

# Management and Implementation bodies of funding programmes – EU and Slovakia case

Albania: National Convention on European Integration (WG IV)  
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**Vladimír Benč**

e-mail: [benc@sfpa.sk](mailto:benc@sfpa.sk), [vbenc@worldbank.org](mailto:vbenc@worldbank.org)

web: [www.sfpa.sk](http://www.sfpa.sk)



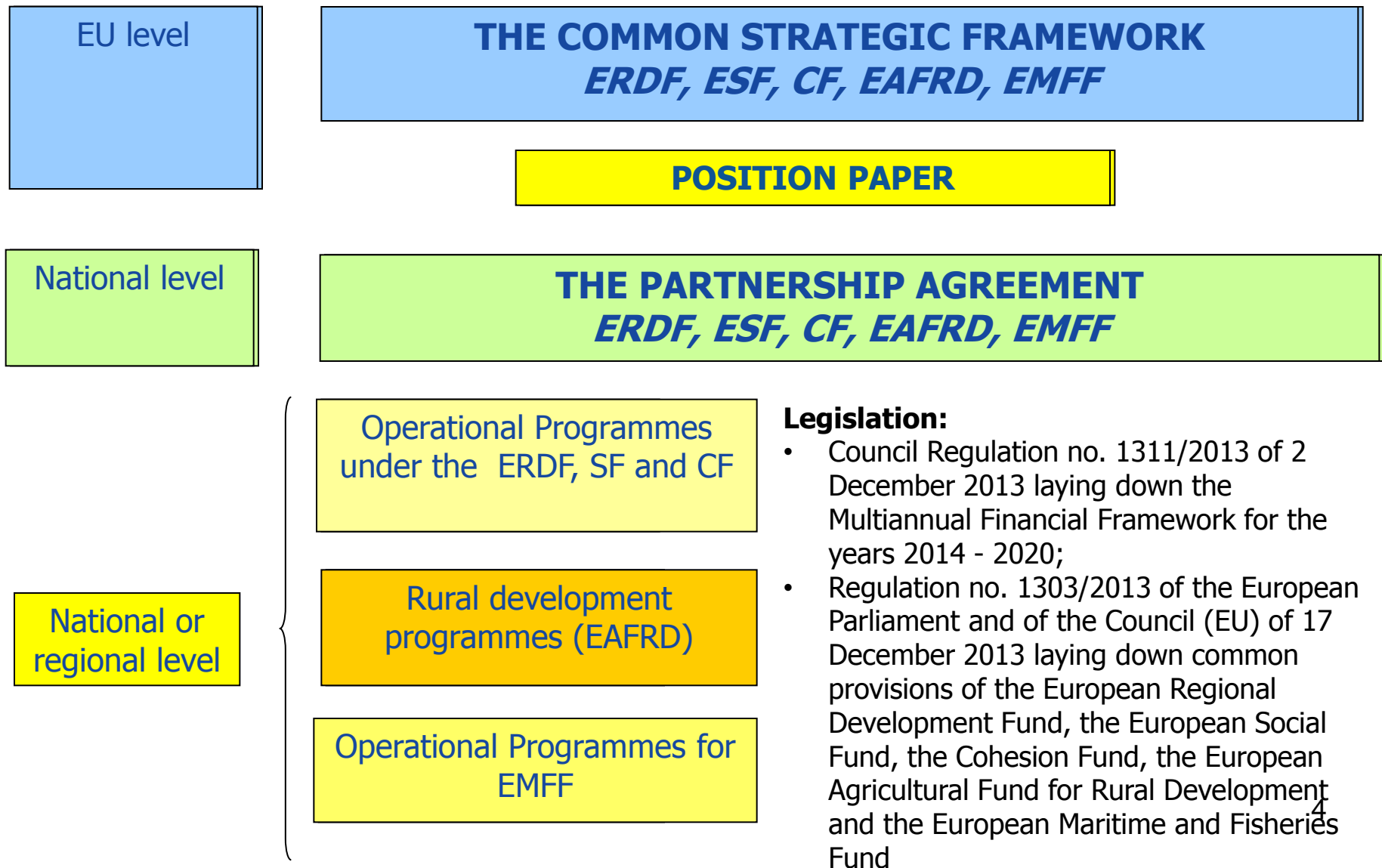
# Content

- Introduction
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- Organisation and functioning of a managing authority
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- Q & A / Discussion

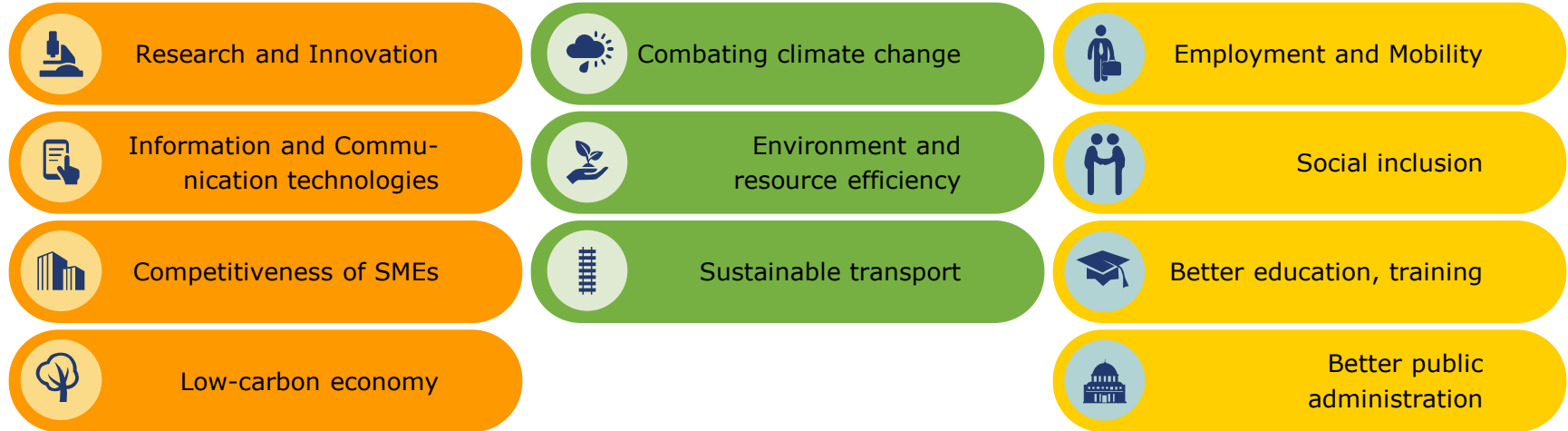
# Policy decisions at the EU level

- A set of legislative proposals for EU cohesion policy post-2020, including e.g. a proposal for a Regulation on the post-2020 European Regional Development Fund and the Cohesion Fund (29 May 2018, the European Commission)
- The political agreement of 10 November 2020 between the European Parliament, EU Member States in the Council as well as the Commission on the next long-term EU budget and NextGenerationEU
- The legal adoption of the Multiannual Financial Framework (MFF) Regulation, and the NextGeneration EU regulation (22 December 2020)
- Link between Cohesion Policy and the European Semester, to create a growth- and business-friendly environment in Europe:
  - the Commission undertakes a detailed analysis of each Member States' budgetary plan, its macroeconomic challenges and needs for structural reforms. It then provides national governments with proposals for Country-Specific Recommendations for the next 12-18 months. Latest for Slovakia available here: <https://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1591720698631&uri=CELEX%3A52020DC0525>
- Ensure full complementarity and coordination with the Reform Support Programme and the European Investment Stabilisation Function (EC, 31 May 2018, info available here: [https://ec.europa.eu/commission/presscorner/detail/en/MEMO\\_18\\_3971](https://ec.europa.eu/commission/presscorner/detail/en/MEMO_18_3971)

# Programming & Legislation 2014-2020



# 11 thematic objectives for 2014-2020



## 5 objectives for 2021-2027

- **Smarter Europe**, through innovation, digitisation, economic transformation and support to small and medium-sized businesses;
- a **Greener, carbon free Europe**, implementing the Paris Agreement and investing in energy transition, renewables and the fight against climate change;
- a more **Connected Europe**, with strategic transport and digital networks;
- a more **Social Europe**, delivering on the European Pillar of Social Rights and supporting quality employment, education, skills, social inclusion and equal access to healthcare;
- a **Europe closer to citizens**, by supporting locally-led development strategies and sustainable urban development across the EU.

# Policy decisions at the national level

- Act no. 292/2014 on grants from the European Structural and Investment Funds
- Government of the Slovak Republic
  - a) ensures the coordination of the provision of the ESIF contribution by determining
    - Managing Authority (also number of Operational Programs),
    - On the proposal of the Managing Authority, the Intermediate Body,
    - Payment unit
    - Audit authority
  - b) approves
    - Partnership Agreement of the Slovak Republic before sending to the European Commission
    - Operational program and Rural development program before sending to the European Commission
    - the ESIF management system, the Financial management system and the System for the protection of the European Union's financial interests

# Programming - the Partnership Agreement

- The Partnership Agreement (PA)
  - the main strategic document prepared together with partners in accordance with the multilevel management approach.
  - sets out the strategy, priorities and conditions of the SR in order to use the ESIF efficiently and effectively with the aim to follow the EU strategy for ensuring smart, sustainable and inclusive growth.
- Mandatory content of the PA is set out in article 15 of the Regulation no. 1303/2013 of the European Parliament and of the Council (EU) of 17 December 2013
- Elements of the PA subject to EC decision may be amended in particular when there have been changes at programming level:
  - a) in analysis of gaps and needs in the area of potential growth and territorial calls, the National Reform Programme of the SR, specific recommendations of the Council,
  - b) in selected thematic objectives and expected results,
  - c) in allocation of support according to thematic objectives at national level, e.g. due to reallocation of performance reserve on the basis of performance review, as well as the total indicative amount of support for goals related to climate changes.
- PAs are available at: [https://ec.europa.eu/info/publications/partnership-agreements-european-structural-and-investment-funds\\_en](https://ec.europa.eu/info/publications/partnership-agreements-european-structural-and-investment-funds_en)

# Management and implementation

- Entities Participating in Management and Control at Strategic Level
  - Central Coordination Authority, Audit Authority, Certifying Authority, Coordinators of Horizontal Principles, Financial Interests Protection Body
  - Ministry of Foreign and European Affairs of the SR
  - National Monitoring Committee
  - Coordination Committee for Cooperation in Public Procurement Control
- Entities Participating in Management and Control at Program Level
  - Managing Authority
  - Intermediate Body
  - Monitoring Committee

Authority/body	Name of the authority/body, and department or unit
<b>Central Coordination Authority</b>	Ministry of Investments, Regional Development and Informatization of the Slovak Republic
<b>Managing authority (case of IROP)</b>	Ministry of Agriculture and Rural Development of the SR
<b>Intermediate bodies under managing authority (case of IROP)</b>	Ministry of Culture of the SR
	Ministry of Healthcare of the SR
	8 High Territorial Units
	8 Municipalities – Regional Capitals
<b>Certifying authority</b>	Ministry of Finance of the SR, Section of EU funds
<b>Audit authority</b>	Ministry of Finance of the SR, Section of audit and control
<b>Body to whom payments is made by the Commission</b>	Ministry of Finance of the SR



# Central Coordination Authority - roles

- ensures drawing up of the PA and perform any activities related to amendments thereto
- coordinates and guides entities in the area of the ESIF management system
- draw up the ESI Funds Management System
- issues templates of forms, outputs and inputs in individual processes, methodological instructions, methodological interpretations and exemptions from the ESIF Management System
- issues a template of the contract on provision of a grant ("Grant Contract"), and template of a written contract between the MA and the IB
- ensures creation of ITMS2014+ system and carry out tasks linked to operation thereof
- prepares a communication strategy template for OP and ensures publicity of OPs
- monitor and evaluate the results of the ESIF implementation
- draw up opinions and standpoints of the SR on legislative and strategic EU documents concerning cohesion policy; coordinate and draw up legislative, strategic and conceptual documents concerning cohesion policy in the SR
- draw up a Statute and Rules of Procedure of the National Monitoring Committee, and is in charge of activities of the NMC secretariat, coordinate the work thereof and organise NMC meetings
- create a system framework to support institutional development and building of administrative capacities of the entities participating in the implementation process
- informs the government of the SR semi-annually about implementation of the ESIF
- and many others: more info available at <https://www.partnerskadohoda.gov.sk/>

# National Monitoring Committee

- Members: the NMC chairperson is a member of the government of the SR responsible for coordination of the use of the ESIF + the NMC members are representatives of the MA of the OP, representatives of HP coordinators, representative of the CCA, the CA, UCCP OLAF, representatives of regional and local selfgovernments or self-government associations, economic and social partners and NGOs representing civil society.
- Role: regular monitoring and evaluation of implementation of the cohesion policy goals and evaluation of effectivity of the activities pertaining to provision of grants from the ESIF:
  - monitor achievement of target values of measurable indicators, including milestones set out in the performance framework
  - acknowledge the Report on the ESI Funds Implementation Status
  - approve the plan of the ESIF/PA evaluation drawn up by the CCA
  - acknowledge proposed re-allocations of funds and subsequent review of PA and relevant OP
  - acknowledge information on implementation of the youth employment initiative, regional territorial development strategies, including sustainable urban development and community-led local development, financial instruments within relevant OP, and so forth

# Managing Authority

- MA is a state administration body or a regional self-government body appointed by the government of the SR to implement OP.
- In case of the Slovak Republic, MA is also a Contracting authority.
- Roles & tasks:
  - ensure drawing up and reviewing of documentation at programming and project level, incl. drawing up a manual of procedures
  - is entitled to delegate to the IB management of a part of the OP after verification of fulfilment of the conditions of solvency, competence in the relevant area, administrative capacity and financial management
  - be responsible for implementation and maintenance of an appropriate OP management and control system
  - continually monitor and analyse publicised information or suggestions of other entities pertaining to the relevant OP (e.g. via press departments of central state administration bodies performing the tasks of the MA) and send the outcomes of the monitoring on quarterly basis to the CCA
  - set up a Monitoring Committee for OP
  - cooperate with the HP coordinator to duly reflect implementation of HPs in OP
  - be entitled to request cooperation of the beneficiary, partner, user, supplier or other entities when performing its tasks
  - be entitled to set up working groups in order to ensure efficient implementation of OP or of a part thereof (e.g. for the purpose of preparing and implementing an integrated approach to territorial development)
  - perform other tasks resulting from applicable EU and national legal regulations, the Financial Management System and other relevant documents

# MA: functions and procedures I.

- **Steering Documentation at Operational Programme Level**
  - Manual of Procedures, Management and Control System Description, Support Schemes (rules for state aid or de minimis aid)
- **Steering Documentation for Project Selection and Implementation**
  - Project Charter Form, Application for Grant Form, General conditions for provision of a grant (Legal form/Concrete eligible applicant, No tax, health and social insurance debts, etc.)
  - Project Description & Handbook for Applicant
  - Project Selection Criteria & Handbook for Evaluators
  - Handbook for Beneficiary
  - Measurable Indicators at Programme & Project Levels
  - Other Documentation at Project Level (Eligible activities, Conditions of eligibility of expenditure, etc.)
- **Calls**
  - a basic methodological platform for the applicant with regard to submission of project charters/AG.
  - MA shall ensure selection of such projects which shall best contribute to achievement of the goals of the OP concerned
  - projects shall be selected in an one (call for submission of AG) or a two-round (the call for submission of project charters and the call) selection process
- **Selection of Evaluators in the Evaluation Process**

# MA: functions and procedures of Contracting Authority

- After completion of the approval process and selection of suitable projects, it is important that the MA ensures appropriate conditions for due and timely implementation of the projects supported by a grant provided on the basis of the concluded Grant Contract
- The CCA issues a template of the Grant Contract, consisting of 3 parts:
  - a) Grant Contract;
  - b) General contractual conditions pertaining to the Grant Contract;
  - c) Subject of support.
- The MA shall publish the template of the Grant Contract on its website
- The Grant Contract shall set out the rights and obligations of the beneficiary and of the MA during project implementation and during project sustainability period (5 years after the project ends)
- The MA sends a written draft of the Grant Contract and specifies a deadline for acceptance of the draft to the applicant
- Once signed by all parties, the MA ensures publication of the Grant Contract in the Central register of contracts in accordance with the Freedom of Information Act. Day after publication, the Grant Contract comes into effect and the applicant becomes the beneficiary

# Transfer of rights to IB

- Where the MA delegates tasks to IB, prior to signing of the contract the MA shall verify competence of the entity to exercise the rights and obligations of the IB. The following documents shall serve for the purposes of the verification:
  - organisational structure of the IB; assignment of tasks to individual IB departments; number of allocated job positions; written procedure drawn up in order to be used by IB employees; manner of informing potential beneficiaries about the conditions of providing grants where appropriate; conditions of selection of projects for OP implementation where appropriate; administrative control procedures and on-the-spot control procedures where appropriate; procedures for management of accounts and for payments to beneficiaries where appropriate; proof of financial stability where appropriate.
- MA may check fulfilment of the conditions specified in the contract in particular:
  - on the basis of written IB reports requested by the MA;
  - on the basis of audit and control reports;
  - by means of requesting the IB to submit documents concerning performance of tasks and analysing them;
  - by means of inspections of the IB premises or other premises where the IB performs its tasks.
- MA is entitled to withdraw from the contract partially or fully, in particular if shortcomings in performance of tasks are identified, if corrective measures to eliminate them are not adopted by the IB within the time limit defined by the MA, if these measures are insufficient or if the same shortcomings are identified repeatedly.

# Intermediate body

- The IB is a subject appointed by the government of the SR at the proposal of the MA to perform some or all tasks of the MA.
- The IB is a ministry, another central state administration body, self-governing region, municipality or another legal entity having professional, personal and material capacities. Where the IB is not a public administration body, selection of the IB shall be subject to Public Procurement.
- Performance of tasks by the IB in accordance with provisions of the written contract shall not substitute for final responsibility of the MA for proper implementation of the relevant OP! Where a loss incurs when performing or in relation to performing the tasks, the MA may exercise the right of recourse against the IB pursuant to general legal regulations on loss compensation.
- The MA shall have the right to perform controls at all levels of the defined implementation structure.
- Usual roles of the IBs in Slovakia:
  - Programming - creation and/or updating of control documentation for the selection of projects,
  - Monitoring and evaluation - elaboration of documents for the relevant parts of the annual and final report on the implementation of the OP,
  - Selection of projects - assessment of project application, activities connected with professional evaluation of projects and assessment of the quality of submitted applications for the provision of grant,
  - Audits and inspections - activities related to the implementation of all audits and inspections at the project level, incl. on-site inspections,
  - Information and communication - cooperation with the CCA in activities in the field of information and counseling centers.

# If we still have some time ...

**ITMS2014+** <https://www.itms2014.sk/>

A tool for applications, implementation and monitoring of EU funds, serves applicants and MAs/IBs involved in the preparation, administration, selection, control, analysis, monitoring and evaluation of provided funds from the ESI Funds.

The screenshot displays the ITMS2014+ web application interface. The browser address bar shows the URL [itms2014.sk/zonfg-zoznam731](https://www.itms2014.sk/zonfg-zoznam731). The application header includes the ITMS2014+ logo, language settings (DE), a clock showing 69:48, the user's location (Mesto Prešov), the user's name (Vladimir Benč), and a notification for a pending application (Anmeldung mit eB3 (SK)).

The main content area is titled "Förderanträge - Liste" and contains a search bar with the placeholder "Suchbegriff" and a "Code" dropdown. Below the search bar are buttons for "Erstellen" and "Exportieren". The list shows 46 entries. The table below details the first six entries:

Partnerschaft	Code	Projektbezeichnung	Status	Sendeverfahren	Absendedatum und -uhrzeit	Gesamtbetrag der förderfähigen Projektausgaben	Beartragter Förderbetrag
	NFP311070ASH5	Zavádzanie moderných technológií do regulácie dopravy	Engereicht / Odborné hodnotenie		21.12.2020 10:43:33	972 212,67 €	923 602,04 €
	NFP302060ALUS	Implementácia decentralizovaných úloh v rámci IROP v krajskom meste Prešov na obdobie 2019 - 2021	ŽoNFP schválená		4.5.2020 10:58:09	150 805,80 €	143 265,51 €
	NFP302060ALT6	Implementácia decentralizovaných úloh v rámci IROP v krajskom meste Prešov na obdobie 2019 - 2021	Storniert		30.3.2020 10:01:06	150 805,80 €	143 265,51 €
	NFP302040X685	Revitalizácia verejného priestranstva - park medzi ul. Vláda Clementisa a ul. Levočskou	ŽoNFP schválená		19.6.2020 13:34:02	776 819,96 €	737 978,96 €
	NFP302040X696	Revitalizácia VP - Námestie mládeže a Duchnovičovo námestie	Storniert		6.8.2019 08:19:55	583 309,99 €	554 334,49 €
	NFP302040W353	Revitalizácia vnútroblokového priestoru na ul. M. Čulena č. 29-49 - 1. etapa	ŽoNFP schválená		19.6.2020 15:43:21	166 976,24 €	158 627,43 €

The bottom of the screenshot shows the Windows taskbar with various application icons and the system tray displaying the date and time as 16.1.2021, 8:53.



# Useful links

- **ESIF in Slovakia:**
  - <http://www.partnerskadohoda.gov.sk/>
  - <http://www.nsrr.sk/>
  - <https://cohesiondata.ec.europa.eu/countries/SK>
- **Ministry of Investments, Regional Development and Informatization of the Slovak Republic**
  - <https://www.mirri.gov.sk/en/index.html>



Thank you for your attention