

Progress Report Pre-check Tool

Part of the Progress Report check by JTS	Question	COMMENT for pre-check by LB	Checked?
GENERAL CHECK ON DOCUMENTS			
Registration Check	Comparison of paper and Excel version of progress report	Check especially if the data in Financial parts FR1 - FR5 is the same, if the total amounts on List of Expenditures are the same, if all data on Confirmation Page is the same and if all data in AR1 and AR2 is identical in the printed and electronic version.	
	Data on Cover Sheet	Check if project data is valid. Especially if dates of valid versions of Subsidy Contract and Application Form and Date of Project completion are correct. If not, contact the JTS.	
	Data on Contact+Bank info	Check if all the contact data is valid. If you change anything in this part, especially the bank account, please inform the JTS in part AR4 (changes to the general project set up).	
	Number of pages of attachments in line with the attachments received	Confirmation page - check if all attachments are listed and their numbers of pages are inserted, and if they are in line with the number of actually printed pages.	
	Are the <u>confirmation page</u> and the <u>FLC certificates (incl. for shared costs)</u> original documents?	Print outs of scans of those two types of documents will not be accepted by the JTS. Other documents (e.g. approbation certificate; partnership agreement) can be copies / scans.	
Registration Check - Partnership Agreement (1st PR)	Copies delivered for all Partners	Check if copies/scans of the Partnership Agreement are delivered for all partners, or if all partners signed the Partnership Agreement in case there is just one copy.	
	Partner and LB signatures given by authorised persons	Check if the persons signing the Partnership Agreement are the same that are listed in the Application Form, and have signed the Co-Financing statements. If not, please provide scans of the power of attorney (proxy) for those who signed the Agreement.	
	all compulsory paragraphs from Sample Agreement are enclosed	Compare with the Partnership Agreement template (to be found at www.southbaltic.eu) and check whether all compulsory paragraphs are enclosed without any amendments to the text.	
	Sample check: Items recommended in the Programme Manual are enclosed	Compare with Programme Manual, Chapter 9.3, check if the Partnership Agreement regulates the issues listed in the Programme Manual.	
Confirmation page	Confirmation page signed by the authorised person (LB representative)	Check whether the confirmation page is signed by the authorised representative of the LB, and if the signature is in the correct signature area (the area at the bottom of the page). Check also if the name, position, place and date of LB's signature are filled in.	
	The costs not considered in this report (were they agreed with JTS beforehand?)	If any of the partners has filled the area "the following expenditures have not been certified..." on their FLC certificate, this area on confirmation has also to be filled in. Otherwise, insert "n/a" - this cell must not be left empty . The JTS checks whether the costs not considered in the report, and to be reported in later Progress Reports were agreed with the JTS in e-mail correspondence.	
Approbation certificates for decentralised FLC (1st PR)	Delivery of approbation certificates for all partners reporting costs from DE/DK/LT	Check if you have attached the scans/copies of FLC Approbation Certificates from all partners which report costs in the current report and are from Denmark, Germany, Lithuania.	
	Are all the Approbation Certificates signed by the Approbation body?	Check if there is a signature of the Approbation body.	
Partner FLC certificates	FLC Certificates for all partners attached and all white areas completed	Check if you have attached the originals of FLC certificates from all partners which report costs in the current Progress Report. All white areas on the certificate have to be filled in.	
	Correctness of the appropriate/approbed FLC controller signatures	For partners from Denmark, Germany, Lithuania, check whether the controller who signed the FLC certificate is the same for whom you have the approbation certificate.	
	Points 9-11 filled in correctly	If there were any on-the-spot checks during the reporting period, the information about them should be reflected in points 9-11 of the FLC certificate. If there were no on-the-spot checks during the reporting period - the information should stay as in the template.	
	Correctness of completing the area "the following expenditures have not been certified..."	If the project partner is in dispute with the FLC, and the FLC needs more time to perform thorough checks, the costs can be excluded from the current Progress Report and reported in a future Progress Report, with prior consent of the JTS. Such costs have to be described in this area. Their value in national currency should be provided. Otherwise insert "n/a" - this cell must not be left empty!	
	Non shared costs, shared costs and revenue amounts in line with FR3	Check if the values on the certificates are the same as in FR3, respective columns, for each partner.	
	ERDF claimed for partners and total eligible validated costs of partners in line with the confirmation page	Check partner by partner if the values on FLC certificate are the same as in Confirmation Page.	
	On the spot check documentation attached	If the points 9-11 provide information about on-the-spot checks related to this reporting period, please provide JTS with the appropriate documentation (if not already provided) - scans / copies of Annex 9c to the FLC General Principles.	
Shared costs FLC certificates	The FLC certificate(s) for shared costs attached	If any shared costs are reported, check if you have attached the originals of FLC certificates for shared costs.	
	Sum of the FLC certificates for shared costs in line with the confirmation page	Check if all the values on FLC shared costs certificates add up to the sum of shared costs on the confirmation page.	
	Sum of Revenues in line with confirmation / FR3	Check if the sum of the revenues presented on the certificates adds up to the amount of revenues presented in part FR3.	
	Correctness of the appropriate/approbed FLC controller signatures	For partners from Denmark, Germany, Lithuania, check whether the controller who signed the FLC certificate is the same for whom you have the approbation certificate.	
ACTIVITY REPORT			
AR1 & AR2: Checks performed on components 0 - 5	Component description: completeness and quality in relation to the plan from AF	Check if all the activities planned for the reporting period in the timetable are referred to in "Realised activities in the reporting period". Check if the text describes the progress in all activities from the perspective of the project (and not by e.g. repeating information partner by partner). Check whether the information on particular activities answers the questions: what, when, who (which partners) and how (e.g. workshops) and summarises the main outcomes of the implementation of an activity in the reporting period.	
	Accordance of project progress with original plans from AF (e.g. Timetable)	Check if all activities are implemented in accordance with the original plan from the timetable. If not, in the area "differences..." provide short information on the reasons for deviations from plan, when and if the activities are going to be implemented, and how the project is going to counteract the negative impacts of the deviations (if there are any).	
	Accordance of output indicator values with the described progress of component	Check if all output indicators mentioned in the description of activities are also listed in the part "Outputs delivered in the reporting period", AR1.	

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AR1 & AR2: Checks performed on components 0 - 5	Accordance of output indicator values with the "outputs" description	Check if all outputs listed in the part "Outputs delivered in the reporting period", AR1 are also reported in AR2, with the same values.	
	Output indicators achievement rate	AR2: check if the output indicators achievement rate is in line with the plan. If the progress report is one of the later in the project and the achievement rate is outstandingly low, it should be explained in AR1, part "differences...".	
	Justification of all detected differences	The JTS checks whether the justification of differences from original plan detected in the description of activities realised in the current reporting period is presented in the cell "differences...", is satisfactory and justifies the reasons for the differences.	
	The risk for project implementation	The JTS assesses whether the differences from original plan detected throughout checking the component description pose the risk to the further implementation of the project.	
	The measures to counteract negative impacts	The JTS assesses whether the measures to counteract the negative impacts of the differences and to minimise the risk for project implementation are presented in the field "differences..." and are sufficient / satisfactory.	
AR 3	Short summary description of the project	Check if the text well describes your project. The JTS checks whether the text has changed since last Progress Report.	
	Summary of the main achievements of the project so far" gives a proper picture and is publishable	Check whether the text provided here can be published on the southbaltic.eu website: check if the text is reader-friendly, contains no jargon, and is understandable to people who have no expertise in the subject of your project; check if all the important achievements of your project are referenced in the text.	
AR 4	Explanation on differences or missing documents detected in Progress Report	Check whether in the part AR4 there are explanations for different issues that can be found throughout the report (e.g. costs/invoices that are not reported, although activities have been implemented; if some activities were re-scheduled, delayed, or implemented in some other way than originally planned).	
	Risks of problems outlined	If there are serious problems reported, the project should inform if the timely implementation of the whole project is at risk, and provide short information on how it is planned to counteract the potential negative effects of the problems.	
	Described changes to the general project set up	Common examples of the changes that should be described here are: change of contact data of partners, change of LB's bank account, changes of responsibilities between partners, partner drop-outs.	
FINANCIAL REPORT, LIST OF EXPENDITURES, LIST OF REVENUES			
FR1	cumulated spending of eligible costs by now compared to the plan in AF	Check if you have spent between 70 and 120% of the accumulated spending corresponding to the given reporting period, based on time-wise distribution of budget presented in the Application Form, Timetable section. If not, the reasons for underspending or overspending should be explained in AR4 (problems, complaints...), and the project's plan to catch up with the spending should be briefly presented.	
FR2	Spending levels per components and budget lines	Check if there is no overspending in any component or budget line. If there is an overspending or a substantial underspending, this requires short explanation in the part AR4 (problems, complaints...)	
FR3	Cumulative spending level per partner	Check and compare the percentage of spending of the partners. If there are any partners spending outstandingly low in relation to others, this requires a short explanation in the part AR4 (problems, complaints...)	
FR4 - payment forecast	Under or overspending of eligible costs in the next year (according to payment forecast)	Check if the spending plan in the "Indicative payment forecast for the next 4 quarters" added to the current spending ranges between 70 and 120% of the accumulated spending values presented in the Application Form Timetable for the period of year after the current reporting period. In the one before the last Progress Report, check if the spending plan added to the current spending does not exceed the total budget of the project.	
FR5	reimbursement for Partners filled in correctly	Include only the amounts that were distributed to the partners in the given reporting period. If the project received the reimbursement, but has not distributed it between partners, it should not be inserted in this table, and a short explanation should be provided in part AR4 (problems, complaints...)	
List of expenditures	Completeness of the item list	Sample-check the item list - if net amount of the item is filled with a value other than 0, all other cells in this row should be filled in. The cells that always have to be filled in are: "item no." and "Specification of the item". Except staff costs and overhead costs the cells "payment date", "supplier" and "invoice no." should always be filled (the latter two especially in costs of external expertise and services). Important: 1) no cell should be left empty on the list of expenditures if the net amount is other than 0. In case there is no data to provide, please insert "n/a". 2) there can be no negative figures on the list of expenditures (e.g. -200,00). If you wish to correct any costs reported in one of the previous reports, please contact the JTS beforehand as a separate procedure must be applied in such case.	
	Attribution of costs to the reporting period	Check if there are any costs that were (a) paid in previous reporting periods, or (b) their date of payment is later than the end date of the reporting period. In case (a) check if these costs had been agreed with JTS, and if not, provide explanation in part AR4 (problems, complaints...). By definition the costs described in (b) will not be approved by the JTS, unless the project gives a strong justification, and the value of the cost item is substantial (e.g. an enormous cost of tendered services that would affect partner's cash-flow)	
	Payment dates	Sample-check the item list - if the payment date is earlier than the invoice date, please provide a brief explanation in part AR4 (problems, complaints...) with reference to the Partner and item number on the list of expenditures.	
	Project relatedness of costs (to activity report)	Sample-check if all cost items listed on the list of expenditures have a clear description of the "Specification of the item", allowing the item to be attributed to an activity that is described in the part AR1 of the current progress report (e.g. item specification: "travel" would most probably be insufficient, it should also say when and why the travel took place).	
	Random check of coherence between documents at Project and Partner Level.	The lists of expenditures of Partners Progress Reports and the Project Progress Report should be the same. The JTS checks the coherence between documents at Project and Partner level twice in a project lifetime; make sure the items copied from the Partners lists of expenditures are the same at the lists of expenditure of the Project Progress Report.	
	In-depth check of reported voluntary work	Check if the project claimed voluntary work in the Application Form, and if there is any voluntary work reported on the list of expenditures. In case the voluntary work is reported, at least once in the project lifetime the JTS will check the relevant documents in depth.	
	Sample check of allocation of items to Components and Budget lines (performed on each reporting partner)	Sample-check the allocation of items to components and budget lines - read the specification of item and compare it with the attribution to project's component and budget line.	
List of revenues	The project relatedness of costs (to activity report)	In case the revenue is to be reported, please contact the JTS beforehand to be sure the created income is indeed a revenue.	

South Baltic Cross-border Co-operation Programme 2007-2013 Project Progress Report Pre-check Tool

How to use

Dear Lead Beneficiary,

1. Please note that this Pre-check Tool is provided by the JTS for your convenience, to enable you to pre-check the Project Progress Report before sending it to the JTS.

It is NOT OBLIGATORY to use this Pre-check Tool. This tool DOES NOT constitute an integral part of the progress report and SHOULD NOT be printed and attached to the Progress Report. It SHOULD NOT be presented to the JTS in any way. The JTS provides NO helpdesk or service with relation to this tool,

e.g. the JTS will not further interpret or clarify the meaning of the particular checks or the consequences of the project's non-compliance with particular checks on demand of the project.

The JTS provides technical information only with regards to the Project Progress Report template

2. This Pre-check Tool is based on the checklist used by the JTS to check the Project Progress Reports. It contains the checks that are the most crucial from the point of view of the Programme bodies, and the ones that are the source of most errors in the Project Progress Reports. However, the Pre-check Tool does not contain all the checks performed by the JTS on your Project Progress Report, therefore even if all checks are positive you may still be asked additional questions to the Project Progress Report, even to the parts of the Project Progress Report that you positively validated in this Pre-check tool.

3. By providing this Pre-check Tool the JTS hopes that with the use of this tool the Lead Beneficiaries can eliminate majority of the common errors before sending the Progress Report to the JTS, which should shorten the clarification process and smoothen the reporting.

However the JTS DOES NOT PROMISE that if a project uses the Pre-check Tool its clarification and reimbursement time will be shorter than for other projects or shorter than average.

4. The Excel file containing the tool is not password protected, and any part of it can be amended to serve the Lead Beneficiary's needs. In particular the Lead Beneficiary can add its own checks or delete some of the checks if these prove not necessary.

5. Please note that this Pre-check tool is only an unofficial addition to the main Programme documents regulating the reporting process:

For further information on how to fill in and submit the progress report as well as the required attachments, please read the "**Practical guidelines for compiling the Project Progress Report**".

In addition, the **Programme Manual** and **FAQ section at the programme website** provide more in depth information, especially regarding the programme-specific and relevant national eligibility rules.

All these documents can also be found at the **programme website**.

Joint Technical Secretariat

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