



# Project Management Procedures

UIA Almería – CAMINA

Community Awakening for Multicultural Integrative  
Narrative of Almeria



**Unión Europea**

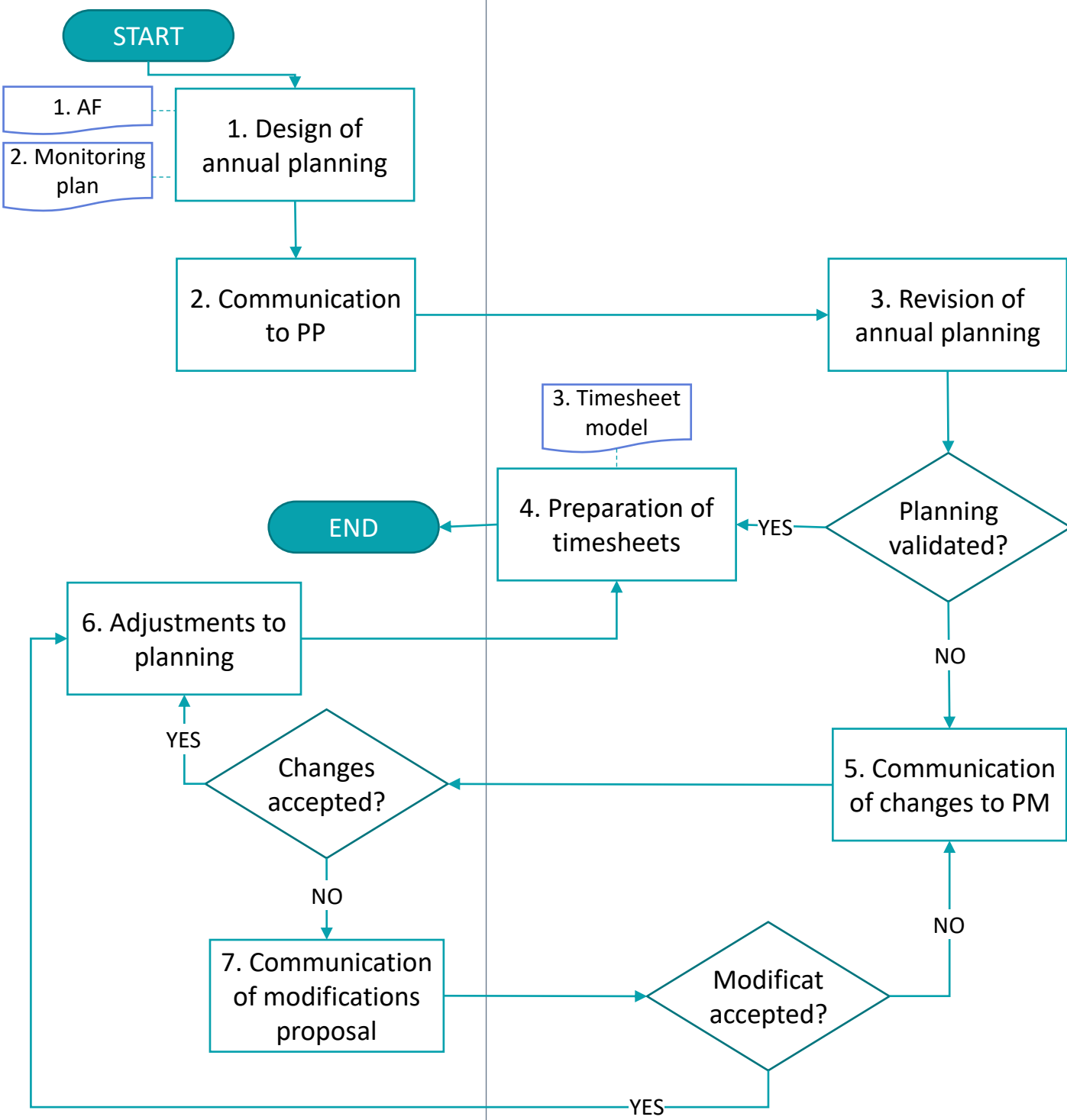
Fondo Europeo  
de Desarrollo Regional  
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# PROCEDURE 1: ANNUAL PLANNING

## PROJECT MANAGEMENT

## PROJECT PARTNERS



## PROCEDURE 1: ANNUAL PLANNING

**Regularity:** yearly

### Involved entities

- Project Management: the Project Management Team (PMT) will be in charge of developing an annual planning, communicate it to PP, accept or reject the changes proposed by PP, propose modifications and adjust the planning with PP inputs.
- Project Partners will validate the annual planning, prepare timesheets for the staff assigned that year, propose changes to PMT and accept or reject the modifications proposed by PMT.

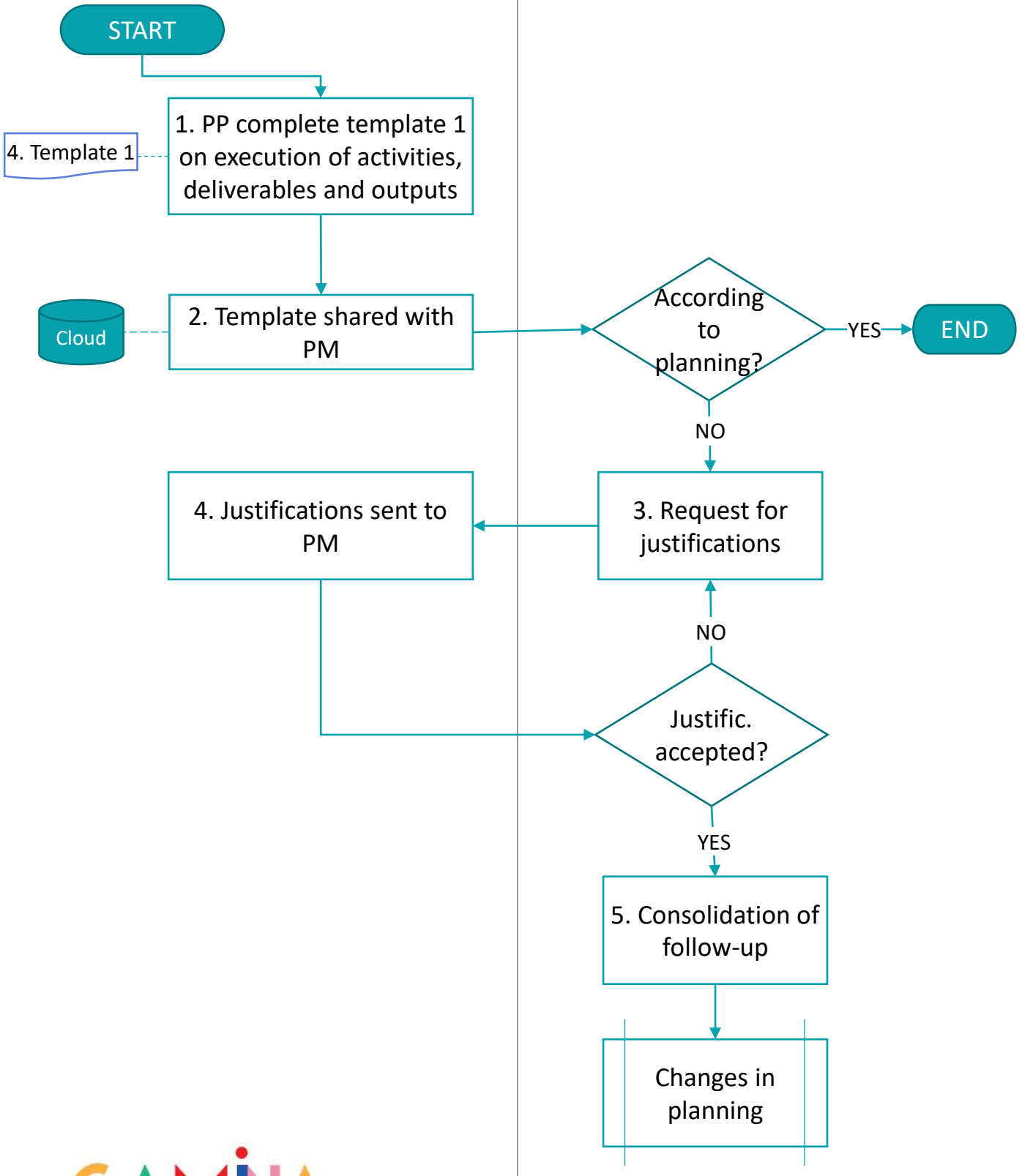
### Description

The Project Management Team will design each year an annual planning for the execution of the project based on the Application Form (Document 1) and the Monitoring Plan (Document 2) [1]. Once the plan is drawn up, it will be shared with Project Partners [2]. Project Partners will conduct a revision on the annual planning [3]. If it is validated, each PP will prepare a timesheet with the staff that will be assigned to the activities to be developed that year and share it with PMT [4]. For this, PMT will provide to PP a timesheet model (Document 3) and the procedure will be over. If the planning is not validated by PP, they will communicate a proposal of changes to PMT. If the changes are accepted, adjustments will be made to planning by PMT [6] and PP will work on their timesheets [5]. If changes are not accepted, PMT will draw up a proposal of modifications [7] If these modifications are accepted by PP, adjustments will be made to planning [6]. If they are not accepted, PP will communicate their changes to PMT [5] and the procedure will continue.

PROCEDURE 2: INFORMATION GATHERING FOR FOLLOW-UP

PROJECT PARTNERS

PROJECT MANAGEMENT



## PROCEDURE 2: INFORMATION GATHERING FOR FOLLOW-UP

**Regularity:** quarterly

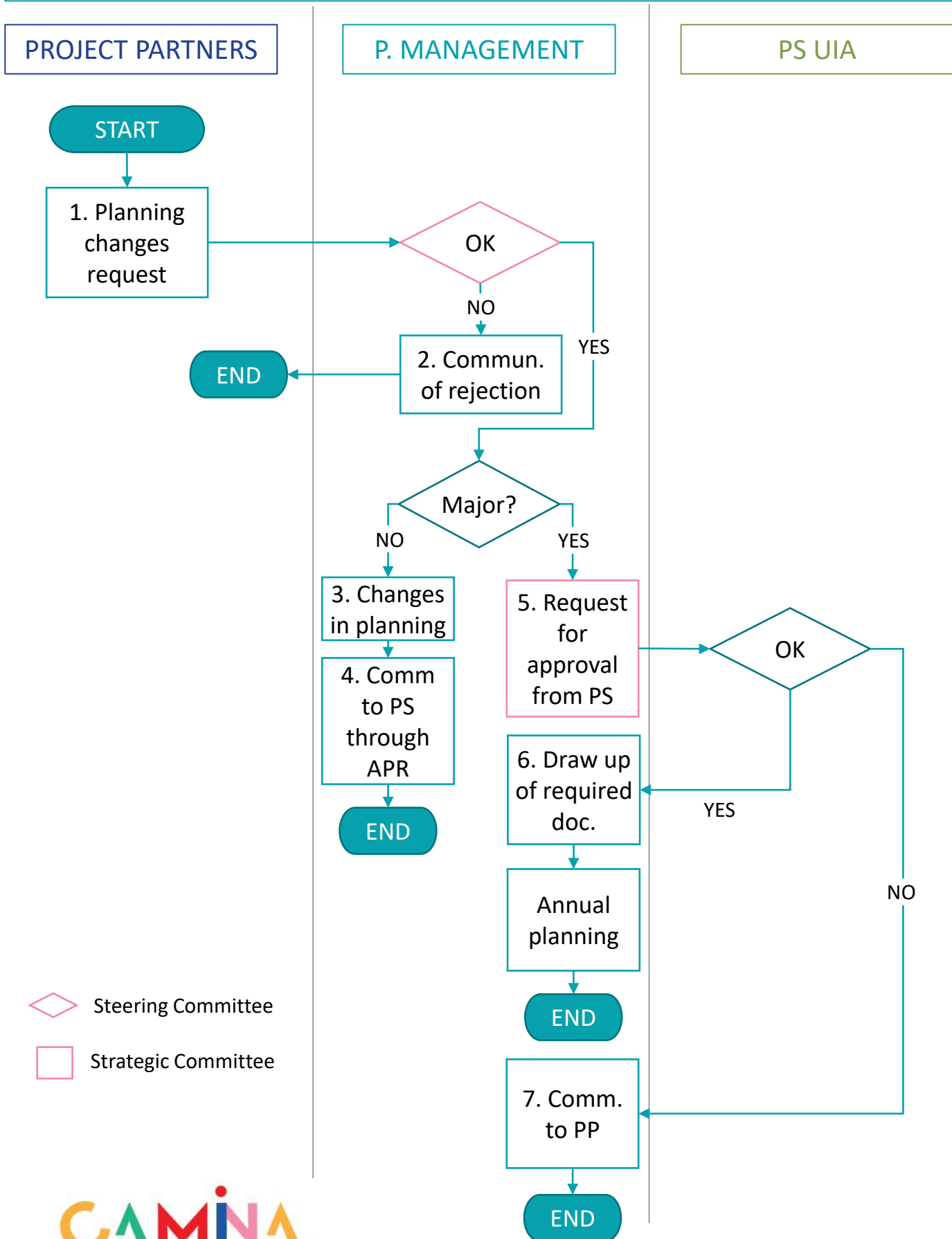
### Involved entities

- Project Management: Project Management Team (PMT) conformed by PP1 (with support of PP8) and supervised by the Steering Committee. PMT will be in charge of the project's operational follow-up to ensure a correct technical and timely execution.
- Project Partners: quarterly, each project partner will be in charge of providing the PMT with enough information to conduct the follow-up. In case this follow-up is not according to planning, PP will have to justify those deviations.

### Description

CAMINA's Steering Committee will be in charge of monitoring the project's operational execution through a thorough follow-up. For this, Project Partners will complete quarterly Template 1 (Document 4) where they will detail the degree of progress of the activities, deliverables and outputs for which they are responsible [1]. Next, this template will be uploaded by each Project Partner to the online archive hosted in the project's tool EMDESK [2]. Based on the annual planning defined as a result of Procedure 1, Project Management Team (PMT) will check if the information uploaded by the project partners is according to planning or not [3]. In case it is according to planning, the procedure will be over. In case it is not, Project Management Team will request the partners to justify their deviations [4]. Project partners will send these justifications to PMT [5]. PMT will check them, if they are not accepted a new request for justifications will be drawn up [3]. In case the justifications are accepted, follow-up information will be consolidated [5] and a new procedure will start to change the planning [Procedure 3].

# PROCEDURE 3: CHANGES IN PLANNING



### PROCEDURE 3: CHANGES IN PLANNING

**Regularity:** quarterly

#### Involved entities

- Project Management: the Steering Committee will accept or reject the changes requested by PP. If the changes are not major, changes will be made in planning and communicated to the PS through the APR. If the change is accepted, the Strategic Committee will request the approval from the PS and the Project Management Team (PP1+PP6) will draw up the required documents if the change is accepted and change the planning. If the change is not accepted by the PS, the Strategic Committee will communicate the rejection to PP.
- Project Partners will request planning changes to the Steering Committee
- PS will approve or reject the changes requested

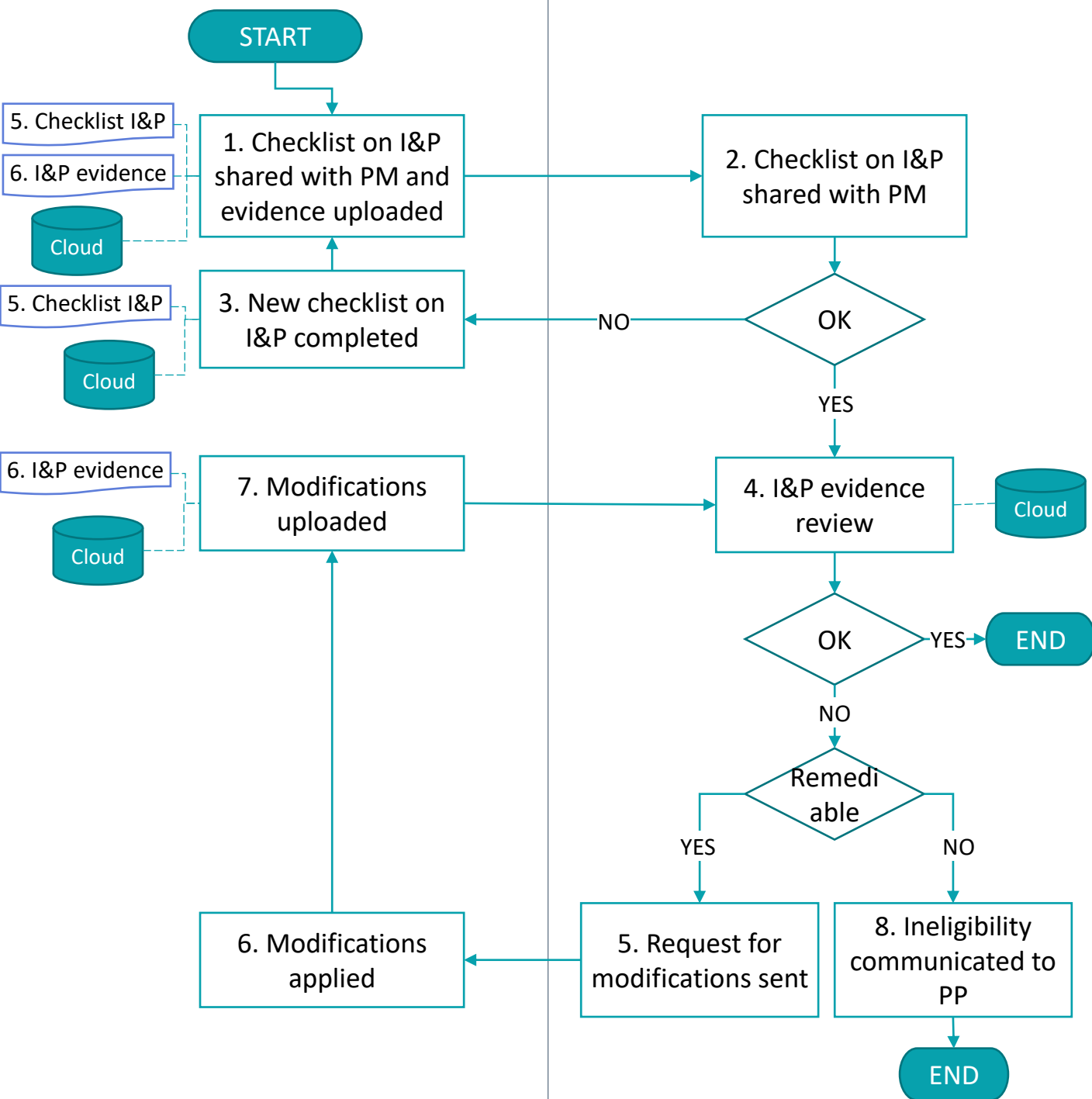
#### Description

If project partners request a change in planning in Procedure 2 (Follow-up), this procedure will start [1]. The Steering Committee will check the check proposal and inform if it accepts these changes or not. If it does not, the Steering Committee will communicate to the PP requesting their rejection to the proposed changes [2] and the procedure will be over. If the changes are accepted by the Steering Committee, the rest of the procedure will depend on if the change is major or not. If it is not major, changes will be included in the planning [3] and they will be communicated to the Permanent Secretariat through the APR [4]. If the change is major Steering Committee elevate to Strategic Committee. A request for approval from the Permanent Secretariat will be sent by Strategic Committee [5]. If the request is approved by the PS, the Project Management Team will draw up the required documents by the PS [6] and the procedure of annual planning (Procedure 1) will start. If the changes are not accepted by the PS, the Strategic Committee will communicate the decision to PP [7] and the procedure will be over.

# PROCEDURE 4: INFORMATION AND PUBLICITY COMPLIANCE

## PROJECT PARTNERS

## PROJECT MANAGEMENT





## PROCEDURE 4: INFORMATION AND PUBLICITY COMPLIANCE

**Regularity:** quarterly

### Involved entities

- Project Management: Project Management Team (PMT) conformed by PP1 (with the support of PP8) supervised by the Steering Committee. PMT will be in charge of supervising the compliance of each deliverable/output and activity of the project with Information and Publicity rules.
- Project Partners: on the quarterly request for information, each project partner will have to complete a checklist on I&P compliance of the tasks developed during the last quarter and upload to the projects cloud corresponding evidence. PP are also required to apply requested modifications to ensure I&P compliance.

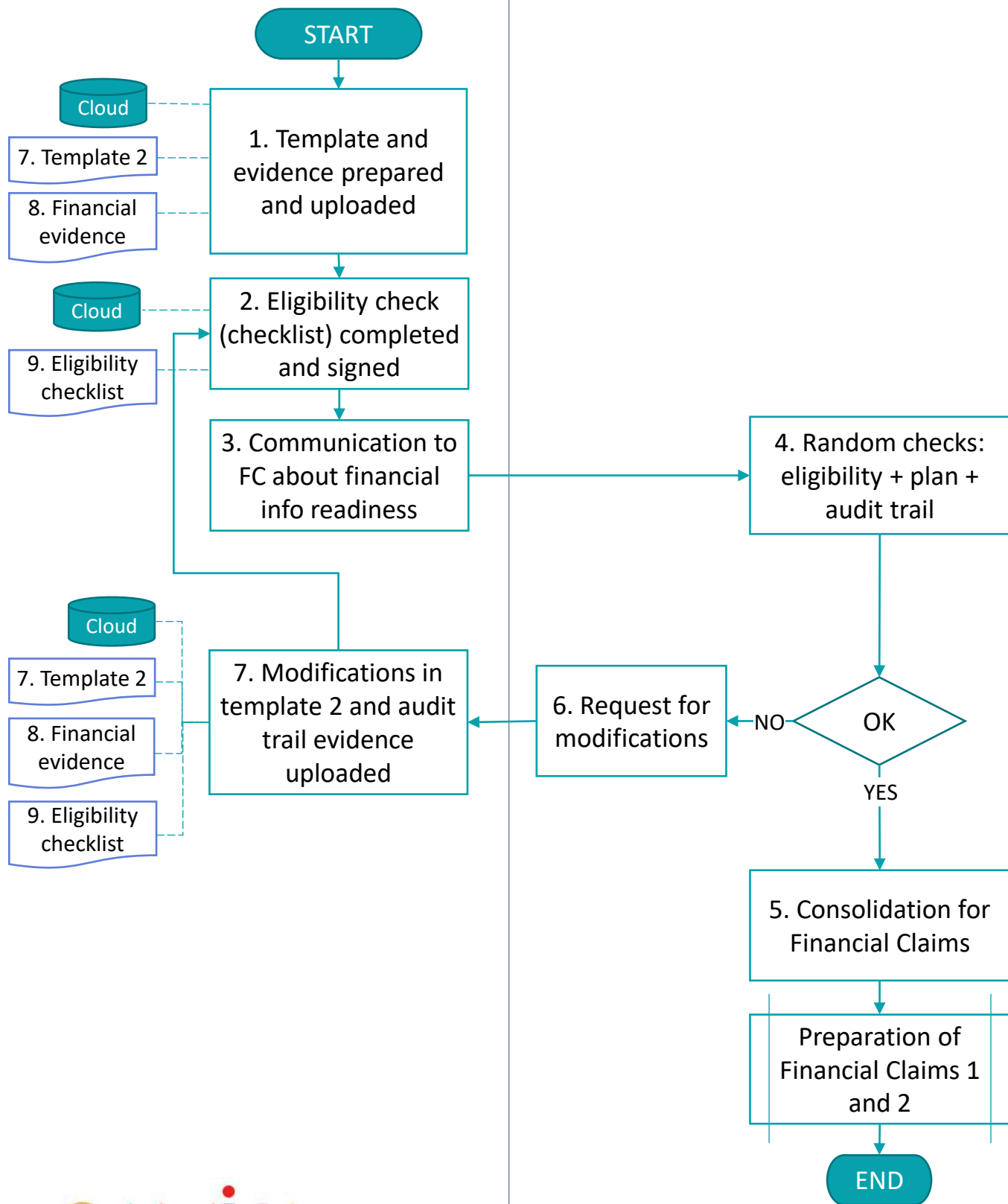
### Description

On the quarterly information request, project partners will have to complete a checklist (Document 5) where they will state their compliance with information and publicity rules. This checklist list will be uploaded with evidence from I&P tasks (Document 6) to the project's tool EMDESK [1]. PMT will check if the checklist shared by the PP is correct and if it is not, PP will have to complete a new checklist [3] (Document 5) and upload it to the cloud with the corresponding evidence (Document 6) [1]. If the original checklist is correct, the evidence provided by PP will be reviewed to ensure their compliance with I&P rules [4]. If the evidence is sufficient and correct, the procedure will be over. In case the information provided by the project partners is incorrect, PMT will determine if the mistakes are remediable or not. If they are remediable, a request for modifications will be sent to PP so they comply with I&P rules [5]. PP will apply these modifications [6] and upload new evidences (Document 6) of the modifications to the cloud [7]. These new evidences will be reviewed by PMT and the procedure will continue [4]. If the mistakes are not remediable, ineligibility of expenses will be communicated to the responsible PP [8] and the procedure will be over.

PROCEDURE 5: FINANCIAL INFO GATHERING AND ELEGIBILITY CHECK

PROJECT PARTNERS

PROJECT MANAGEMENT



## PROCEDURE 5: FINANCIAL INFO GATHERING AND ELEGIBILITY CHECK

**Regularity:** quarterly

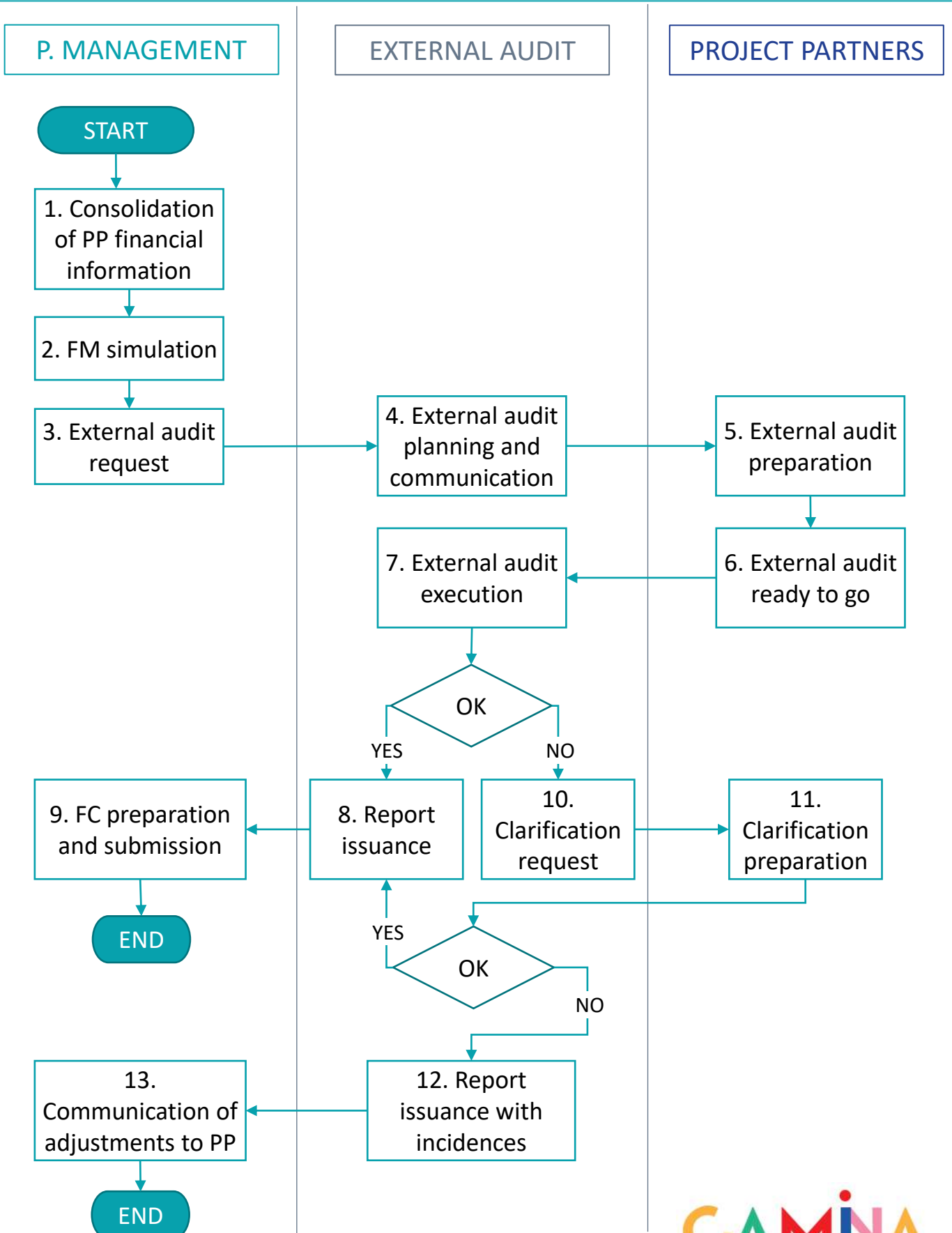
### Involved entities

- Project Management: Financial Manager (PP1) will be in charge of supervising the eligibility of expenses declared by PP and consolidate financial information to prepare Financial Claims.
- Project Partners: on the quarterly requests for information, each project partner will have to share with the Financial Manager their financial information together with evidence to complete the audit trail. PP will declare the eligibility of the expenses declared and conduct modifications indicated by the FM.

### Description

Regarding financial monitoring, project partners will complete an expense report (Document 7: Template 2) and upload it to the online archive included in the project's cloud along with the digital version of the corresponding invoices, proof of payment and other documentation to complete the audit trail (Document 8: financial evidence) [1]. The partners will keep the original documentation in their facilities following a documentation file model that will be provided to them. Each PP finance responsible will complete and sign a checklist that certifies the eligibility of the declared expenses (Document 9: Eligibility checklist) [2] and upload it to the EMDESK. PP will communicate to FM the readiness of financial information [3]. FM will conduct random checks to PP on eligibility, audit trail and planning [4]. If the random checks conducted by the FM are correct, financial information will be consolidated to prepare the financial claims [5]. This preparation is explained in procedure 6. In case the FM finds any problem in the information provided by PP, FM will send a request for modifications to affected partners [6]. PP will upload its new financial information (Document 7: Template 2 and Document 8: financial evidence) and to the cloud and complete and sign a new eligibility checklist [2], FM will be informed

PROCEDURE 6: FINANCIAL CLAIM 1 AND 2 PREPARATION



## PROCEDURE 6: FINANCIAL CLAIM 1 AND 2 PREPARATION

**Regularity:** twice during the project when reported expenditure reaches 35% and when it reaches 100%

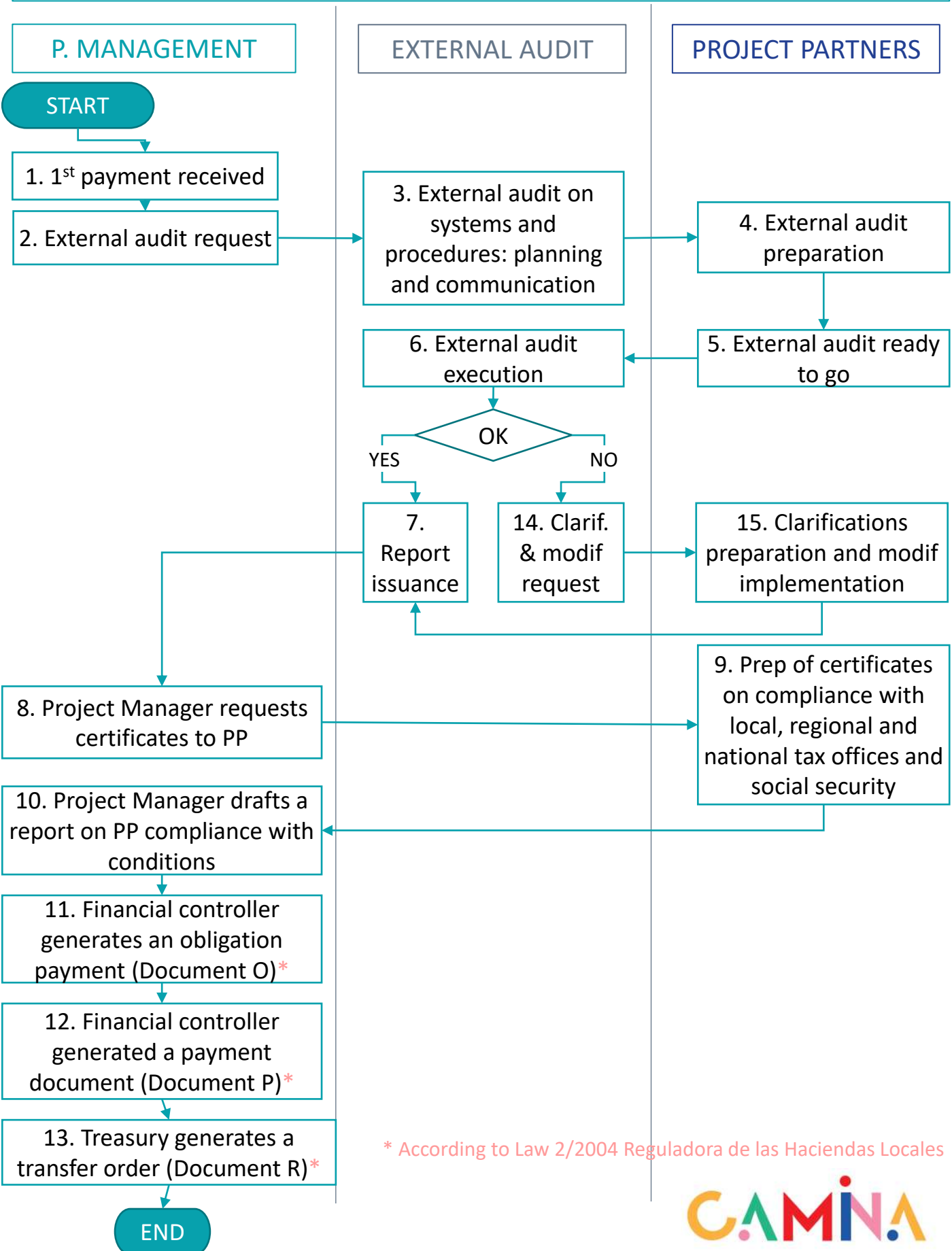
### Involved entities

- Project Management: Financial Manager (PP1) will be in charge of consolidating financial information, request external audit, prepare and submit Financial Claims and communicate adjustments to project partners in case of incidences.
- External audit will verify the eligibility and audit trail integrity of expenses included in the Financial Claims, request clarifications to project partners and communicate incidences to the Financial Manager.
- Project Partners will have to prepare for external audits, provide them with all the information needed for the expenses they have declared and prepare required clarifications.

### Description

After the consolidation of financial information [1] gathered from PP on procedure 5 reaches 35% of total project budget (Financial Claim 1) and 100% (Financial Claim 2), Financial Manager (PP1) will conduct a first Financial Claim simulation [2] and request an external audit [3]. The external auditor will plan the audit and communicate it to project partners [4]. Project partners will prepare for the external audit having all the financial documents available for checks. Once PP is prepared, it will communicate it to the external audit [6]. The external audit will check all the expenses declared by PP and their associated financial original documents [7]. If the result of the audit is positive, the auditor will issue a report and send it to the Financial Manager [8] who will prepare the Financial Claim and submit it [9] reaching the end of the procedure. In case the result of the audit is negative, the auditor will issue a clarification request and send it to project partners [10] who will prepare the clarifications requested and send it back to the auditor [11]. If clarifications are accepted, the auditor will issue a report on PP compliance and send it to the FM [8] and the procedure will continue. If clarifications are not accepted, the auditor will issue a report stating the incidences detected during the audit and send it to the FM [12]. Based on this report, FM will communicate the necessary adjustments to PP [13] and the procedure will be over.

# PROCEDURE 7: FIRST PAYMENT TO PROJECT PARTNERS



\* According to Law 2/2004 Reguladora de las Haciendas Locales

## PROCEDURE 7: 1<sup>st</sup> PAYMENT TO PROJECT PARTNERS

**Regularity:** once, when MUA receives first advanced payment

### Involved entities

- Project Management: Financial Manager (PP1) will be in charge of consolidating financial information, request external audit, prepare and submit Financial Claims and communicate adjustments to project partners in case of incidences.
- External audit will verify the eligibility and audit trail integrity of expenses included in the Financial Claims, request clarifications to project partners and communicate incidences to the Financial Manager.
- Project Partners will have to prepare for external audits, provide them with all the information needed for the expenses they have declared and prepare required clarifications.

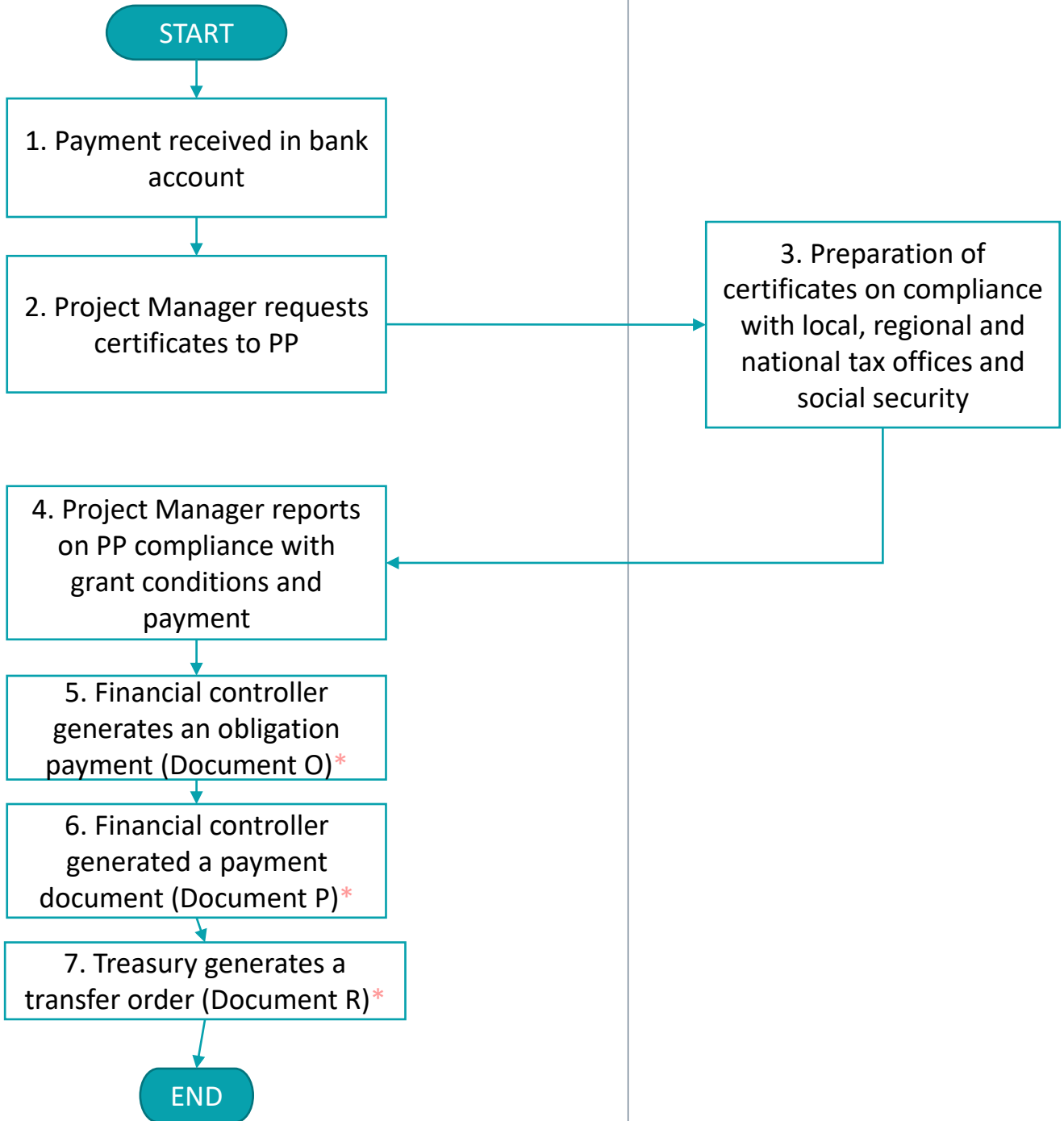
### Description

Once the Subsidy Contract is signed, the Main Urban Authority will receive the first payment from the Permanent Secretariat [1]. The Project Management Team will request an external audit on systems and procedures to be conducted on Project Partners [2]. This external audit seeks to confirm the project partner's ability to execute the project. An audit company will be hired to conduct this audit and will plan and communicate the audit to Project Partners [3]. Project Partners will prepare for the audit [4] and will communicate the audit company its readiness [5]. The audit will be conducted to determine if the project partner is ready to execute the project or not [6]. If it is, a compliance report will be issued to the Project Management Team [7]. The Project Manager will request necessary certificates to the project partner [8]. Project partner will provide the 4 necessary certificates that are needed to receive a payment from a public entity: certificate on compliance with local tax office, certificate on compliance with regional tax office, certificate on compliance with national tax office and certificate on compliance with social security [9]. Once the certificates are sent to the Main Urban Authority, the Project Manager will issue a report of compliance with grant conditions based on the results of the audit and the certificates provided by PP [10]. Based on this report, MUA's financial controller issues a "Document O" that recognizes the obligation of payment [11]. The next document generated by the financial controller is "Document P", the payment document [12] that is sent to the Treasury department. Treasury issues "Document R" that generates a transfer order to pay the project partners and the procedure will be over [13]. If the audit states that a partner is not ready to execute the project, the audit office will request a list of clarifications and modifications [14], the concerned project partner/s will prepare the clarifications and implement the modifications requested [15]. Once this step is completed, the audit office will issue a report on the compliance of the project partner [7] and the procedure will continue as described before.

PROCEDURE 8: 2nd and 3rd PAYMENT TO PROJECT PARTNERS

PROJECT MANAGEMENT

PROJECT PARTNERS





## PROCEDURE 8: 2nd and 3rd PAYMENT TO PROJECT PARTNERS

**Regularity:** twice, when MUA receives 2<sup>nd</sup> and 3<sup>rd</sup> payments.

### Involved entities

- Project Management: The Project Manager will be in charge of starting MUA's internal procedures to issue the payments to project partners.
- Project Partners will have to provide the 4 necessary certificates to receive the payment. These certificates will prove the project partner's compliance with the local, regional and state tax offices and social security.

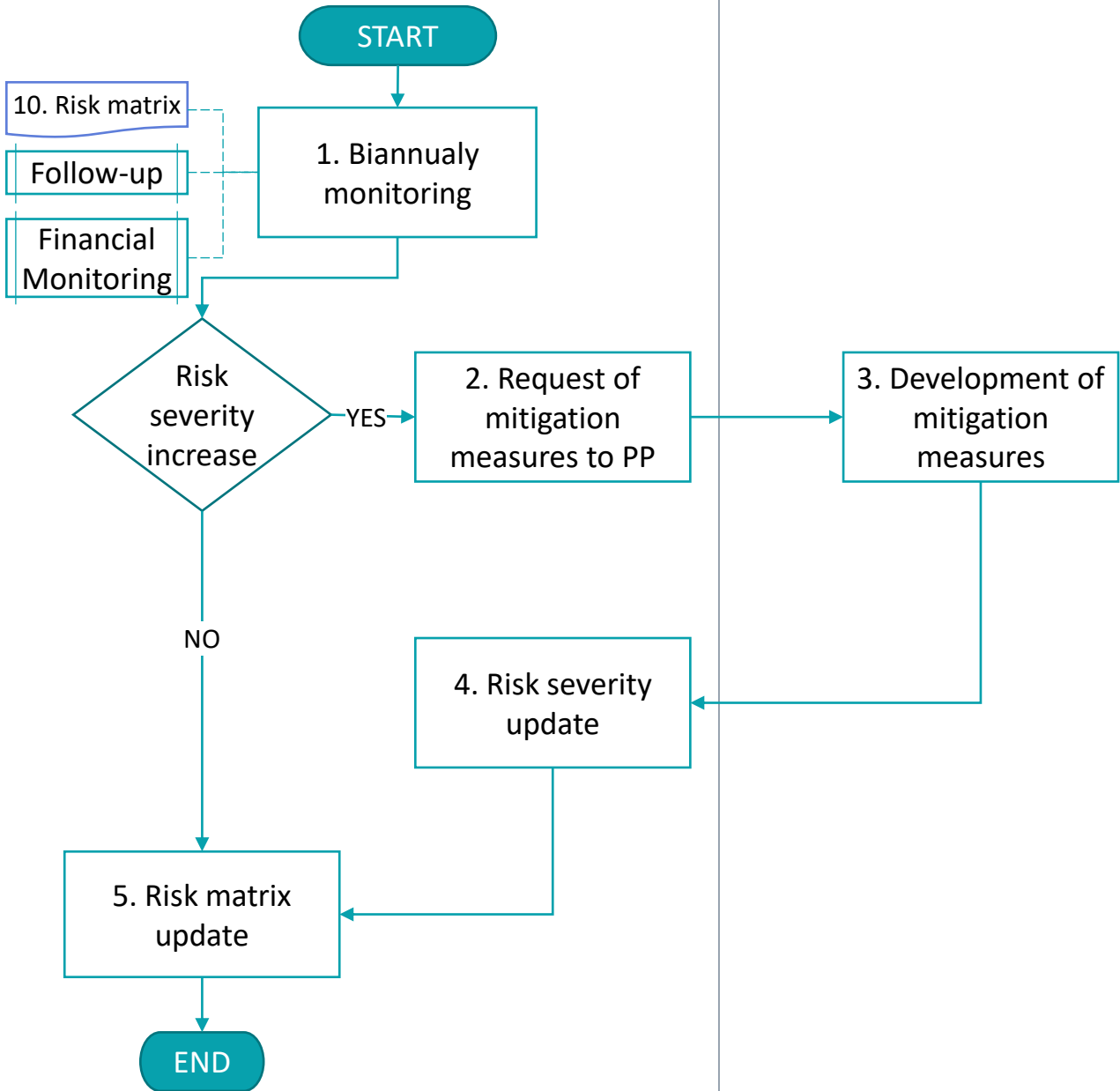
### Description

The 2<sup>nd</sup> and 3<sup>rd</sup> payment procedures will be slightly different than the first payment as there will not be an external audit on systems and procedures. Once the MUA receives the 2<sup>nd</sup> and 3<sup>rd</sup> payment after the approval of Financial Claims 1 and 2 [1], the Project Manager will request necessary certificates to the project partner [2]. Project partner will provide the 4 necessary certificates that are needed to receive a payment from a public entity: certificate on compliance with local tax office, certificate on compliance with regional tax office, certificate on compliance with national tax office and certificate on compliance with social security [3]. Once the certificates are sent to the Main Urban Authority, the Project Manager will issue a report of compliance with grant conditions based on the results of the audit and the certificates provided by PP [4]. Based on this report, MUA's financial controller issues a "Document O" that recognizes the obligation of payment [5]. The next document generated by the financial controller is "Document P", the payment document [6] that is sent to the Treasury department. Treasury issues "Document R" that generates a transfer order to pay the project partners [7] and the procedure will be over.

# PROCEDURE 9: RISK MONITORING

## PROJECT MANAGEMENT

## PROJECT PARTNERS



## PROCEDURE 9: RISK MONITORING

**Regularity:** bianually

### Involved entities

- Project Management: the Steering Committee will be in charge of monitoring risks, request mitigation measures from project partners and update the risk matrix, that will describe the risks identified, their potential impact on the project and the probability of occurrence.
- Project Partners will be in charge of applying the mitigation measures requested by the Steering Committee.

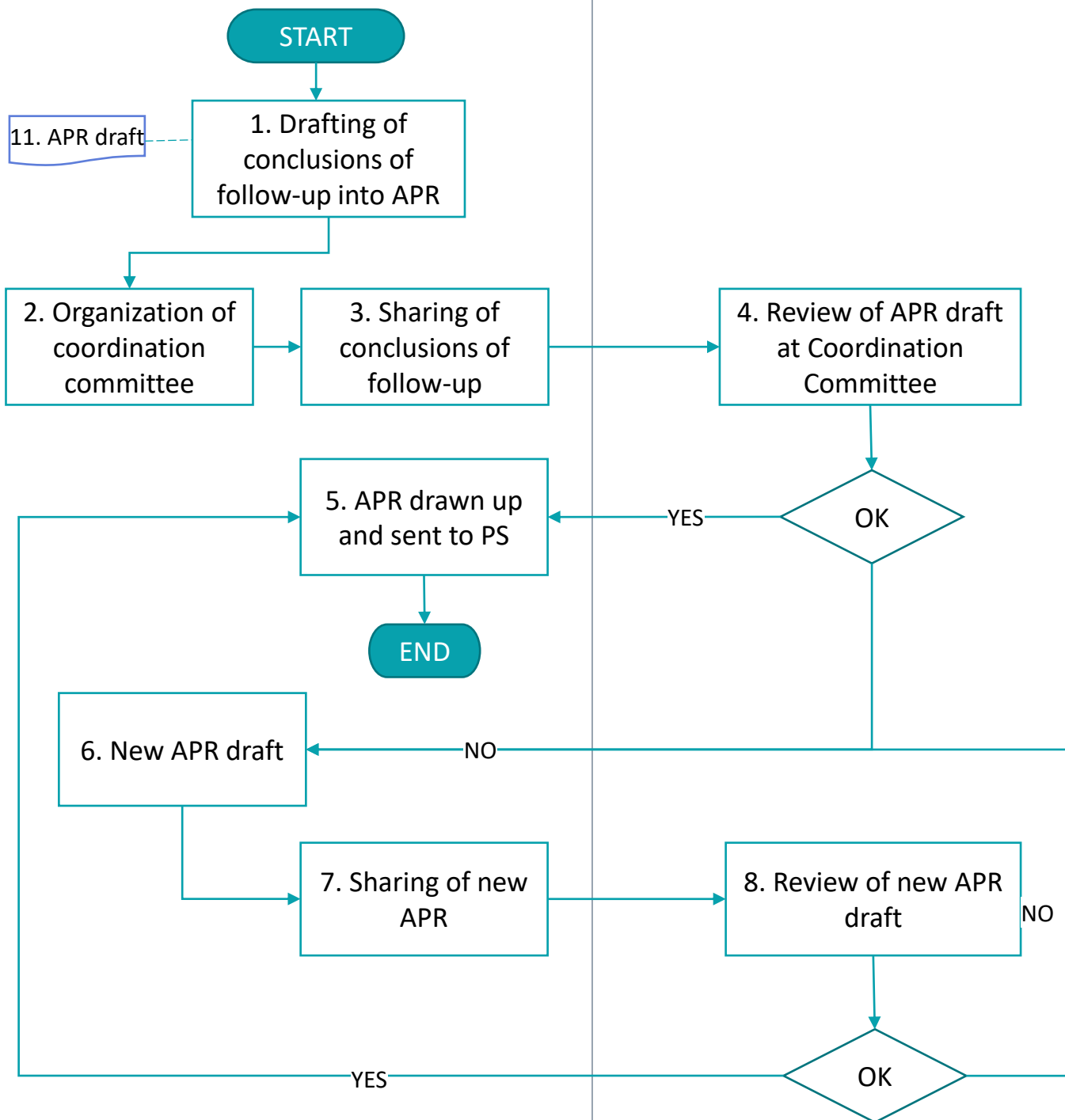
### Description

The Steering Committee will conduct a quarterly risk monitoring which will be based of three elements: the results of follow-up (Procedure 2) and financial monitoring (Procedures 5 and 6) and the risk matrix (Document 10). The risk matrix will include the risks identified, their probability of occurrence and their impact on the implementation of the project. In case an increase is detected in risk severity, steering committee will request project partners to apply mitigation measures [2]. Project partner will develop these mitigation measures [3] and Steering Committee will update risk severity [4] and risk matrix [5] and the procedure will be over. If during the quarterly monitoring [1] no increase in risk severity is detected, the risk matrix will be updated with the results of the monitoring [5] and the procedure will be over.

PROCEDURE 10: VALIDATION OF APR

PROJECT MANAGEMENT

PROJECT PARTNERS



## PROCEDURE 10: VALIDATION OF APR

**Regularity:** yearly

### Involved entities

- Project Management: Project Management Team is in charge of drafting the conclusions from follow-up into an APR draft, share it with PP, incorporate their comments and draw up the final version of APR and send to PP.
- Project Partners, through the Coordination Committee, will be in charge of reviewing the APR drafts and approving the final version.

### Description

At the end of each year, Project Management Team will draft the conclusions from follow-up into an APR draft (Document 11) [1]. The Coordination Committee will be summoned where all the project partners will participate [2]. The first draft of the APR will be shared with PP [3]. Project partners will review this draft at the Coordination Committee [4]. If PP approve the draft, final APR will be drawn up and sent to the Permanent Secretariat from UIA and the procedure will be over. If PP do not approve the APR, Project Management Team will draw up a new APR draft [6] which will be shared with PP [7]. PP will review it [8], if it is accepted, final APR will be drawn up and sent to the PS [5] and the procedure will be over. If it is not accepted the Project Management team will draft a new APR draft [6] and so on.