

## Annex 1 – Detailed Conclusions and Recommendations<sup>68</sup>

Societal Level				
Conclusions	Recommendations	Responsible	Implementation Modalities	Time Line
1. Multi-annual budgeting system brought into the public agenda close to the country's EU accession and still not in place will continue to pose limitations and constraints in terms of ensuring SI projects co-finance, sustainability and long-term impact. This affects beneficiary project management capacity, especially from the perspective of mobilizing financial resources and estimating long-term effects ( <i>ref. 36, 219</i> ).	1.1 Widen the public debate on the issue and initiate a draft law on multi-annual budgeting.	ACIS, MoPF	Inviting and engaging all relevant stakeholders in this debate. A panel of experts might assist ACIS in this attempt.	Immediately
2. Temporarily declaring as non-eligible expenditures with salaries of the researchers is hampering the pace of SI projects implementation in that sector, which proves to be the most functional in terms of absorption ( <i>ref. 43, 220</i> ).	2.1 Increase level of cooperation in order to ensure a correct interpretation and enforcement of the legal framework addressing this issue.	ACIS, MA HRD SOP	Consultations assisted by legal advisors.	Immediately
3. VAT recovery is a factor with major influence on beneficiary capacity to mobilise financial resources, either because it affects the cash flow of the project or the capacity to propose	3.1 Provide support to beneficiaries in order to strengthen their capacity to request VAT recovery.	ACIS ad MAs	Training sessions or dedicated informative sessions	Recurrent (annual) or soon after contracting

<sup>68</sup> References in the 'Conclusions' column indicate the numbered paragraphs in Sections 2 and 3 of the report.

<b>Conclusions</b>	<b>Recommendations</b>	<b>Responsible</b>	<b>Implementation Modalities</b>	<b>Time Line</b>
additional projects ( <i>ref. 38, 45, 221</i> ).				
4. Public procurement procedures are significantly affecting beneficiaries' capacity to manage and implement SI projects, and ultimately their capacity to request reimbursement of pre-financed project expenditure ( <i>ref. 72 – 74, 222</i> ).	4.1 Engage in improving public procurement procedures so as to prevent repeated complaints, by further simplification and clarification of the evaluation criteria for offers, especially in the case 'soft' projects (services and TA).	ACIS, NARMPP	Establishment of a Working Group with NARMPP, UCVPP and NCSC participation, in order to achieve common understanding between contracting authorities, tenderers and regulatory bodies	First semester 2011
	4.2 Provide further explanation of the public procurement procedures to beneficiaries.	MAs/IBs	Training sessions	Recurrent (correlated with contracting process)
5. Collaboration at all stages between beneficiaries, on the one hand, and MAs and IBs, on the other hand, is paramount for successful SI project implementation. Due to the novelty and complexity of the system, MAs and IBs communication, procedures and operational parameters exert significant influence on beneficiary capacity ( <i>ref. 46 – 63, 223</i> ).	5.1 If not already done, rapidly improve the quality and consistency of all information provided to the beneficiaries, so as to eliminate contradictions, errors and sources of confusion.	MAs and IBs	Keeping information sources up-to-date and providing documented cross-checking between entities and departments	Immediately and recurrent
	5.2 Streamline and simplify procedures in order to avoid unnecessary delays and administrative burdens for beneficiaries.	MAs and IBs	Reducing the duration of processing and approving requests for reimbursement, so as to stay in line with applicable contractual terms	First semester 2011
	5.3 Document and apply the experience gained in implementation by MAs/IBs and beneficiaries in a systematic manner.	MAs and IBs	Appointing expert panels in charge of drafting manuals for those OPs not having yet them. Revising and updating existing manuals in accordance with beneficiaries' needs and the current state of practical knowledge.	2011
6. Changes in the conditions in getting a credit are a very significant contextual factor, influencing to a very great extent all beneficiaries' capacity to manage and	6.1 Analyze the possibility of simplification and facilitation of access to credit and to facilitate better project implementation, especially in terms of reimbursement	ACIS and MoPF	Protocol between MoPF and banks (beneficiaries alone cannot prevail on banks to change their procedures in respect of SI-financed	First quarter 2011

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implement SI projects ( <i>ref.33, 34, 66, 67, 68, 69, 84, 154 – 183, 224, 225</i> ).	procedures and the prevention of payment delays.		projects)	
	6.2 Analyze the possibility of allowing for the assignment of payments in the financing contract by following a procedure similar to the one already applied within the National Rural Development Programme which enables this option.	MoPF, ACIS, MAs	A preliminary agreement based on the specific request of the bank	Second half of 2011
	6.3 Take the necessary measures in order to insure the compliance with reimbursement deadlines that are established in the financing contracts.	MAs, IBs	Make use of the TA services in order to improve OPs's management and procedures.	First half of 2011
7. The generally high degree of risk aversion in the public administration poses an additional burden for beneficiaries and IBs ( <i>ref. 76, 77, 226</i> ).	7.1 Eliminate any checkups (monitoring, control and verification) in addition to the minimum requirements of the EC Regulation 1083/2006. Beneficiaries to be controlled based on risk analysis (as already implemented by SOP HRD).	ACIS, PCA, MAs, AA	Streamlining rules and procedures related to programme and project implementation, especially related to the number and type of supporting documents requested for verification	2011-2012
8. Apart from the communication and normative aspects in the relation between MAs, IBs and beneficiaries, all beneficiaries consider that monitoring and verification visits constitute an additional burden and hamper their capacity to manage and implement SI projects ( <i>ref. 76, 77, 227</i> ).	8.1 Adopt a control system based on improved efficiency of checking missions.	MAs, IBs	Establishing a transparent monitoring and verification mission calendar, with clearly defined objectives and rules, and shared with beneficiaries in advance	First semester 2011
9. Social norms are essential drivers for the success of projects and although they have a strong effect on the capacity to manage the projects, they are constantly	9.1 Increase the public's awareness of the benefits of SI interventions by further applying the recommendations of the interim evaluations and/or OPs	ACIS, MAs	Dissemination of information on successful projects (to the general public); introduction of attitudinal aspects in SI related training and	Recurrent (bi-annual)

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overlooked. Passive and resisting attitudes, as well as reluctance with regard to the benefits of SI projects, are pervasive ( <i>ref. 72 – 78, 228</i> ).	Communication Plans' evaluations related to this issue.		information events (for the beneficiaries); dissemination of success stories identified by on-going evaluations of the OPs.	

### Organisational level

<b>Conclusions</b>	<b>Recommendations</b>	<b>Responsible</b>	<b>Implementation Modalities</b>	<b>Time Line</b>
10. There is a limited ownership of the SI projects, especially among the local public beneficiaries. In spite of the economic crisis, there still is an insufficient understanding on the fact that SI funds are an opportunity to diversify financial resources. ( <i>ref. 104, 105, 230</i> ).	10.1 Involve the associations of public authorities in raising the awareness of the public beneficiaries on the importance of the SI funds as an alternative budget source. The message should encourage the development of the SI projects in a larger strategic approach (including financial planning) and avoid a money-driven response to a funding opportunity.	ACIS, MAs	Dedicated informative sessions	First semester 2011
11. The staff involved in the implementation of the public beneficiaries SI projects is de-motivated and there is a tendency of de-professionalization among them because of the reduced wages, decreasing opportunity to attend trainings, overload with tasks not all of them SI project-related. This hampers project implementation capacity, as well as the capacity to mobilize human resources on the part of public beneficiaries. ( <i>ref. 107 -</i>	11.1 Give priority to technical assistance (TA) activities aiming to increase the capacity of public administration beneficiaries and encourage managers and policy-makers to regard TA as a long-term investment in institutional development.	ACIS	Promoting the importance of TA at the highest levels of Governmental level	Immediately
	11.2 Increase the capacity for using TA funds (under OPTA and other OPs' TA priority axes).	ACIS	Drafting tender documentation for TA interventions aimed at assessing TA needs and designing TA projects ('TA-for-TA')	2010 - 2011
	11.3 Within the frame of the coming unitary	ACIS and MAs	Negotiations with the responsible	First semester

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118, 185 – 202, 231).	wages law, promote that salaries and bonuses of public beneficiary staff involved in SI project implementation be accepted as eligible expenditure.		Commission Services	2011
12. Systematic project monitoring, combined with dedicated and stable involvement of managers, exerts substantial positive influence on project implementation (ref. 124- 126, 232).	12.1 Enhance the promotion of a project management culture among beneficiaries and applicants.	ACIS, MAs and IBs	Mainstreaming the topic of project management in information and peer-to-peer experience sharing events.	First semester 2011
13. There is little practical knowledge of and experience with risk management as a management tool for public entities engaged in SI-funded investment projects (ref. 127 – 131, 233).	13.1 Give special attention to risk management as part of project management culture, in order to increase awareness on behalf of decision makers and promote the application of risk analysis in practice.	ACIS and MAs	Round table involving relevant stakeholders (MAs, beneficiary management, consultants)	2011-2013
	13.2 Increase the attention given to risk management at stage of project proposal evaluation.	MAs	Where not already in place, introducing compulsory risk management section in the project appraisal grid and increasing ratings to the risk identification and corrective measures	First semester 2011
	13.3 Disseminate and discuss, in the case of major projects, the findings of risk analyses and enable follow-up in the form of corrective measures.	MAs	Roundtable involving project stakeholders	Recurrent

### Individual Level

<b>Conclusions</b>	<b>Recommendations</b>	<b>Responsible</b>	<b>Implementation Modalities</b>	<b>Time Line</b>
14. There is a noticeable difference in performance levels between beneficiaries with previous experience and those that implement SI projects for the first time. Given the novelty of SI project implementation functions, experience is still limited, although beneficiaries have acquired a considerable body of knowledge ( <i>ref. 134 – 151, 235</i> ).	14.1 Encourage the establishment of communities of SI practitioners, for the purpose of exchanging both explicit knowledge of practical experience in implementing SI projects and implicit, harder to formalise knowledge of catalysts for successful implementation of SI projects.	ACIS, MAS	Recognizing consultant as key parties in project preparation and implementation. Designing TA projects aiming at the development of communities of practitioners	2011-2013
15. Specific knowledge and skills are necessary for carrying out project management, public procurement procedures, ensuring proper financial records and generally respecting SI administrative requirements. Private beneficiaries have more flexibility in terms of supplying their project with the relevant skills, while public beneficiaries face more difficulties in that sense. ( <i>ref. 135 - 152, 236</i> ).	15.1 Provide support for beneficiaries in order to improve knowledge and skills with regard to aspects of project implementation (including project management, public procurement and financial record keeping) For public beneficiaries create the opportunity for the projects' staff to increase their professional capacity in different domains specific to the implementation of SI projects.	ACIS, MAS and NAPE	Improving communication, formulating clearer and more accessible guidelines, as well as providing training/informative sessions.	Recurrent
16. Beneficiaries who had already implemented EU-financed projects not only they submit better applications, but they are more successful in implementation. Still, beneficiaries of the large infrastructure project are confronted with a lack of experience regarding technical issues or project management	16.1 In order to improve knowledge and skills among public beneficiaries it might be useful for them to use technical assistance funds – under the Operational Programme Technical Assistance and the TA priority axes of other Operational Programmes, to cover capacity and expertise needs and to include	Public beneficiaries	Training sessions	Recurrent



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aspects (ref. 139, 140, 144, 237)	in the terms of reference for technical assistance (where is the case) specific requirements to provide training sessions, training on the job.			

## **Annex 2 – List of Documents Analysed during Desk Research**

- SOPs Framework Implementation Documents
- Monitoring Committee Meetings Minutes
- SI projects Technical and Financial Reports
- OPs management procedures
- *UNDP Practice Note: Capacity Development (2008)*
- “100 Notices” Report – Resource Centre for Public Participation, March 2010
- “Public Authorities Confronted with the EU Funds” - Soros Foundation Romania, 2010
- EVALSED Guide – Case Study Methodology

**In addition all the MAs and ACIS’ websites were browsed for more information:**

- [www.fonduri-ue.ro](http://www.fonduri-ue.ro)
- [www.fseromania.ro](http://www.fseromania.ro)
- [www.posmendiu.ro](http://www.posmendiu.ro)
- [www.minind.ro](http://www.minind.ro)
- [www.poaat.ro](http://www.poaat.ro)
- [www.inforegio.ro](http://www.inforegio.ro)
- [www.mt.ro](http://www.mt.ro)
- [www.fonduriadministratie.ro](http://www.fonduriadministratie.ro)



## **ANNEX 3 - Guideliness for Interviews with MAs and IBs**

### **Main problems affecting beneficiaries' capacity to implement SI projects**

#### **A. External level**

1. To what extent does the economic crisis affect the capacity to implement the projects? Were there any higher budgetary constraints on the beneficiaries? Are there stricter constraints from the banking system that reflect on the capacity to implement the projects? In what way?
2. What are the clarification requests received by the MA and IB from the beneficiaries?
3. What are the sources of technical support/expertise that the beneficiaries use frequently? (Offered within the OP, external, sharing experience among the beneficiaries that are in different implementation phases, documentation, project officers, etc.)?
4. To what extent do they consider that the existing documentation (the applicants' handbook) is clear enough to guide the beneficiaries?
5. Access to the project officer -how frequent is it? How useful is it?
6. To what extent do the different revisions and additions/ successive specifications from the MA affect the capacity to administer the projects?
7. The arrangements with the partners – which is the most frequent role of the partners? Does it facilitate the reaching of the project objectives or does it make it more difficult?

#### **B. Internal level / management capacity and implementation capacity of the projects (from the perspective of MA and IB) – the list of the problems**

##### *Administrating projects*

1. To what extent is there a management capacity of the projects at the level of the applicants?
2. What are the requests regarding the design of the management plan that are meant to eliminate the problems occurred during implementation? What are the reasons for which these strategic projections fail?
3. To what extent is there a fluctuation of the staff involved in the management and the execution of the project?
4. Especially at the level of the central authorities (but also for the local authorities), in what extent are the projects administered by a certain department assumed at the level of the institutions?

##### *Problems in project implementation*

5. What are the problems that are reported most frequently by the beneficiaries in the progress reports/clarification requests along the implementation of the project/ during controls/ when there are irregularities, or there is missing documentation when forwarding the disbursement request?
6. Is there an evidence of the different types of errors occurred in implementation/ of different types of questions (evidences/statistics at MA level) and the frequency of occurrence?

7. Are there informative materials regarding the frequent implementation errors, dedicated to informing the beneficiaries with the purpose of identifying and avoiding them?
8. To what extent do the beneficiaries that register delays with the approval of the disbursement requests have delays starting from the contracting period of the projects?
9. The institutional overload: if it exists/ should there be a limit for the number of projects given to the same institution? In what extent do you consider that there are institutions that have too many projects?
10. To what extent do you notice during site visits that the staff involved in the project implementation is overloaded?
11. To what extent are the controls made at different levels of the system correlated so that a better coverage of the projects is attained and the multiple control overlapping (IB, MA, AA) on the same programmes is avoided?
12. Are the budgets planned according to the established objectives? What changes occur along the implementation in the budgets of the projects?
13. What are the problems that appear in the implementation because of the difficulties in assuring pre-financing and co-financing by the beneficiaries? What are the problems that the beneficiaries have in assuring pre-financing and co-financing?
14. What are the problems that beneficiaries have with the public procurements?
15. What other problems do the beneficiaries have with implementation?

## Annex 4 – List of Interviews

### First stage data collection

<b>ROXANA MIHALACHE</b>		
<b>NAME OF THE INSTITUTION</b>	<b>INTERVIEWEE</b>	<b>DATE</b>
MA SOP Transport	Ada Debu, Daniela Breazu , Gabriela Ilie	18/03/2010
MA SOP HRD	Mihaela Proja, Alina Taină, Valentina Bordei	22/03/2010
MA SOP ACD	Alina Ungureanu, Gabriela Panaitescu, Nicoleta Baldoventescu	25/03/2010
<b>ELENA BOTEZATU</b>		
<b>NAME OF THE INSTITUTION</b>	<b>INTERVIEWEE</b>	<b>DATE</b>
ROP, Regional Development Agency București - Ilfov	Dan Nicula	19/03/2010
MA SOP IEC	Cătălina Meliță, Mihaela Manolescu	22/03/2010
MA SOP AT	Adriana Gorgonetu	08/04/2010
<b>COSMIN BRICIU</b>		
<b>NAME OF THE INSTITUTION</b>	<b>INTERVIEWEE</b>	<b>DATE</b>
MA HRD SOP	Mihaela Proja, Alina Taină, Valentina Bordei	22/03/2010
MA SOP ENV	Marilena Naumescu, Mihai Popescu, Dan Dima	23/03/2010
SOP HRD - IB Ministry of Education	Diana Vintilă	23/03/2010
SOP HRD - IB National Center for Vocational Training	Viorel Mihai	23/03/2010
SOP ENV - IB București-Ilfov	Diana Culcer	26/03/2010
SOP HRD - IB National Employment Agency	Gabriela Rus	26/03/2010

### Second stage data collection

#### A. Central Public Authorities

<b>LIVIA PÎSLARU</b>			
<b>NAME OF THE INSTITUTION</b>	<b>OP</b>	<b>INTERVIEWEE</b>	<b>DATE</b>
Authority for Certification and Payment	SOP TA	Ioana Stefanescu	21/06/2010
Ministry of Economy	SOP ACD	Laurențiu Grigorescu	22/06/2010
National Agency for Roma	SOP HRD	Roxana Vieru	21/06/2010
Ministry of Environment	SOP ENV	Maria Elena Teodorescu	24/06/2010
<b>ROXANA MIHALACHE</b>			
<b>NAME OF THE INSTITUTION</b>	<b>INTERVIEWEE</b>	<b>DATE</b>	

Ministry of Education	SOP HRD, SOP ACD	Monica Munteanu	22/11/2010
National Agency for Public Employees	SOP HRD, SOP IEC, SOP ACD	Lavinia Nemes Daniela Badea Daniel Mihailescu	06/12/2010
Central Unit for Public Administration Reform	SOP ACD	Cristina Belba	07/12/2010
National Roads Company	SOP T	Ștefan Mihai	20/01/2011
S.C. Apa Service S.A. Giurgiu	SOP ENV	Mihaela Năiță	21/01/2011

## B. SMEs

<b>ELENA BOTEZATU</b>			
<b>REGION/ NAME OF THE COMPANY</b>	<b>OP</b>	<b>INTERVIEWEE</b>	<b>DATE</b>
<b>București – Ilfov</b>			
1) C&P HOE&&&&& INVEST	SOP IEC	Mihai Croitoru	09/06/2010
2) SC A&E&COR TRADING SRL	SOP IEC	Florica Traian	09/06/2010
3) C A&OSERV MANAGEMENT SRL	SOP HRD	Bogdan Negrea	09/06/2010
<b>Centru</b>			
1) SC DATA MANAGEMENT SOLUTIONS SRL	ROP	Doru Marginean	10/06/2010
2) SC HIPOCRAT SRL	ROP	Aurelian Coriu	10/06/2010
3) SC EUROPEXPRES SRL	SOP IEC	Eugen Lapadat	11/06/2010
4) SC SIGAPRESS SRL	SOP IEC	Erika Szoke	11/06/2010
<b>Sud – Muntenia</b>			
1) SC CONTAS SERV T&RGOVISTECONTAS SERV S.R.L	ROP	Marius Trandafirescu	14/06/2010
2) SC AVIGEO S.R.L.	ROP	Monica-Ștefania Radu	15/06/2010
<b>Sud – Est</b>			
1) SC ALMAR LOGISTIC S.R.L	ROP	Tanase Mega	15/06/2010
2) SC AMBIENT EXPERT S.R.L.	ROP	Nicoleta-Alina Solomon	15/06/2010
3) SC CONTAUDIT S.R.L.	ROP	Simion Pepene	16/06/2010
4) SC LE FRANC SRL	ROP	Liviu Sorin Gabriel Balica	16/06/2010
<b>Vest</b>			
1) MILLEFIORI SRL	SOP IEC	Iuliana Muntianu	17/06/2010
2) PROFI BETON SRL	ROP	Daniel Modalca	17/06/2010
3) GENUINE ADVERTISING SRL	ROP	Laszlo Szabo	17/06/2010
<b>Nord – Est</b>			
1) SC CROSS CONSTRUCT SRL	ROP	Tiberiu Bogdan Ungureanu	18/06/2010
2) SC COMPUTER CONECTIONS SRL	ROP	Iulian Cezar Pantirasu	18/06/2010
3) SC TERMO PLUS SRL	SOP IEC	Vasile Viorel Turcu	21/06/2010
<b>Nord – Vest</b>			
1) SC DENT AS MED SRL	ROP	Adrian Marusac	22/06/2010
2) SC BIO MICRON TRANSILVANIA SRL	ROP	Gheorghe Ciorba	22/06/2010

3) SC ARHIPRO ARHITECTURA SRL	ROP	Doru Nicolae Constantin	24/06/2010
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### C. NGOs

<b>ROXANA MIHALACHE</b>			
<b>NAME OF THE ORGANISATION</b>	<b>OP</b>	<b>INTERVIEWEE</b>	<b>DATE</b>
Asociația Centrul de Resurse pentru Participare Publică CȚe-Re (București)	SOP HRD	Oana Preda	16/06/2010
Fundația Națională a Tinerilor Manageri (București)	SOP HRD	Elena Bărbulescu, Andrei Gheorghe	18/06/2010
Fundația "Motivation" (București)	SOP HRD	Cristian Ispas, Gabriela Comănescu	18/06/2010
Fundația Rromani Criss (București)	SOP HRD	Adrian Vasile	16/06/2010
Centrul de Consultanță și Management al Proiectelor Europroject ( Sud Vest Oltenia Region)	SOP HRD	Florin Jianu	14/06/2010
Asociația pentru Dezvoltare Durabilă Slatina (Sud Vest Oltenia Region)	SOP HRD	Vasile Meda	14/06/2010

### D. Local Authorities

<b>COSMIN BRICIU</b>			
<b>REGION / NAME OF THE INSTITUTION</b>	<b>OP</b>	<b>INTERVIEWEE</b>	<b>DATE</b>
Consiliul Judetean (CJ) Dolj	ROP	Ileana Majină, Daniela Elena Pîrîu	17/06/2010
ADR Sud-vest Oltenia	ROP	Marilena Bogheanu, Dorian Delureanu	17/06/2010
CJ Olt	ROP	Daniela Lungu	18//06/2010
CJ Harghita	ROP	Orban Bela	22/06/2010
CJ Alba	ROP	Dan Mihai Popescu, Floare Perța	23/06/2010
CJ Sibȳiu	ROP	Costȳiȳ Corman	21/06/2010
Primăria Comunei ȳAugustin	SOP ACD	Gabor Molnar	21/06/2010

### E. Academic sector

<b>COSMIN BRICIU</b>			
<b>NAME OF THE INSTITUTION</b>	<b>OP</b>	<b>INTERVIEWEE</b>	<b>DATE</b>
Institute for Quality of Life Research	SOP HRD	Sorin Cace	23/09/2010
Institute for Quality of Life Research	SOP HRD	Cristina Dobos	23/09/2010
University of Bucharest	SOP HRD	Ionut Minciuna	24/09/2010
<b>ROXANA MIHALACHE</b>			
University of Bucharest	SOP HRD	Mihaela Lambru	23/11/2010

## Annex 5 – List of Problems that Delay Submitting Reimbursement Requests

<b>External level (context)</b>	
<b>Economic crisis</b>	Effects at the level of insuring co-financing, the access to bank loans, changes in the living and occupational standards of the target group, variations of the exchange rate
<b>Policies</b>	Lack of a strategic vision at a national level that would integrate the projects from SI instruments in a national strategy
<b>Legal issues</b>	The lack for a period of time of regulations as the ones regarding VAT recovery, relations with the partners, implementation of the legislation regarding public procurements
<b>Cooperation with MA/IB</b>	
<b>Communication</b>	Lack of access to reliable information (especially the lack of project officers that could communicate to beneficiaries)
	Lack of data bases/manuals with typical errors in implementation
	Contradictory information and resolutions from MA/IB
	Insufficient training for beneficiaries; limited content on the practical aspects of implementation
<b>Procedures</b>	Bottlenecks due to overload of the management authorities
	Delays in all the phases, from evaluation to the approval of the disbursement, which leads to a delay in all the activities
	Bureaucracy
<b>Organizational level</b>	
<b>Management</b>	Problems in establishing objectives, targets and activities at the strategic level
	Insufficient internal monitoring
<b>Partners and suppliers</b>	Weak performance of some partners or suppliers
<b>Staff</b>	Staff fluctuation (due to changes in management at the level of public institutions)
<b>Attitude/mentality</b>	Dependence on the MA/IB instructions
	Reluctant/disproof general attitudes
<b>Individual level</b>	
<b>Knowledge</b>	Poor documentation of the team members
	Problems at the level of the financial executive and of the accounting expert
<b>Skills</b>	Limited efficiency (as a result of the overload and the problems with the payments to the staff from the public system; poor performance of the external experts)

## Annex 6 – Questionnaire for the Survey on the Capacity of SI Beneficiaries

### 1. Details regarding the organization

1.1 The name of the organization (complete name, without short versions and abbreviations)

1.2 City of residence of the organization

1.3 County of residence

1.4 The number of projects finalized/ongoing (in implementation) financed from structural instruments

1.5 Has your organization implemented/is implementing projects financed from sources others than structural funds?

1. Yes
2. No

1.6 Comparing to the projects financed from other sources, how do you appreciate the implementation of the projects financed from structural instruments from the point of view of

	Simpler	The same	More difficult	Cannot be compared
Complexity of administrative procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Human Resources need (number and experience)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Monitoring and control	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sustainability requests (the necessity to maintain the investment)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### 2. Details regarding the project that registers more than 3 months delay in submitting the disbursement request

2.1 Do you have any project with more than 3 month delays with regard to claiming reimbursement?

1. Yes
2. No

2.2 Which are the factors responsible partially or totally for the delays recorded in the forwarding of the disbursement request? (You can choose more options)

1. Management Authority
2. Intermediary Body
3. Your organization
4. External factors/the context

2.3 If the MA or IB is responsible (partially or totally) for the delays, what was the main reason?

	To a very great extent	To a great extent	To a small extent	To a very small extent	Not applicable
Insufficient communication/ incomplete information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Erroneous/contradicting information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Changing the rules along the implementation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Complexity and difficulty of procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Delays in contracting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Delays in obtaining the pre-financing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2.4 If your organization is responsible (partially or totally) for the delays, what was the main reason?

	In a very great extents	In a great extent	In a small extent	In a very small extent	Not applicable
Changes in the priorities of the organization	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Changes in the initial planning of the project	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Difficult procedures for obtaining pre-financing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Difficulties in assuring the co-financing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Difficulties in assuring an efficient financial management (separate accounting, audit, assuring the necessary cash flow, etc)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



	In a very great extents	In a great extent	In a small extent	In a very small extent	Not applicable
Difficulties in project implementation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Difficulties in the relation with your partners	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Difficult internal procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lack of internal procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Delays in creating the project team (difficulties in finding the right persons for the positions in the project)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Changes in the project staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lack of project staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Poor initial training of the project staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lack of proper training for the project staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Low capacity of administering risks (internal or external) occurred during implementation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Difficulties in writing the disbursement request	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The procedures of public procurements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2.5 How do you appreciate the difficulty of preparing the disbursement documentation?

	Very difficult	Quite difficult	Quite simple	Very simple
The disbursement request form	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
RTF/Progress report	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Justifying documents	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2.6 What types of problems occurred during the preparation of the disbursement request?

1. difficulties in filling in the forms
2. difficulties in understanding the MA/IB requests
3. difficulties in the correct identification of the eligible and non-eligible expenses

4. difficulties in supplying justifying documents
5. difficulties in reaching the minimum level of expenses
6. I haven't prepared a disbursement request yet
7. other difficulties, please mention which

2.7 If you consider that the delay was caused by changes in the planning of the project, what were those changes:

1. Adding/reducing or changes in some activities
2. Budget reduction
3. Reallocations between the chapters of the budget
4. Changes in the duration/deadlines of some activities
5. Changes in the project team structure
6. There were no changes in the planning of the project that could lead to delays
7. Other changes, please mention which

**3. External factors that caused delays greater than 3 months in submitting the reimbursement request**

3.1 What external factors (others than the ones your organization or the MA/IB can control) influenced the occurrence of delays?

1. legislation
2. economic crisis
3. the banking system
4. there were no external factors that influenced the occurrence of delays
5. other factors, please mention which

3.2 What effect did the economic crisis have on the implementation of your project (you can choose one or more options)

1. a decrease in the demand for the product/service that you have initiated the project for
2. changes in the cash flow of the organization
3. changes in the conditions for obtaining a bank loan
4. difficulties in assuring the co-financing
5. staff cuts
6. changes or the disappearance of the target group initially established
7. variations of the exchange rate
8. none
9. other effect of the economic crisis

**4. Details regarding the implementing team**

4.1 Please mention the number of employees of your organization

4.2 For the implementation of the project you use...

1. external human resources
2. internal human resources; mention the number of the employees inside the organization

4.3 Have you externalized components of the project?

1. Yes
2. No

4.4 What components did you externalize?

1. project management
2. public procurements procedures
3. writing the disbursement request

4.5 Is the management of the organization directly involved in the implementation of the project?

1. Yes
2. No

4.6 The persons from the project team...

	Yes	No
Have previous experience in project implementation	<input type="checkbox"/>	<input type="checkbox"/>
Participated at project implementation trainings	<input type="checkbox"/>	<input type="checkbox"/>

4.7 Were there any changes in the structure of the project team?

1. Yes
2. No

4.8 What were the causes of the changes:

4.9 How would you appreciate the performance of the team members (use a mark from 1 to 5, 1 for a very poor performance, 5 for a very good performance)

	Project manager	Financial expert	Technical team	Accounting expert	Judicial consultant
Knowledge	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Practical experience	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Dedication/involvement in the project at the desired level	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The accomplishment of the task projects	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4.10 How do you appreciate the performance of the project team from the point of view of:

	Very weak	Weak	Average	Good	Very good	Not applicable
Project management capacity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Acquaintance with contractual clauses	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Acquaintance with tMA/IB requests	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Capacity to prepare the necessary documentation (reports, disbursement requests)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Capacity to conduct a public procurement process	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Capacity to respect the project timetable	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Capacity to reach the project objectives/indicators	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4.11 How would you appreciate the performance of the partners and of the suppliers of services in reaching the tasks from the project?

	Very weak	Weak	Average	Good	Very good	Not applicable
Partners	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Services suppliers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## 5. Relation with MA/IB

5.1 Along the implementation, did you request the assistance of the Management Authority/ Intermediary Organisms? By what means?

1. websites: MA / IB (check-box)
2. Implementation handbook or instructions
3. written clarifications from MA/IB
4. events organized by MA/IB (check-box)
5. on the telephone, at MA / IB helpdesk (check-box)
6. on the telephone, discussions with the project officer (check-box)
7. personally, with the project officer (check-box)
8. others, please mention which

5.2 How would you appreciate the clarity/simplicity/utility of the information necessary for the implementation of the project available from the sources you used: use a grade from 1 to 5 for each of the criterion (clarity, simplicity, utility) – 1 represents the lowest appreciation for that

criterion while 5 represents the highest appreciation.

	Clarity	Simplicity	Utility
MA website	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
IB website	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Applicant's guide	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Implementation handbook or instructions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Events organized by MA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Events organized by IB	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
MA Helpdesk	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
IB Helpdesk	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Project Officer	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trainings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5.3 Until now, the implementation of the project was checked by:

1. Management Authority
2. Intermediary Body
3. The Authority for Certification and Payment from the Ministry of Public Finance
4. Audit Authority from the National Court of Audit
5. It hasn't been verified yet.

5.4 The results of these visits entailed recommendations that led to the improvement of the implementation of the project?

1. There was no feedback
2. NO, there were sanctions
3. YES, specify the recommendations

## 6. General aspects

6.1 What other problems, except the ones already mentioned but which are connected to the implementation capacity, did you have until now?

6.2 Do you consider that after the implementation of the project(s) financed from SI, the capacity of your organization to reach its objectives:

1. Increased
2. Remained the same

3. Decreased

6.3 What other difficulties do you estimate to have in the implementation of the project in the following period?

6.4 If you have suggestions / proposals for improving the implementation of the projects, please detail.

6.5 What problems did you have in filling in this questionnaire?

## **Annex 7 – Guidelines for Interviews with Beneficiaries**

### **Main Problems Affecting the Capacity of Beneficiaries to Implement Projects Financed from SI**

**Target group:** *beneficiaries that register delays in implementing the projects financed from SI* **Purpose:** *Understanding the context and the causes that led to the occurrence of delays in project implementation*

**Approach:** *Semi-structured interview*

#### **Main themes of discussion:**

##### **1. Brief description of the phases of project implementation, starting from the project idea until the present time**

- Generating the idea for the project;
- Information sources;
- The preparation process and forwarding the financing request;
- Implementation method;
- Delays occurred in different phases;
- Related actions necessary for accessing or implementing the project (for example, obtaining the letter of guarantee, the execution of the technical project, etc.)

##### **2. Unexpected aspects occurred from the moment of the idea of the project and until present and ways of dealing with them**

- Economic context – the impact of the financial crisis;
- Changes in the strategies at organizational level;
- Assuring the co-financing and obtaining the letter of guarantee;
- Duration, costs and complexity of the activities (including acquisitions);
- Complexity and difficulty of the procedures associated to the reporting/discounting the expenses;
- Contractual requests and implementation instructions (including their changes);
- Performance of the project team and the involvement of the management

##### **3. Aspects generating delays in implementation**

##### **4. Perspectives for the following period and conclusions**

## Annex 8 – Multi-Criterial Analysis

### Societal Level

Factors Capacity component	Financial aspects (including relations with financial institutions)	Changes in the target group	National policies and strategies	Legislation						Social norms	
				VAT		Correlation of national legislation with EU legislation		Public procurement			
<b>A. Project management capacity</b>	1 1	1 1	1 1	1 1				2	2	1	1
	2 1	1 1	1 1	1 1	1 0	2	2	1	1	2	2
<b>B. Implementation and reporting capacity</b>	0 0	1 1	0 0	0 0	0 0			1	2	0	0
	0 0	1 1	1 1	1 1	0 0	2	2	2	2	1	2
<b>C. Capacity to request for reimbursement</b>	1 1	0 0	0 0	0 0	1 0			2	2	0	0
	0 0	1 0	0 0	0 0	0 0	2	2	2	2	1	1
<b>D. Capacity to mobilize human resources</b>	2 1	1 0	1 0	1 0	1 0			1	0	1	0
	1 1	2 0	2 2	2 2	0 0	2	1	2	1	2	2
<b>E. Capacity to mobilize financial resources</b>	2 2	0 0	1 0	1 0	1 2			1	0	1	0
	2 2	0 0	2 2	2 2	2 2	2	1	0	0	2	1



Collaboration with MAs and IBs

Capacity component \ Factors	Information sources		Quality of resolutions and guidance		Required documentation		Written instructions		Delays	
	<b>A. Project management capacity</b>	2	2	2	2	2	2	1	1	2
	1	1	2	2	2	1	2	2	2	2
<b>B. Implementation and reporting capacity</b>	2	2	2	2	2	2	2	1	1	2
	2	2	2	2	2	1	2	2	2	2
<b>C. Capacity to request for reimbursement</b>	2	2	2	2	2	2	2	2	2	1
	2	2	2	2	2	2	2	2	2	2
<b>D. Capacity to mobilize human resources</b>	1	0	1	0	1	1	1	0	2	1
	1	0	2	1	2	1	1	1	2	2
<b>E. Capacity to mobilize financial resources</b>	2	1	2	1	0	0	1	1	2	1
	0	0	2	1	0	0	1	1	2	2

Organisational level

Capacity component	Internal policies		Monitoring (procedures)		Risk management (procedures)		Arrangements		Frameworks	
<b>A. Project management capacity</b>	2	2	2	2	2	2	1	1	1	1
	2	2	2	2	2	2	2	2	2	2
<b>B. Implementation and reporting capacity</b>	1	0	2	2	1	2	1	1	1	1
	1	1	2	2	2	2	2	2	2	2
<b>C. Capacity to request for reimbursement</b>	1	0	2	1	2	2	1	1	1	0
	1	1	2	1	2	2	2	2	2	2
<b>D. Capacity to mobilize human resources</b>	2	1	2	1	2	1	1	2	1	1
	2	2	1	1	2	2	2	2	2	2
<b>E. Capacity to mobilize financial resources</b>	2	2	2	1	2	2	0	0	0	0
	1	1	2	1	2	2	1	1	2	2

Individual level

Capacity component \ Factors	Knowledge		2. Previous experience in project implementation		Skills	
<b>A. Project management capacity</b>	2	1	2	2	2	2
	2	1	2	2	2	2
<b>B. Implementation and reporting capacity</b>	2	2	1	2	2	2
	1	2	2	2	2	2
<b>C. Capacity to request for reimbursement</b>	2	2	1	2	2	2
	1	2	2	2	2	2
<b>D. Capacity to mobilize human resources</b>	2	1	1	1	1	1
	1	1	2	2	1	2
<b>E. Capacity to mobilize financial resources</b>	2	1	1	1	2	2
	1	1	2	2	2	2

## **Annex 9 – List of Documents Attached to Reimbursement Requests under SOP IEC**

INFORMATION REGARDING THE SUPPORTING DOCUMENTS THAT CAN BE REQUESTED AT THE REIMBURSEMENT BY THE MA/IB FOR THE SOP IEC

*The list of the SUPPORTING documents is not exhaustive; it could be completed with other justifying documents according to the specific and the decision of each intermediary body.*

*For all the documents included in the reimbursement request file, written in other languages, there will be a translation in Romanian made by an authorized translator.*

*All the documents, except the reimbursement request and the progress report, will be presented in a certified copy "According to the original" by the legal representative of the beneficiary or by a person mandated by the legal representative.*

### **Common documents:**

***The reimbursement request***

***Progress report***

***Contracts for good acquisition/services rendered/works***

***Accounting documents***

- Invoices – invoices will have the following inscription "Financed from SOP IEC, priority axe... major intervention area ..., financing contract no...," ;
- Payment order; CEC sheet and bank statements;
- Accounting notes; - accounting sheets;
- Analytical trial balance for the cut off period for the reimbursement request concerned.

**Documents regarding the procurement procedure (for the case in which the whole procurement file is not requested)**

- Proof of publication;
- Selection criteria;
- Tendering report of the contract.

**Documents regarding the informing and publicity measures**

- copies of the publications in which the public ads appeared, the ads/press releases for the beginning and the ending of the project; - in the situation in which the press releases/press announcements were published on websites, a print screen that proves the correct writing of the press release/announcement and copies of at least one article, news. – in the situation in which the press releases/announcements were sent to the mass-media representatives by email or fax, the model of the material that proves the correct writing of the press release/announcement, the sending confirmations and copies of at least one article, news.
- photos of the purchased goods within the project that prove the placing of the plates/stickers; - photos from the location of the project that show the placing of the panels for temporary display and the plates for permanent display (if that is the case) – CD with the spot/material broadcast on the radio/TV – documents that show the payment of TV/radio advertising, for promoting the project (if these are eligible expenses);

- 1 copy of the brochure / folder (if these are eligible expenses); - copies of the articles, of the announcements that appeared in the press, radio/TV interviews; - photos that show the placing of the posters /banners (if these are eligible expenses); - photos from the locations of the events promoting the project, etc. (if these are eligible expenses);

**Specific documentation:**

**Supporting documents**

**(Documents will be sent to the MA/IB in copies “according to the original”)**

**Goods acquisitions**

- tendering files, (on demand); - customs documents (for import goods);
- Statement of the contractor that certifies the fact that the purchased equipment/machines respect the technological standards with the ones mentioned in the project;
- receipt report, startup report of the purchased goods.

**Contracted works**

- tendering file (on demand);
- verification reports on determined execution phases, approved by the SIC;
- building permit;
- guarantee of good execution;
- qualitative reception reports;
- receipt report of the location and of the terminal marks;
- reception reports at the end of the works;
- incorporated analysis reports, quality/conformity certificates of the used materials for the works/ trial reports and technical approvals;
- payment situations for the works and the centralization of the payment situations;
- the authorization of the building site supervisor;

**In the situation in which along the execution of the works there are changes of the solutions from the Technical Project, the following documents will be prepared and sent:**

- building provision for the execution of the works made by the contractor and signed by the building inspector, beneficiary and constructor; this provision is accompanied by the justifying statement made by the contractor and verified by the project verifier, if that is the case;
- lists of quantities for the works that are given up to, made by the contractor;
- lists of quantities for the supplementary works made by the contractor;
- renunciation note;
- note for supplementary order that must be signed and stamped by the legal representative of the project, the building site supervisor and the contractor;
- payment situations for the supplementary order notes must be signed by the constructor, the building site supervisor and the beneficiary.

**Diverse and unexpected expenses can be used only for changes in the quantities of works in the**

**conditions mentioned by GD no. 28/2008.**

- additional papers signed by the beneficiary and the constructor that mention the supplementary amount for the works that will be requested for payment in the limit of the available sum in the budget of the project for “Diverse and unexpected expenses”;
- the additional paper signed by the beneficiary and the contractor, if for the redesign there is the need for supplementary amounts that will be solicited for payment in the limit of the available sum in the budget of the project for “Diverse and unexpected expenses”;
- annex for the Technical Project with the redesigned part (where there is the case) – the annex has to be checked by an authorized verifier for the category and importance class of those works that applies the stamp on this document. Also, the annex will be accompanied by the verification report.
- building provision for the execution of the diverse and unexpected works, made by the contractor and signed by the building site inspector, beneficiary and constructor, this building provision is accompanied by a justifying report made by the contractor and checked by the project verifier, where there is the case.
- provisional measurement and lists of quantities for supplementary works made by the contractor;
- order note for supplementary works that has to be signed and stamped by the legal representative of the project, by the building master, by the contractor;
- distinct payment situations for the diverse and unexpected works that have to be signed by the constructor, building master and the beneficiary;
- the mentioning referring to “diverse and unexpected expenses” must appear on the invoice;
- the negotiation report according to OUG no. 34/2006 art. 122 lit. i.

**Services rendered**

- the approval of the beneficiary for the documents issued during consultancy;
- for services rendered for which a notice/agreement of another institution is issued at the end, the notice/agreement of that institution will be presented;
- for services rendered for which the law requires an authorized operator and/or that has as a specific type of activity for a certain type of services, the document that proves the authorization of the operator and/or the registration at the Trade Registry will be requested.

**Land / Building acquisition**

- real estate register extract; proof regarding tabulation in the real estate register; - certificate of fiscal attestation;
- the value is certified by an independent authorized evaluator that confirms that its value does not exceed the market value;
- declaration on own responsibility that the building hadn't had any non-refundable community financing in the past 10 years for construction and renovation;
- real estate register extract
- the report of the independent authorized evaluator that certifies that the acquisition cost does not exceed the market value and that the building respects the technical conditions stipulated by the national legislation.

## **Staff expenses**

Salaries and expenses connected to salaries

Fees

Social contributions for the salaries expenses

- individual working contracts (or equivalent) on determined/undetermined period of time registered and sanctioned by the WTI (if there is the case); payment order/CEC sheet/payment sheet
- docket for transfers in card account, cash book; order of payment (in case of cash payments); - bank statements that prove the transfers, - lists for fortnightly advance (if there is the case); - synoptic table for payrolls; time sheets, job responsibilities chart; -payrolls;
- contracts for services rendered; -mandatory contracts; - time sheet; - issued invoices;
- bank statements that prove the transfers and/or withdrawals; - approval of the beneficiary for the documents issued during consultancy'
- copies of the financial provisions for services;
- payrolls;
- synoptic tables of the payrolls;
- statements for Social Security/Health Insurance/unemployment;
- bank statements that show the transfers and/or withdrawals;

## **Expense, accommodation, allowance expenses**

Personal vehicle

- health insurance (for external traveling); - receipts, taxes for highway, bridge, parking, etc.
- receipt for fuel (for private companies and NGO's), with the mentioning on the back of the receipt the car registration number;
- traveling order (for the employees of the public institutions) and the justification report;

Work vehicle

Transportation by plane/train/ship

Transportation by coach

Materials and equipments transport

Accommodation allowance

- vehicle log sheet and FAZ; B.C.F.s ; traveling order;
- table signed and stamped by the beneficiary of the financing that has the name of the persons benefiting from the transportation;
- traveling tickets (in the conditions mentioned by the law, without exceeding the rights of this nature that can be given to the employees of the public institutions);
- traveling order; - external or internal invoice; (if there is the case).
- contract for services rendered (where it is applied); - lease contract (where it is applied); - external or internal issued by the seller, locator, provider;

- waybill; traveling order;
- external or internal accommodation invoice with the mentioning of the persons benefiting from the accommodation, the duration and the price (or a synoptic table with the persons benefiting from the accommodation as an annex to the invoice)
- traveling order.

### **Technical assistance**

Technical and financial expertise Audit Accounting

- contract for services rendered; - external or internal invoice; stamped receipt; - the proof of the expertise right; - the expertise report;

Notary taxes

Insurance premiums

### **Expenses regarding lease, depreciation and leasing**

Lease (locations, goods)

Asset depreciation

Leasing installments

- the approval of the beneficiary for the documents issued during consultancy.
- the insurance policy; -the insurance contract;
- payment orders/CEC sheet/ payment sheet stamped by the bank, cash book; - payment provision/receipt (for payments in cash)
- bank statements or other proof for the payment of the invoice (for the electronic payments).
- time sheets for trainings; - evaluation sheets of the participants; - payrolls of the trainers; - copies of the financial provisions for Services.
- the lease contract or the contract for services rendered;
- external or internal invoice issued by the seller, provider;
- the register of fixed assets; - the chart of the fixed asset; - the monthly chart of depreciation of the assets from their classification code; - the depreciation/cassation report; - statement on own responsibility that it hasn't benefited from non-refundable financing for its acquisition – at the first reimbursement request.
- leasing contract with the timetable of the leasing installments; - the invoice with the paid leasing installments; - the final/temporary reception report.

### **Specifications Documents**

#### **Issued invoices**

- must mention in detail the purchased good, the rendered service or the contracted works;
- must have the format imposed by the normative papers and must be filled in according to their requests;
- the date written on the invoice is not previous to the date of signing the financing contract (except for the cases in which the financing contract stipulates otherwise);



- the date written on the invoice is not previous to the date of signing the acquisition contract;
  - the number, the date and/or the object of the acquisition contract for goods/services/works must be mentioned.

#### **Payment documents**

- must confirm that the payment was not made in cash – for works and services rendered;
- must be issued after signing the acquisition contract;
- must have the signature and stamp of the issuing bank and of the beneficiary of the project, except for the payment documents for electronic payments;
- must mention clearly the number of the invoice or the contract that is being paid;
- the account and the bank of the beneficiary must correspond to the information from the acquisition contract or from the address of the works/services supplier regarding his bank account; the cheques/ promissory notes must be issued by the beneficiary of the project, in the name of the supplier, without being guaranteed by a third party. (If these payment forms are accepted by the IB);
- in the case in which the payments are made by cheques/promissory notes, the beneficiary must present the cashing docket s of these payment documents, that must be stamped and signed by the bank (if these payment forms are accepted by the IB); - in case the payment is made by an external letter of credit, the File of Payment Request must contain copies of all the papers requested by the bank for the transfer of those sums (according to the credit contract). (If these payment forms are accepted by the IB).

#### **Bank statements**

- must be dated and stamped by the bank of the beneficiary of the financing; (except for the electronic payments)
- must prove both as value and as date the fulfillment of the payments from the payment correspondent document (s)

#### **Construction Permit and Construction Permit for the temporary works**

- must be issued according to the law (Law no. 50/1991 with its changes and completions), and must be valid along the duration of the works execution.

#### **Quality/conformity certificates**

- for purchased goods they must be dated, signed and stamped by the issuing authority.

#### **Customs statements**

- for direct imports of purchased goods they are attached to the invoices (where there is the case). These documents must be signed and stamped by the issuing authority (import represents the entry of goods outside the community space).

#### **The order for beginning the works**

- is the document that indicates the moment when the execution of the works began. The date of issuance of this document must be previous to any other registration dates of the analysis reports, of the hidden works reports and the reports for determined phases (at the first reimbursement requests).

#### **The delivery report of the building and the placing plan of the investment containing the position of the topographic landmarks**

- must be dated, signed (with the name written clearly) and stamped according to the Programme for respecting and controlling the quality of the works. The date of this document must be after the Order for beginning the works (first reimbursement request).

#### **The programme for respecting and controlling the quality of the works**

- must be approved by the State Inspection in Constructions, signed by the legal representative of the project, by the contractor and the performer (at the first reimbursement request).

#### **The qualitative reception reports, for hidden works and determined phases**

- must be created, dated and signed according to the programme for respecting and controlling of the works from the technical project.

#### **The delivery-receipt report, the reception and startup of the purchased goods reports**

- must be filled in, signed and stamped by the supplier of goods and by the beneficiary.

#### **Payment situations for the works and the synoptic tables of the payment situations**

- must be signed with the name mentioned clearly, stamped and dated by the legal representative, by the master/building inspector (for whom an attestation certificate has been presented) and by the performer of the works.

#### **Financial provisions**

- For services they must be dated, signed, stamped by the supplier of services and by the legal representative of the project. These must be according to the financial offers presented by the supplier of services and declared winner.

#### **Community Standard**

- After the implementation of a community standard, the beneficiary must present the file with the reimbursement request, a document issued on the name of the beneficiary, signed and stamped by the authority in the area that shows that the community standard proposed in the project has been implemented.

The minimum 4 (***the number of Reimbursement Claim will be adapted according to each Intermediary Body***) samples of the Reimbursement Claim, in original, along with all the justifying requests in copies, make up the *File of the Reimbursement Claim of the Beneficiary*, a file that will be sent to the Intermediary Body.

The nature and the number of the justifying documents which are requested to the beneficiary will be established by the IB, taking into account the recommendations made by the Management Authority through the standard contract format, the specific of the project approved for financing, the stipulations regarding the eligibility of the expenses and/or the project included in the orders for eligible expenses and/or the state aid decisions/ minimis for the operation the financed project is part of. The justifying documents will be mentioned in the financing contracts. FOR THE SIGNED CONTRACTS THE COMPLETE LIST OF REQUESTED DOCUMENTS WILL BE ESTABLISHED THROUGH AN ADDITIONAL ACT TO THE FINANCING CONTRACT AND/OR PAYMENT NOTIFICATION.

The file of the Reimbursement Claim will have a table of contents, and the documents it contains must be numbered. The beneficiary will mention at the end of the file "This file contains.... pages. numbered from 1 to..." The documents will be arranged in chronological order, according to the general OPIS.