

Progress report

➔ Background Information

As laid down in art. 3 of the subsidy contract (SC) the Lead Partner (LP) may only request payments by providing a Progress Report (PR) composed of an activity report and a financial report completed with the respective certifications of expenditure (see also factsheet 6.2 *Financial Control System*).

The PR shall be submitted every six months. The deadlines for the submission of the PR are fixed in the SC. Postponements of reporting deadlines will not be granted. Any certifications (or further documents) that cannot be presented in time shall be submitted together with the following PR.

➔ Guidance

The PR is based on a excel template that will be sent by the JTS to the LP six weeks before the deadline. It contains three kind of cells: *light green* have to be filled in by the LP; *dark green* are drop down menus - one of the listed options shall be chosen - and *grey* will be prefilled automatically from the AF or the previous PR or filled in by the JTS.

Detailed information on how to fill in the PR is provided in the guidance available on the website under "project implementation" (see <http://www.alpine-space.eu/project-life-cycle/implementation-reporting-an-financial-flows>).

1 Preparation of the activity part of the PR

The activity part of the PR includes the following sections:

The cover sheet identifies the project, the concerned reporting period and the date of submission to the JTS.

1. General information: the LP is asked to provide a comprehensive overview on implementation focused on the most important activities, outputs and results. Together with the outlook on the main upcoming steps, the elements of this section shall be used by the programme for external communication purposes. Publishable material is an important contribution to this aim and shall be attached to the report.
2. Partnership: the section is dedicated to the internal cooperation. Meetings, specific actions to further improve the commitment of key actors shall be reported together with changes and/or difficulties encountered.
3. Progress of implementation: the section refers to outputs, results as well as to the achievement of project specific indicators and I&P indicators. The LP is also asked to give an *outlook* and inform about content related constraints and problems that may influence the achievement of the foreseen targets.
- 4.1 Work packages: the section shall present a concise description of all work packages with a focus on the activities carried out within each action. This information is completed by the indication of the achieved outputs and the deviation(s) as well as the actual time schedule compared to the plan.
- 4.2 Deliverables and events: in this table publications, reports, materials produced, public events etc. shall be reported. The table is mainly based on drop down menus to ease the reporting.
- 4.3 Milestones: the state of achievement of milestones shall be reported. If already achieved the date of achievement shall be indicated. Information on deviations or delays shall be provided.
- 4.4 Outlook: this section is a short introduction into the next reporting period. The LP shall list activities, outputs and results planned. It refers mainly to WP and actions.
5. Time schedule: the table is filled in automatically and informs on the expected duration foreseen in the AF and the actual one indicated in section 4.1 and it is. It gives the overall view on project activities implementation by work packages.

2 Preparation of the financial part of the PR

The financial part of the PR is composed of six sub-sections: 6.1 General overview on financial situation; 6.2 EU partner overview; 6.3 Non-EU partners overview; 6.4 Overview on cost category and work package exhaustion; 6.5 investment and leverage effect; 6.6 Overview on planned activities implemented outside the EU that shall be co-funded.

Tables 6.1 and 6.2 contain budget data by PP as indicated in the last valid version of the AF, information on the total received ERDF and the total reported expenses based on the certifications of expenditure and shall inform on the currently reported expenses and corrections of previously reported expenses. Therefore, some data are generated directly from the AF or previous PR (grey cells) while others have to be filled in by the partnership according to the certifications of expenditure (total expenses, revenues, ineligible expenses) resp. according to the actual received ERDF funds (if there are deviations from the “information on payment” sheet, please provide a short explanation/information).

Table 6.3 will contain data provided by the non-EU PP according to their national rules for participation.

Table 6.4 gives an overview on cost categories and work package level. The partnership shall provide information on the expenses per cost category and work package. These information shall be coherent with the indications in the listings of invoices.

Table 6.5 indicates the investments (if any) foreseen by the projects, the responsible PP and the concerned work package. Other relevant information concerning the financial figures (planned funds and level of exhaustion) are automatically generated in the grey cells. The LP shall fill in the location of implementation and the certified expenditures divided into currently reported expenses and corrections of previously reported expenses.

The same cells shall be filled in also for table 6.6 which refers to activities implemented outside the EU and generated automatically for the AF in the grey cells. The figures to be considered are indicated in the relevant section of the certifications of expenditure.

Finally, text boxes available for each table allow a short description of the financial situation and can be useful to explain the figures contained in the tables. Information on the level of exhaustion of single budget lines and/or specific difficulties maybe underlined as to explain any over or under spending in comparison with the planned budget of the AF.

Detailed information on how to fill in these tables can be found in the guidance available on the project implementation section (see above).

3 Submission of the progress report

As mentioned above, the PR includes a short project identification part, an activity and a financial part. Moreover, the last three sections of the PR contain references to the drafting team, the bank information as well as the check list to safeguard that the PR is ready for submission to the JTS. The LP shall go through the check list carefully before submitting the report.

It is the LP's responsibility to fill in the PR properly and to submit it in due time to the JTS.

The submission of an e-version of the report together with the scanned copies of all original certifications of expenditure (one .pdf per certification) is sufficient.

The originals of the certifications should be posted by ordinary mail within the deadline and sent to the following address:

Joint Technical Secretariat JTS - Alpine Space Programme
European Territorial Cooperation
Bayerisches Landesamt für Umwelt
Lazarettstr. 67
80636 München - Germany

The same applies for I&P products: the JTS shall receive at least one paper copy of each product (e.g. printed flyers, brochures, posters).

4 Check procedure and eventual corrections

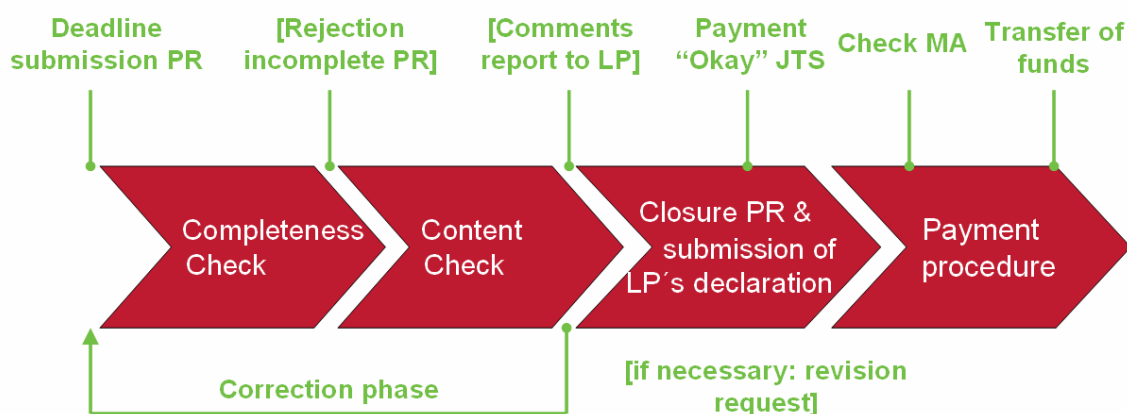
After the receipt of the report the JTS will carry out the completeness check of the submitted documents. Incomplete PR will be rejected and will have to be re-submitted within 5 days after notification.

Following the completeness check, the JTS will start with the content part of the check (activity, finance, I&P). The JTS will inform the LP immediately about any necessary revision or further information resp. documents needed. The LP will have 2 weeks time to provide the JTS with the requested information resp. documents. If a report is still incomplete resp. incorrect after this deadline, the LP will have one further chance to follow the JTS request. If then the report shows still deficiencies, it will be rejected and shall be submitted together with the following PR considering the

revisions requested by the JTS. The same proceeding will apply if the deadline set for the submission of the requested files is not kept.

If the report meets the requirements, the JTS will provide the LP with the pdf-file of the approved version together with a model declaration. This last document shall be filled in and sent in e-version by the LP within 5 working days. No hardcopies of the PR have to be submitted.

The table below shows the procedure to be followed as regards the submission of the report and the check of the submitted documents by the JTS:



5 Payment procedure

After the closure of the PR check and the verification of the coherence of the hard copies of the certifications and I&P products, the JTS will notify the final version of the PR to the MA for initialising the payment procedure.

The MA will check the coherence of all provided documents and will furthermore perform detailed sample checks. Finally, the MA will instruct the Certifying Authority (CA) to initialise the payment.

➔ **Reference Documents**

- + Operational Programme “Alpine Space”, chapter 4.2.6

➔ **Annexes**

- + Articles 3 and 8 of the Subsidy Contract
- + Model Progress Report (PR) with guidance
- + Model Application Form (AF) with guidance
- + Models Certifications of Expenditures
- + Model Listing of invoices-regular
- + Model Listing of Invoices-CTA
- + Model Timesheet-Guidance
- + Model Timesheet
- + Model Listing Contracts
- + Model FLC Checklist
- + Model Calculation Staff Costs (PDF)
- + Model Calculation Staff Costs (XLS)