

# Interreg IPA CBC Italy-Albania-Montenegro

## Restricted procedure for capitalisation actions

This document is issued by the Managing Authority/Joint Secretariat of the Interreg IPA CBC Italy-Albania- Montenegro in compliance with the decision of the Joint Monitoring Committee of **4 February 2022**.

To assure maximum transparency, this restricted procedure is published on the programme website <https://www.italy-albania-montenegro.eu/>. In compliance with the equal treatment principle, it is addressed to all Lead Partners, selected through an open competitive procedure, i.e. the First Call for Proposals Standard Projects of 3 March 2017, Managing Authority Decree no. 7, hereafter referred to as **First Call**.-

### INTRODUCTION

The Interreg IPA CBC Italy-Albania-Montenegro (hereafter referred to as **Programme**) is a trilateral cross border cooperation Programme co- financed by the European Union under the Instrument for Pre-Accession Assistance (IPA) in the 2014–2020 programming period.

The approved programme, including priority axes, specific objectives, eligible areas, financial allocation and programme strategic goals may be found at <https://www.italy-albania-montenegro.eu/programme/official-docs> and further described in details in the Manual (01 Strategy, Factsheet 1.1.) at: <https://www.italy-albania-montenegro.eu/tools/programme-manual/strategy>.

At the end of 2021, all projects of the First Call are closed, except one, all their implementation activities are finalized and the last Joint Progress Report (at least the first part) or the Final Report have been submitted. Following up on a capitalization plan, developed with the support of the Interact Programme in Autumn 2021, and with the objective to ensure that the results achieved by the project partners during the project life are used, re-used and taken up by their stakeholders, there is a clear need to follow up with capitalization actions, as explained below.

## 1. CAPITALISATION ACTIONS AND ASSESSMENT OF PROJECT RESULTS

### Definition

In Interreg programmes, capitalisation actions have the main objective to make the re-use of project results possible. The project partners, who produced re-usable results, promote the re-use of these results towards potential users, who may re-use or take up the specific results, while adapting them to their specific circumstances.

A number of projects of the First Call for Standard Projects have produced results, sufficiently mature to be taken up by the stakeholders. To make sure that this occurs, there is a need for the project partners to implement additional actions aiming at the validation, testing or promotion of these results towards potential users. In particular, these capitalization actions may be implemented by those project partners having results, which:

- a) are suitable and ready to be **tested or validated** in a specific context (*validation*);
- b) are suitable to be **transferred** to potential users, who need to be identified (*identification*).

Therefore, this restricted procedure for capitalization actions must be exclusively implemented by Lead Partners of the projects of the First Call for Standard Projects.

The procedure for implementing capitalization actions is implemented in four main phases described below:



## 2. ASSESSMENT PROCEDURE OF RESULTS, TO BE CAPITALISED

At the end of 2021, all projects of the first standard call, except one, have closed all their activities and have reported them to the Joint Secretariat, which has processed the related reports and assessed them in compliance with a project closure procedure (programme manual fact sheet 5.1). In particular, the last Joint Progress Report (at least its first part) and Final Report include all relevant information on the deliverable, outputs and results achieved.

Additionally, the programme has also been subject to an on-going evaluation through an external expert, which has focused also on the outputs, results and target groups reached by the projects, and which provides significant indications.

Therefore, it is possible to draw precise quality assessments on the results achieved by each first call project, according to the suitability and performance criteria below, which have been approved by the Joint Monitoring Committee **on 4 February 2022**.

The assessment will be based on the next three **performance criteria** (based on quantitative data), scoring in total maximum **40 points**, and two **suitability criteria** (based on qualitative assessment), scoring in total maximum **60 points**, for a total of maximum **100 points**.

### Performance criteria (*automatic calculated*)

CRITERIA	Description	Score
<b>2) Spending level at project closure</b>	Closed projects will have reached a percentage of the allocated budget. Project with the highest percentage reached (PP) will receive 15 points, the lowest percentage will receive 0 points. The score of each project will be automatically calculated as a proportion on the percentage reached by each project (pp) with the highest percentage (PP) i.e. <u>Spending score = (pp*15) / PP</u>	Max. 15

<b>3) Timely delivery</b>	Projects were closed (last JPR submitted to JS) with a number of delay days from the original end date (i.e. instead of 30/06/2019, 31/12/2020). The project with the lowest number of delay days will receive 15 points, that with the highest number of delay days, 0 points. To have a progressive ranking list, the reference no. for calculation is the sum of all delay days of projects with higher no. of delay days. The score of each project will be automatically calculated as a proportion on its reference no. (pp) with the reference no. of the best project (PP) i.e. $\text{Time score} = (\text{pp} * 15) / \text{PP}$ .	Max. 15
<b>4) Visibility of results</b>	Projects were closed (last JPR submitted to JS) reaching specific communication indicators targets. The project with the highest number of website visualizations (data from googleanalytics) + social media followers (data visible in the project <i>facebook</i> account -or <i>twitter</i> , if a project has no <i>facebook</i> -) at the day, when the visibility data is collected, receives 10 points, that with the lowest number, 0 points. The score of each project will be automatically calculated as a proportion on the no. of targets reached by each project (pp) with the highest no. of targets reached by a project (PP) i.e. $\text{Visibility score} = (\text{pp} * 10) / \text{PP}$	Max. 10
<b>TOTAL SCORE</b>		<b>Max. 40</b>

After the application of the performance criteria, a preliminary list is going to be shared with the Joint Steering Committee (JSC), whose member are appointed by the Head of the National Delegations of the Joint Monitoring Committee (JMC), in order to facilitate the qualitative assessment.

#### Suitability criteria

CRITERIA	Description	JS score	External evaluator's score	JSC score
<b>1) Suitability to capitalisation</b>	How far are the results or single outputs mature to be capitalised on, i.e. they may be either a) validated, b) tested, or c) organisations may be identified, willing to adapt and use them?	Max. 15	n.a.	Max. 15
<b>2) Partners and target groups involvement</b>	How far was the partnership committed and the cooperation sustainable at project completion, as well as how far was the partnership capable to engage their target groups?	Max. 10	Max. 10	Max. 10
<b>TOTAL SCORE</b>		<b>Max. 60</b>		

#### Scale:

##### SCALE 0 TO 10 (15)

<b>8,1 (12,1) to 10 (15) =</b>	The result, as reported, fulfils the given criterion to an excellent level and the provided information is sufficient, clear and coherent for assessing the criterion.
<b>5,1 (7,6) to 8,0 (12) =</b>	The result, as reported, fulfils the given criterion to a sufficient level, however, some aspects of the given criterion have not been met fully or not explained in full clarity or detail.
<b>1,1 (1,6) to 5,0 (7,5) =</b>	The result, as reported, has serious shortcomings in fulfilling the given criterion and/or the provided information is of low quality.

<b>0 to 1,0 (1,5) =</b>	The result, as reported, does not fulfil the given criterion.
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**If the project has already been capitalized within the thematic or targeted calls, the score is 0 (zero).**

The points are scored by the assessors with one decimal number. After the suitability assessment by the JS and by the external evaluator, the JSC is going to be convened by the JS, to jointly agree on the JSC assessment. The final capitalisation ranking list will be approved through decision by the Joint Monitoring Committee.

Accordingly, it will be published on the Programme website ([www.italy-albania-montenegro.eu](http://www.italy-albania-montenegro.eu)) like this:

**CAPITALISATION RANKING LIST (from highest to lowest total score)**

Project acronym	€ level	Time	Comm	JS score	Evaluator score	JSC score	Total score approved by JMC

### 3. INDICATIVE FINANCIAL RESOURCES AND INVOLVEMENT OF PARTNERS

**Indicative provisional financial resources** currently estimated in the four axes:

- P.A. 1 : approximately more than 300.000 € (amount on-going increasing with project closures)
- P.A. 2 : currently fully allocated to normal targeted projects (on-going changing with project closures)
- P.A. 3 : approximately more than 100.000 € (amount on-going increasing with project closures)
- P.A. 4 : approximately more than 300.000 € (amount on-going increasing with project closures)

These **are NOT all resources available**, because additional resources may be identified in the coming months, from saving resulting from closed and on-going projects.

Capitalisation actions for a value of **maximum 100.000 €** per project, including IPA and national co-financing, may be financed.

These are the steps for the definition of additional financial resources:

- 1) As soon as savings are confirmed by the Lead Partners of closed or on-going projects, which cover at least 80% of the maximum amount of the small-scale capitalization actions, i.e. 80.000 €, the Managing Authority proposes through an email note to the Lead Partner of the first project at the top of the capitalization ranking list, the opportunity to develop a small-scale capitalization actions, through fixed outputs previously defined for small-scale projects (either workshops or B2B meetings), while having as main objective:
  - a) Test or validation of the relevant results of the closed standard project;
  - b) Identification of potential users, whom the relevant results may be transferred to.
- 2) Within **10 working days** the lead partner, who confirms the interest in participating, shall develop a concept note on the template enclosed (annex 1). This note has to be informally consulted with the partnership and submitted via email note to the Managing Authority. At least one of the partners, in compliance with art. 39 (2) of the IPA IR<sup>1</sup>, shall be interested and in the position to implement at least one output, i.e. neither necessarily the Lead Partner, nor each and every partner must implement one or more outputs. Only the interested partner/s, who shall have had a sufficiently good performance during

<sup>1</sup> IPA IR (EU) 447/2014 art. 39 (2): "Selected operations shall involve beneficiaries from at least two participating countries, at least one of which shall be from a Member State. An operation may be implemented in a single participating country, provided that cross-border impacts and benefits are identified."

project implementation, implement/s one or more outputs in the country, where they are located, while still ensuring involvement of the other project partners from at least another country. If no partner is interested, the lead partner either reject in writing or the rejection is provided through silent consent, **after 20 working days** from the MA note.

- 3) Within **10 working days** from receipt of the concept note, the Joint Secretariat assesses and negotiates with the Lead Partner suitable adaptations of the proposed actions, resulting in a final concept note.
- 4) The Managing Authority submits to the Joint Monitoring Committee, **for approval through written procedure**, the **savings** made available resulting from the spending, the **budget** for the capitalization actions, as well as the final version of the **concept note**, resulting from the negotiation. Starting from the date of the JMC decision, capitalization actions (outputs of the lump sum, such as workshop, B2B events, as described below) are eligible.
- 5) On the basis of this decision, the Managing Authority de-commits the resources resulting from savings, and commits them to the capitalization actions. Accordingly, a subsidy contract is signed with the lead partner.
- 6) The project lead partner submits a small-scale project for capitalization actions on the eMS platform, in order to start reporting. All capitalization activities are implemented **until 31/12/2022** at the latest, except for force majeure cases.

#### 4. USE OF SIMPLIFIED COST OPTIONS

According to a methodology previously applied to Small-Scale projects and extended to all Projects with the decision of the Joint Monitoring Committee through the 27<sup>th</sup> Written Procedure, workshops / B2Bs may be financed as typical outputs to implement the capitalization actions. Accordingly, through workshops or B2Bs and **all ancillary activities** necessary for these outputs, partners may efficiently capitalise on their 2014-2020 results, while:

- a) train/advice/support target groups, to **test and validate** these results;
- b) promoting/displaying/applying these results with the target groups, who may decide to adapt and re-use them, therefore aiming **at identifying potential re-users**.

In the framework of these objectives, the identification of connections with other initiatives, EU Programmes (such as ADRIAN e.g.) or to EUSAIR, or the contribution to the 2021-2027 programme, are going to be included within the capitalization actions and described accordingly.

##### Eligibility rules

The dedicated **Capitalisation Actions** grants shall exclusively take the form of reimbursement of eligible costs declared by beneficiaries on the basis of **a lump sum**.

Several lump sums could be combined to cover different activities, and to contribute to the total amount of the capitalization actions, i.e. up to maximum 100.000 € per project, including IPA and National Co-financing.

In compliance with art. 67 (4) of CPR Reg. (EU) No. 1303/2013 **Capitalisation Actions** implemented **exclusively** through public procurement are not admitted, therefore the partner has to provide evidence of the participation of own staff in the activities, at least with the participation in the event itself.

Other than the documentation to prove the reality and existence of the output, no supporting administrative documents have to be provided for the real costs during the reporting. Therefore, emphasis is put on the output, to prove that activity took place in the planned way. Once the activity has taken place it will be reported. If the output for the activity is reached completely, the project will be reimbursed with the full amount that was budgeted.

The **Capitalisation Actions**, such as e.g. implementation of thematic masterclasses, peer reviews, demonstration activities, solution-testing activities, live exercise activities, development of “Papers”, describing e.g. the update of the plans/ solutions of the project, the thematic contribution that the project could give to the EUSAIR Flagships or to the 2021-2027 priorities, updates of platforms data and operability produced within the project, implementation of study visits to showcase best practices identified and to raise awareness on the topics addressed, implementation of dedicated programmes to engage stakeholders and cluster demonstration activities, etc. **are covered by two typologies of lump sums** as follow:

1. Workshop, seminars and conferences
2. Incoming missions & B2B meetings

### 1. Workshop, seminars and conferences

The eligible costs are linked to the organisation of events, meetings, seminars, conferences, debates, in particular costs relating to organisation, renting rooms, interpretation, travel, subsistence and accommodation, experts, etc.

The types of costs covered by the lump sum “Workshop, seminars and Conferences” are:

- executive planning of the event (staff cost + external expertise)
- logistical assistance
- fee for speakers, including travel and accommodation
- rental services and setting up locations
- kit-event realization, manuals, video tutorials etc.
- hostess service
- interpreter service
- catering service
- operational secretary, including travel and accommodation
- preparation and implementation of the promotion campaign for the event
- event follow-up (reporting, evaluation, press releases, etc.)
- **any other ancillary activities necessary** to reach the capitalization objectives.

Projects are entitled to receive reimbursement in the form of a lump sum in the total amount **set in the table below, relating to at least 1 day and at least 40 participants per event.**

During the preparation, implementation and follow-up of the meetings the partners shall prove that sufficient quality standards are ensured (e.g. involving qualified experts, facilitators, ensuring sufficient services for participants, outcomes of the meeting duly documented, participants satisfaction questionnaire, etc.), which allows for achieving the project goals, outputs and results. This means that the Joint Secretariat shall be in the position to verify with project reports that the outputs and results are achieved in the expected quality in a reasonable way. In particular, an assessment by participants (through questionnaires e.g.), or external experts, or equivalent, is required.

In case of **COVID-19 restrictions** and to ensure the joint implementation principle of cooperation projects, a participation of persons from other countries may be also ensured online, while the minimum no. of participants in person shall be kept. At the same time, the minimum no. of participants / day (40 pax / 1 day) may be reached as a sum of several days participation, to comply with the meeting restrictions in place.

## Management verifications

The objective of management verifications in case of the workshop, seminar and conference lump sum is to verify that these events occurred in reality, i.e. that they existed.

The proof that the events took place, as output of a number of activities performed by the beneficiaries, is verified:

- during the implementation phase, i.e. the JS, MA, National Authorities and National Info Points staff are invited to participate in all events planned with at least one-month notice. At least at one event per project, and without prior notice, a member of the JS, MA, National Authorities and National Info Points shall on-the-spot verify the existence of the event and fill in a report to be uploaded with the concerned project report;
- at reporting, i.e. the persons in charge at the JS and at the Managing Authority shall verify the event documentation and request additional proof, if needed.

Event documentation shall be produced and uploaded with the project report and include at least:

- Documents produced during the preparation of the event: Agenda, invitation, participant lists, event poster, news, publications, studies, etc.. A sufficient evidence shall be provided in order to prove to a reasonable extent that the events was well prepared and communicated beforehand.
- Documents produced during the event: Signature lists, photo and video materials, social media and media coverage, etc.. A sufficient evidence shall be provided in order to prove to a reasonable extent that the events took place.
- Documents produced after the event: Minutes, Summary, Conference proceedings, meeting evaluation forms filled in, signed memorandum of understanding, etc. A sufficient evidence shall be provided in order to prove to a reasonable extent that the events was followed-up on.

Instead of the National Controllers, the Managing Authority, supported by the JS and the National Info Points, is performing and confirming the verification of reality and existence.

## 2. Incoming missions & B2B meetings

The types of costs to be covered by the lump sum “Incoming mission & B2B meetings” are:

- incoming activities, including travel and accommodation
- logistical assistance for operators of economic activities
- rental services and setting up locations
- hostess service
- interpreter service
- catering service
- operational secretary, including travel and accommodation
- preparation and implementation of the promotion campaign for the event
- event follow-up (reporting, evaluation, press releases, etc.)
- **any other ancillary activities necessary** to reach the capitalization objectives.

Projects are entitled to receive reimbursement in the form of a lump sum in the total amount **set in the table below, for at least 1 meeting with 10 economic operators.**

Unlike workshops, seminars and conferences, which primarily aim at increasing knowledge, skills and competences of participants, B2Bs primarily aim at increasing the interaction among economic

operators, especially SMEs, while bringing together individuals of different countries.

During the preparation, implementation and follow-up of the incoming missions and B2B the partners shall prove that sufficient quality standards are ensured (e.g. involving qualified experts, ensuring sufficient services for participants, outcomes of the meeting duly documented, participants satisfaction questionnaire, etc.), which allows for achieving the project goals, outputs and results. This means that the Joint Secretariat shall be in the position to verify with project reports that the outputs and results are achieved in the expected quality in a reasonable way. In particular, an assessment by participants (through questionnaires, e.g.), or external experts, or equivalent, is required.

Even if **COVID-19 restrictions** are in place, B2Bs include incoming missions, i.e. intensive interaction and exchange between economic operators of different countries, which must to be proved by the partners. It is advisable to contact the Joint Secretariat in all cases planned incoming missions become impossible for force majeure and equivalent methodologies become necessary.

### Management verifications

The objective of management verifications in case of the incoming missions & B2B meetings lump sum is to verify that these events occurred in reality, i.e. that they existed.

The proof that the events took place, as output of a number of activities performed by the beneficiaries, is verified exactly like for the workshop, seminar and conference lump sum.

Instead of the National Controllers, the JS, MA, National Authorities and National Info Points staff is performing and confirming the verification of reality and existence.

### Applicable lump sum amounts

In order to take into account the different costs of living in the three countries, adjustments are necessary through the application of a country correction coefficients.

Using country correction coefficients, the Lump Sums of Workshop, seminars and conferences and Incoming missions & B2B meetings, become respectively:

	<b>Italy</b>	<b>Albania</b>	<b>Montenegro</b>
	Total (IPA contribution + National co-financing)	Total (IPA contribution + National co-financing)	Total (IPA contribution + National co-financing)
<b>Workshop, seminars and conferences (amount for single event)</b>	EUR 17.000	EUR 12.000	EUR 11.000
<b>Incoming missions &amp; B2B meetings (amount for single event)</b>	EUR 21.000	EUR 15.000	EUR 13.000

Costs declared as a lump sum shall be eligible if they correspond to the lump sum set out in the estimated budget for the activity and if the corresponding tasks or parts of the action have been properly implemented in accordance with Application Form.

Each lump sum should be named with a unique, identifiable name; the same name should be used in the project budget.

Detailed information should be given on the content and costs foreseen for the lump sum, per work

package and beneficiary.

Through the project report each beneficiary certifies that:

- the information provided is full, reliable and true;
- the work packages have been completed and that the action in general has been properly implemented;
- the proper implementation can be substantiated by adequate records and supporting documentation that will be produced upon request or in the context of checks, reviews, audits and investigations.

### Co-financing

The EU contribution to projects shall be up to 85% of eligible expenditure, while 15% shall be provided according to the national systems. Concerning Italy, the national co-financing is guaranteed to public partners by CIPE Resolution n. 10 of 28 of January 2015. The national co-financing is not provided to eligible private partners, which have to contribute to projects' proposals with their own resources. For Albania and Montenegro, each partner is obliged to provide co-financing at project's level.

### Project duration and milestones

The project duration is maximum **six months** from the project start date. The outputs shall be implemented within the project duration.

The project duration may be extended by the Managing Authority for **three months** in duly justified cases and for reasons, which are not connected to failures in project management.

The achievement of the specific output, foreseen for the release of the lump sum, represent the milestone. At the achievement of the milestone, the lead partners may submit a joint progress report, but for a more efficient management, it is advisable to report more than one output in a single report, instead of one output per report.

### Preparation costs and pre-financing

No preparation costs are eligible, because the procedure is extremely simplified, through the assessment of already submitted reports and through the simplified concept note, simplified budget, as well as because the partnership is already established and no eligibility documentation needs to be collected by the partners.

Because of the maturity of partnerships and the low amounts concerned, no pre-financing is foreseen, but the Managing Authority commits to reimburse in the shortest possible time frame, to ensure sufficient cash flow.

### Open ranking list

The outcome of the assessment shall be an open ranking list, which is going to be valid until all funds of the programme are absorbed. This means, that in case funds become available in a specific objective, e.g. because of standard and targeted project savings or thematic project allocation not fully absorbed, the next project of the list is going to be financed.

### Location of the operation

On the Programme eligible area, art. 44 of the IPA Implementing Regulation (Commission Implementing Regulation no. (EU) No 447/2014) is applicable.

In compliance with art. 39 of the IPA I.R. (EU) No 447/2014, capitalization actions shall involve project partners from at least two participating countries, at least one from Italy. An operation may be implemented in a single country, provided that cross-border impacts and benefits are identified.

## 5. ADDITIONAL INFORMATION

More information about the content of the CP, the specific conditions, the assessment procedure, the as well as other relevant information are available at [www.italy-albania-montenegro.eu](http://www.italy-albania-montenegro.eu), or via email at: [js@italy-albania-montenegro.eu](mailto:js@italy-albania-montenegro.eu).

## 6. RESPONSIBILITY FOR THE PROCEDURE

According to the Interreg IPA CBC Italy-Albania-Montenegro Programme, responsibility for the administrative procedures of this Call for proposals lays on Puglia Region, in the person of the Director of the Managing Authority Office.

## 7. ENCLOSURES

- Annex 1: Simplified concept note template

## ANNEX 1 - SIMPLIFIED CONCEPT NOTE TEMPLATE

In principle, this concept note should not exceed two A4 maximum, with character size 10.

<b>1 Original standard project acronym</b>		<b>2 Original standard project no.</b>	
<b>3 Lead partner organization name (EN)</b>		<b>4 Contact person name &amp; email</b>	

**5 Capitalisation need and achieved results, which need to be capitalized on**  
*What and how far are achieved results ready to be a) tested/validated or b) which potential users may be identified? What outputs, results and how far are they sufficiently mature for this?*

...

**6 Capitalisation objectives and activities**  
*6.1. Partners to explain how they intend to either a) Test or validate of the relevant results of the closed standard project; or b) Identify potential users, whom the relevant results may be transferred to in the future. Other capitalization objectives may be functional to reaching these main objectives.*  
*6. 2 Please describe also how connections with other initiatives, EU Programmes (such as ADRION e.g.) or to EUSAIR, or the contribution to the 2021-2027 programme are going to be identified.*  
*6.3 Explain what activities will be implemented to reach capitalization objectives and identify the target groups*

...

7 Lump sum outputs				
7a Partner	7b No. Workshops	7c Amount (as for partner's country location)	7d No. B2Bs	7f Amount (as for partner's country location)
LP	...	€ ...	...	€ ...
PP1				
PP2				
PP3				
PP4				
PP5				
PP6				
<b>TOTAL</b>	...	€ ...	...	€ ...

\* Lump sum amounts are fixed (see methodology), according to the country of the partner, where the activity shall be located. The budget is therefore automatically calculated according to the number of outputs. Maximum 100.000 total budget/project.

8 Indicative timetable and methodology			8d MONTH of implementation					
8a Single output (workshop or B2B + country location)	8b Indicative methodology to a) test/validate or b) identify users (see examples of activities in the procedure)	8c Partner	1	2	3	4	5	6

Hereby, in the function of legal representative of the organization of the lead partner (as set in point no. 1 above), I confirm that this concept note has been consulted with all project partners and I declare the interest of my organization to negotiate these actions with the Managing Authority/Joint Secretariat of the Interreg IPA CBC Italy-Albania-Montenegro programme.

I hereby delegate ..... (name and surname of the delegate), to represent me in the negotiation with the Managing Authority/Joint Secretariat.

In compliance with the GDPR (EU) 2016/679, I give the consent to use this data for the purposes of the restricted procedure.

\_\_\_\_\_  
Name/Surname

\_\_\_\_\_  
Place/Date

Enclosure: Copy of the ID of the signing person