ESPON 2013 Programme

Programme Monitoring Support System

- Database Manual -

-September 2010-

ESPON Coordination Unit

EUROPEAN UNION
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Contents

1. Preface

In compliance with EC Regulation No 1828/2006, the ESPON 2013 Programme has developed its Programme Management Support System.

This database provides a reliable monitoring and financial reporting system which ensures the recording and storing of information for each operation under the programme, as well as the collection of all the data necessary for financial management, monitoring, verifications, audits and evaluation.

The database system is available for all Programme Authorities such as the European Commission, the Monitoring Committee, the Managing Authority, the Certifying Authority, the Audit Authority, the Group of Auditors, the Financial Controllers and the ESPON Coordination Unit.

In general, the development of the database facilitates the:

- Management and documentation of project data
- Financial management and coordination
- Project monitoring
- Data analysis
- Administration support

This manual shall support experienced and new users of the database to get an overview of the functions provided by the system and to understand how to use them[1].

September 2010,

ESPON Coordination Unit

[1] Please note that the database was optimized for Microsoft Internet Explorer.

2. General remarks

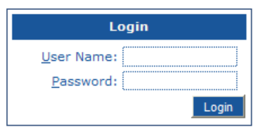
The Administration has decided the categorization of the users into groups of limited responsibility in order to prevent them from unintentional change or loss of sensitive data.

This categorization is implemented automatically with the passwords.

3. Login to the database

The access to the database can be realized only after the authorization of the ESPON Coordination Unit and the provision of a User Name and a Password to the user concerned:

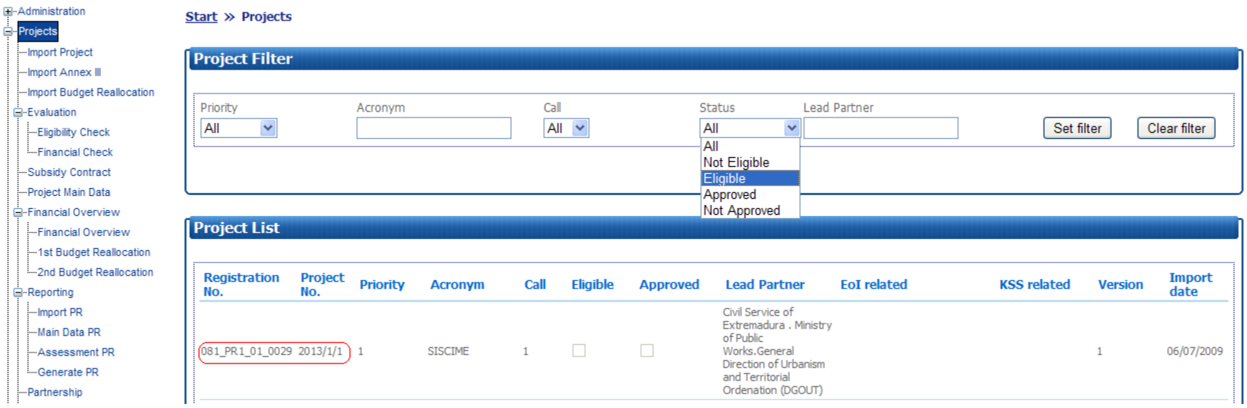
http://pmss.espon.eu



Please note that the database is closing sessions after one hour of inactivity. Users are kindly requested not to forget the save button from time to time. Any text unsaved is not taken under consideration from the database.

4. Projects

All project proposals submitted until now to the ESPON 2013 Programme can be found via this tab. The Set Filter button serves the filtration of the projects by Priority number, Acronym, Call, project Status or Lead Partner. Drop-down lists in the right of each column show your options and ease your research.



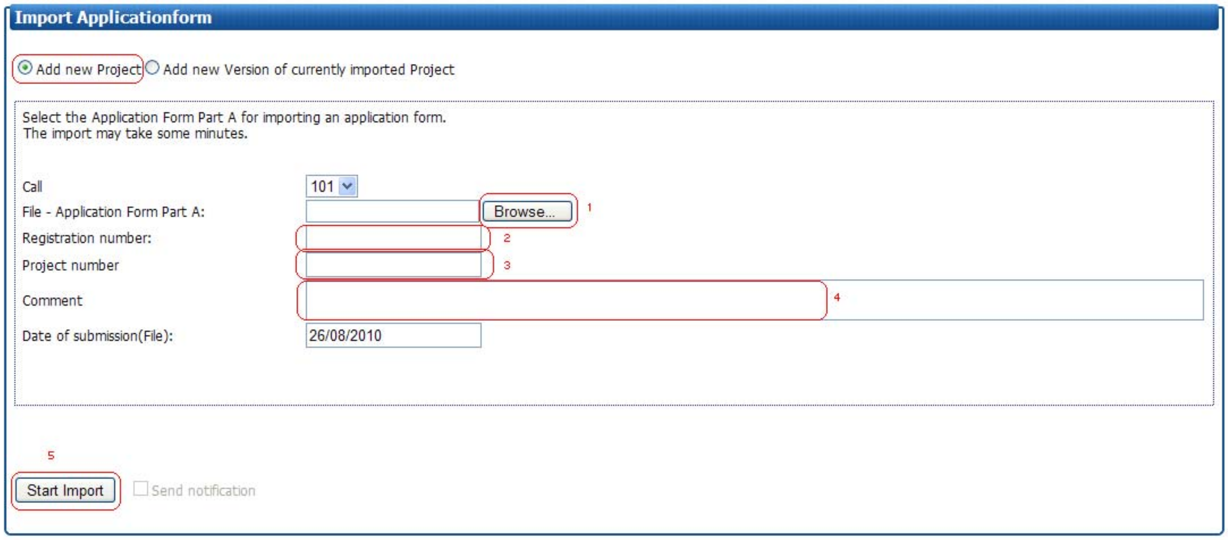
Every project is registered under a unique registration number, which presents details from the call, the priority, the theme and the unique registration number respectively, e.g. 081_PR1_01_0029. Nonetheless, sometimes, projects can be also defined by Acronyms e.g. SISCIME. The Clear Filter button will restore you to the main page with all the projects listed according to their registration number.

Double-click on a specific project and you will be transferred to the Project's Main Data, where is possible to check and manage the project through several applications, as described below.

4.1 How to Import a Project

For every project proposal there is an Application Form, which is a protected excel file that must be imported into the system in order to be included in the database and interact with other applications.

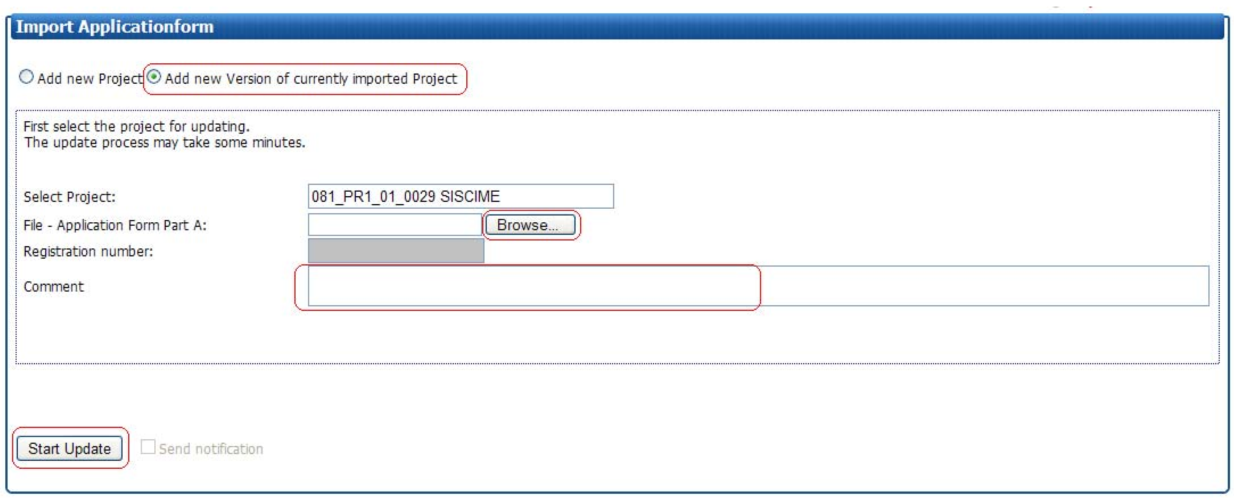
The starting point for each proposal to get registered into the system is this tab:



Add new Project button is for the new projects submitted for the very first time, while the second one is for the resubmission of the Application Form for already imported projects.

Browse the AF, fill in the project's details and press the Start Import button to finalize the import. See the steps in the example above. The registration number will be generated by the database automatically.

In case of a resubmission of the AF, the name of the project is automatically filled in and the registration number is already into the system, as shown below. After the browsing of the new file and the comments concerning the reasons for the resubmission (e.g. correctable omission), press Start Update button to update the database.

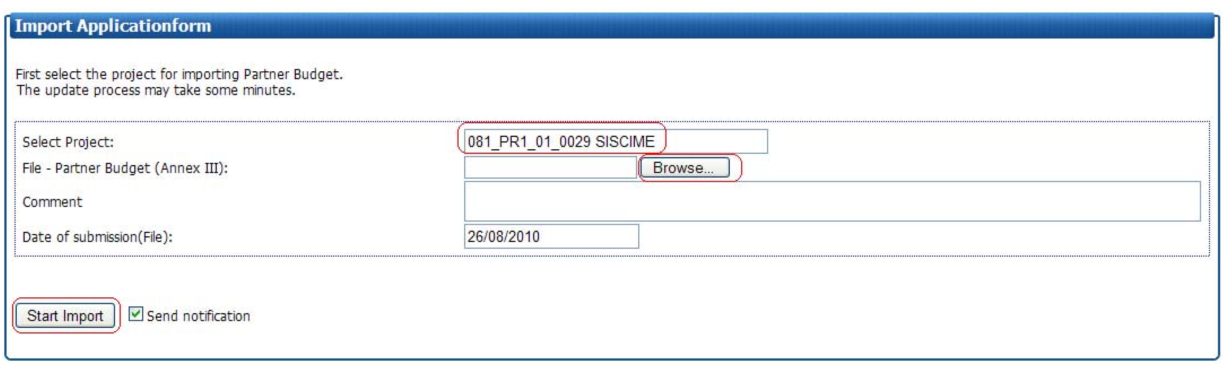


Since the AF has been imported, certain tabs of the list are filled in and/or updated automatically due to its interaction with other applications:

4.2 How to Import Annex III to the Partnership Agreement

The AF provides the general budget breakdown, however Annex III to the Partnership Agreement is the more detailed budget for each Project Partner (breakdown per budget line) and is submitted with the Inception Report - applies only for approved projects.

From the main page, double-click on the project you want to import the Annex III and then, via Import Annex III tab, you browse Annex III, while project's name is already filled in automatically. Comment and press the Start Import button in order to finalize the import.

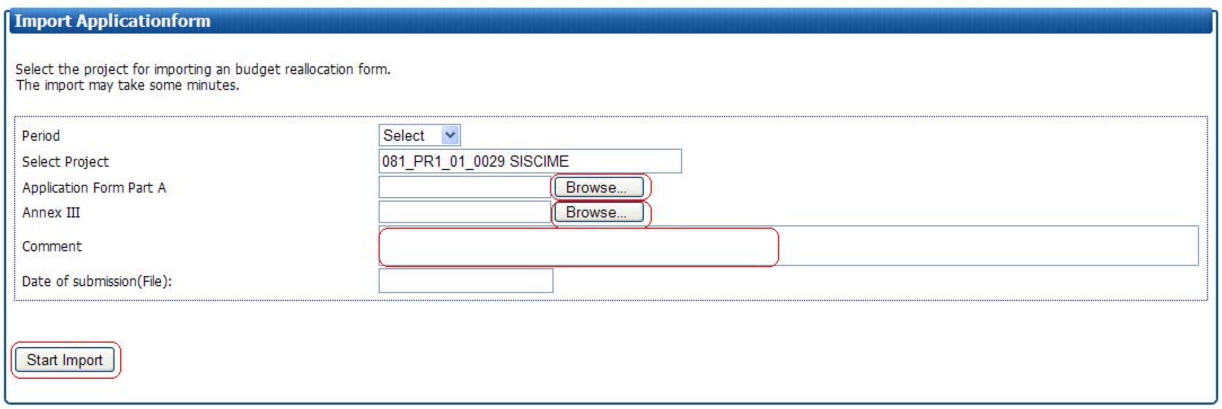


In case of budget reallocation, a new Annex III must be submitted.

4.3 What is Budget Reallocation and How to upload it

The ESPON 2013 Programme provides LPs the opportunity of budget reallocation under certain rules. In the one hand, there is the *flexibility rule*, according to which LP's are entitled to reallocate their budget limited to a maximum of 20,000 EUR, or up to 10% of the budget line/work package/partner budget respectively. These limits are calculated on the basis of the latest approved budget. Note that these changes can be implemented without prior request to MA/CU. Hence, these changes implemented within the *flexibility rules* are not included in the database.

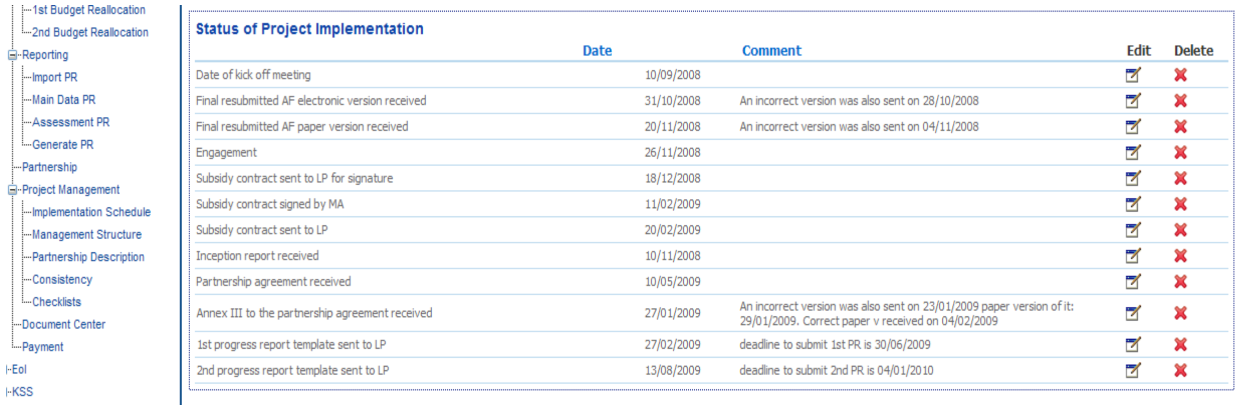
On the other hand, ESPON 2013 Programme provides also the opportunity of reallocation up to 20% of the total cost. In case of the latter reallocations, LPs are asked to submit a formal request and a new version of AF and Annex III. In order to import it in the system, select the period, then browse the AF Part A and the Annex III. Comment the reason for the resubmission and press the Start Import button to update the changes.



⚠ Please note that LPs can ask for this kind of changes only **twice** in a project's lifetime, **adding up to a maximum of 20%** of the total cost stated in the Subsidy Contract.

4.4 Project Main Data

Tab filled in automatically with the import of the AF. However, the Status of Project Implementation is updated from the financial experts continuously during the project's lifetime, as shown below:



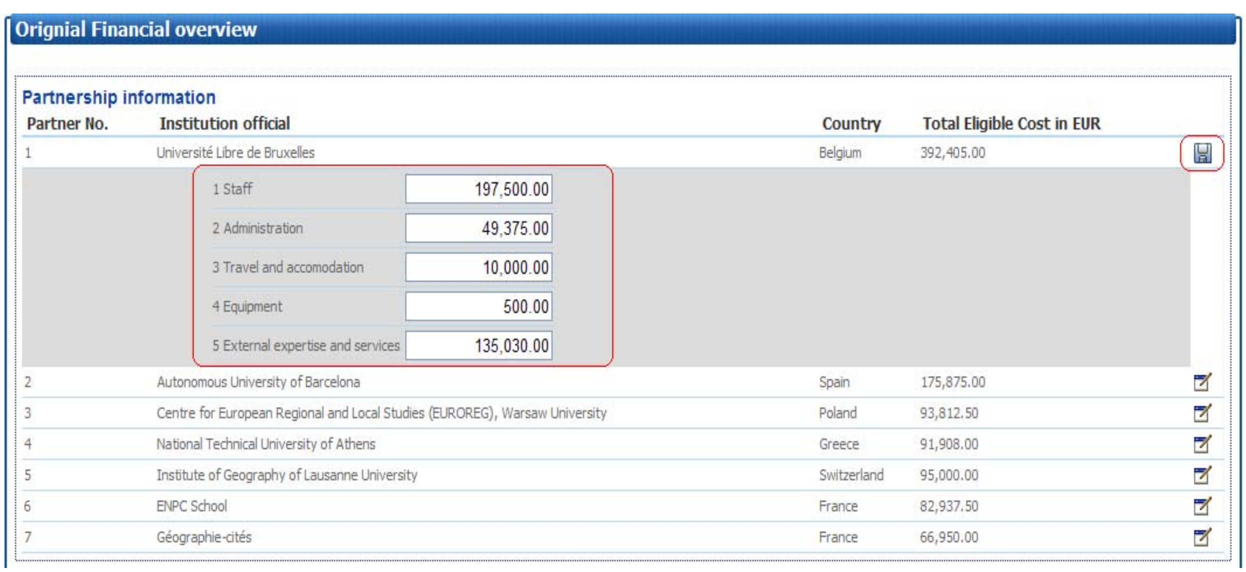
	Date	Comment	Edit	Delete
Date of kick off meeting	10/09/2008			
Final resubmitted AF electronic version received	31/10/2008	An incorrect version was also sent on 28/10/2008		
Final resubmitted AF paper version received	20/11/2008	An incorrect version was also sent on 04/11/2008		
Engagement	26/11/2008			
Subsidy contract sent to LP for signature	18/12/2008			
Subsidy contract signed by MA	11/02/2009			
Subsidy contract sent to LP	20/02/2009			
Inception report received	10/11/2008			
Partnership agreement received	10/05/2009			
Annex III to the partnership agreement received	27/01/2009	An incorrect version was also sent on 23/01/2009 paper version of it: 29/01/2009. Correct paper v received on 04/02/2009		
1st progress report template sent to LP	27/02/2009	deadline to submit 1st PR is 30/06/2009		
2nd progress report template sent to LP	13/08/2009	deadline to submit 2nd PR is 04/01/2010		

4.5 Financial Overview

4.5.1 Financial Overview

Here can be found full information regarding the partnership, the breakdown of the budget per work package, the financial contributions from the Programme and the Partner States, the specification of the budget (description of equipment and external services/expertise) per work package and the total amount. All these information are filled in automatically with the import of the AF.

In addition, with Edit button in the right you can have information for the detailed budget per budget line per partner, as shown below:



Partner No.	Institution official	Country	Total Eligible Cost in EUR
1	Université Libre de Bruxelles	Belgium	392,405.00
	1 Staff		197,500.00
	2 Administration		49,375.00
	3 Travel and accomodation		10,000.00
	4 Equipment		500.00
	5 External expertise and services		135,030.00
2	Autonomous University of Barcelona	Spain	175,875.00
3	Centre for European Regional and Local Studies (EUROREG), Warsaw University	Poland	93,812.50
4	National Technical University of Athens	Greece	91,908.00
5	Institute of Geography of Lausanne University	Switzerland	95,000.00
6	ENPC School	France	82,937.50
7	Géographie-cités	France	66,950.00

This applies only for the approved projects and after the receipt of the Inception Report and Annex III.

4.5.2 1st Budget Reallocation and - 2nd Budget Reallocation

As mentioned above, 1st and 2nd budget reallocation apply only if the LP wants to reallocate the budget up to 20% of the total amount and is implemented only after a formal request to the ESPON CU. The request will be evaluated by the CU/MA and only in case of a positive assessment the reallocation can be allowed and a new AF and an Annex III should then be resubmitted and imported to the database.

4.6 Partnership

Tab filled in automatically with the import of the AF.

4.7 Project Management

4.7.1 Implementation Schedule

Tab filled in automatically with the import of the AF.

4.7.2 Management Structure

Tab filled in automatically with the import of the AF.

4.7.3 Partnership Description

Tab filled in automatically with the import of the AF.

4.7.4 Consistency

Tab filled in automatically with the import of the AF.

4.7.5 Checklists

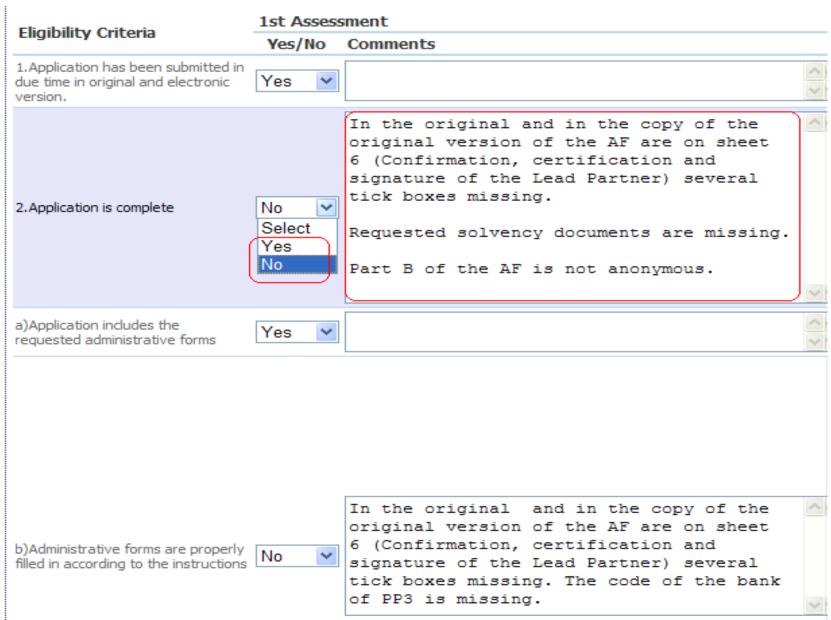
Tab filled in automatically with the import of the AF.

4.8 Evaluation of a project

4.8.1 Eligibility Check of a project

As far as project's data concerned, they are filled in automatically while the eligibility criteria follow along with the assessment procedure.

The eligibility of a project is assessed in two rounds. In the 1st assessment, the assessor checks all the criteria demanded, as well as their level of fulfillment by selecting a *yes* or *no* from the drop-down list and makes a comment - if relevant - in order to justify his/her decision.



A *no* during the 1st assessment doesn't necessarily results in the ineligibility of the project, because LPs can still provide the ESPON CU with the missing documents or the demanded clarifications within a certain deadline in the framework of Correctable omissions and before the 2nd assessment.

The 2nd assessment can take place only if all boxes of *yes/no* during the 1st assessment are completed (with either a *yes* or a *no)*. As mentioned above, a *no* during the 1st assessment doesn't necessarily result in the ineligibility of the project; however a *no* during the 2nd one disqualifies a project as ineligible.

4.The partnership involves at least the minimum number of participants given in the specific call.	Yes		Yes	
5. All partners are eligible (solvency of private partner confirmed by the respective MS). (In case of Prioirty 4 the nomination of all ECP institutions involved in the project proposal has been confimred by the MC by the time of the opening of the call)	No	Legal status and solvency has to be confirmed by MC by the 4th of January.	Yes	Confirmed by MC. Legal status of PP3 was indicated by project partner in AF as public body and was confirmed by MC as body governed by public law. Point has been accepted as the PP is public.
6. The budget limits have been respected.(not relevant for Priority 4)	Yes		Yes	

Outcome of the eligibility check	Eligible/Not elibible	Comments
	Eligible	Corrections on the SWIFT/BIC of project partner no. 4 and the IBAN of project partner no. 5 will be implemented in the resubmitted application form in case the project is selected.

With my signature I acknowledge that I have checked the above proposal according to eligibilty criteria.

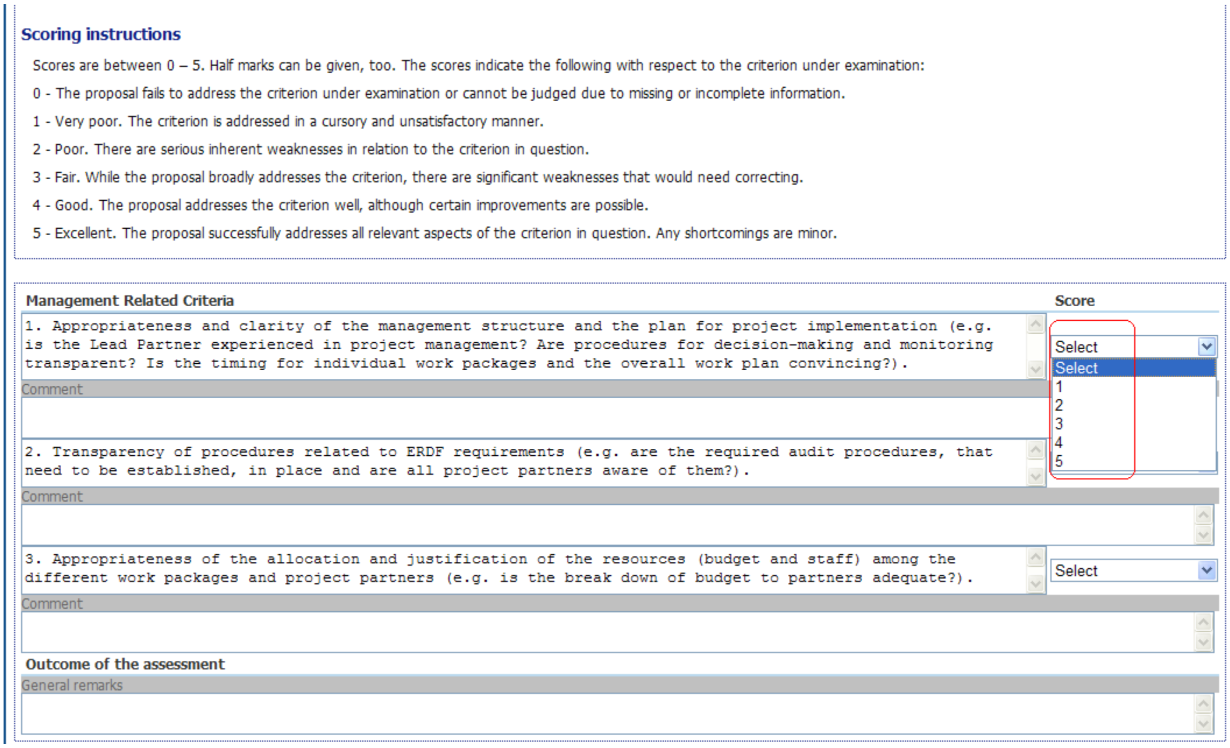
Assessor		Project expert	
Name, Surname		Name, Surname	
Signature		Signature	
Date		Date	

After the completion of the eligibility process, the documents have to be printed while the assessor and the project expert must counter-sign respectively.

4.8.2 Financial Check of a project

Project's data are filled in automatically. The evaluation scale follows, as well as the management related criteria. Management structure, Project implementation, LP's experience, timing of the project, procedures required and allocation of the budget are among the criteria that will define the financial scoring of a project. Comments are also very important in order to facilitate evaluation procedure.

Below you can see the evaluation scale and the management related criteria:


Scoring instructions

Scores are between 0 – 5. Half marks can be given, too. The scores indicate the following with respect to the criterion under examination:

0 - The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information.

1 - Very poor. The criterion is addressed in a cursory and unsatisfactory manner.

2 - Poor. There are serious inherent weaknesses in relation to the criterion in question.

3 - Fair. While the proposal broadly addresses the criterion, there are significant weaknesses that would need correcting.

4 - Good. The proposal addresses the criterion well, although certain improvements are possible.

5 - Excellent. The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.

Management Related Criteria	Score
1. Appropriateness and clarity of the management structure and the plan for project implementation (e.g. is the Lead Partner experienced in project management? Are procedures for decision-making and monitoring transparent? Is the timing for individual work packages and the overall work plan convincing?).	Select Select 1 2 3 4 5
Comment	
2. Transparency of procedures related to ERDF requirements (e.g. are the required audit procedures, that need to be established, in place and are all project partners aware of them?).	
Comment	
3. Appropriateness of the allocation and justification of the resources (budget and staff) among the different work packages and project partners (e.g. is the break down of budget to partners adequate?).	Select
Comment	

Outcome of the assessment

General remarks

At the end of the tab, a name, a signature and a date must be given from the part of ESPON CU.

Never forget the save button before the end of each assessment.

4.9 Subsidy Contract

Tab authorized only to the CU Administration.

4.10 Reporting of the Projects

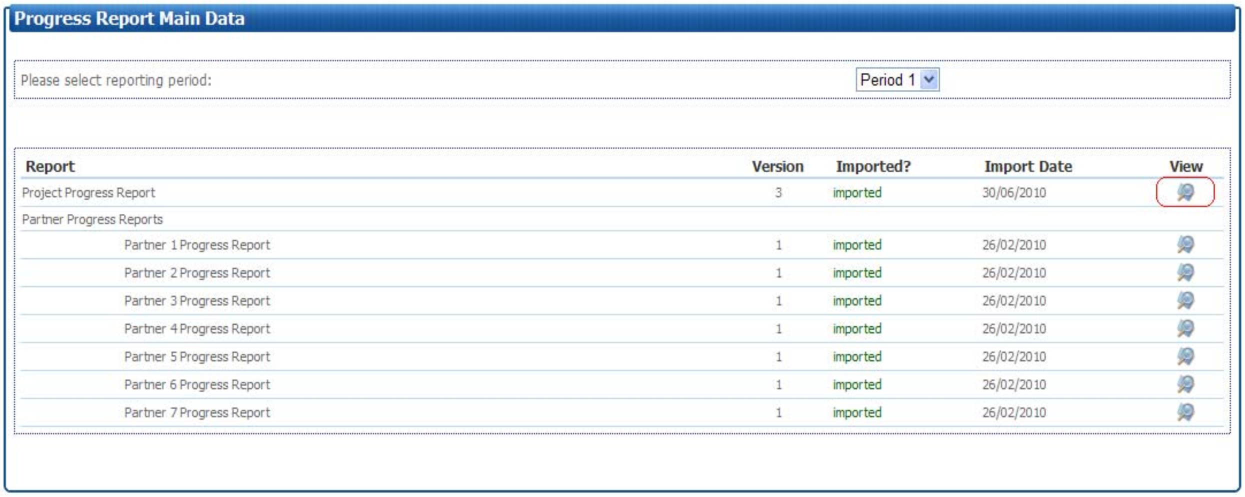
Provides an overview of the reporting functions:

4.10.1 Import PR

After receipt of a Progress Report - as a first step -, it is evaluated by a financial and a project expert via the assessment checklists. In order to import a PR in the database it must be first validated from the evaluators. Once the PR is validated via the assessment checklists, it can then be imported via this tab by just browsing the file and pressing on the Start Import button, as shown below:

4.10.2 Main Data PR

Tab filled in automatically with the import of the PR, which is also a protected excel file and interacts with certain applications in the database. Every import concerning the Project and the Partner Progress Report in the previous tab is presented here including details about the import date and the version.

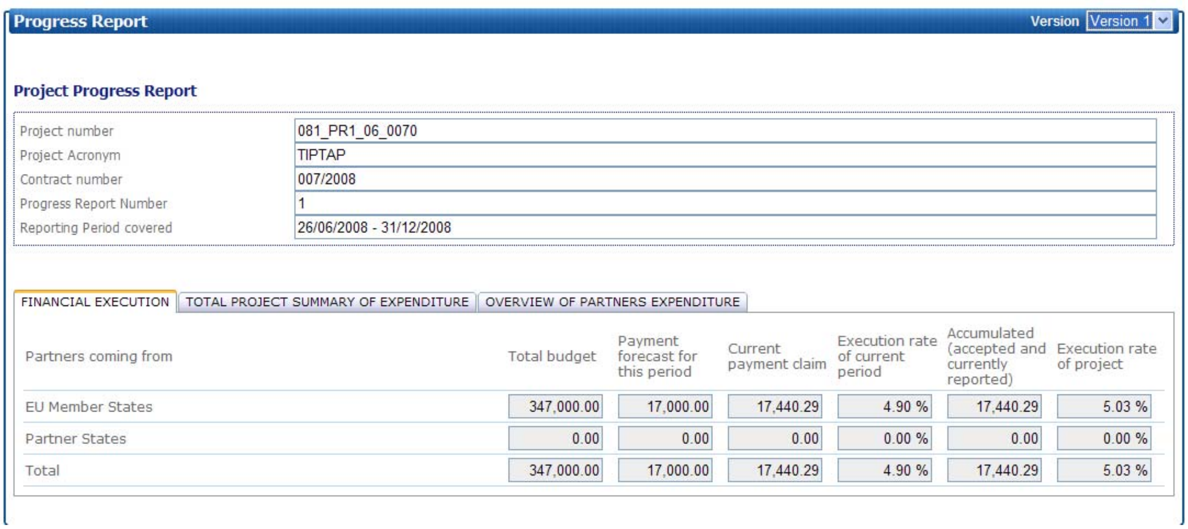


Progress Report Main Data

Please select reporting period: Period 1

Report	Version	Imported?	Import Date	View
Project Progress Report	3	imported	30/06/2010	
Partner Progress Reports				
Partner 1 Progress Report	1	imported	26/02/2010	
Partner 2 Progress Report	1	imported	26/02/2010	
Partner 3 Progress Report	1	imported	26/02/2010	
Partner 4 Progress Report	1	imported	26/02/2010	
Partner 5 Progress Report	1	imported	26/02/2010	
Partner 6 Progress Report	1	imported	26/02/2010	
Partner 7 Progress Report	1	imported	26/02/2010	

The View button is used to open the Project Progress Report and there you can find all the details concerning the progress of the project categorized into the Financial Execution, the Total Project Summary of Expenditure and the Overview of Partners Expenditure.



Progress Report Version Version 1

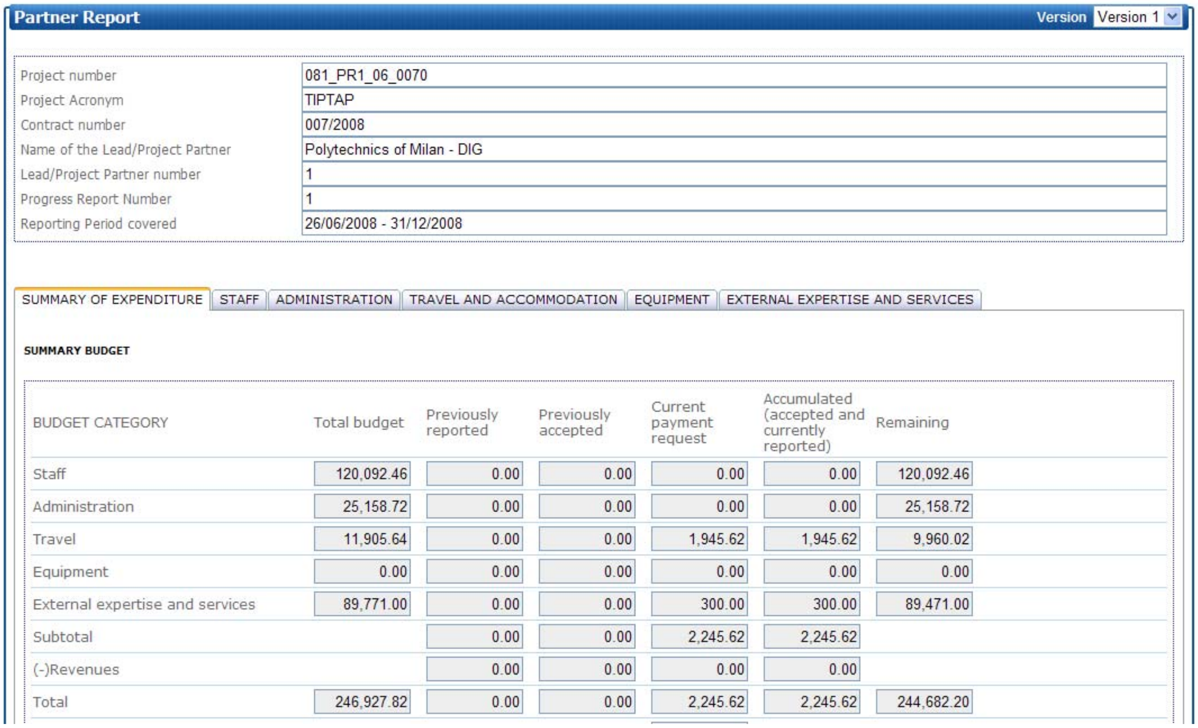
Project Progress Report

Project number	081_PR1_06_0070
Project Acronym	TIPTAP
Contract number	007/2008
Progress Report Number	1
Reporting Period covered	26/06/2008 - 31/12/2008

FINANCIAL EXECUTION | TOTAL PROJECT SUMMARY OF EXPENDITURE | OVERVIEW OF PARTNERS EXPENDITURE

Partners coming from	Total budget	Payment forecast for this period	Current payment claim	Execution rate of current period	Accumulated (accepted and currently reported)	Execution rate of project
EU Member States	347,000.00	17,000.00	17,440.29	4.90 %	17,440.29	5.03 %
Partner States	0.00	0.00	0.00	0.00 %	0.00	0.00 %
Total	347,000.00	17,000.00	17,440.29	4.90 %	17,440.29	5.03 %

Pressing the View button of a Partner Progress Report, you are then transferred to the Partner's Report as follows:



Partner Report Version: Version 1

Project number	081_PR1_06_0070
Project Acronym	TIPTAP
Contract number	007/2008
Name of the Lead/Project Partner	Polytechnics of Milan - DIG
Lead/Project Partner number	1
Progress Report Number	1
Reporting Period covered	26/06/2008 - 31/12/2008

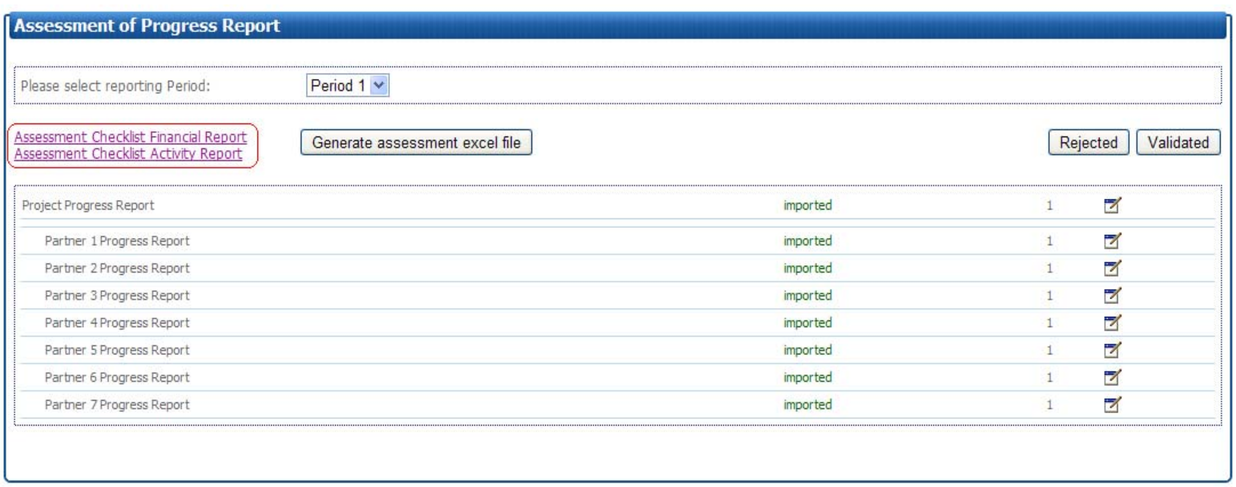
SUMMARY OF EXPENDITURE | STAFF | ADMINISTRATION | TRAVEL AND ACCOMMODATION | EQUIPMENT | EXTERNAL EXPERTISE AND SERVICES

SUMMARY BUDGET

BUDGET CATEGORY	Total budget	Previously reported	Previously accepted	Current payment request	Accumulated (accepted and currently reported)	Remaining
Staff	120,092.46	0.00	0.00	0.00	0.00	120,092.46
Administration	25,158.72	0.00	0.00	0.00	0.00	25,158.72
Travel	11,905.64	0.00	0.00	1,945.62	1,945.62	9,960.02
Equipment	0.00	0.00	0.00	0.00	0.00	0.00
External expertise and services	89,771.00	0.00	0.00	300.00	300.00	89,471.00
Subtotal		0.00	0.00	2,245.62	2,245.62	
(-)Revenues		0.00	0.00	0.00	0.00	
Total	246,927.82	0.00	0.00	2,245.62	2,245.62	244,682.20

4.10.3 Assessment PR

AS explained above, this tab is the starting point for the import of the PR. In order for a PR to be imported it must be first pre-checked from the financial and project experts and if receivable, only then it can be validated from the evaluator.



Assessment of Progress Report

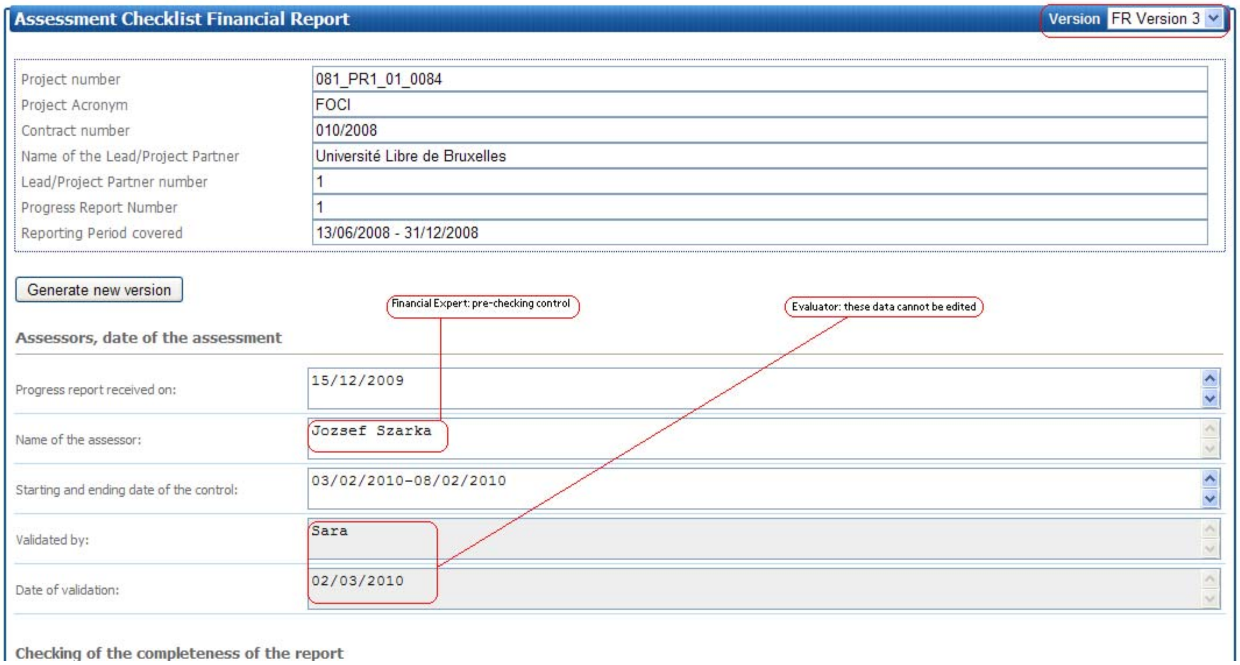
Please select reporting Period: Period 1

Assessment Checklist Financial Report
Assessment Checklist Activity Report

Generate assessment excel file | Rejected | Validated

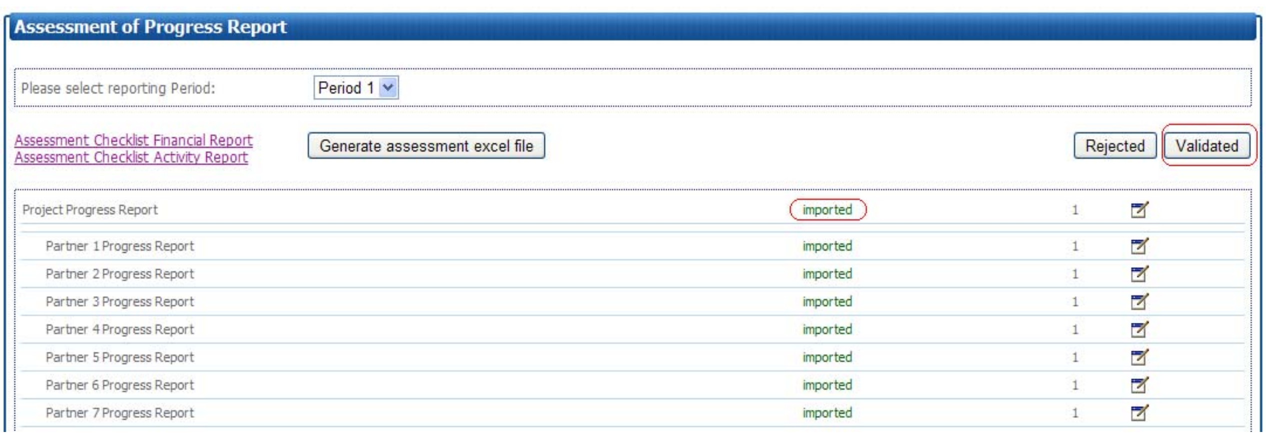
Project Progress Report	imported	1
Partner 1 Progress Report	imported	1
Partner 2 Progress Report	imported	1
Partner 3 Progress Report	imported	1
Partner 4 Progress Report	imported	1
Partner 5 Progress Report	imported	1
Partner 6 Progress Report	imported	1
Partner 7 Progress Report	imported	1

Selecting the Assessment Checklist Financial Report/Assessment Checklist Activity Report the financial or project experts are pre-checking if the PR is receivable by assessing the demanded criteria. Then a third person -evaluator- validates the checklist that automatically enters his name and the date of validation.



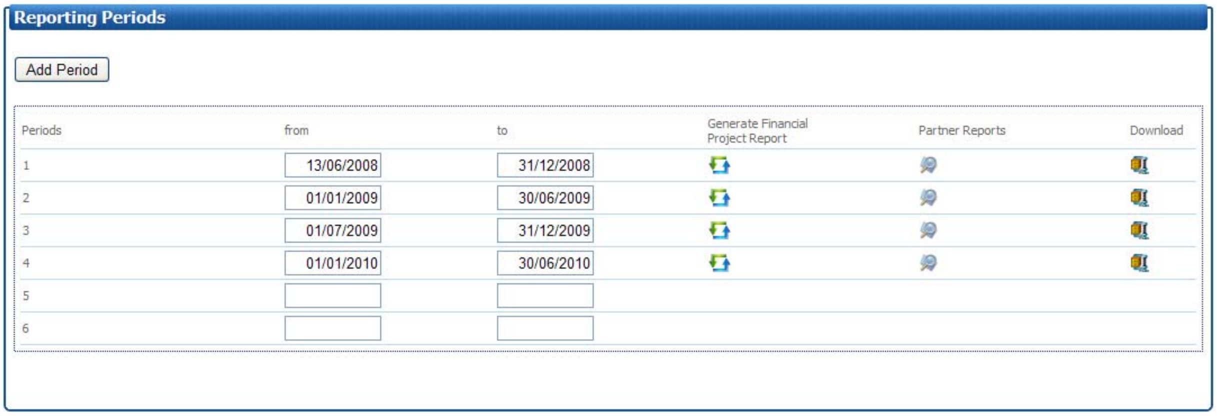
In case PR is not receivable then it is sent back to LP for correction. With the receipt of the corrected version of the PR, the Generate new version button will help you to establish a new checklist. From the Version drop-down list, up in the right, you can see and select - if relevant - which version is each checklist, e.g. FR Version 3 for the FOCI Project.

Once the PR is receivable, it can be imported into the database. The financial expert then undertakes its assessment of the progress reports that is validated by a second assessor. After the validation of a report, the data are saved automatically under the Payment section and it is sent to CA in order to proceed with payment execution.



4.10.4 Generate PR

Provides an overview of the reporting periods for the users and serves the purpose of pre-filling reporting templates with most updated information; however it can edited only from the CU Administration.

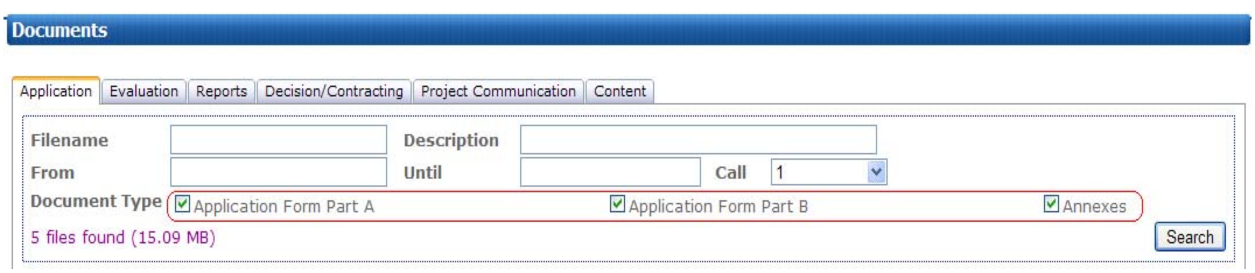


4.11 Document Center

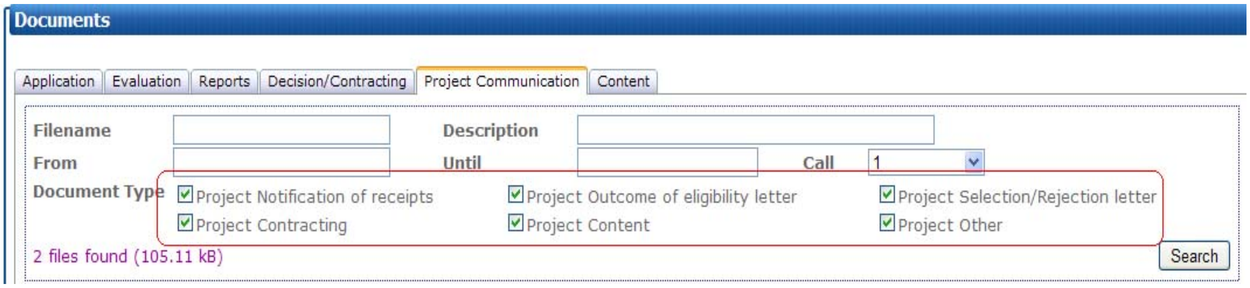
All monitoring and supporting documents, related to the project have to be identified and must be retrievable and accessible. More specifically, they must be grouped together, archived and preserved until 31st December 2020 for Programme purposes.

These documents must be kept in the form of originals, signed and stamped, as well as in an electronic form via this document center.

The Document Center contains all the documents for the proposals already submitted categorized according to: Application, Evaluation, Reports, Decision/Contracting, Project Communication and Content. See where each document is uploaded under the Document Type line and the list with the ticked documents.

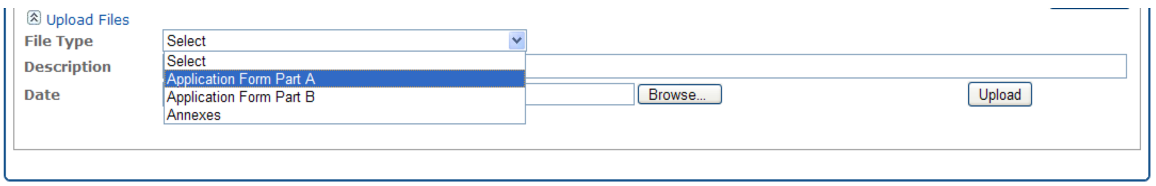


Or

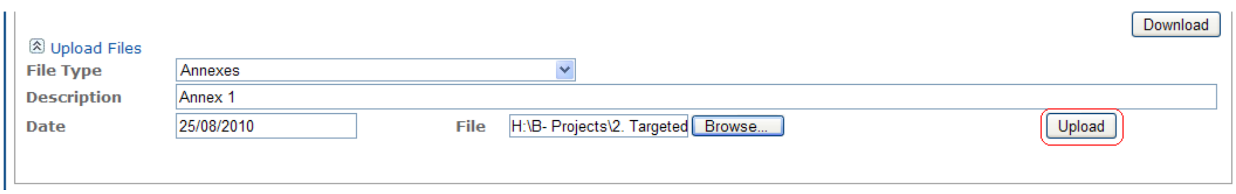


Moreover, in the upper side of the page, apart from the list with the documents, there is also a search machine in order to facilitate your research of documents. More the details given, the more detailed the research will be.

In order to upload documents in the Document Center you press the Upload Files button and the following application appears:



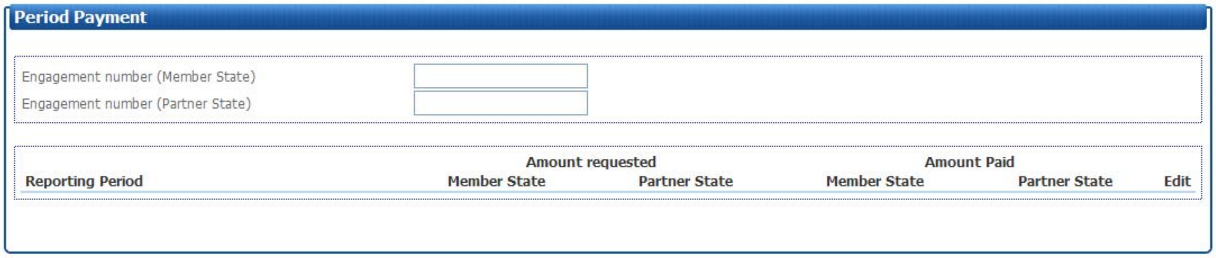
First, select a document type from the drop-down list, enter the description of the file, browse the selected document and press on the Upload button to finalize the uploading (the date is uploaded automatically):



This example is taken from the Application tab, however the same procedure described above applies for the uploading of each document in every tab.

4.12 Payment

The Payment tab provides an overall image of the payment status of the project and it is authorized only to ESPON Coordination Unit and Certifying Authority. Below you can see an empty tab because PR hasn't been imported yet:

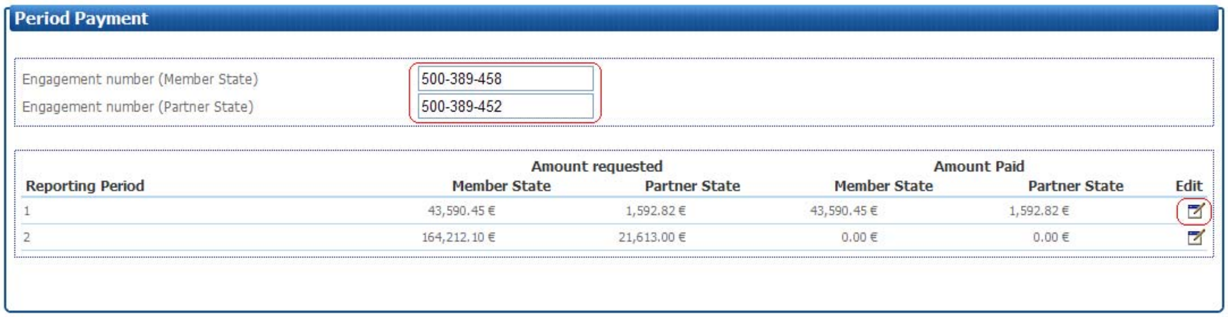


Period Payment

Engagement number (Member State)	
Engagement number (Partner State)	

Reporting Period	Amount requested		Amount Paid		Edit
	Member State	Partner State	Member State	Partner State	

Nevertheless, after the import of the PR, which interacts with the Payment section, the tab appears as below:

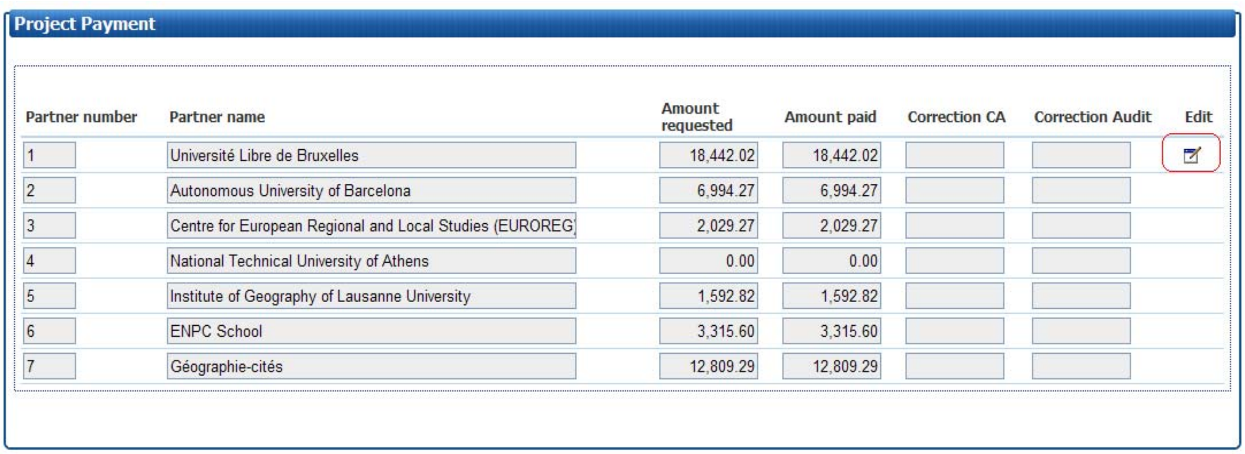


Period Payment

Engagement number (Member State)	500-389-458
Engagement number (Partner State)	500-389-452

Reporting Period	Amount requested		Amount Paid		Edit
	Member State	Partner State	Member State	Partner State	
1	43,590.45 €	1,592.82 €	43,590.45 €	1,592.82 €	
2	164,212.10 €	21,613.00 €	0.00 €	0.00 €	

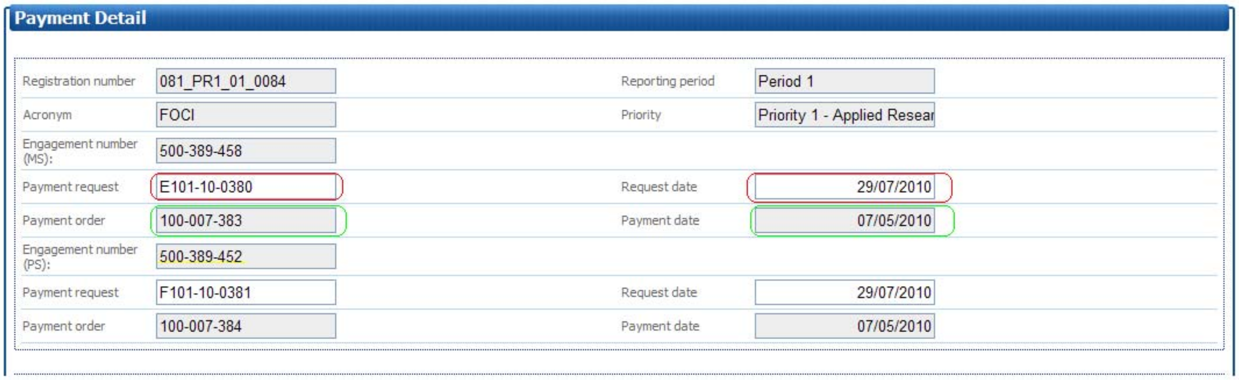
The engagement number(s) is to be entered once and for the next payment periods will be filled in automatically. Each engagement number is translated into a specific amount of money already known from the Subsidy Contract. Select the Edit button to see the Project Payment as follows:



Project Payment

Partner number	Partner name	Amount requested	Amount paid	Correction CA	Correction Audit	Edit
1	Université Libre de Bruxelles	18,442.02	18,442.02			
2	Autonomous University of Barcelona	6,994.27	6,994.27			
3	Centre for European Regional and Local Studies (EUROREG)	2,029.27	2,029.27			
4	National Technical University of Athens	0.00	0.00			
5	Institute of Geography of Lausanne University	1,592.82	1,592.82			
6	ENPC School	3,315.60	3,315.60			
7	Géographie-cités	12,809.29	12,809.29			

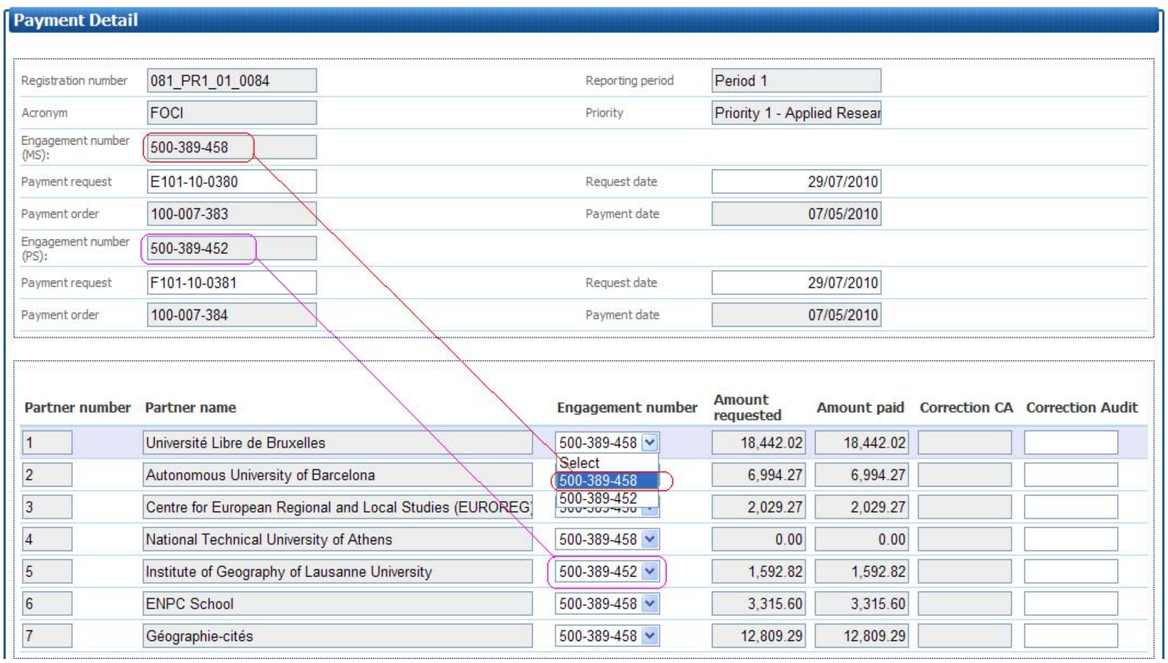
Press again the Edit button in order to enter the payment details. Payment request tab is filled in from CU users while Payment order and Payment date are edited only from the CA.



Payment Detail

Registration number	081_PR1_01_0084	Reporting period	Period 1
Acronym	FOCI	Priority	Priority 1 - Applied Resear
Engagement number (MS):	500-389-458		
Payment request	E101-10-0380	Request date	29/07/2010
Payment order	100-007-383	Payment date	07/05/2010
Engagement number (PS):	500-389-452		
Payment request	F101-10-0381	Request date	29/07/2010
Payment order	100-007-384	Payment date	07/05/2010

Another point of attention should be the selection of the engagement number according to which source the project partner is financed from. In case partner states budget is involved, the appropriate engagement number must be filled in, as shown in the example below:

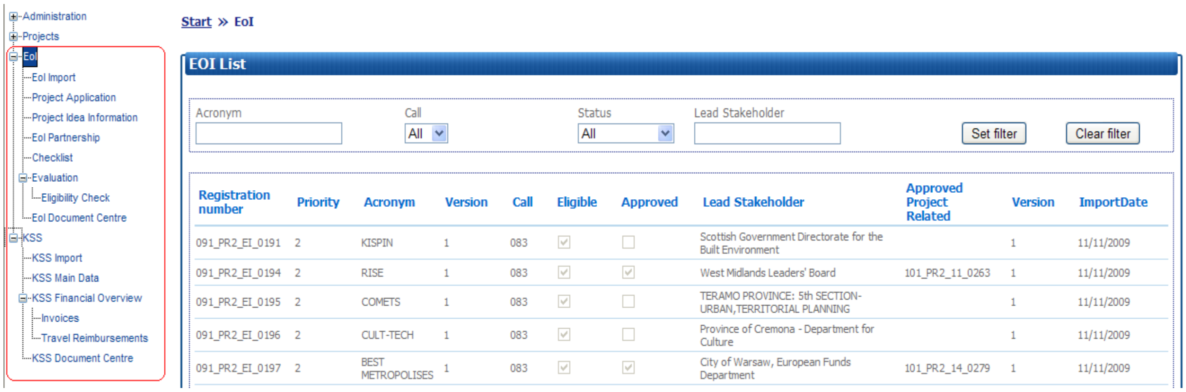


Payment Detail

Registration number	081_PR1_01_0084	Reporting period	Period 1
Acronym	FOCI	Priority	Priority 1 - Applied Resear
Engagement number (MS):	500-389-458		
Payment request	E101-10-0380	Request date	29/07/2010
Payment order	100-007-383	Payment date	07/05/2010
Engagement number (PS):	500-389-452		
Payment request	F101-10-0381	Request date	29/07/2010
Payment order	100-007-384	Payment date	07/05/2010

Partner number	Partner name	Engagement number	Amount requested	Amount paid	Correction CA	Correction Audit
1	Université Libre de Bruxelles	500-389-458	18,442.02	18,442.02		
2	Autonomous University of Barcelona	Select / 500-389-458 / 500-389-452	6,994.27	6,994.27		
3	Centre for European Regional and Local Studies (EUROREG)		2,029.27	2,029.27		
4	National Technical University of Athens	500-389-458	0.00	0.00		
5	Institute of Geography of Lausanne University	500-389-452	1,592.82	1,592.82		
6	ENPC School	500-389-458	3,315.60	3,315.60		
7	Géographie-cités	500-389-458	12,809.29	12,809.29		

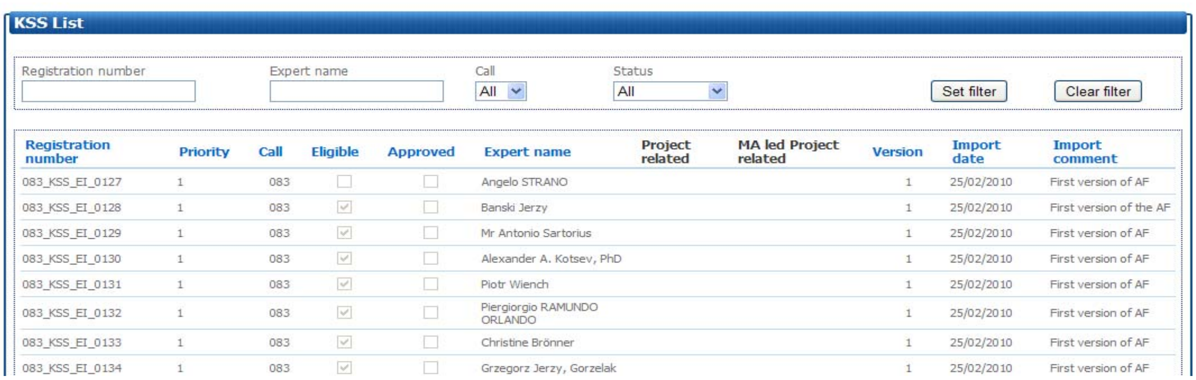
5. EoI Database



Registration number	Priority	Acronym	Version	Call	Eligible	Approved	Lead Stakeholder	Approved Project Related	Version	ImportDate
091_PR2_EI_0191	2	KISPIN	1	083	✓		Scottish Government Directorate for the Built Environment		1	11/11/2009
091_PR2_EI_0194	2	RISE	1	083	✓	✓	West Midlands Leaders' Board	101_PR2_11_0263	1	11/11/2009
091_PR2_EI_0195	2	COMETS	1	083	✓		TERAMO PROVINCE: 5th SECTION-URBAN,TERRITORIAL PLANNING		1	11/11/2009
091_PR2_EI_0196	2	CULT-TECH	1	083	✓		Province of Cremona - Department for Culture		1	11/11/2009
091_PR2_EI_0197	2	BEST METROPOLISES	1	083	✓	✓	City of Warsaw, European Funds Department	101_PR2_14_0279	1	11/11/2009

EoI has the same structure as Projects tab has. In the EoI Import it is possible to import the Application Form of EoI or add a new version while the rest of the tabs are filled in automatically: Project Application, Project Idea Information, EoI Partnership and Checklist. As far as the Evaluation part concerns, Eligibility Check is authorized only to the CU Administration and the EoI Document Center serves exactly as the Project Document Center with the documents categorized as follows: EoI Application, EoI Evaluations, EoI Communication, EoI Decisisons/Agreements.

6. KSS Database



Registration number	Priority	Call	Eligible	Approved	Expert name	Project related	MA led Project related	Version	Import date	Import comment
083_KSS_EI_0127	1	083			Angelo STRANO			1	25/02/2010	First version of AF
083_KSS_EI_0128	1	083	✓		Banski Jerzy			1	25/02/2010	First version of the AF
083_KSS_EI_0129	1	083	✓		Mr Antonio Sartorius			1	25/02/2010	First version of AF
083_KSS_EI_0130	1	083	✓		Alexander A. Kotsev, PhD			1	25/02/2010	First version of AF
083_KSS_EI_0131	1	083	✓		Piotr Wiench			1	25/02/2010	First version of AF
083_KSS_EI_0132	1	083	✓		Piergiorgio RAMUNDO ORLANDO			1	25/02/2010	First version of AF
083_KSS_EI_0133	1	083	✓		Christine Brönner			1	25/02/2010	First version of AF
083_KSS_EI_0134	1	083	✓		Grzegorz Jerzy, Gorzelak			1	25/02/2010	First version of AF

Last but not least, there is the KSS Database which also has the same structure with the aforementioned. The KSS Document Center includes the following categories: KSS Application, KSS Evaluations, KSS Communication, KSS Decisions/Contracting.