



This Project co-funded by the
European Union and the Republic of Türkiye

REPUBLIC OF TÜRKİYE
THE MINISTRY OF LABOUR AND SOCIAL SECURITY
DIRECTORATE OF EUROPEAN UNION AND FINANCIAL ASSISTANCE

THEMATIC
MONITORING GUIDELINE
FOR GRANT
PROGRAMMES

for Operation
Beneficiary Institutions





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Thematic Monitoring Guideline for Grant Programmes for Operation Beneficiary Institutions

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In the event of any discrepancy between the guidelines and the grant contract and its annexes, the latter shall prevail as legally binding. It should be noted that the issues stated in the guideline refer to the said Grant Scheme only.

Republic of Türkiye, Ministry of Labour and Social Security

Directorate of European Union and Financial Assistance
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Notes for Users

This guideline focuses on monitoring duties and responsibilities especially within the context of Grant Schemes initiated via call for proposals and the details regarding the issues mentioned within the Guideline may be accessed through the documents referenced within the guideline.

In case of conflict between the basic information found in this guideline and the documents referenced, the information within the referenced documents is to be considered valid.

The duties and procedures mentioned in this guideline are not to be taken into account in an absolutely restrictive manner, as need might arise for implementation with a wider-scope, within the framework of EU rules and the Employment, Education and Social Policies Sectoral Operational Programme (EESP SOP). As the guideline may periodically undergo revisions by the İKGPRO (EESP OS), Operation Beneficiaries (OB) should maintain contact with the İKGPRO (EESP OS) during implementation.

1 Abbreviations

CA	EU and Financial Assistance Department (DEUFA), Contracting Authority (CA)
Co Beneficiary	Grant beneficiary organisations (Following the signature of the contract, the applicant whose project has been accepted and who is described as “Coordinator” in special conditions, is designated as the “Grant Beneficiary” or “Coordinator” organisation. Organisation(s) which is (are) described as co-applicant by the institution making the application is (are) designated as “co beneficiary” or “partner” following the signature of the contract. The term “beneficiaries” encompasses the Coordinator agency as well).
EUD	EU Delegation to Türkiye
GB	Grant Beneficiary (The organization with which the contract has been signed - It is defined as “Coordinator” in the contract.)
İESP SOP (EESP SOP)	Sectoral Operational Programme for Employment, Education and Social Policies
İKGPRO (EESP OS)	Programme Authority for the Development of Human Resources, MoFLSS,
IPA	Instrument for Pre-accession Assistance
İŞKUR	The Turkish Labour Agency
KDV/VAT	Value Added Tax
KOSGEB	Small and Medium Enterprises Development Organisation Presidency
MIS	The Management Information System developed by the Programme Authority for the monitoring of the projects
MoFLSS	Ministry of Family, Labour and Social Services
MoLSS	Ministry of Labour and Social Security
MoNE	Ministry of National Education
MYK / VQA	Vocational Qualifications Authority
NIPAC	National IPA Coordinator (Ministry for Foreign Affairs, Directorate of EU Affairs) (National IPA Coordinator)
OB	Operation Beneficiary Institution
OCU	Operation Coordination Unit
OIS	Operation Identification Sheet
OLAF	European Antifraud Office
OP	Operational Agreement
PIM	Programme Implementation Manual
PRAG	Practical Guide to Contract Procedures for EU External Actions financed by the EU budget
Projematik	Grant Monitoring/Management Information System
SGK	Social Security Institution
SMC	EESP SOP Sectoral Monitoring Committee
SROB	Senior Representative of Operational Beneficiary
SSS	Frequently Asked Questions
STK	Civil Society Organisation
TBB/UMT	The Union of Municipalities of Türkiye
TEMİZ	Thematic Monitoring Expert
TESK	The Confederation of Turkish Tradesmen and Craftsmen
TOBB	The Union of Chambers and Commodity Exchanges of Türkiye
YÖK	The Turkish Council of Higher Education

2 Terminology

Although this guideline focuses especially on duties and responsibilities regarding grant programme monitoring, it is important that implementing organisations be familiar with EU procedures and certain general terms.

Instrument for Pre-accession Assistance- IPA: The instrument / body of funds provided by the EU to candidate and potential candidate countries for the purpose of preparation for membership.

IPA II Period: Instrument for Pre-Accession Financial Assistance for the period 2014-2020.

Employment, Education and Social Policies Sectoral Operational Programme (2014-2020) EESP SOP: “Education, Employment and Social Policies 2014-2020 Sector Operational Programme” adopted by Commission Decision No. C(2014) 9673 dated 11.12.2014, delineating the major rules regarding the implementation of the “Employment, Human Resources Development and Social Policies” sector, one of the nine sectors mentioned in the Türkiye Strategy Paper, within the context of the IPA II Period.

(Please visit http://www.ikg.gov.tr/wp-content/uploads/pdf/24032017_IESP_SOP.pdf for Programme details)

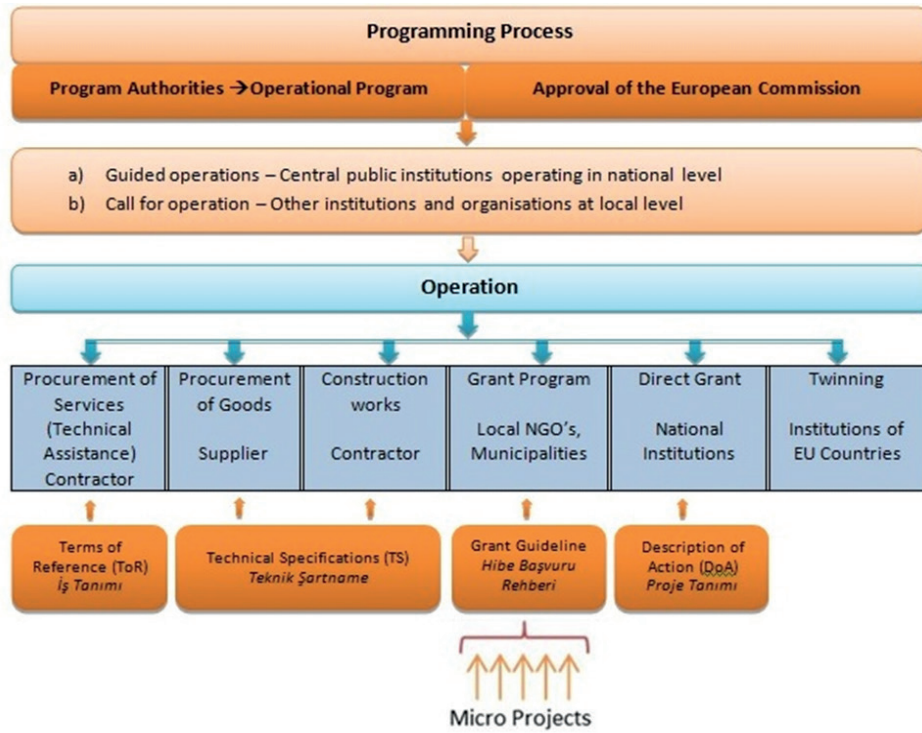
National IPA Coordinator - NIPAC: Directorate of EU Affairs of the Ministry of Foreign Affairs (MoFA) appointed for the development of the Türkiye Strategy Paper and of the programme priorities and ensuring their complementarity, for the coordination of the studies realized with stakeholders and at the same time ensuring the consistency of the programme implementations with the Strategy Paper, for the overall coordination of the IPA programmes and for the monitoring, implementation, evaluation and reporting of the implementation process.

Multi-annual Programme Authority (Programme Authority): Institutions responsible for the preparation of programmes concerning the multi annual sectors indicated in the IPA Türkiye Indicative Strategy paper, the management of the contracting processes, the monitoring and evaluation of programme implementation, for ensuring the compliance of communication and visibility activities, of programme reporting requirement and of expenditures, in line with the principle of sound financial management, with related regulations and procedures.

Human Resources Development Programme Authority (İKGPRO - EESP OS): The Ministry of Family, Labour and Social Services (MoFLSS) has been designated with Presidential Circular No. 2019/20 as the institution responsible for the “Employment, Social Policies, Education, Promotion of Gender Equality and Human Resources Development”, one of 5 policy areas and 9 sectors to be implemented within the IPA II Period, and as the multi annual programme authority. Many of the duties of the Programme Authority are carried out by the MoFLSS, Department of EU and Financial Assistance, the Contracting Authority.

Audit Authority: Ministry of Treasury and Finance, Board of Treasury Controllers; a body independent of all parties within the system, with the authority to audit management and control systems and works, operations and annual accounts within the context of the programme.

Project/ Operation: Set of planned activities utilising financial, physical and human resources, aiming at producing outputs and achieving objectives clearly defined in terms of specific location, period of time and budget. As it can be seen in the figure below, Operational Programme developed by the Operating Structure is approved by the EU Commission. Once the programme is approved, actions and activities foreseen in the programme are put into practice through umbrella projects called operation. Two procedures are followed to determine which projects will be selected and implemented. Operations to be run by central level public institutions operating at national level are negotiated directly and developed jointly with the Operating Structure. As for the selection of the operations of other institutions and agencies such as local level institutions and agencies, call for proposals are launched and project proposals are collected, and eligible project proposals are selected after an assessment process. In both procedures, the operations selected are submitted to the EU for approval. Consultancy, equipment and cooperation needs under the scope of the operation are analysed, components of the operation are identified in Operation Identification Sheet, and OIS is submitted to the EU for approval. Based on the components of the operations approved, tender documents such as terms of reference, technical specifications and documents such as grant call or direct grant contract and project descriptions are prepared. Therefore, components of the operation are determined based on consultancy, equipment and cooperation needs analysed. While grant scheme enables to develop cooperation with local institutions and agencies twinning component enables to conduct joint project activities with the institutions in the EU. Operations are generally implemented by governmental organizations, operating at nation-wide scale, such as the Ministry of National Education (MoNE), the Turkish Labour Agency (İŞKUR), the Social Security Institution (SGK) and the Vocational Qualifications Authority (MYK – VQA). Operation proposals prepared by these institutions and financed by the EU are launched following the approval of the İKGPRO (EESP OS) and of the EU Commission. Institutions implementing operations are named “Operation Beneficiaries”. On the other hand, in grant programmes generally developed within the frameworks of operations and in order to contribute to operation objectives, short-term and small scale projects are implemented especially by institutions active at local level, such as worker and employer unions, associations, foundations, chambers of commerce and industry, educational institutions, universities and municipalities. Institutions implementing grant projects are called “Grant Beneficiaries” (GB). On the other hand, in order to provide direct consultancy and support along with the equipment needed to the beneficiary organisation in implementing the objectives and activities of each related operation, a technical assistance (service procurement) and a supply (goods) project are developed. Within this context, consultancy (technical assistance) services are procured through a contractor and goods through related suppliers. Information on operation identification (programming) and contracting processes are presented below.



Operational Agreement: The Operational Agreement that has been signed between the İKGPRO (EESP OS) and the OBs defines the rights, duties and responsibilities of the parties within the framework of the financed operation.

Monitoring: Monitoring is a management tool utilised continuously and in a simultaneous manner during the programme/project/operation implementation process and comprises the systematic collection of qualitative and quantitative data, the analysis of the collected data needed to monitor that the targeted results are achieved along with the process of dissemination of the results of these analyses with the related stakeholders. Through monitoring, the implementation of the activities envisaged in the projects, whether the output have been delivered and the results have been achieved are monitored, and it is ensured that corrective and preventive measures such as project amendments required during the implementation process are taken.

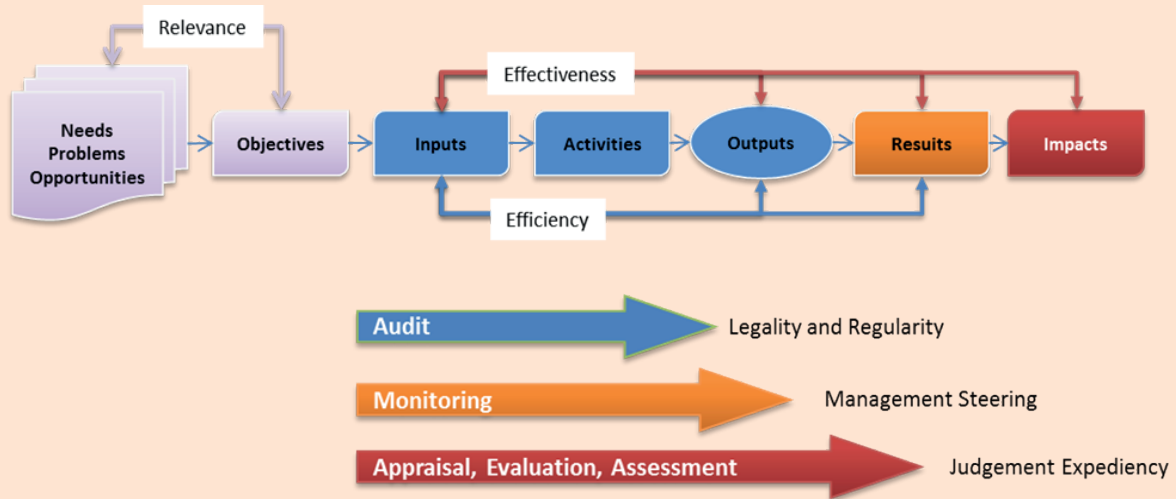


OBs have responsibilities in all four stages of the monitoring process

Evaluation: It is the process of systematic and objective analysis of the design, implementation and consequences of an intervention, such as a programme, action or project. It is also defined as a process for identifying and analysing the impact and change that the intervention has or could have created.

Monitoring and evaluation are two integrated management tools. Evaluation within the scope of EU grant projects is carried out mostly and preferably by external and independent experts or institutions who have not been engaged in the design or implementation of the project to ensure impartiality. Monitoring activities should provide the evaluation process with systematic data ready to be analysed.

The following figure shows the audit, monitoring and evaluation processes. In the project design, setting the objectives to be achieved by addressing the needs and problems or using the opportunities constitutes the first process, and this process is evaluated within the scope of “relevance” criterion. In practice, the activities are carried out by providing inputs, and the outputs are obtained. In this second process, the external impact is assumed to be almost non-existent, except in exceptional circumstances, and the project is therefore expected to deliver the products and outputs expected from it. This second process is usually the subject of the audit, and the audit is generally not interested in further processes. In monitoring and evaluation, this stage is considered under the “efficiency” criterion. Output/result can be achieved by using the outputs in a useful way. From output to conclusion, this process is also examined within the scope of the “effectiveness” criterion of monitoring and evaluation. In the long term, it is expected that the impact of the project will begin to be seen with positive or negative changes and transformations resulting from the results achieved. This stage that goes beyond monitoring is the subject of evaluation.



The evaluation process comprises the following subjects:

- Policy relevance: conformity of the interventions to national programme and policies
- External relevance: the extent to which the interventions can address social and economic needs and problems
- Efficiency: achieving maximum output from inputs or obtaining outputs with minimum inputs- ratio of input to the output achieved – works conducted properly
- Effectiveness: Ratio of output achieved to the output planned- achievement of the planned activities – achievement of results – rate of utilisation of outputs
- Impact/utility: All long term intended or unintended- positive or negative social, economic, environmental impacts
- Sustainability: continuity of the activities and of the benefits produced.

Thematic Monitoring: This is a monitoring, control and evaluation method implemented by the Operation Beneficiary (OB) institutions, especially in the framework of implementation of the grant projects. It is a complementary part of the technical controls performed by the İKGPRO (EESP OS). Thematic monitoring aims at the supervision of project activities on the issues that are relevant to the areas of expertise/activity of the OB. Technical issues such as the utilisation of budget, procurement procedures, changes, employment of staff and financial reporting are excluded from the scope of thematic monitoring. Instead, thematic monitoring comprises monitoring and evaluation for compliance to the national legislation related with the operation and project activities, to policy documents, strategies and action plans, in other words examination of policy relevance. Within the framework of these duties, thematic monitoring can be defined as the collection of monitoring data of the operation/project components and the evaluation of this data in a systematic way in order to assess the potential contributions of the project to the objectives and indicators of the İKG (EESP OS) and of the grant program along with the level of progress of the project.

Indicator: It is defined as programme / project specific, measurable, achievable, realistic, time specific, objective, qualitative and quantitative criteria, enabling monitoring of projects / programmes and the measurement of their levels of success, at general objectives, specific objectives, results and activities levels. Indicators are qualitative and quantitative factors or variables that provide practical, comparable and reliable tools in reflecting the changes related to a project/operation or in assessing the performance of an activity/result/stakeholder.

Baseline: Defined as initial/current status of indicators or data used for comparison, analysis, monitoring and evaluation. In the IPA II period, all the baselines of the indicators, including the basic status, the current and the target values of the indicators shall be taken into account.

Management Information System - MIS: The MIS has been developed by the Programme Authority - İKGPRO (EESP OS) for the implementation and monitoring of the projects, for ensuring adequate publicity and visibility, for securing outreach to the target groups expected to benefit from the projects, for ensuring adequate support to organizations implementing projects and for avoiding irregularities and reducing bureaucratic work loads. The Grant Monitoring Information System (Projematik) is being used by for grant programmes managed by the İKGPRO (EESP OS) <https://projematik.ikg.gov.tr/openform/MIS.aspx>

3 Introduction and Background

This Guideline has been prepared by the MoFLSS, the Programme Authority for the Human Resources Development Programme, with the aim of guiding Operation Beneficiary Institutions (OBs) in the process of monitoring of grant projects to be implemented within the context of the Employment, Education and Social Policies Sectoral Operational Programme.

3.1 Legal basis

The IPA II Period is being managed according to the decisions and provisions set forth in various policy documents. Related policy documents within this context are presented below:

- IPA II Regulation
- IPA II Implementing Regulation
- Türkiye Indicative Strategy Paper
- IPA II Period (2014-2020) Framework Agreement
- The Presidential Circular No. 2019/20 on the Management of the EU Pre-Accession Funds and the Participation in the Union Programmes

IPA-II Regulation: Regulation No. 231/2014 of the European Parliament and Council dated 11 March 2014 has put into force the provisions that regulate the 2014-2020 period (IPA II) of pre-accession assistance for candidate and potential candidate countries.

English : http://www.ab.gov.tr/files/mali_isbirligi_baskanligi/ipa_ii_tuzugu.pdf

Turkish : <https://www.ipa.gov.tr/assets/uploads/files/IPA%20II%20Uygulama%20T%C3%BCz%C3%BC%C4%9F%C3%BC.docx>

IPA II Implementing Regulation: Implementing Regulation No. 447/2014 dated 2 May 2014 establishes the implementation details of the IPA II Regulation.

English : http://www.ab.gov.tr/files/mali_isbirligi_baskanligi/ipa_ii_implementing_regulation.pdf

Turkish : <https://www.ipa.gov.tr/assets/uploads/files/IPA%20II%20Uygulama%20T%C3%BCz%C3%BC%C4%9F%C3%BC.docx>

Türkiye Indicative Country Strategy Paper (Revised on 10.08.2018): This paper defines the policy areas and sectors where the 2014-2020 period financial assistance will be used within the context of the instrument for pre accession assistance, **as** approved by the Decision of the European Union Commission. As indicated within this document financial assistance covers nine sectors. These sectors are:

- (1) Democracy and Governance;
- (2) Law and Fundamental Rights;
- (3) Environment and Climate Change;
- (4) Transportation;
- (5) Energy;
- (6) Competitiveness and Innovation;
- (7) Education, Employment and Social Policies;

- (8) Agriculture and Rural Development;
- (9) Cross-border cooperation.

<https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/20180817-revised-indicative-strategy-paper-2014-2020-for-Türkiye.pdf>

IPA II Period (2014-2020) Framework Agreement: The “*Framework Agreement on the Regulations for the implementation of financial assistance to the Republic of Türkiye by the Union within the context of instrument for pre-accession assistance between the Republic of Türkiye and the European Commission*” that transfers the implementation principles on to national legislation and aiming at the implementation of the IPA II period covering the years 2014-2020 in compliance with European Union regulations has been signed on 11 February 2015 and has been ratified by the Turkish Parliament through Law No. 6647, issued in the 28 April 2015 Official Gazette. The Cabinet Decree on the approval of the agreement has been issued in the 21 June 2015 dated, No. 29393 Official Gazette, and with the enforcement determination decree issued in the 28 August 2015 dated official Gazette the date of effect of the agreement has been established as 22 June 2015.

English: http://www.ab.gov.tr/files/ipaii_framework_agreement_original.pdf

Turkish : <https://www.resmigazete.gov.tr/eskiler/2015/06/20150621-1.htm>

The Presidential Circular No. 2019/20 on the Management of the EU Pre-Accession Funds and the Participation in the Union Programmes:

<https://www.mevzuat.gov.tr/MevzuatMetin/CumhurbaskanligiGenelgeleri/20191004-20.pdf>

The Human Resources Development Operational Programme (HRDOP) prepared for the sector has been approved by Commission Decision of 11 December 2014. Provisions related to the financing and implementation of the programmes are regulated by the related financing agreements.

http://www.ikg.gov.tr/wp-content/uploads/pdf/24032017_IESP_SOP.pdf

As defined in the Presidency Circular No. 2019/20, the institution designated as the Programme Authority may sign protocols that determine the roles and responsibilities of OB's as necessary. Accordingly, work/task sharing between sector responsible institutions and Operation Beneficiaries are regulated by Operational Agreements (OAs).

3.2 Roles and Responsibilities of Key Actors

The legal framework described above defines the roles and responsibilities of the related institutions and structures in the implementation process.

3.2.1 Responsibilities of the Republic of Türkiye, Ministry of Family, Labour and Social Services

As the sector responsible and the Multi Annual Programme Authority, the MoFLSS, under the general coordination of the National IPA Coordinator (NIPAC), is responsible for the preparation, implementation of the Sectoral Operational Programmes, the selection and evaluation of the projects to be supported, for the programming and

tendering, contracting processes, for the implementation and control of completed projects and activities, for conducting monitoring and assessment related to these projects and for submitting the necessary information, documents and reports to the related institutions.

The duties of the MoFLSS according to Article 10 of the IPA Implementing Regulation are as follows:

- Prepares the calls for proposals;
- Establishes the related evaluation committees;
- Conducts evaluations of projects and ensures their approval together with the European Union;
- Announces the awarded projects;
- Signs OAs with OBs and provides implementation-related technical support;
- Signs contracts related to the procurements;
- Conducts technical and financial monitoring and general control of the projects according to the signed contracts.

3.2.2 Roles and Responsibilities of Operation Beneficiary Institutions

Sectors such as employment, education and social policies are multi-dimensional owing to their nature. As a result, these areas involve multiple institutions and stakeholders.

An exemplary, non-conclusive list of major institutions, organisations and stakeholders that may be involved as Operation Beneficiaries in the sector are listed below:

- Ministry of Family, Labour and Social Services (MoFLSS)
- Turkish Labour Agency (İŞKUR)
- Social Security Institution (SGK)
- Vocational Qualifications Authority (MYK – VQA)
- Ministry of National Education (MoNE)
- Ministry of Youth and Sports (MoYS)
- Ministry of Industry and Technology (MoSIT)
- Ministry of Interior (MoI)
- Ministry of Culture and Tourism (MoCT)
- Ministry of Health (MoH)
- Ministry of Justice (MoJ)
- Higher Education Board (YÖK) and Universities
- Small and Medium Enterprises Development Organisation (KOSGEB)
- Development Agencies
- Union of Municipalities of Türkiye (UMT/TBB) and Municipalities
- Union of Chambers and Commodity Exchanges of Türkiye (TOBB)
- Confederation of Turkish Tradesmen and Craftsmen (TESK)
- Organised Industry Zones, Clusters and Technology Centers
- Civil Society Organizations (CSOs)
- Unorganised groups that are working on the areas covered by EESP SOP
- Social Partners
- Private Employment Offices
- Local authorities

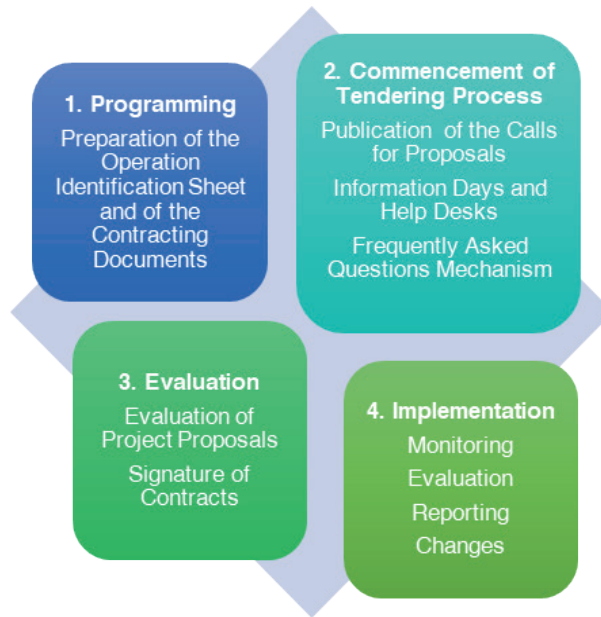
- According to the OA signed between the OBs and the MoFLSS, the Programme Authority, these institutions are to be responsible for the overall management of the projects and of the activities implemented under the programme, for the thematic monitoring and for their reporting to the Programme Authority. Every OB will establish an Operation Coordination Unit (OCU) for management and proper and timely implementation of grant programmes and technical assistance and supply projects under their operation. This unit should be composed of adequate number of staff members, including minimum one Irregularity Officer and Risk Manager, and it is chaired by the Senior Representative of the Operation Beneficiary (SROB).
- Detailed monitoring of the projects and achieving sustainability, including participation to the project meetings, reviewing of submitted reports and technical documents, conducting provisional and final acceptance for procurement of goods / supplies are to be within the duties of the OB's.
- Additionally, the OB will establish a monitoring team with sufficient number of staff solely for the task of monitoring of the grant projects.

The SROB shall be responsible for the overall management and representation of the OCU in accordance with the related rules and regulations. In addition, the SROB, is responsible for the following tasks, in relation with to the grant programme:

- Management of the communication and coordination with the İKGPRO (EESP OS) and delivery of all reports and check lists to the İKGPRO (EESP OS) within the scope of the provisions of the OA;
- Promotion of the grant programmes, support of the activities within the application process and assignment of the staff to be utilised in the evaluation of project proposals to be funded within the context of the programme;
- Assignment of the staff to be responsible for thematic monitoring (**Thematic Monitoring Expert- TEM-İZ**) and supervision of the activities of these staff; preparation of the Thematic Monitoring Plans according to the Thematic Monitoring Strategy Paper prepared in the context of the OA and the delivery of these plans to the İKGPRO (EESP OS).

4 Launching of Grant Programmes and Application to the Projects Phase

The processes related with grant programmes are presented as follows;



4.1 Launching Calls for Proposals

Following the approval of the Operation Identification Sheet –OIS that contains the grant programme and once relevant documents such as guidelines for applicants are prepared, “**Calls for Proposals**” is announced informing the public that project proposals on appropriate topics submitted by appropriate applicants shall be accepted. Together with the calls for proposal, “**Guidelines for Applicants**” is published in the following official internet sites.

<https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome&userlanguage=en>
(Advanced Search – Type: Grants)

<http://www.ikg.gov.tr/> (İhaleler (Bids) – Türü (Type): Hibe (Grant))

The “**Guidelines for Applicants**” prepared by the OB, reviewed by the İKGPRO (EESP OS) and approved by the EUD includes the objective of the grant programme, the eligible applicants, the eligible activities and eligible costs that may be covered within the potential projects, the evaluation criteria and the methodology according to which project proposals shall be evaluated, information on how the application forms will be filled in, the documents to be included and the procedures to be followed during the application.

The call for proposals can be made in two ways, namely open and restricted call for proposals. As a rule, a restricted call for proposals is made, and in this procedure only the concept note is submitted by the applicants. Subsequently, short-listed applicants whose concept notes have been accepted and announced to the public are invited to submit the full application forms. In case of open calls of proposals, used in exceptional cases, all institutions and organisations can submit full application directly.

4.2 Grant Information Days and Help Desks

Following the publication of the call for proposals together with the Guidelines for Applicants, a period of minimum 45 days is given to potential grant beneficiaries both for concept note and full application in case of restricted call, and minimum 90 days are given for the preparation and submission of their project proposals in case of open call. Where the maximum size of each grant to be awarded within the programme is EUR 100 000 or less, the minimum period is 60 days.

During this period, information relay and awareness activities for all potential beneficiaries are organized at selected provinces of the regions at which the programme will be implemented, with the participation of the OB representatives no later than 21 days before the deadline for application. During these activities procedural, technical and thematic information are presented where it is aimed to increase the motivation and project preparation capacity of the prospective applicants.

- Information days are organised in compliance with the “Communication Strategy and Action Plan” prepared by the Programme Authority.

Provisional dates and venues for the grant information days are indicated in the Guidelines for Applicants. Necessary updates regarding these days and venues are announced to the public through the related institutions.

Applicants may ask questions during the preparation of their project proposals. This action aims at ensuring that only institutions that can meet the set eligibility criteria submit proposals and hence that possible misconceptions and resulting waste of resources are avoided.

For the above purpose, help desks may be established at appropriate provinces by the İKGPRO (EESP OS) during the application phase. The aim of these desks is to provide support and advice to prospective applicants during the preparation of their applications. This support comprises are provided to each and all potential beneficiaries without discrimination, in line with transparency and equal opportunity principles and are limited in scope to the clarification of the rules of the Guidelines for Applicants, and are not to be considered official and binding. The Guidelines for Applicants indicates the contact details of the addressees of the application-phase questions.

4.3 The Frequently Asked Questions Mechanism

The **Frequently Asked Questions** mechanism is utilised for issuing official and binding answers. For the sake of transparency and provision of equal opportunities for all prospective applicants, and since a specific answer given to some applicant could be of benefit for another, “frequently asked questions” and their answers are published for the consideration of all prospective applicants.

- Applicants are expected to submit their questions to the related contact address indicated in the Guidelines for Applicants within the predefined period of time and in writing no later than 21 days before the deadline for application. Frequently asked questions should be answered by the İKGPRO (EESP OS) no later than 11 days before the deadline for application.

The process of selection of the project proposals that will be entitled to grant support, is governed by the criteria of both administrative/technical eligibility and quality/competition. Accordingly, proposals which meet the eligibility criteria are further subjected to a quality score ranking and the programme budget is expended for supporting the projects that are ranked at the higher levels. For this reason during application phase maximum attention is paid in ensuring transparency and equal opportunity to prospective applicants so that no applicant is granted any unfair or privilege over the others.

Following the publication of the calls for proposals, individuals or organisations with no authority within the context of the institutional framework of the grant programme may, at their own discretion, opt to organize information and publicity meetings, to request participation fees from the participants of such organisations, to present themselves as being in various forms of relation to the authorized institutions related to the subject grant programme, or to falsely declare that they maintain relationships that can ensure the favourable treatment of project proposals. OB representatives and İKGPRO (EESP OS) staff in charge are required to inform prospective applicants on the possibility and upon the potential occurrence of such initiatives.

4.4 The Evaluation Phase of the Project Proposals

Project proposals should be submitted by the applicants to the İKGPRO (EESP OS) before the date and hour indicated as the deadline in accordance with the rules indicated in the Guidelines for Applicants.

The İKGPRO (EESP OS) is responsible for the coordination of the evaluation phase.

Project proposals are evaluated by an “Evaluation Committee”.

- The İKGPRO (EESP OS) appoints a non-voting chairman and secretary to the Evaluation Committee.
- The voting members of the Evaluation Committee are selected in an odd total number of no less than three and have no hierarchical relationship among each other.
- Voting members are generally selected from representatives that have the required technical capacity to provide justified comments to the proposals of the OB.
- The EUD may appoint non-voting observers to the committee.
- The establishment of the committee is subject to the pre-approval of the EUD.

All the members of the Evaluation Committee and all observers and independent assessors sign a Confidentiality and Impartiality Declaration. According to this Declaration every evaluation committee member, observer or assessor should be withdrawn from the evaluation in case of any conflict of interest due to any potential connection or relationship with the applicant.

- In the case of submission of a large number of projects or of projects with high technical capacity, all or part of the evaluation may be conducted through the use of independent assessors, in order that the Evaluation Committee may finalise their assessment based on the quality evaluations of these independent assessors.

During the evaluation phase, even in the case of the utilisation of independent assessors, the voting members of the Evaluation Committee bear the responsibility for the results of the evaluation.

The budgets of the projects evaluated as conditionally / provisionally selected for funding are revised and if needed budget negotiation is commenced with the applicant organization. During this phase, İKGPRO (EESP OS) experts may provide support to the related unit in the context of budgetary revisions.

The final evaluation report containing the list of the selected proposals is submitted to the EUD by the İKGPRO (EESP OS). Following the approval of the EUD, grant contracts are signed between the awarded applicant organisations and the İKGPRO (EESP OS). Upon the signature of the contracts, the İKGPRO (EESP OS) publishes a public grant notification / announcement including the minimum required information on the grant beneficiaries, the grant subjects and the allocated grant amounts.

5 Commencement of the of the Grant Projects and the Concept of Monitoring

Following the completion of the evaluation phase and the signature of the grant contracts with the projects, a kick off meeting is conducted with the participation of the İKGPRO (EESP OS), the OB and the EUD, or relevant issues are addressed in routine management meetings of the operation. Issues such as the opening ceremony, the organisation of the implementation training and the revision of the indicators related with the programme are addressed during this meeting if it will be organised.

The following responsibilities should be fulfilled by the OCU to be established within the OB during the implementation phase:

- To conduct the activities foreseen in the OA signed with the Programme Authority,
- To establish a high level “Steering Committee” and a secretariat within the context of operation,
- To organize monthly (as rule of thumb) Management meetings and six-monthly Steering Committee Meetings related with the operation,
- To provide thematic support to the grant beneficiaries,
- To record the progress in operation indicators to the monitoring sheet, also taking into account the data related with the grant programme and to submit these sheets to the İKGPRO (EESP OS) together with the risk table,
- To provide support to the evaluation activities to measure the efficiency, impact and sustainability of the implementation results of the grant programme and to disseminate these results.

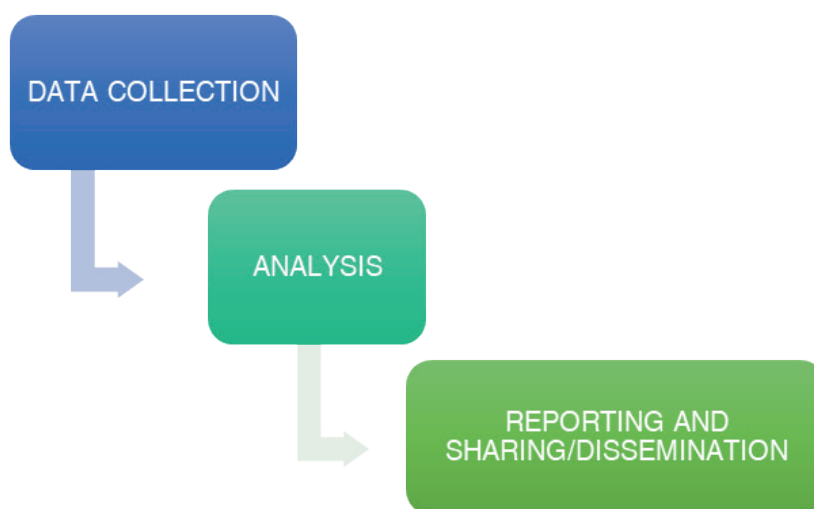
The Monitoring Team established for the monitoring of the grant projects:

- Ensures the consistency of the project activities with national legislation, policies, strategy, programme and plans in the related thematic area, following the signature of the grant contracts,
- Evaluates the consistency and compliance of project activities and outputs to the objectives and targets within the OIS and the Guidelines for Applicants and
- Contributes to the implementation of the project in compliance with the EU rules and the Turkish legislation.

5.1 What is Monitoring?

The main target of the monitoring process is to collect data on the implementation of the project, to analyse the collected data, to make systematic controls and to report this data to relevant institutions.

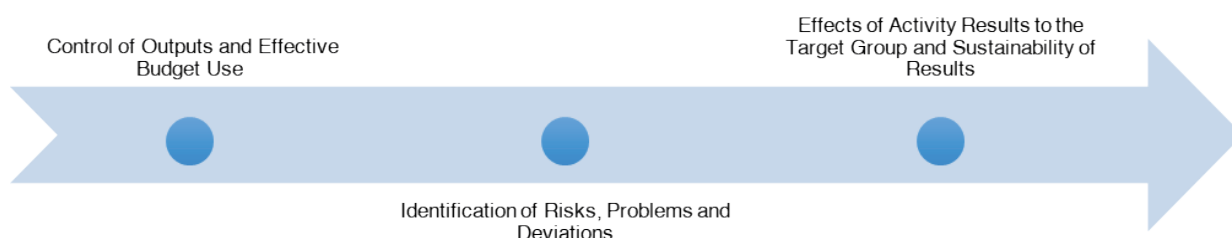
Monitoring, simply defined, is following up on whether a programme or project is implemented according to the targets set during its programming phase. Within this context, the confirmation of whether the project and the programme overall is implemented in an effective and efficient manner is possible with the continuous collection and analysis of related data. The main objective in this respect is the determination of the level of achievement of the programme objectives and results. The findings during monitoring can be defined as ensuring the understanding of the overall status of the project, the evaluation of its performance, the overview of the relationships among the stakeholders, the control of the fulfilment of the contractual obligations and the measurement of the progress in the indicators and in the overall level of success.



Monitoring also serves to develop corrective and preventive measures by enabling timely identification of risks and problems.

Another important objective of monitoring is to provide technical support to the beneficiaries during the implementation phase.

Monitoring essentially serves to follow up on the realisation status of activities and results, the quality of outputs, effective use of the budget, the impacts of the implemented activities and of the results to the target groups and the sustainability of the achieved results.

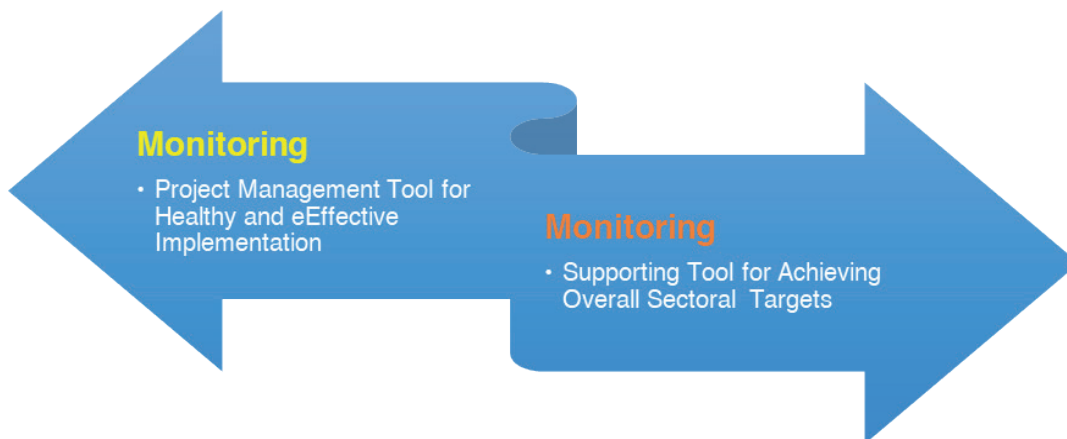


In the occurrence of possible risks and problems, deviations from the objectives and results and/or the possibility of deviations, through the implementation of timely measures and interventions, technical support is essentially provided to the implementation process of the project. Monitoring can in this sense, also be considered as

an “**early warning mechanism**”. The use of this early warning system aims at preventing problems before they arise and to timely intervene to problems already occurred.

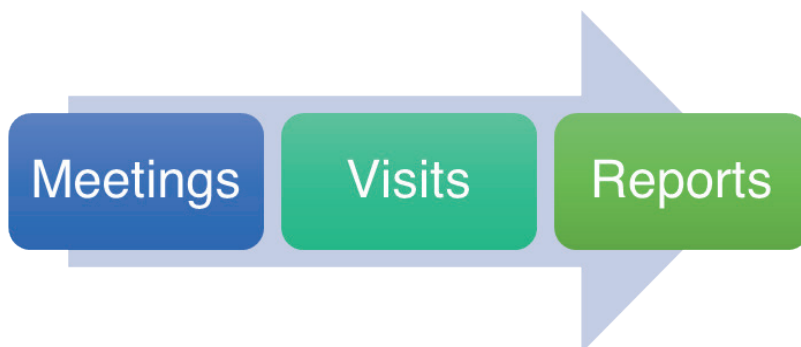
Monitoring allows, from the one hand, to ensure the success of the project, and on the other hand to assess the progress related with the current findings and conduct analysis, regarding the sector, the programme and the priority areas.

Monitoring is important not only for healthy and effective project implementation; it is also important for the IKG (EESP OS) in the process of achieving sectoral targets. While every project in the process of implementation aims to achieve its own objectives and results, it also contributes to the realization of the objectives of its sector. For this reason, while monitoring is a project management tool, it is also a multi-dimensional tool of key importance for the achievement of the overall sectoral objectives. Because of this and for both the success of the individual projects and for achieving the medium and long-term objectives of the sector overall, it is of great importance for the beneficiary institutions to be well acquainted with the monitoring process.



Monitoring provides coordination among institutions

While project implementation is described as the realization of contract provisions and activities related to the project objectives; the actual and current situation of the process of which the main conditions are identified with documents and reports, is confirmed on site by monitoring tools (data collection, analysis, reporting, publishing / dissemination). This process provides for both communication and coordination among institutions. Meetings, monitoring visits and monitoring reports during the implementation process are important factors that strengthen dialogue among institutions.



Monitoring contributes to the strengthening of institutional capacity and individual career development of the staff responsible for monitoring.

In order to achieve effective monitoring it is expected that the staff responsible for monitoring is knowledgeable on the general objectives of the program, on the indicators of the general and specific objectives and on the

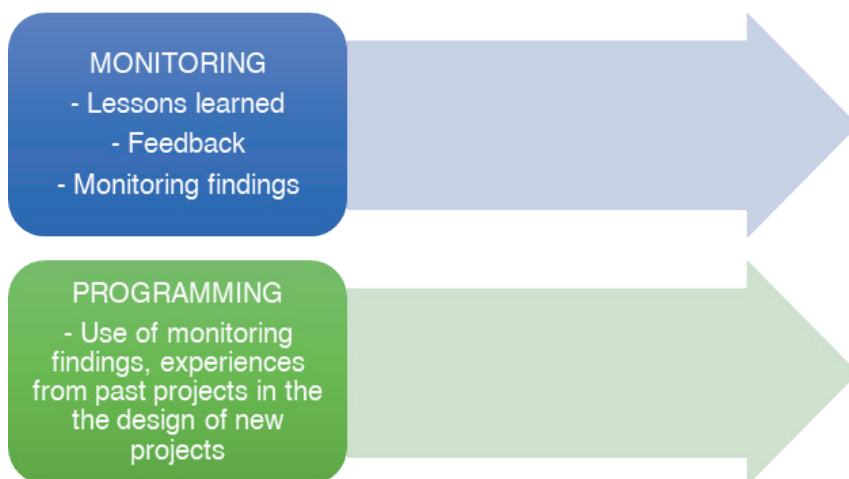
expected impacts of the programme. On the other hand, information on the project that will be implemented, the context of the contract, the activity, budget and time plans and monitoring of the indicators are areas where monitoring staff should have information on.

It is of great importance that monitoring staff is knowledgeable and experienced, in technical and practical terms of the collection and analysis of data and with relevant monitoring tools regarding the project and the programme. This is not only important for the staff's individual career development but also for the strengthening of institutional capacity.



Monitoring does not only provide support in steering the implementation process and offering data to evaluation process through the collection and analysis of the data, but it also provides input and contribution to the programming process (the design of new programme and projects).

Data collected, feedback and lessons learned in the monitoring process contribute to the new programme period and to projects in the light of up to date information. Establishment of a close link between the monitoring and programming processes, continuous and up to date information sharing, the use of past experiences as input in the design of new programmes and projects are important issues that positively affects the level of success of new projects.



5.2 Monitoring Types – Technical and Thematic Monitoring

The technical monitoring activity implemented by the Contracting Authority and the thematic monitoring activity implemented by the Operation Beneficiary institutions are different but complementary monitoring types.

TECHNICAL Monitoring covers the process of follow up and evaluation of the compliance of implementations to the related rules and procedures.

In this framework, the following issues are evaluated;

- Use of correct tendering rules,
- Suitability of budgeting, expenditure and accounting,
- Availability and proper organisation of project documentation and resources.
- Administrative compliance and technical verification of documents, procedures, requests, and reports,
- Verification of the functional utilisation of resources such as the project office, equipment and staff,
- Evaluation of risks of technical nature
- Control of the efficient utilisation of the Grant Monitoring System (PROJEMATİK),
- Follow up of timely submission of reports with a correct content.

THEMATIC Monitoring covers the process of evaluating the compliance and consistency of project activities and outputs with the objectives and targets defined in the Operation Identification sheet (OIS) and/or the Guidelines for Applicants for the points related to the thematic issues within the context of the obligations of the beneficiary in projects of which contracts have been signed.

In this framework; the following issues are evaluated;

- Ensuring the thematic consistency of project activities and outputs within the scope of the relevant national legislation, policies, strategies, programmes or plans with respect to their suitability with the operation/grant guideline purposes,
- Responding to the thematic questions of GBs in the context of their projects with respect to the aforementioned legislation and operation documents,
- Follow-up of the activities of grant projects via PROJEMATİK, of the thematic questions and of the results of implementation and carrying out necessary correspondence within the system,
- Execution of desk-based and on the spot control activities for the implementation processes of grant projects,
- Preparation of periodic thematic reports, thematic check lists and other necessary thematic monitoring documents,
- Follow up of the indicators regarding the programme and project and contacting and informing GBs on preventive and corrective action in the case of difficulties or discrepancies in the follow-up of these indicators, informing the Contracting Authority on the project stages,
- Identification of any risks threatening the achievement of the goals/objectives/indicators of the operation in the projects conducted by GBs within the scope of the Grant Contracts, reporting of these risks to the Risk Manager and proposing activities to eliminate or reduce these risks,
- Reporting of any activities and actions potentially inconsistent with the objectives and goals of the operation, or that may not have been performed in accordance with national and EU legislation or that may lead to suspicion of irregularity, to the Irregularity Officer.

Thematic monitoring activities are conducted by thematic monitoring experts identified and officially appointed by the OB as they are within the activity and responsibility area of the Operation Beneficiary.

The following documents should be used as reference during all stages of thematic monitoring / control:

- OIS
- Guidelines for Applicants
- Grant Contract: Application Form (Description of Action) (including Logical Framework and Matrix) and Special Conditions
- National/Local/ Specific legislation related with the operation

In this framework, procurement, tender and financial revisions within the scope of projects, generally are not included within the thematic monitoring activities. However, even though thematic monitoring activities do not include controls regarding the use of budget, they do include evaluations of efficiency and the effectiveness of activities. As with technical monitoring, thematic monitoring activities also include both desk review and control of reports, PROJEMATİK reviews, as well as on-site verification via visits to the projects and focus particularly on the level of achievement of program indicators.

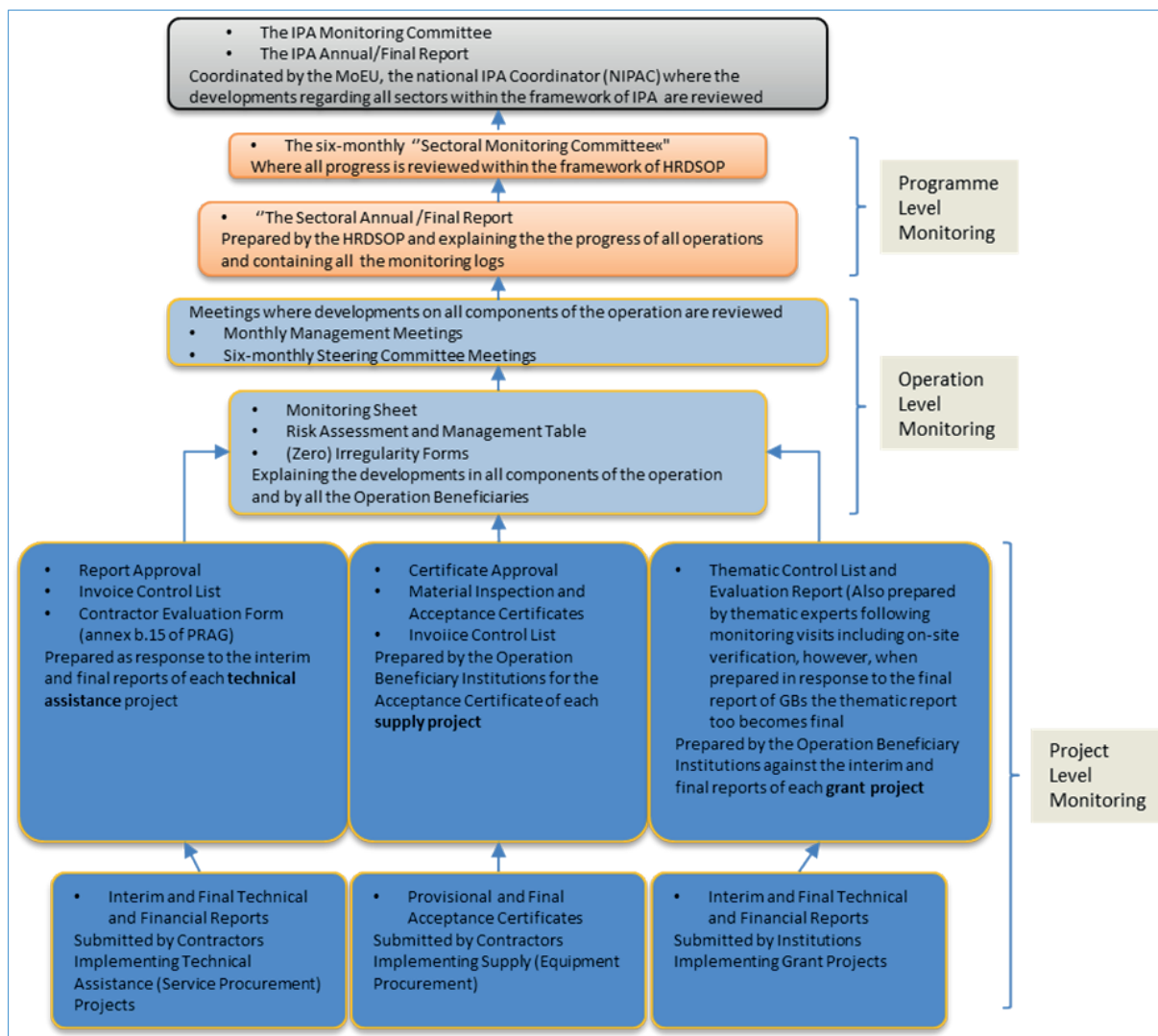
The reports prepared during the thematic monitoring process generally include qualitative and quantitative analyses of the indicators achieved and evaluation of the compatibility, usefulness, functionality, feasibility, sustainability and complementarity of the outputs of the project. In addition, the reports should indicate whether horizontal issues such as gender equality, environment, partnership principles, focusing and good governance are addressed by project activities.

5.3 Levels of Monitoring

Monitoring within the scope of the EESP SOP is carried out at three main levels comprising the **PROJECT, OPERATION** and **PROGRAM** levels. The OBs complement the İKGPRO (EESP OS)'s technical monitoring with thematic monitoring at project and operation level. Monitoring at program level which includes the monitoring of developments at EESP SOP level is performed by the İKGPRO (EESP OS). On the other hand, the monitoring of all sectors of IPA is conducted by the NIPAC (Directorate of EU Affairs).

Each level of monitoring should be nurturing the other levels, should allow data exchange among each other and, ultimately, serve to provide an assessment of whether the IPA funds are being effectively utilised in our country, to enable comparable analysis of data and to ensure that these funds provide a realistic, measurable and sustainable contribution to the identified sectors.

In addition to the follow-up of contractual obligations, beneficiary institutions are also expected to undertake any role that can contribute to the achievement of program objectives, especially for thematic aspects during the monitoring process. In order for both monitoring at program level and at project level to be effective; active and prepared participation in the committee and project meetings along with updated and in-time provision and reporting of requested data, along with regular participation in monitoring visits are essential.



Monitoring at program level is the monitoring of objectives and results set forth during the design of the EESP SOP through the program indicators. Conducted by the İKGPRO (EESP OS), this monitoring is achieved through the entirety of monitoring data such as interim and final reports obtained from monitoring activities at operation and project level, monitoring sheets/reports and MIS statistics. All these data are used in the evaluation of program indicators via verifiable sources and the determination of the success rate in the achievement of programme objectives and results.

Monitoring at programme level is conducted through 6-monthly Monitoring Committee and sectoral annual reports. This activity covers all relevant stakeholders and responsible public institutions of the EESP SOP Monitoring Committee, including Civil Society Organizations (CSOs).

Monitoring at the operational level is conducted through monthly meetings and 6-monthly Steering Committee meetings organized by the OBs, where developments in each component of the Operation are discussed, and through tools prepared by OBs, which explain developments in each component of the operation, such as monitoring sheets, risk assessment and management chart and (zero) irregularity forms. In cases where a technical assistance project is being implemented within the scope of the operation, meetings at the operational level are usually combined with the meetings of the technical assistance project.

Monitoring at project level includes issues such as the verification of the reports on technical assistance (service), supply and grant projects on technical basis by the İKGPRO (EESP OS), and on thematic basis by the

operation beneficiaries, provision of support to contractors and grant beneficiaries, follow-up of project activities, review of modifications and risk management.

6 Monitoring Data and Monitoring Tools

Thematic monitoring experts (TEMİZ) assigned to each project are responsible for the following within the scope of monitoring activities:

- Follow-up of the activities, indicators, thematic inquiries and implementation results for grant projects via PROJEMATİK, informing the İKGPRO (EESP OS) on corrective and preventive activities regarding risks;
- Verification of indicators ([Project Transactions](#) → [Performance Indicators](#) → [Program Specific Performance Indicators](#) 🗑️) and, if necessary, warning of the GB;
- Supervising the identification of training courses and trainees within the scope of the project on PROJEMATİK and warning the GB on possible deficiencies ([Project Transactions](#) → [Training Courses](#));
- Follow up the project map on the website of the İKGPRO (EESP OS) and of the project websites published on the front page of PROJEMATİK and ensuring that GBs utilise this module effectively;
- Within the scope of review of technical reports of the GBs, verification of relevant targeted and achieved program indicators on the bases of quantity, quality and cost in comparison with the “thematic check list and evaluation report” ([Control Panel](#) → [Reports](#));
- In the event of request by the İKGPRO (EESP OS), control of the modification requests sent by the beneficiaries, and the delivery of feedback on suitability on behalf of the Operation Beneficiary Institution to the İKGPRO (EESP OS) through e-mail ([Control Panel](#) → [Modifications](#));
- Planning of on-site monitoring activities in the case that information within the reports/PROJEMATİK is not sufficient to allow proper monitoring and/or verification and informing of the İKGPRO (EESP OS) ([Monitoring](#) → [Monitoring Plan](#) → [\(First\) Thematic Monitoring Visit](#) → 📝)
- Providing support to the evaluation activities of the grant scheme




6.1 Technical Assistance and Questions

Technical assistance provided to the GBs commences upon the signature of the contract and continues until the conclusion of the final report. During the signature of the contract, initial meetings and discussions with GBs are conducted by the İKGPRO (EESP OS); training and support on aspects such as project implementation, report preparation and the use of PROJEMATİK are provided subsequently. The participation of thematic monitoring experts (TEMİZ) assigned to each project in these activities is of great importance.

At the initial meeting with the GB during the signature of the contract and during round table discussions held also with the participation of thematic experts at first project implementation training, project activities should be especially planned and indicators corresponding to the OP indicators of the project should be identified. In this

context, necessary entries and updates should be completed without delay in consultation with the GB in the following parts of the [Project Transactions](#) section on Projematik:

- [Activities](#) →  (Projematik directions)
- [Performance Indicators](#) → [Update performance indicators for Programme/Project](#)

All daily support requests and questions from beneficiaries are used as important monitoring data and they should be responded to without delay and to the maximum possible extent, through PROJEMATİK. ([Control Panel](#) → [Question & Answer](#))

Especially thematic questions asked through the MİSTİK system should be answered by referring to the relevant reference documents as follows:

- Grant Contract: Application Form (Project Description and Logical Framework) and Special Conditions
- Operation Identification Sheet
- Guidelines for Grant Applicants
- National Legislation related to the Operation, Policy/Strategy Document etc.

Since the delivery of the thematic responses prepared through PROJEMATİK will be accepted as the response on behalf of the OB, it is important that the relevant TEMİZ uses a corporate / official language. ([Control Panel](#) → [Question & Answer](#)). Questions and support requests for risky or questionable issues not clearly answered in the afore-mentioned reference documents should be responded to after a joint consultation process to be conducted within the OB, when necessary. **The joint consultation process** is in the form of a meeting of which decisions are recorded in minutes coordinated by the TEMİZ of the relevant project, chaired by the SROB and with the participation of the risk and irregularity officer within the OCU and representatives from other relevant units when necessary.

On the other hand, it is essential that whenever possible, the GB is reminded by the TEMİZ that all information except for formal responses carrying the signature of the Project Manager, also the president of the İKGPRO (EESP OS), is to be considered as consulting support of informal and non-binding nature, and that all responsibility ultimately lies with the GBs.

The TEMİZ experts should avoid providing responses and directions, which may affect the outcome and be binding, to questions and problems related to technical monitoring such as procurement, tendering, project revisions, use of the budget, irregularities and risks, which may particularly be controversial and inform the İKGPRO (EESP OS) immediately in written and in full details.

If necessary, TEMİZ can send a message to a project under his/her responsibility via PROJEMATİK ([Control Panel](#) → [Question & Answer](#) → [New Message](#)). Contacting beneficiary institutions through various means such as telephone and e-mail other than Projematik is not appropriate for documentation requirements and the corporate image, poses a risk for conflict of interest and increases work load. Within this scope, communication via other means should be minimized using message sending functionality.

An institutional and collective response should be prepared for a thematic question of the same nature frequently coming from the projects under the program and the question and its answer should be published in the “frequently asked questions” module which all beneficiary institutions can view after the approval of the İKGPRO (EESP OS) ([Control Panel](#) → [Frequently Asked Questions](#)).

General and thematic issues regarding all or multiple projects within the scope of the project may be published as an announcement. For this, a draft announcement text should be delivered to the İKGPRO (EESP OS) accompanied with the reason / justification of the announcement.

In order to reach the contact information of the GB, after accessing the specific project section, the [project number](#) at the top left and “[General Information](#)” links should be followed.

01/014		Proje Genel Bilgileri	
İlk Veri Girişi / First Data Entrance		PROJE GENEL BİLGİLERİ (The General Description of Project)	
Genel Bilgiler / General Information		SÖZLEŞME NO (Contract number)	PROJE ADI (Contract Title)
Bütçe Özeti / Budget Summary		01/014	Feda Edilecek Tek Bir Kız Çocuğumuz Yoktur!
Bütçe / Budget			FAYDALANICI KURUM (Beneficiary Institution)
İzleme Uzmanları / Monitoring Experts			GİRESUN OTELCİLİK VE TURİZM
Proje İşlemleri			Merkez İl (Main Province)
			GİR
			Kapsanan İller (Provinces)
		TARİHLER (Dates)	UYGULAMA BİLGİLERİ (Application informations)
		İmzalanma Tarihi (Signature Date)	20.05.2015
		Başlangıç Tarihi (Commencement Date)	01.09.2015
		Bitiş Tarihi (Expiry Date)	30.09.2016
		Ortaklar (Partners)	GİRESUN GÜZEL SANATLAR LİSESİ, GİRESUN KIZ
		Faaliyet Türü (Activity Type)	
		Genel Amaç (Overall Objective)	
		Özel Amaç (Purpose)	
		Proje Süresi (Duration)	13 Ay
		İLETİŞİM BİLGİLERİ (CONTACT INFORMATION)	
		Telefon: (Telephone)	3122222222
		Dahili (Extension):	
		Cep Telefonu: (Cellphone)	
		Faks:	

6.2 Requests for Modifications

Modification requests made by beneficiaries during project implementation can be used as important monitoring data in identifying the progress and the problems faced in the projects.

The acceptance of modification requests is decided, if necessary, following a consultation process with the Contracting Authority or the OB. In particular, modifications in the proposed number of indicators in the project that suggest a significant modification / reduction (a reduction of more than 25%) can be considered a major modification by the İKGPRO (EESP OS).. Changes affecting the Description of Action and expected results (impact, results, outputs) in Logical Framework should be agreed in writing with the contracting authority before the implementation of relevant change. In order to save time in consulting the OB, the opinion request which can be transmitted via e-mail to the Thematic Expert by the İKGPRO (EESP OS) should be responded in a manner that reflects the corporate opinion / institutional view of the OB. Within this framework, it is essential that the thematic expert completes the internal consultation process within his/her own institution and replies to the request via e-mail, adding the SROB to the address line. This response is expected to state “whether or not the requested modification prejudices the grant decision”.

When a copy of the addendum prepared for an approved major modification is submitted to the OB by the İKGPRO (EESP OS), this addendum should be archived in the thematic monitoring folder of the project.

6.3 On site Monitoring and Verification Activities

On site monitoring and verification activities are thematic monitoring visits conducted within the knowledge of the GB, or thematic on-the-spot checks / controls without the knowledge of the GB, conducted in the event of inadequacy of the desk-based monitoring data, especially in high-risk projects. If the collection of monitoring data requires preparation for the GB, the GB should be informed and the date of the visit must be agreed upon with the GB.

Visits are conducted to identify and verify the actual performance of the project on the field. The feedback from these visits is used as an important tool to ensure that the necessary corrective and preventive decisions are taken and that the effectiveness and impact of the project implementation is enhanced.

On site Monitoring Visits should generally be planned if the information on the reports/MIS is not sufficient for monitoring and/or verification, if important thematic findings which need a follow-up or activities are significantly delayed, or if activities which require on-the-spot controls or participation will be carried out. Thematic visits should ideally be carried out in the interim and/or final period in order to verify the entries made by the GB up to that date in PROJEMATİK and the information declared in the report. If the project involves an important activity, which can be verified on the spot, it is expected that on-site monitoring is conducted during that specific period.

When necessary and for announced monitoring visits, weekends should be included in the monitoring plan, in order to apply the fastest, facilitating and least time-consuming method possible. In addition, all projects implemented in the geographical area covered or in the vicinity of the subject area should be included within the monitoring scope, as much as possible. It should be kept in mind that the dates of the visits should be compatible with the dates of principal activities such as vocational training organized within the scope of the project, the implementation of these activities should also be monitored, and experts should participate in these activities in the capacity of observer.

For thematic verification activities to be carried out by the TEMİZ experts, collective plans are sent by the OB to the İKGPRO (EESP OS), in the following format including monitoring data;

Name Last Name of TEMİZ	Contact Details	Title	Project Number	Name of Grant Beneficiary Institution	Date	Province	Expert Request	On site Verification Planned Project Activities
XXX	...	Assistant Expert	343	Bingöl Solhan Municipality	15.02.2017	Bingöl	No	Seminar
	...		61	Bingöl Chamber of Commerce and Industry	16.02.2017	Bingöl	No	Training
	...		74	İzmir Chamber for Tailors and Outfitters	22.02.2017	İzmir	No	Training will be monitored
	...		230	Uşak Chamber of Commerce and Industry	23.02.2017	Uşak	No	

YYY	...	Teacher	102	"Düzce'de Kaydadeğer İstihdam"	22.02.2017	Düzce	Yes	...
	...		224	Tekstil Sektöründe Kayıtlı İstihdamın Teşvik Edilmesi	23.02.2017	Düzce	Yes	.
	...		290	Genç İstihdama Kayıt(dışı)sız Kalma	24.02.2017	Kocaeli	Yes	...

Plans finalised following the consent / approval of the internal higher authority, should be filed into the PROJEMATİK system; TEMİZ - Monitoring → Monitoring Plan Update → Join → Accept the list).

The visit report can be prepared using the module in the sytem following the approval of the İKGPRO (EESP OS) (TEMİZ - Monitoring → Monitoring Visits → Prepare → Record → Send).

Before the monitoring visit;

the description of the action, logical framework, reports and previous visit reports (if any) and modification requests should be examined to acquire comprehensive information regarding the project. Monitoring and evaluation actions undertaken by the GB regarding the implementation of the project can also include important information to be considered before the visit. Many sections of the report format normally to be prepared after the visit, have been designed so that they can be filled in during the visit. In this respect, the report can be accessed and filled in within the system during the visit; however, it is advisable to print out an empty form prior to the visit, for the event that it would not possible. Before the visit, the GB should be informed on the subject and purpose of the visit and, if necessary, the GB should be requested to prepare a presentation about the project as well as documents such as the outputs achieved and a list of purchased services and equipment within the scope of the project.

During visit the GB is mainly responsible for;

- Allocating of appropriate interview venue,
- Ensuring the participation of key staff such as the authorised representative of the project, the project coordinator, the accountant, the staff responsible for reporting and the co-beneficiary institute representatives,
- Presenting all required documents and information
- Providing access to accounting, information system and databases related to technical and financial management of the project,
- and showing all activity implementation places including equipment installation locations.

Monitoring teams should therefore, firstly consider whether the beneficiary has fulfilled the obligations arising from general provisions of the contract during monitoring visits. If necessary, some time can be given to the beneficiary time in order to establish conditions to ensure that the visit is carried out in an organized manner and if the requested conditions are not fulfilled then the visit should be terminated, and this issue should be reported. As failure to fulfill these responsibilities is deemed as a significant breach of the contract, it may result in sanctions such as suspension of payments or contract, termination of contract or reduction of the grant.




The activities carried out, the problems and risks encountered, the process of communicating with co-beneficiaries and other relevant actors are reviewed and examined during the visit. The planning of the next activities is assessed and any support considered necessary is provided to the beneficiary. Previous recommendations, if any, should be reviewed during the visits, necessary issue should be reminded of and it should be controlled whether previous recommendations have been fulfilled.

During the monitoring visit, the project team should be interviewed together with the senior executives responsible for the beneficiary institution and the representatives of the co-beneficiary institutions, and the names and contact information of the interviewees should be included in the reports. It is crucial that the project co-beneficiaries' own evaluations regarding their project activities are requested in writing before or after the visit and that the views of other relevant stakeholders are also requested and important. During the visits, final beneficiaries, such as trainees, should also be interviewed and the contents of their feedback (with their approval) and their names should be included in the reports.

It is important to select the interviewees randomly and through a sampling methodology among the final beneficiaries from sources such as participation schedules / lists, registration forms and the project database. The final beneficiaries to be interviewed may also be selected during the visit and the beneficiary may be required to provide the necessary organization for meeting with these persons on subsequent visits. The number of interviewed persons should be adequate and obtained from an appropriate sample pool in order to evaluate the progress or the weak aspects of the project. The interview with the final beneficiaries should take place outside the project office and without the presence of the project team representative. Assessment of the quality of the project activities and the satisfaction levels of the final beneficiaries are among the most important targets of thematic visits.

When applicable, the physical delivery of purchased equipment to the beneficiary institution, the setup and/or service/construction are completed for use in the foreseen places and the relevant outputs prepared should also be controlled during the monitoring visit.

Findings obtained from the monitoring visits should be prepared through the PROJEMATİK system without delay following the date of visit. The visit report is prepared by the TEMİZ from the module in the system and presented to the İKGPRO (EESP OS) for approval. ([Monitoring](#) → [Monitoring Visits](#) → [Prepare](#) → [Save](#) → [Send](#)).

TEMİZ follows up the proposed draft report using the section Monitoring → Monitoring Visits .	
Returned report is marked with symbol  and accompanied by comment from the Contract Manager. With reference to this comment, the report should be updated using 'prepare' section.	The approved report is assigned a  symbol adjacent to it. The report is printed  , signed and added to the implementation file.

Following the approval of the report, the beneficiary should be notified of the subjects that require close follow-up among the findings obtained from the visit, necessary recommendations should be provided and explicit infor-

mation about what needs to be done within a certain period of time should be given; information about sanctions should be communicated.

6.4 Follow-up of Activities and Indicators

Inserting the input of all developments related to the projects of the GBs to the system on a daily basis is a contractual responsibility. In this context, developments particularly in activities and performance indicators are monitored and controlled without adhering to any reporting period. Information on beneficiary organizations that do not enter the necessary data into the system should be notified to the İKGPRO (EESP OS).

Each project should, within its logical framework or methodology, contain adequately detailed indicators in line with the relevant indicators of the EESP SOP. The TEMİZ should confirm that the planned outputs and result indicators are realistic, achievable, that they match the objective and sources of the project and that the information related with the above as stated by the beneficiaries is correct.

Identified indicators must have the following specifications:

S	Specific: Measuring what is intended to be measured
M	Measurable
A	Available/Attainable: Existing with an acceptable cost/ Realistic-Achievable
R	Relevant to the target / Result-oriented
T	Time bound

Indicators could be classified as follows:

Input indicators:	Input indicators measure the financial, administrative and regulatory resources provided by the Government and donors. It is necessary to establish a link between the resources used and the results achieved in order to assess the efficiency of the actions carried out. E.g.: Share of the budget devoted to education expenditure, abolition of compulsory school uniforms
Output indicators:	Output indicators measure the immediate and concrete consequences of the measures taken and resources used: E.g.: Number of schools built, number of teachers trained. In the EC's Logframe structure these 'outputs' are referred to as 'results'.
Outcome indicators	Outcome indicators measure the results in terms of target group benefits. E.g.: school enrolment, percentage of girls among the children entering in first year of primary school
Impact indicators:	Impact indicators measure the long-term consequences of the outcomes. They measure the general objectives in terms of national development and poverty reduction. E.g.: Literacy rates

In the description section of the project (Application Form – Description of Action), the first annex of the grant contract, the activities for which the beneficiary is responsible for fulfilling and the outputs and outcomes foreseen and indicators included in the logical framework as baseline are called **output** and **result indicators**. Ac-

tivities and indicators are tracked by the beneficiary from progress data, which should be regularly entered into the system. ([Project Transactions](#) → [Activities](#), [Training Courses](#), [Performance Indicators](#)).

Within the scope of verification of indicators, the issue of which of the project indicators stated in the project description (Application Form - Description of Action) and logical framework corresponds to the indicators of the EESP SOP must be carefully examined. The indicators of the EESP SOP are defined beforehand in the PROJEMATİK by the EESP OS.

After the project indicators have been matched with the programme indicators, the targeted numerical values of each indicator have to be processed / inserted in the system as they have been indicated in the project description (Application Form) and in the logical framework. ([Project Transactions](#) → [Performance Indicators](#) → [Program Specific Performance Indicators](#) 🗂️). As the indicators in the project description (application form) and the logical framework are bound to the contract, these indicator targets need to be achieved. If it is deemed unrealistic to do so, the relevant modification procedure must be implemented. It should be noted that as for changes affecting the description of action and expected outputs in the logical framework (impact, results, outputs) notification by the GB is not sufficient, and such changes should be approved officially by the Contracting Authority upon the official request of the GB. Furthermore, revisions exceeding 25% of the indicator target numbers can be processed subject to the major modification procedure.

The “project-specific” and “program-specific” performance indicators that must be entered into the PROJEMATİK system must be consistent with the indicators stated in the project description (application form) and must have been assigned as contractual responsibility. It is the responsibility of the thematic experts to verify and “lock-for-editing” the **“targeted”** and **“achieved”** indicator data in the PROJEMATİK system entered by the GBs.

6.5 Assessments

Monitoring teams should determine the risks that may be considered as having the possibility to adversely affect the grant project at each stage of the project implementation, using the monitoring data and findings obtained during implementation.

In general, a risk is defined as elements that may hinder the fulfilment of project activities and may thus jeopardise the achievement of project objectives or significantly reduce the effectiveness of the project, and as such corrective and preventive measures to mitigate must be taken in time. Risks can also lead to violation of applicable rules (irregularity) or financial losses. Any risks identified at any stage should therefore be reported to the Risk Manager at the OCU and then to the İKGPRO (EESP OS) by staff responsible for monitoring without waiting for a specific period. Reporting regarding the above should include the related corrective and preventive measures.

In risk-prone projects, the İKGPRO (EESP OS) may act on the following issues:

- Issue warning notifications,
- Organise additional visits and controls,
- Suspend certain project activities or payments
- Foresee measures such as cancellation of certain processes (e.g. tenders) carried out by GB
- Request the opinion of other related institutions when necessary.

It should not be forgotten that plans prepared for on site verification activities should also cover the existing project risks in detail.

6.6 Reports

Reports constitute the most important monitoring data for the desk top monitoring and control activities. The technical report should be controlled primarily over the system and as concurrently as possible with the HRDOS ([Control panel](#) → [Reports](#) → [Monitor](#)). Each report should be timely reviewed by comparing the obligations within the project description with the information declared.

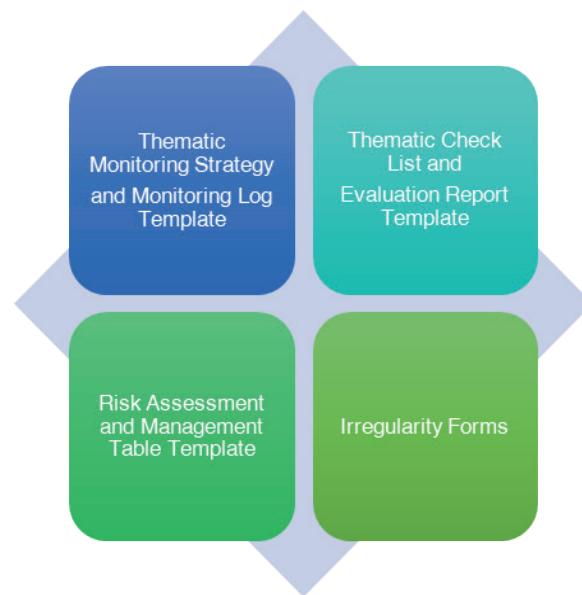
- Technical reports are reviewed by the TEMİZ by preparing the “Thematic Check List and Evaluation Report” with the essential aim of controlling whether the project implementations correspond to the activities foreseen in the contract, the quality of project activities, the progress level regarding the indicators, the satisfaction level of final beneficiaries and whether the expenditures are in compatible with the outputs achieved.
- During the final reporting period, following the delivered of the reports by post, experts responsible for the related project should fill in the columns in the “ Report Package Check List” fillen in by the Beneficiary, corresponding to the monitoring team and should add those columns in their check lists.

Following their control in the system by the İKGPRO (EESP OS), the reports are sent to the İKGPRO (EESP OS) by the **GB in two copies via post or courier**. One copy of the report packages delivered to the İKGPRO (EESP OS) is subsequently sent to the OB with an official cover letter for the finalisation of the thematic verification. According to the OA, thematic experts should complete their thematic validation in 45 days following the receipt of the report and they should submit signed copy of the Thematic Check List and Evaluation Report to the Contracting Authority. The report should include detailed and justified feedback to the İKGPRO (EESP OS).

Documents such as project contract files, reports of grant beneficiaries and checklists prepared against the above along with visit reports should be retained by the OB for a minimum of 7 years following the final payment dispensed to the projects, following suitable archiving rules.

In the event that information included with the reports or within the PROJEMATİK system proves insufficient for monitoring and/or validation purposes, the OB may, within the knowledge of the İKGPRO (EESP OS), realise on site monitoring activities.

7 Thematic Reports and Documents to be submitted to the İKGPRO (EESP OS) by the Operation Beneficiary



7.1 Thematic Monitoring Strategy

In accordance with the OA, the OB should submit a **“Thematic Monitoring Strategy Paper”** to the HRDOS within the maximum of 2 months following the signature of the contract, describing the methodology for implementing thematic controls. The İKGPRO (EESP OS) will provide necessary supervision and guidance to the OB related to this issue.

In the “thematic monitoring strategy paper”, following issues are clarified for the OB;

... GRANT PROGRAMME THEMATIC MONITORING STRATEGY

Introduction and Scope

- General information about the grant programme (see Grant Application Manual)...
- Purpose and importance of and need for thematic monitoring activities...
- National legislation/policies/strategies that activities envisaged under grant projects should be consistent with and their relevance...
- Documents to be used as reference during thematic monitoring such as OIS, grant application manual, grant contacts etc. and indicators to be followed
- Relevant local public institutions and agencies that beneficiary institutions will be encouraged to develop partnership with and their possible contributions...

Types of Monitoring

Technical and thematic monitoring...

- Technical monitoring... Thematic experts refrain from giving answers to questions and problems relevant for thematic monitoring such as possible controversial procurements in particular, tender, project amendments, budget utilisation, irregularities and risks which might affect the result and which might be binding and refrain from guiding, and they refer such questions and problems to the Contracting Authority...
- Thematic monitoring... See responsibilities envisaged in the Operational Agreement and Thematic Monitoring Guideline.

Monitoring Tools to be Utilised for Thematic Monitoring

- Desk-based monitoring activities - Technical assistance to be provided to project beneficiaries through Monitoring Information System (PROJEMATIK) - responding to thematic questions – tracking data entry in particular regarding activities, indicators and visibility – examining the progress declared via data entry and reports and verifying them via “thematic check list and evaluation report”
- Thematic monitoring activities- Participation in project activities and events – thematic control and verification of practices and the systems established and reporting them via “thematic check list and evaluation report” – overall approach to and envisaged method for thematic monitoring visits
- Reporting the data of monitoring activities to the Operating Structure – reporting irregularities and/or risks together with proposed corrective and preventive measures.

Staff in Charge of Thematic Monitoring

- Information about qualifications sought in central and/or central and/or local staff to be assigned
- Total number of projects to be contracted
- Number of projects per expert
- Distribution of assigned staff to project regions
- Support to be received from local structure for the purposes of monitoring
- List of in-reserve staff
- Job description of the staff to be assigned as thematic monitoring expert (see Thematic Monitoring Guideline)

Thematic Monitoring Visits

- Number, duration and methodology of visits envisaged to be paid to each project
- Systematic to be followed for the identification of projects to be visited – risk assessments – visit types such as on-the-spot visits and visits paid by informing the GB in advance
- Procedures for covering visit costs

Thematic monitoring activities are commenced following the approval of the Strategy by the İKGPRO (EESP OS).

7.2 Thematic Check List and Evaluation Report

According to the OA, the OB prepares a **Thematic Check List and Evaluation Report** within 45 days following the delivery of the interim and final reports of each grant project and submits this signed report to the İKGPRO (EESP OS). The template of this report is presented below.

This document comprising both the checklist and the report, is essentially a verification statement prepared only in response to the GB’s report submitted to the İKGPRO (EESP OS) and in order to verify the thematic aspects of the information included within the final report or in the interim report (if any). However, in practice, due to lack of sufficient information in reports or in PROJEMATİK, monitoring based on desk review only may prove insufficient for verification; on such circumstances on-site monitoring activities by the OB may be required. Therefore, visits and thematic visit reports serve as tools for the OB in presenting the activities and outputs of grant projects to the İKGPRO (EESP OS) following their confirmation. In addition, the template and content of check lists and evaluation reports to be prepared by thematic experts in the respective contexts of monitoring visits and review of GB reports are identical and contain qualitative and quantitative analyses of the indicators achieved in the project.

As a result, it is not necessary to send signed copy of **the Thematic Check List and Evaluation Report**, prepared following the visits, to the İKGPRO (EESP OS). However, it should be kept in mind that the İKGPRO (EESP

OS) should be informed of any potentially important risk or irregularity. In other words, this report, prepared following the visits, can be evaluated as the initial draft of the signed report to be prepared in response to the interim and final report prepared by the GB and will be sent to the İKGPRO (EESP OS).

THEMATIC CHECK LIST AND EVALUATION REPORT

1. PROJECT INFORMATION

Name of the operation	... Operation
Contract No.	TRH.../...
Contract title/Project name
Estimated Total Budget of the Project (€)
Name of the Grant Beneficiary Institution
Location(s) of Project Implementation
Type of Thematic Monitoring	<input type="checkbox"/> On-site control <input type="checkbox"/> Desk-based
Date	...
Notes:	
<i>In case of on-the-spot check, it should be indicated whether the key actors involved in the management of the project participated in the visit, name and contact details of the persons interviewed during the visit including the final beneficiaries and project activities verified on site.</i>	

2. INDICATORS

Indicators of Grant Programme	Project purpose	Results	Sources of verification	Qualitative information about indicators
Indicators to which the Project contributes among programme indicators listed in Section 1.2 of Guidelines for Grant Applicants published at the address http://ihale.ikg.gov.tr/list.aspx?lang=tr should be indicated here and if needed, additional rows should be added Information on the amount of indicators reached has been obtained from where?? How to reach this source of verification? For instance: Final Technical Report, Page 34 – 42 and ANNEX-3; participant list...	... Is the output/result compatible with current legislation/policies? Can it be used? Information about end beneficiary individuals and institutions...
...

3. GRANT PROGRAMME REQUIREMENTS (RELEVANCE)

	Yes	No	N/A
3.1) Was the project implemented in accordance with programme objectives, relevant legislation, policies and strategies?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.2) Was active participation of social stakeholders ensured by means of providing input to the project, suggesting models and initiating cooperation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.3) Are training activities/vocational courses under the scope of the project compatible with existing certification programmes?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.4) There were no quantitative and qualitative change(s) in the target groups and final beneficiaries other than those envisaged in the project description	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.5) No big delays have been registered in activities (remaining time is adequate.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Notes: * Explanation should be made for each question responded as "no". * N/A (not applicable) can be marked only when relevant question is related to an issue not covered by the project.			

4. EFFICIENCY / EFFECTIVENESS

	Yes	No	N/A
4.1) The outputs and results achieved are consistent with the resources utilised (budget, time, expertise, etc.). (More outputs would not have been achieved with the same resources or same output would not have been achieved with fewer resources without compromising quality.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.2) The activities carried out and the contents of these activities (training curricula, workshop topics, meeting agendas, etc.) are in line with the grant programme application guide / project purpose.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.3) Documents, materials (brochures, announcements, posters, etc.) used in project activities are appropriate for the purpose of the project.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.4) The experts mobilised for the project have sufficient qualifications for the specific activities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.5) The characteristics of the final beneficiaries included in the project (educational level, age, gender, etc.) meet the eligibility criteria of the grant programme and the project.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.6) Sources of verification for activities and indicators, such as participant lists, are adequately kept and are consistent with the project.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.7) Goods and services procured were used/are used for project activities and in accordance with the specifications and descriptions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.8) Project activities comply with visibility rules	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.9) The level of ownership of the coordinators and partner organisations in the project is satisfactory	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.10) The project can be implemented as of this reporting date without any changes..	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

.....
.....

* Explanation should be made for each question responded as "no".

* N/A (not applicable) can be marked only when relevant question is related to an issue not covered by the project.

5. RISKS AND IRREGULARITY

	Yes	No
5.1) There is no risk in implementing the project activities or achieving the objectives	<input type="checkbox"/>	<input type="checkbox"/>
5.2) No violation (irregularity) of an applicable rule, including national legislation, EU rules and contractual provisions, or there is no suspicious case.	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

.....
.....

* Explanation should be made for each question responded as "no".

6. SUSTAINABILITY

	Yes	No
6.1) Project outputs can be used in the future	<input type="checkbox"/>	<input type="checkbox"/>
6.2) There is cooperation with project stakeholder(s) for sustainability of project benefits and / or activities	<input type="checkbox"/>	<input type="checkbox"/>
6.3) All data included in Projematik is up-to-date	<input type="checkbox"/>	<input type="checkbox"/>
6.4) Project technical/financial documents are kept duly		
6.4) Have the project activities considered horizontal issues such as gender equality, good governance principles, children's rights, the needs of disadvantaged individuals, sustainable development and environmental protection?	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

.....
.....

* Explanation should be made for each question responded as "no".

7. RECOMMENDATIONS

.....
.....

The report is composed of 7 sections, and each section will be prepared to include complete and up-to-date information.

Section 2 of this report which **contains an evaluation, is especially important**. This section, to be presented using the template given below, contains evaluation criteria of relevance, effectiveness and efficiency, aimed and achieved indicator values, verification sources and the references of each indicator to which the project contributes, qualitative information.

If a project contains indicators corresponding to these corresponding grant scheme indicators, these are indicated in the first column and the target indicator in the project corresponding to these indicators are indicated in the second column. The number achieved up to the point of a specific review is indicated in Column 3 and the verification source related to this data is entered in Column 4.

The level of compliance of the achieved indicators with the programme indicators, the degree of their contribution in achieving the objective and their impact are summarized in the qualitative information section.

- The TEMİZ expert, for each checkpoint in the checklist marked as “No”, should enter the necessary findings and information into the remarks/notes part under each section and should inform the İKGPRO (EESP OS) on this information in detail.

Since thematic monitoring is not only a definition of status but also the elimination of potential problems and risks and increasing the efficiency and success of implementation is also targeted, along with recommendations within the framework of the issues should be made within the context of the report. For the report to achieve its intended objective it is important to ensure that for each subject marked as negative or for issue for which a problem might have been identified, an explanation or recommendation should be written.

The recommendations should be prepared not only for negative issues, for risks or for problems, but should at the same time take into account good practices and examples of success as well. Just as preventive measures, technical support and recommendations are of key importance to project implementations, it should be ensured that by promoting success stories the project beneficiaries are encouraged and publicised.

7.3 Monitoring Sheet

Another significant report submitted to the İKGPRO (EESP OS) by the OB in accordance with the OA, is the “**Monitoring Sheet**”. Beneficiary Institutions present this report every “**six months**”, before the Sectoral Monitoring Committee meetings organised for the İKG (EESP OS), in order to present the progress regarding all the components of the operation of which they are beneficiaries.

In the event that there is an important activity of the project, which is verifiable on site, it is important that monitoring is performed during that period (including the co-applicants, partners, associates etc.) **The First Report** should be presented within six months following the signature of the OA. The length of the reporting periods may be a bit longer or shorter than 6 months depending on the SMC meeting dates. The report template is sent to the Beneficiary Institution by the İKGPRO (EESP OS).

This report constitutes a comprehensive, **operation-level** reporting tool. The OB must take into consideration the Reports by the GBs at **project level**, the checklists prepared by the TEMİZ experts and the visit reports, if

any, and must refer to these documents in the related sections of the Monitoring Sheet. The sections which must be completed by the Beneficiary Institution in relation to Grant Projects are listed below.

<p>Section 6:</p>	<p>On-going or completed activities within the Grant Programme should be analysed and explained by the OB in the Monitoring Sheet. After indicating the number of the projects signed and the time frames of the project implementation dates, the strategic contribution of the Grant Programme to the general objective of the operation is summarized. Within this framework, the characteristics of the grant programme, the level of its effectiveness in terms of cost/benefit and the level of its relevance to the objectives of the SOP and of the OIS are explained. In addition, this section should contain an evaluation of the extent to which the specific programme meets the national and local needs, the impact of the programme on these needs, along with the extent to which the programme is in accordance with related strategies and policies. The total values of the indicators targeted and achieved by institutions implementing grant projects are reviewed from the project definitions, from PROJEMATİK and from project technical reports and are added to the table in this section. This table distinguishes the contribution of the grant programme individually to the operation indicators independent from the other components of the operation.</p> <p>In the monitoring sheet it should not be forgotten that the information declared by the Operation Beneficiary should comprise verified information acquired by the thematic experts through desk review and on-site monitoring. Within this scope, daily monitoring of grant projects by thematic experts over PROJEMATİK, review and verification of project activities by performing on site visits and reporting their findings, is of great importance.</p> <p>The contributions of the project to horizontal subjects such as gender mainstreaming anti-discrimination and environmental subjects should be assessed in this section. Finally, the strategies regarding the continuity of the activities or of the benefits within the scope of the grant programme and the updated status and arrangements regarding sustainability should be explained.</p>
<p>Section 7.a:</p>	<p>In this section the information on the activities for monitoring of grant implementations conducted by the OB, for example the numbers and the regions of the monitoring visits, the numbers of the management/steering committee meetings, the data collected on the project results, the number of GB reports reviewed and evaluated, the numbers of the thematic questions received from the GBs and of the responses issued and the training provided on thematic subjects to GBs, if any, are explained.</p>
<p>Section 8:</p>	<p>The risks defined in the "Risk Assessment and Management Table" and which are to be submitted together with the Monitoring Sheet, are summarized in this section. Also, the corrective measures taken against risks within the reporting period or to be taken in the forthcoming period are described.</p> <p>The lessons learned during the reporting period are also indicated in this section.</p>
<p>Section 11:</p>	<p>The indicators table should contain consolidated indicator values of the overall grant programme together with values from other components of the operation; the sources of verification, the increase ratio when compared with the previous reporting period along with explanations on the deviation from the targeted values and measures, if any, to complete the missing indicators should be entered in this section.</p>

The OB is responsible for keeping the Monitoring Sheet updated, for the submission of the updated version of the Sheet to the steering committee members during the committee meeting the latest and for ensuring that the content of the Sheet is discussed during this meeting. Thus, the final version of the Monitoring Sheet can be presented to the EESP OS for submission to the SMC if required.

7.4 Risk Assessment and Management Table

The OB records the operation-level risks and the measures taken or that will be taken to mitigate the occurrence of those risks into the **“Risk Assessment and Management Table”** in order to decrease the impacts or probability to occur. This table also considered as a risk report is submitted to the İKGPRO (EESP OS) together with the monitoring sheet. A template of the table, a copy of which is presented in the attachment of the Operational Agreement, also includes guidelines describing in detail how the table should be filled in. Firstly, the OB identifies the operational objectives and activities as per the reference documentation such as the OIS and the Grant Guidelines for Applicants. Subsequently, the risks that may hinder the implementation of these objectives and activities are identified (with dates and numbers such as “Risk 01, Risk 02,..”).

Risks may, at the same time, lead to violation of an implementable rule or lead to financial losses. Afterwards, risks are evaluated according to their impacts and probability of occurrence. Each is scored 5 points. Multiplication of the scores related to the impact and possibilities gives the natural risk level. The term natural risk indicates the situation where there are no control activities to reduce the impact or the probability of the risk. Later on, currently available control activities in place for risk management and the latest situation of the risk is explained. Normally, control actions for **“Critical Risks”** and **“Conditional Risks”** should be identified. However, for risks determined and categorized as **“Low Impact Risk”** and **“Unimportant Risk”** it is acceptable not to take any measures. Eventually if certain control activities have been foreseen, it should be scored how such activities reduce the impact and the probability of the risk; and in order to reach the residual risk level should be divided to effectiveness score. Residual risk level (Natural Risk Level/Effectiveness of Control Activities) and “priority” are calculated automatically in table format. Afterwards, depending on the residual risk, the OB should indicate the risk reaction in accordance with the risk level. As Residual Risk level risks taking scores lower than 10 could be accepted.

The OB ensures that the risk table is kept up to date, evaluated, reviewed and monitored at the monthly management and steering meetings. The Risk Manager of the OB undertakes the duties related to risk management.

7.5 Reporting of Irregularities

“Irregularity” is any infringement of a provision of European Union law resulting from an act or omission by an economic operator, which has, or would have, the effect of prejudicing the general budget of the European Union or budgets managed by it, either by reducing or losing revenue accruing from own resources collected directly on behalf of the European Union, or by an unjustified item of expenditure. In short, irregularity means the breach of a rule that should be observed caused by an action or neglect.

“Corruption” is the intentional realisation of the above-mentioned unfair disbursements from the EU budget and in a manner that constitutes crime according to the Law.

The below list can be given as examples of irregularities:

- Unfairly profiting from the project.
- Acquisition of confidential documents of the project.
- Inability of certain project beneficiaries to comply with the requirement / eligibility for receiving grants.
- Violation of the contract rules by the project beneficiary.
- It is claimed that a machine has been purchased newly within the scope of the project while actually this is not the case.

- Equipment acquired during the project but not used.
- Issues in project implementation arising from interest relations and conflicting with public interest.
- Leaking information on the tender to external parties during the tendering process.

Both the Beneficiary Institution and the İKGPRO (EESP OS) bear responsibilities in the detection and reporting of irregularities and corruption,

According to the OA, the Operation Beneficiary appoints an **“Irregularity Officer”**. The primary issue at project and programme level is to prevent irregularity. The most important step for this goal is to deliver implementation training to project beneficiaries effectively explaining implementation regulations, and to provide them implementation support.

In the event that an irregularity is detected, according to the OA, the TEMİZ expert should inform the irregularity officer appointed by the OB, to inform the İKGPRO (EESP OS). Any questionable activity that has not been explicitly detected should also be reported with a suspicious activity / case report.

There are three different reporting types for irregularity:

- In the case of detection of irregularity or suspicious activity, initial notification is given to the İKGPRO (EESP OS) immediately without delay, using an irregularity or suspicious activity form below for which examples are presented in the attachment of the Operational Agreement.
 - o [Suspicious case-Annex_Q.03._Notification_of_Suspicious_Cases_Form](#)
 - o [Irregularity-Annex_Q.08._Irregularity_Form_for_Operation_Beneficiaries](#)
- Afterwards, updates concerning the subject are submitted to the İKGPRO (EESP OS) using an irregularity follow up report in maximum 3-month intervals by using the sample included in the attachment of the Operational Agreement.
 - o Irregularity follow up- [Irregularity_Follow_Up_Report \(See Annex: 4.3\)](#)
- If no irregularity is detected by the OB during the grant project, a nil irregularity report is submitted to the İKGPRO (EESP OS) for the 3-monthly irregularity-reporting requirement.
 - o Irregularity Nil [Annex_Q.09._Irregularity_Nil_Report_for_Operation_Beneficiaries\(See Annex: 4.4\)](#)

In other words, according to the related IPA legislation and the OA, the OB is responsible from the provision of irregularity reporting every 3 months. The irregularity report submission periods may be coincided with the 6-monthly monitoring sheet period so that the irregularity nil report and the irregularity follow up report may be presented together with the monitoring sheet.

The method on how and the type of data to be included when preparing the irregularity and suspicious activity reports are explained in detail in the templates attached to this guideline.

After the cases reported to the İKGPRO (EESP OS) are examined, if need arises, they are forwarded to the Ministry of Treasury and Finance as the National Authorization Officer within the system, and to State Supervisory Council (DDK) as the contact point of the European Anti-Fraud office (OLAF). The administrative investigation is carried out by DDK or under the coordination of DDK or by the Inspectors of the related OB.



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