	Monaghan County Council	Adge King aking@monaghancoco.ie Phone: 00353 47 30500 Mary Begley mbegley@monaghancoco.ie Phone: 00353 47 73726 Fax: 00353 47 82739	• Monaghan County Council
County Sligo Peace III Partnership	Sligo County Council	Dolores McDonagh Rita McNulty Tel: 00353 71 9111802 Fax: 00353 719171860 Email: dmcdon@sligococo.ie rmcnulty@sligococo.ie	• Sligo County Council

Glossary of Terms

Programme Bodies

“Audit Authority (AA)”	A public authority, independent of the Managing and Certifying Authority responsible for verifying the effective functioning of the Management and Control System for an Operational Programme.
“Certifying Authority (CA)”	The Authority established in line with EC Regulations to certify expenditure, submit claims to the Commission, receive monies from the Commission and maintain computerised accounting records.
“The Commission”	The European Commission.
“Intermediate Body (IB)”	A body in receipt of a Global Grant which is responsible for the implementation of selected operations under the responsibility of a Managing or Certifying Authority. Border Action / Community Relations Council are an Intermediate Body with the PEACE III Programme.
“Joint Technical Secretariat (JTS)”	The Programme body responsible for managing the process of project selection as well as the verification of claims submitted by projects and on the spot verifications of individual operations.
“Lead Partner”	Administrative leader of the project who is responsible for ensuring that all project activities are carried out according to the approved project application and that all Partners expenditure is certified and eligible prior to the submission of claims to JTS. The Lead Partner signs a Letter of Offer with JTS.
“Managing Authority (MA)”	The Programme body within SEUPB responsible for managing and implementing the PEACE III and INTERREG IV Operational Programme in line with EC Regulation.
“Member States (MS)”	The EU Member State governments which have jurisdiction within the eligible area of the Programme.
“Project Partner”	An organisation contributing directly to project delivery.
“Review Panel”	An independent panel constituted to implement review

procedures in order to ensure that the decisions taken and procedures followed by Steering Committees for individual applications are applied fairly and consistently.

“The Steering Committee (SC)” The body undertaking responsibility, delegated by the Monitoring Committee, for selection of projects. The body is supported by JTS and its membership drawn from nominees submitted by Monitoring Committee members.

“Working Groups” Groups comprising Monitoring Committee members and advisors which provide a source of specialist advice to the Monitoring Committee within their field of operation (environment, equality, monitoring and evaluation) and which have the capacity to commission informative research and evaluations relevant to their field of interest.

Selected Programme Terminology

“Additional/ Additionality” Operations funded by structural funds must be “additional in that they must not replace other public or equivalent structural expenditure by a Member State.

“Beneficiary” An operator, body or firm, whether public or private, responsible for initiating or initiating and implementing operations. In the context of Territorial Cooperation programmes, this means all Partners participating in a project.

“European Regional Development Fund” (ERDF) The European structural fund from which PEACE III and INTERREG IV receive funding. The fund aims to promote investment and correct the main regional imbalances within the European Union.

“Global Grant” Financial assistance paid to an Intermediate Body in agreement with the Managing Authority, the Member States and the Commission for implementation to projects which fall under selected measures.

“Iconic” A project that is outstanding on a regional basis which will be symbolic and act as a demonstration tying in with the legacy

of the Programme.

“Irregularity”	Any infringement of Community law arising from an act or omission by an economic operator (usually a project) leading to unjustified expenditure.
“Letter of Offer (LOO)”	The letter issued to a project which is successful in applying for funding. The letter details the terms and conditions of the award, accompanied by financial descriptions of the awarded grant.
“Operational Programme (OP)”	The document submitted by a Member State and adopted by the Commission setting out a development strategy with coherent priorities to be carried out with the aid of the fund.
“Priority Axis”	A Priority within the strategy of an Operational Programme comprising operations which are related and have measurable goals.
“Project” or “Operation”	Actions, and the organisation undertaking such actions, for which grant is or has been sought, offered or paid.
“Technical Assistance (TA)”	The budget allocated for administrative running costs to assist with the implementation of the Programme.

Monitoring and Evaluation Terminology

“Annual Implementation Review”	The annual report submitted to the Commission by 30 June of each year detailing progress made in implementing the Operational Programme in the previous calendar year.
“Evaluation”	An exercise assessing the relevance, performance and success of an Operational Programme. The results of the monitoring process form an integral part of the evaluation process.
“Monitoring”	Checking the progress of the Operational Programme against expectations based on targets and indicators included in the OP.
“Indicator”	The measurement of an objective to be met, a resource mobilised, an effect obtained. Non-financial indicators may

be defined as 'output', 'result' or 'impact'.

- “Output Indicator” – A measurement of initial directly funded activity (for example 10 cross-border projects supported)
- “Result Indicator” – A measure of immediate effects on direct beneficiaries (for example 1000 participants in cross-border projects)
- “Impact Indicator” – A measure of long terms effects arising from action taken, either directly linked to the action taken and the direct beneficiaries, or long-term effects affecting the wider population (for example 80% of cross-border projects still in existence after 2 years.