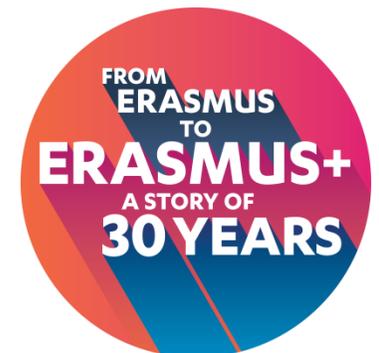




Erasmus+ Capacity Building projects in the field of Higher Education Call 2016

PROJECT & CONTRACT MANAGEMENT

*Grant Holders' Meeting
Brussels, 25-26 January 2017*



PRESENTATION CONTENT

1. EACEA and other E+ Stakeholders



2. Contractual Framework

- The Grant Agreement
- Reporting and Payments
- Amendments
- Other Contractual issues



3. Managing your project and your team

- The partnership
- QA & Project Monitoring
- Dissemination and sustainability



4. Conclusions

1.



EACEA
Education, Audiovisual & Culture
Executive Agency

&

**OTHER ERASMUS+
STAKEHOLDERS**

MANAGEMENT OF THE CBHE ACTION

European Commission (DG EAC)

- Policy making, priority setting
- Budget allocation
- Programme evaluation

Education, Audiovisual and Culture Executive Agency (EACEA)

- Management of the project cycle (content & finance)
- Support to project coordinators

Other Erasmus+ Stakeholders (NEOs, NAs, EU Delegations)

- Support at national level

CBHE = Capacity-Building in Higher Education

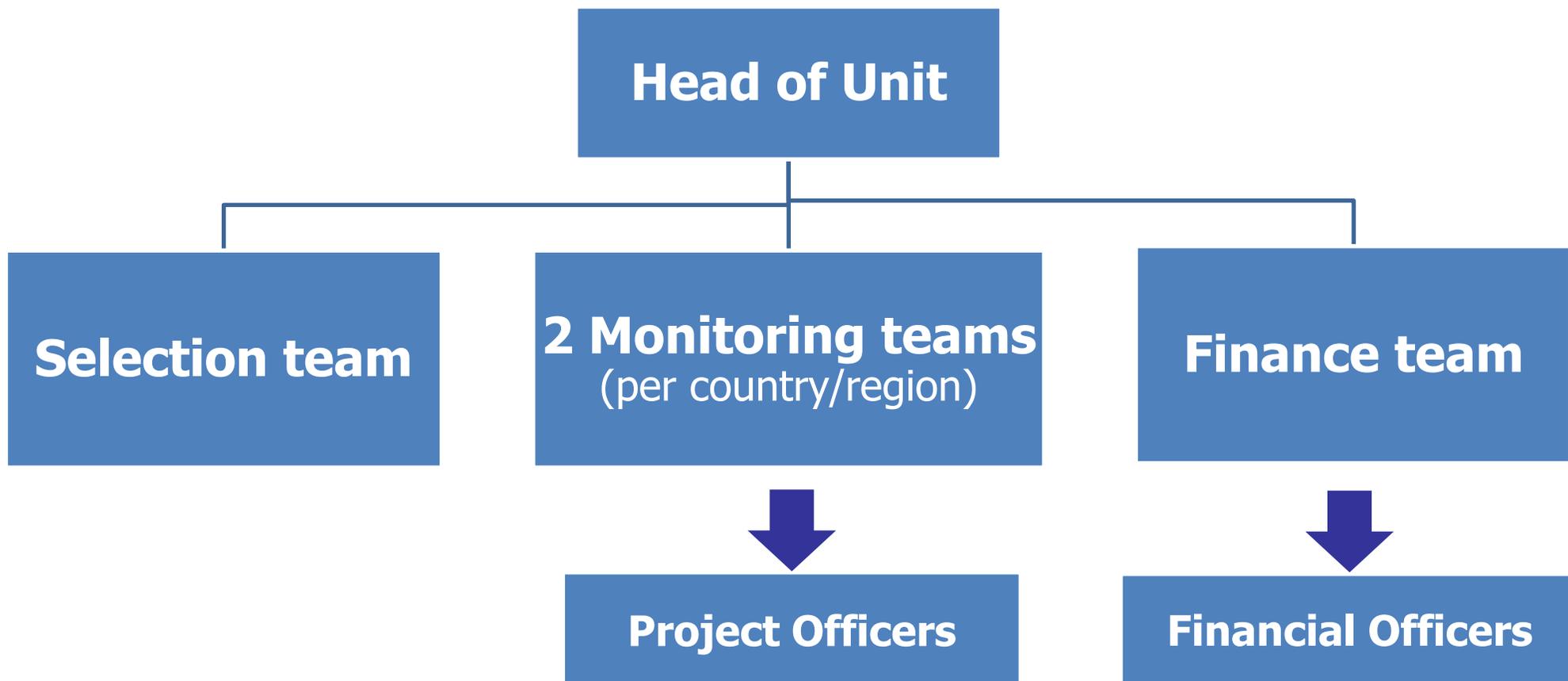
OTHER ERASMUS+ STAKEHOLDERS

- **National Erasmus+ Offices (NEOs)** in 27 Partner Countries
 - Provide advice and support in project implementation
 - Organise information days, seminars, workshops
 - Carry out monitoring visits
- **National Agencies** in 33 Programme Countries
 - Provide advice and support in project implementation
 - Organise information days, seminars, workshops
- **EU Delegations** in Partner Countries
 - Follow higher education developments and Erasmus+ local implementation
 - Participate in Erasmus+ related events
- **Other (E+ CBHE) projects** in the same region / theme / sector
 - Find synergies / Exchange experience and good practice
 - Organise joint activities

Obligation to provide project info to NEOs and EU Delegations upon request (Art I.10.11)

etc...

THE CBHE TEAM AT EACEA



2. CONTRACTUAL FRAMEWORK





CONTRACTUAL DOCUMENTS

- **Multi-Beneficiary Grant Agreement** signed by the coordinating HEI on behalf of the partnership

Shared obligation of the partnership!

Agreement number: [sample] Multi-beneficiary model agreement, February 2014



Education, Audiovisual and Culture Executive Agency

GRANT AGREEMENT FOR AN ACTION WITH MULTIPLE BENEFICIARIES
Mixed financing (reimbursement based on percentage of eligible costs and lump sum(s) and/or unit contribution(s))
AGREEMENT NUMBER - XXX

The Education, Audiovisual and Culture Executive Agency (hereinafter referred to as "the Agency"), acting under powers delegated by the European Commission (hereinafter referred to as "the Commission") represented for the purposes of signature of this Agreement by Mr Ralf Rabderg, Head of Unit,

on the one part,

and



KA2 - Cooperation for innovation and the exchange of good practices
Capacity Building in Higher Education

Before you begin completing this form, please read the following information carefully. This is the first and most important document in the Erasmus+ project. It is a contract between you and the Agency. It sets out the conditions for the grant and the responsibilities of the beneficiaries. It is a legal document and must be signed by all beneficiaries. It is a contract between you and the Agency. It sets out the conditions for the grant and the responsibilities of the beneficiaries. It is a legal document and must be signed by all beneficiaries.

Page no.	Section
1	Introduction
2	Objectives of the project
3	Activities
4	Financial management
5	Reporting
6	Final report
7	Other information

Support documents and guidelines for projects implementation available in the CBHE "Beneficiaries' Space"

Education, Audiovisual and Culture Executive Agency
Erasmus+
Project Officers for Capacity Building in Higher Education Projects
September 2015

Country	Project Number	Title	Project Officer	Email
IT	594753-01-2014-1-AT-ERASMUS-CBHE-IP	Building Innovative Urban Communities	MORENO PARRA	moreno.parra@ec.europa.eu
IT	594753-01-2014-1-AT-ERASMUS-CBHE-IP	Consolidation Development of the Italian University System
IT	594753-01-2014-1-AT-ERASMUS-CBHE-IP	Supporting European Universities in the Erasmus+ Programme

Education, Audiovisual and Culture Executive Agency

Erasmus+ Programme
Building projects in the field of Higher Education (E-CBHE)
Guidelines for the Use of the Grant
For grants awarded in 2015 under Call EAC/A04/2014

VERSION 01: 15 DECEMBER 2015

These Guidelines for the Use of the Grant must be read jointly with the Guidelines for the Special Mobility Strand if applicable.

Erasmus+ Programme
Building projects in the field of Higher Education (E-CBHE)
Guidelines for the Partnership Agreement

VERSION 01: 15 DECEMBER 2015

STRUCTURE OF THE GRANT AGREEMENT (GA)

I. Special Conditions

II. Annexes

Annex I: Description of the action >>>> **YOUR APPLICATION**

Annex II: **General Conditions**
Part A: Legal and Administrative Provisions
Part B: Financial Provisions

Annex III: Estimated budget of the action

Annex IV: List of beneficiaries and Mandates

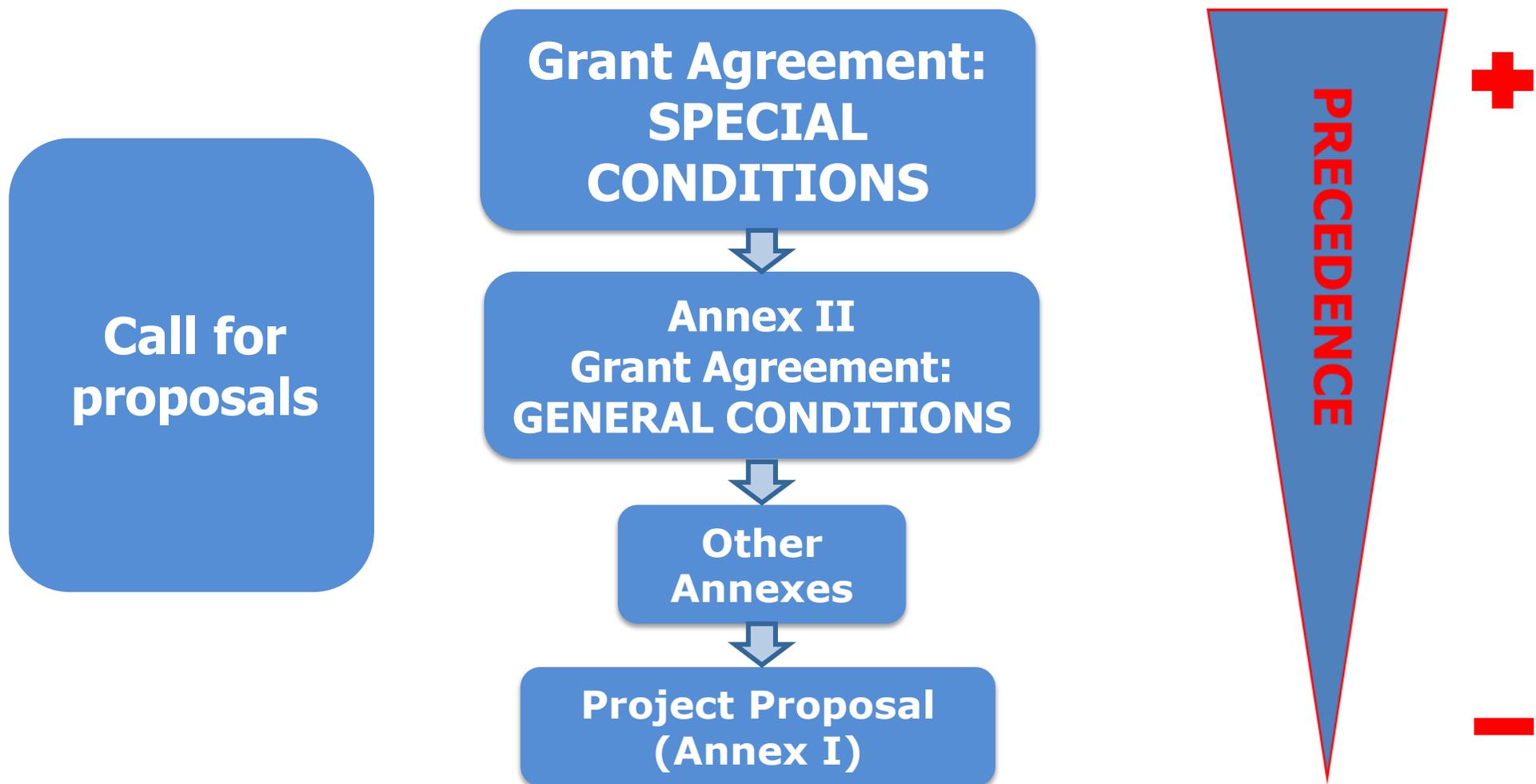
Annex V: Model Technical Implementation report(s)
Annex VI: Model financial statement(s)



E-reporting

Annex VII: Report of Factual Findings on the
Final Financial Report

HIERARCHY AND PRECEDENCE





Do not assume that all activities listed in your project application are automatically eligible.

Before implementing any activity, first check that the activities mentioned in your project proposal are eligible.



GUIDELINES FOR THE USE OF THE GRANT

- Valuable reference document
- Practical recommendations for the implementation of the project and the use of the grant
- Available on the E+ CBHE Website

https://eacea.ec.europa.eu/erasmus-plus/beneficiaries-space/capacity-building-in-higher-education_en

*Check for updated
versions!*



REPORTING TO EACEA (Art. I.4)

- Progress report (halfway through the project lifetime)
- Final report (2 months after the end of the eligibility period)

Cover both the activities implemented and the grant used

- **Joint exercise** : to be completed by and shared with all partners
- **Do not underestimate the amount of time** necessary to write a report
- **Do not copy and paste information** from other reports (/the application)
- **Answer the questions asked** on the reporting template – no more no less
- **Be honest** : present problems (and the remedial actions launched) as well as achievements

FINANCIAL REPORTING

cbhe_2015_-_annex_vi_-_financial_statements.xlsm - Microsoft Excel

File Home Insert Page Layout Formulas Data Review View Developer

Clipboard Font Alignment Number Styles Cells Editing

Security Warning Macros have been disabled. [Enable Content](#)

D9

Erasmus+ Key Action 2: Cooperation for innovation and the exchange of good practices
Capacity Building in the field of higher education

ANNEX VI - FINAL FINANCIAL STATEMENT

Project Number		Co-financing (for information only)	0,00
-----------------------	--	--	------

Budget Headings	1. Grant Awarded (in EUR)	Please fill in the Project Number	Budget Spent (in EUR)
1. Staff Costs	0,00		0,00
2. Travel Costs	0,00		0,00
3. Costs of Stay	0,00		0,00
4. Equipment Costs	0,00		0,00
5. Subcontracting Costs	0,00		0,00
A. Grant for Project Activities	0,00		0,00
B. Additional Grant for Special Mobility Strand	0,00		0,00
Total Grant requested from the European Union (A + B)	0,00		0,00

DISTRIBUTION OF THE GRANT BY ORGANISATION (in EUR)

Partner N°	Name of Partner	Country	PR/PA	1. Staff Costs	2. Travel Costs	3. Costs of Stay	4. Equipment Costs	5. Subcontracting Costs	Total Costs (in EUR)
P1				-	-	-	-	-	-
P2				-	-	-	-	-	-
P3				-	-	-	-	-	-
P4				-	-	-	-	-	-
P5				-	-	-	-	-	-
P6				-	-	-	-	-	-
P7				-	-	-	-	-	-
P8				-	-	-	-	-	-

Instructions Final financial statement Costs Incurred&2nd Prefinancing 1. Staff costs 2-3. Travel Costs&Costs of Stay 4. Equipment Costs 5. Subcontracting Costs Co-financing Breakdown & Project Funding Breakdown

Ready FR 70% 10:28 6/01/2017

PAYMENT CYCLE (Art. I.4)

1st pre-financing: 50%

Upon entry into force of the GA 

2nd pre-financing: 40%

When 70% of first pre-financing is used

*Statement of the costs
+
Request for Payment*

Progress Report

*Due date:
14/10/17 – 2 years
14/04/18 – 3 years*

 half-way through the project lifetime

Balance: 10% max

**EACEA payment or recovery
60 days following the
reception of the FR**

*Financial Statement
+
Request for Payment*

Final Report

*Due date:
14/12/18 – 2 years
14/12/19 – 3 years*

Audit Report

Required for all grants

 Max 2 months after the project ends

AMENDMENTS TO THE GRANT AGREEMENT



CHANGES TO THE PROJECT (Art. II.12)

Administrative changes

- Address
- Legal name
- Legal representative
- Bank Account
- Etc.

Operational changes

- Work programme
- Equipment
- Eligibility period
- Partnership composition
- Budget: 10% rule (Art. 1.8)

BEFORE ASKING FOR AN AMENDMENT

Principle: the application is the baseline for project implementation

Estimate the impact of the proposed change on the project:

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

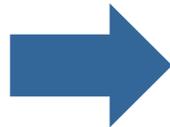
AMENDMENT PROCEDURE

How to proceed

- Inform the coordinator / ensure agreement within the partnership
- The coordinator submits a request for amendment to the Agency **before implementing the change** (at the latest 1 month before the project's end date)
- The Agency verifies (/asks for) supporting documents
- If the change is accepted: an amendment will be produced (in most cases)

Amendment format

- Participant Portal
- Email
- Scanned letter



See **Guidelines for the Use of the Grant** for detailed instructions

OTHER CONTRACTUAL ISSUES



CHECKS AND AUDITS (Art. II.27)

- The **EACEA and/or the Commission** may carry out **technical and financial checks and audits** in relation to the use of the grant
- Carried out **either directly by EACEA / Commission or by an outside body** authorised to do so on its behalf
- During the implementation of the Agreement and for a period of **five years starting from the date of payment of the balance**
- Contractual obligation of the project to carry out a **financial audit at final report stage.**

OTHER LEGAL ISSUES

Conflicts of interest (Art. II.4)

- Between the person's self-interest and professional or public interest
- Applicable to all project activities
- Financial impact → ineligible costs
- In case of doubt, inform the Agency

Force majeure/Suspension (Art. II.14 & II.15)

Termination Procedure and effects (Article II.16)

Financial Penalties (Art. II.17)

- For serious breaches of obligations under the Agreement

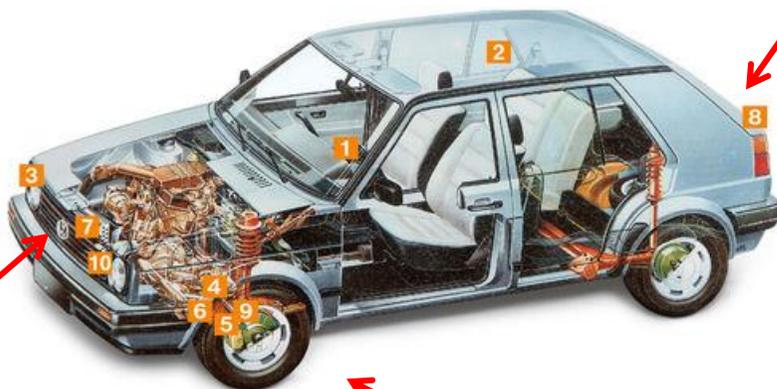
PENALTIES

Publicity

(art I.10.10)

- Visual identity
- E+
(co)funding
- Disclaimer

Up to 20% of
max grant



**Breach of
contractual
obligations**
(Art II.17)

2 to 10% of the
grant + admin.
penalties

Weak implementation
(Art. I.10.6)

PENALTIES FOR WEAK IMPLEMENTATION (Art. I.10.6)

Assessment of project performance

(during project monitoring, progress and final reports)

Based on same criteria and same scoring scale as those used at application stage:

- *Relevance (max. 30 pts)*
- *Quality of the project implementation (max. 30 pts)*
- *Quality of the project team and cooperation arrangements (max. 20 pts)*
- *Impact and sustainability (max. 20 pts)*

Impact of weak performance

EACEA will apply the following reduction of the project maximum grant

25% : performance score between 40 points and 50 points / 100

35% : performance score between 30 points and 40 points / 100

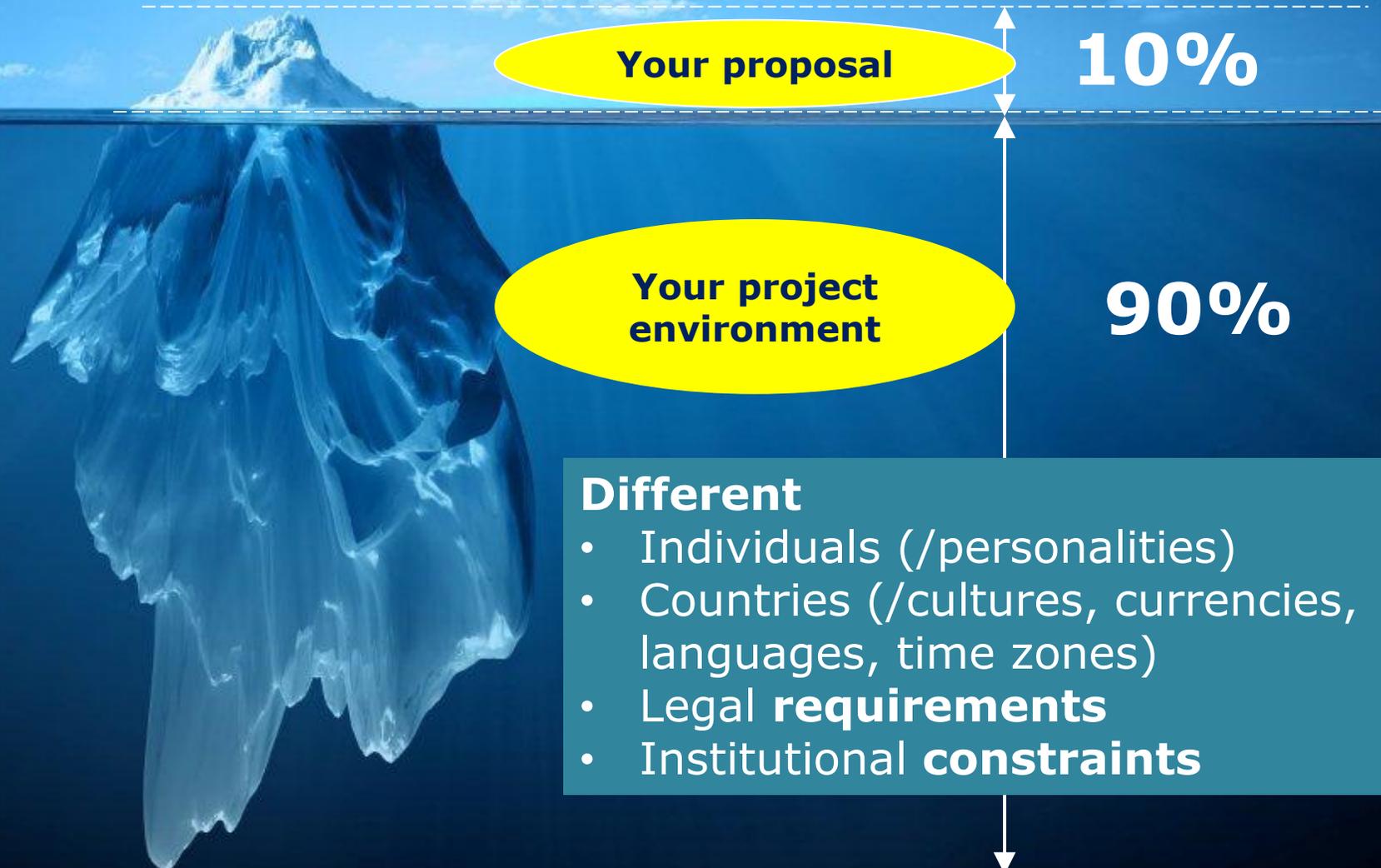
55% : performance score between 20 points and 30 points / 100

75% : performance score below 20 points / 100

3. MANAGING YOUR PROJECT AND YOUR TEAM



YOUR CBHE PROJECT



Your proposal

10%

Your project environment

90%

Different

- Individuals (/personalities)
- Countries (/cultures, currencies, languages, time zones)
- Legal **requirements**
- Institutional **constraints**



CBHE PARTNERSHIP - LEGAL PROVISIONS

Role and obligations of the **Beneficiaries** (G.A. Article II.1)

- **Multi-beneficiary** Grant Agreement
- **Mandates:** contractual link between EACEA and all beneficiaries

All beneficiaries are **jointly responsible**

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

Beneficiaries' **roles, rights and obligations**

- Must be defined in the **Partnership Agreement**
- Are legally binding

ROLE OF THE COORDINATOR (Art. II.1.3)

- **Oversees the implementation** of activities
- Ensures the **respect of CBHE rules**
- **Shares with the partners** all documents related to the projects (e.g. financial reports)
- **Manages the funds** of the project and **transfers funds to partners** without delays
- **Central communication point** with project partners and external stakeholders
- **Only intermediary** with the EACEA for the submission of **reports, payment and amendment request**



ROLE OF THE PARTNERS (Art. II.1.2)

- **Equally responsible** as the coordinator
- **Precise knowledge** of the proposal and the CBHE contractual framework
- **Implement activities** under their responsibility
- **Support the coordinator** (e.g. providing information and supporting documents for reporting)
- **Cooperate with the key institutional services** in their organisation
- **Contribute to the dissemination** of the project results in their organisation, community and/or region



THE PARTNER COUNTRY PARTNERS

CBHE projects are meant to benefit Partner Countries

Partner Country partners are responsible for:



- Enhancing Project results **relevance / added value**
- **Awareness raising & Dissemination**
- Identifying and involving **target groups and local stakeholders**
- Respecting national requirements / **legal constraints**

If applicable, it can be useful to nominate a **national/regional coordinator**

ASSOCIATED PARTNERS

- **Not a party** in the Agreement
→ No (direct) funding
- They contribute (indirectly) to the project implementation, visibility and sustainability



INSTITUTIONAL COMMITMENT

Project management is not a "*one man/woman show*" but an **institutional responsibility**

It is **essential to:**

- have the required institutional services/departments **on board from the start**
- provide regular **feedback** to your authorities
- Provide clear **information to the partnership** on your institutional requirements / practice



INVOLVING YOUR INSTITUTION'S SERVICES



**International Relations
Office**



Finance department



**Quality assurance
services**



Student services



Academic services



IT/Communication

Mandatory



PARTNERSHIP AGREEMENT (Art. I.10.5)

- **Objectives:**
 - Formalisation of **internal project and grant management procedures**
 - **Institutional commitment** to the project
 - **Partnership conflict** resolution
- **Guidelines available** on Agency website
- **Negotiated with partners**
- **Signed at the highest level** (not by the coordinators !)
- **Joint** (recommended) **or Bilateral**



Scanned copies to be submitted to EACEA at the latest **6 months after** signature of G.A.

PARTNERSHIP AGREEMENT - CONTENT

Project
management and
decision-making
process

Quality Assurance

Communication

Conflict resolution

Partners' roles and
responsibilities

Financial aspects

Etc.



Take national/institutional constraints into account !



COMMUNICATION

Between Coordinator and Partners

- Defined in the Partnership Agreement
- Communication-plan (define means, frequency, channels)
- Transparency / Documentation

With EACEA (Art. II.2)

- One Project Officer responsible for your project
- Contact only via coordinator (Article I.6) unless exceptional circumstances, (e.g. conflict with coordinator)
- Official communication to be addressed both to Project Officer and functional mailbox (EACEA-EPLUS-CBHE-PROJECTS@ec.europa.eu)

With your National Erasmus+ Office (if applicable) / EU Delegation

- Support to projects
- Inform NEO about project events

BEST PRACTICE: TEAM PREPARATION

Initial trainings and exposure for the teams:

- General administrative and project-running matters
- Eligible expenses
- Tendering procedures
- Supporting documents
- Online communication tools
- Quality control, reviews and progress reports
- Importance of labour market feedback
- Cross-cultural awareness
- Web design tips
- Importance of dissemination to ensure sustainability
- Etc.

Project Management
Manual

QA handbook

Brief on
national tax and
regulatory issues

Prerequisite to effective performance

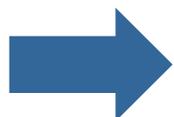
QUALITY ASSURANCE & PROJECT MONITORING



INTERNAL QUALITY ASSURANCE



- **Concerns all dimensions** of the project
Academic aspects, financial & administrative, management outputs, visibility/dissemination, impact, relations with E
- **Involves all parties** concerned by the project
Academic, admin. staff, students, local stakeholders, etc.
- **Assessing that activities are in line with project objectives** (Logical Framework, SWOT analysis)
- **Follow-up of activities (tools:** roadmaps, dashboards, questionnaires, reports etc.)



**Keep partners informed of evaluation results
and remedial actions taken**

EXTERNAL QUALITY ASSURANCE

- Persons/bodies **not involved in the project**
 - Peer-review by external experts not involved in the consortium
 - Representatives from local authorities / private companies
 - National QA Agencies
- Same **holistic approach** as for internal QA (in terms of dimensions addressed and parties consulted).
- Regular **monitoring + recommendations**



BEST PRACTICE: RISK MANAGEMENT (1)

Examples of Challenges	Possible contingency plans used in various projects
Commitment and motivation of partners	<ul style="list-style-type: none"> ▪ Expectations should constantly be communicated to partners. ▪ Delegate responsibilities to partners to increase their involvement in the project
Cultural differences, i.e. different ways to communicate and to deal with issues	<ul style="list-style-type: none"> ▪ Organise regular face-to-face meetings to know each other ▪ Cultural awareness to anticipate potential conflicts
Incomplete supporting documents	<ul style="list-style-type: none"> ▪ Project Handbook ▪ Training on CBHE rules
Availability of staff (different academic years, conflict with other duties)	<ul style="list-style-type: none"> ▪ Have dedicated teams ▪ Plan well in advance

BEST PRACTICE: RISK MANAGEMENT (2)

Examples of challenges	Possible contingency plans used in various projects
Delays due to lengthy procedures: tendering, project registration, international accreditation, etc.	<ul style="list-style-type: none"> ▪ Prepare everything in advance, so that the activity can start as soon as the green light is given.
Visa issues	<ul style="list-style-type: none"> ▪ Plan meetings well in advance to allow time for the visa procedures
Political instability	<ul style="list-style-type: none"> ▪ Meetings relocated to safer location ▪ Contact EACEA in case of problems
Exchange rate issues	<ul style="list-style-type: none"> ▪ Keep project account in Euros ▪ Invoices paid by European coordinator/partners
Difficulty to make bank transfers	<ul style="list-style-type: none"> ▪ Use other means (Western Union type transfers, credit cards for partners) ▪ Cash payments not recommended

EACEA DESK MONITORING

Objective

- **Ensure the project is on track** and respects CBHE requirements
- **Support the partnership** during the project implementation
- **Prevent difficulties**
- **Identify best practices**

Format

- Regular **email / telephone communication** with the coordinator
- Organisation of **video-conferences**
- **Assessment of reports**

EACEA FIELD MONITORING

Aim of Field Monitoring

- Check that the project advances **according to the work plan**
- Check that **partners are fully involved** in the project
- **Prevent problems** due to weak project implementation (*penalties!*)
- Special emphasis on the **sustainability/impact** of the project results in the partner country(/-ies)

Format

- Conducted by **EACEA / NEO / EU Delegation**
- At coord. HEI / at Partner Country partner / during consortium meeting
- **Interview of project actors / visit premises** (/equipment)
- **Recommendations** by EACEA to the partnership

**Each project will be visited at least once
in the Partner Country (/Region) concerned**

DISSEMINATION AND SUSTAINABILITY



DISSEMINATION – GENERAL ADVICE

- **Requirements of the Grant agreement**
 - **Visibility** of project results (Art. I.10.8, II.7.1)
 - Availability of **materials produced**
 - Use correct **logo and disclaimer!**
- Important to **define stakeholders** and plan dissemination according to target groups
 - Internal and external target groups (incl. public authorities)
 - Dissemination at regional level
- Produce **dissemination plan at the beginning of project**
- Check Annex II of the Erasmus+ Programme Guide: **Practical Guide on Dissemination and Exploitation**

PUBLICITY / VISIBILITY RULES

Project publications and results (Art. I.10.9):

- Must **display Erasmus+ Logo**



Co-funded by the
Erasmus+ Programme
of the European Union

- Must include this **sentence**: "*Co-funded by the Erasmus+ Programme of the European Union*"
- Must **include disclaimer**:

"This project has been funded with support from the European Commission. This publication [communication] reflects the views only of the author, and the Commission cannot be held responsible for any use which may be made of the information contained therein".

See Agency's website:

https://eacea.ec.europa.eu/about-eacea/visual-identity_en

http://ec.europa.eu/dgs/education_culture/publ/graphics/beneficiaries_all.pdf

DISSEMINATION TOOLS

- **Mandatory project website** (Art. I.10.8)
 - Launch at project start
 - Informative & attractive ALSO for wider public
 - Content: Project description/objectives, management structure, project outputs (dates of events, trainings, meeting etc), results of project activities
- Project information on **Erasmus+ Projects Results Platform:**
<http://ec.europa.eu/programmes/erasmus-plus/projects/>
- Project flyers/leaflets/brochures
- Media releases, newsletters, articles in specialised press
- Social media: blogs, Facebook, Twitter
- Public events, meetings, seminars

DISSEMINATION & SUSTAINABILITY

- Project results should be sustainable and should **continue to be used /updated** after the end of the project funding
- Important to produce a **sustainability plan** at the early stages of the project
- **Dissemination supports sustainability** by ensuring
 - **Visibility of the project** at partner institutions
 - Interest from **students** (e.g. for new study programmes)
 - Support from the **university authorities and services**
 - Support from **policy makers, labour market and others relevant stakeholders**
 - Awareness among **general public**

4. CONCLUSIONS





GETTING STARTED

- Organise your **kick-off meeting (inform EACEA/NEO/EU DEL)**
- **Review project plan** and revise if necessary
- Take into account **internal/external changes and constraints** that could affect project implementation
- **Allocate roles** according to work packages
- Create **project management structure** (management board, advisory board)
- Set up **communication rules**
- **Revise budget allocation** if necessary
- Produce **Partnership Agreement**

Do not underestimate the administrative and financial workload of a CBHE project !

IN CASE OF DOUBT

Do not hesitate to refer to:

- EACEA website: http://eacea.ec.europa.eu/erasmus-plus/beneficiaries-space/capacity-building-in-higher-education_en
- Grant Agreement
- Guidelines for the Use of the Grant
- Guidelines for Partnership Agreement
- National Erasmus+ Offices (NEO)
- National Agencies
- Your EACEA Project Officer



QUESTION NOT ANSWERED?

Please contact the E+CBHE team

**[EACEA-EPLUS-CBHE-
PROJECTS@ec.europa.eu](mailto:EACEA-EPLUS-CBHE-PROJECTS@ec.europa.eu)**

**Do not forget to mention
your project number!**



