

Key requirements/Assessment criteria	2014-2020	MA				PA		CA		AA		MoEf		MoT		MoW		MoH		MEPRD		MoESc		MoC		SC		LDA		SEA		SF		SEDA		SRDA		CFCA														
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Key requirements for Responsible Institutions and Co-operation Institutions		LIAA		PSI																																																
Key requirement 1: Clear definition, allocation and separation of functions between and within the managing authority / intermediate bodies		2					2				2			2			1	1	1		2	2	2				2	1				1	1	2	2	2			1	2	2	1		2	2	1			1	1		
(1.) Adequate procedures in place at the managing authority to monitor the effective implementation of the tasks delegated to the intermediate bodies.		2				2				2			1			1	1	1		2	2	2				2	1			1	1	1			1	1	1	1			1	1			1	1	1					
(2.)* a clear definition and allocation of functions (organisation chart, indicative number of posts, documented procedures and manuals), including the existence of a formal documented agreement clearly setting out any tasks that are delegated by the managing authority to the intermediate bodies.		2				2				2			1	1	2		2	2	1		1	1	2			2	1			1	1	2	2	2		1	1	1		2	2	1		2	2	1		1	1			
Key requirement 2: Adequate procedures for the selection of operations		2				2				1			2	1		2	2	2	1		1	1	2		1	2	1	2		1	2	2	2	2	2		1	1	2		2	2	2		1	1	1		2		2	
(3.) Calls for applications should be published (calls for applications in accordance with the conditions and objectives of the OP, should contain a clear description of the selection procedure used and of the rights and obligations of the beneficiaries. Calls for applications should be advertised in order to reach all potential beneficiaries...)		1				2				1			1	1	1		1	1	1			1	1			1	1			1	1	2	1		1	1	1		1	1	1		1	1	1		1	1				
(4.) All applications received should be recorded (applications should be registered on receipt, evidence of receipt delivered to each applicant and records kept of the approval status of each application).		2				2				2			2	2	1		1	1	1			1			1	1			1	1	1	2		1	1	2		2	2	1		1	1	1		1	1					
(5.) All applications/projects should be evaluated in accordance with the applicable criteria. (the evaluation should be applied consistently, the criteria/scoring used should be in accordance with those approved by the Monitoring Committee and mentioned in the calls, results should be documented, the substance of the applications evaluated, the financial, administrative and operational capacities of the beneficiaries to fulfil the responsibilities regarding the provision of funding should also be adequately evaluated).		2				2				1			1	1	1		1	1	1			1	1	2		1	2	1	2		1	2	2	2		1	1	2		2	2	2		1	1	1		2	2			
(6.) Decisions taken on the acceptance or rejection of applications/projects should be communicated to the applicants. (decisions should be taken by an appropriate designated person/body, results notified in writing and the reasons for acceptance or rejection of applications clearly set out. The appeals procedure and related decisions should be published).		2				2				2			2	2	1		1	1	1			1			1	1			2	1	2	1		1	1	1		1	1	1		1	1	1		1	1					
Key requirement 3: Adequate information and strategy to provide guidance to beneficiaries		2			1	2				2			1	1		2	2	1		1	1	1	1		2	2	2	1		1	2	1		1	1	2		1	1	2		1	1	2		1	1	1				
(7.) Effective communication to beneficiaries of their rights and obligations in particular the national eligibility rules laid down for the programme, the applicable Community rules on eligibility, the specific conditions concerning the products or services to be delivered under the operation, the financing plan, the time-limit for execution, the requirements concerning separate accounting or adequate accounting codes, the information to be kept and communicated. The information and publicity obligations should also be clearly expressed and communicated to them (in grant approval letters, decisions...).		2			2				2		1		1	1	1		1			2	2	1			1	1	1			1	1	1	2		1	1	2		1	1	2		1	1	1		1	1				
(8.) The existence of clear and unambiguous national eligibility rules laid down for the programme.		1			1	2				1	1		2	2	1		1	1	1		1	1	1		1	1	1		1	1	1																					
(9.) The existence of a strategy to ensure that beneficiaries have access to the necessary information and receive an appropriate level of guidance (leaflets, booklets, seminars, workshops, web sites...).		2			2					1	1		1	1	1		1	1	1		1	1	2		1	1	1		1	1	1	1		1	1																	
Key requirement 4: Adequate management verifications		2	2	2	2	2		2					2	2	2		2	2	1		1	1	2		2	2			2	2	2	1		1	1	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2		
(10.) The existence of written procedures and comprehensive checklists in order to detect any material misstatements. This means that the checklists should address verifications on: the correctness of the application for reimbursement, the eligible period, compliance with the approved project, compliance with the approved financing rate (where applicable), compliance with the relevant Community rules and Community rules on public procurement, State aid, environment, publicity and equal opportunity requirements, the reality of the project, including physical progress of the product/service and compliance with the terms and the conditions of the grant agreement, the expenditure declared and of the existence of audit trail.		2	1	2	2		2						2	2	2		2	2	1		1	1	2		2			2	2	2	2		1	1	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2		
(11.) The administrative verifications regarding the expenditure in a particular statement should be completed before certification.		1			1							1																1																								
(12.) All applications for reimbursement submitted by beneficiaries should be subject to administrative verifications and should include an examination of both the claim itself and the relevant supporting documentation attached.		2			2							1	2		2	2							1	2		2	2		2	2		2	2	2	2		1	2	1	2		2	2	2	2		1	2				
(13.) The on-the-spot verifications should be undertaken when the project is well under way, both in terms of physical and financial progress (e.g. , for training measures).		2			2							2	2		2	2							2						2	2		2	2	2		2	2	2		2	2	2	2		2	2	2	2				
(14.) Evidence should be kept of: the administrative verifications and the on-the-spot verifications, including the work done and the results obtained, the follow-up of the findings detected.		2			2							1	2		2								2	2				1			1	1	1	2		1	2	1	2		2	2	2		2	2	2	2				
(15.) Where on-the-spot verifications are not exhaustive, the sampling of operations should be based on an adequate risk assessment and the records should identify the operations selected, describe the sampling method used and provide an overview of the conclusions of the verifications and the detected irregularities.		2			2							1		2	2								1						1			2	2	2	1		1	1	1		2	2	2		1	1	1		1	1		
(16.) The existence of procedures approved by the managing authority to ensure that the certifying authority receives all necessary information on the verifications carried out for the purpose of certification.		1			2							2	2										1	1				1			1	1	1	1		1	1	1		1	1	1		1	1	1		1	1			
Key requirement 5: Adequate audit trail		2				2					1			1	1	1		1	1	2			2	2	1		1	1	1		1	1	1		1	1	1		1	1	1		2	2	1		1	1	2		1	1
(17.) The accounting records for operations should be kept at the appropriate management level and should provide detailed information on expenditure actually incurred in each co-financed operation by beneficiary. The accounting system enables both the beneficiaries and the other bodies involved to be identified together with the justification for the payment.		2			2							1										2				2	2					2	2	2	1		1	1		1	1	1		2	2	1		1	1			
(18.) The technical specifications and financial plan of the operation, progress and monitoring reports, documents concerning application, evaluation, selection, grant approval and tendering and contracting procedures and reports on inspections of the products and services co-financed should also be kept at an appropriate management level.		1			2							1	1		1	1	1					1	1			1	1			1	1	1	1		1	1	1		1	1	1		1	1	1		1	1				
(19.) The managing authority should verify whether the beneficiaries maintain either a separate accounting system or an adequate accounting code for all transactions relating to the assistance which allows for verification of (1) the correct allocation of expenditure only partly relating to the co-financed operation and (2) certain types of expenditure which are only considered eligible within certain limits or in proportion to other costs.		2			2							1										2	2						1			1	2	2	1		1	1	1		2	2	1		1	1	2		1	1		
(20.)* Procedures should be in place to ensure that all documents required to ensure an adequate audit trail are held in accordance with the requirements of Article 90 of Regulation 1083/2006: i.e. regarding availability of documents.		2			2						1		1	1			1	1	1			1	1			1	1			1	2	2	1		1	1	1		1	1	1		1	1	1		1	1				
Key requirement 6: Reliable accounting, monitoring and financial reporting systems in computerised form		2			2	2				1	1	2		2	1	2	1	2	-	2	2	2		2		2	1		1		1	1	1		2	2	2		2	1		2	1		2	1	2	2				
(21.) The existence of computerised systems capable of providing reliable and relevant information. (procedures to ensure maintenance of the system, data protection and data integrity are in place, the system provides all the information required by Annex III of Reg 1828/2006)		2			2	2				1	1	2		2	1	2	1	2	-	2	2	2		2		2	1		1		1	1	1		2	2	2		2	1		2	1		2	2	2	2				
Key requirement 7: Necessary preventive and corrective action where systemic errors are detected by the audit (art 98.1 of R 1083 and art. 16.3 of R 1828)		2			2					1		2		1	1	2		1	1		2	2	2		2		2	2	2		2	2	2	1		1	1	1		2	2	2	1		1	1	2		1	1		
(22.) Procedures should be in place to ensure adequate review and follow-up of the results of all audits carried out by the relevant audit bodies pursuant to Article 62 of R 1083 and that this review is adequately documented.		2			2					1		2		1	1	2		1	1		2	2	1		1		1	1			2	2	2	1		1	1	1		1	1	1		2	2	2		1	1			
(23.) Procedures should be in place to ensure implementation of preventive and corrective action in case of systemic errors.		2			2					1		2		1	1	2		1	1		1	1	2		2		2	2	2		2	2	2	1		1	1	1		2	2	2		1	1	2		1	1			

