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COMMISSION STAFF WORKING PAPER

**ON THE PRACTICAL IMPLEMENTATION ARRANGEMENTS FOR
COMMISSION DECISION C(2010) 6885**

of 08 October 2010

**on the procedures related to the programming and monitoring of the measures and
financial assistance under the Bohunice, Ignalina and Kozloduy programmes for the
period 2007 to 2013**

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1. LEGAL INTRODUCTION

Having regard to Commission Decision C(2010) 6885 of 08 October 2010 on the procedures related to the programming and monitoring of the measures and financial assistance under the Bohunice, Ignalina and Kozloduy programmes for the period 2007 to 2013, guidelines¹ for the practical arrangements for the implementation of that Commission Decision should now be adopted on a working level.

2. POSITIONING OF THIS DOCUMENT WITHIN THE OVERALL STRUCTURE

The closure commitments taken by Bulgaria, Lithuania and Slovakia are enshrined in the Accession Treaties and their Protocols, including the basic rules for the related Union financing. These basic rules are complemented by the Council Regulations that provide for additional financing, which also set out the eligibility of actions that could be financed by the Union and determine the respective programming and implementation arrangements.

The Financial Regulation foresees mandatory rules for all Union financing, whether under joint management or under indirect centralised management, being the two implementation methods adopted for the decommissioning-related programmes.

Based on these, the Commission Decision on procedures further lays down the detailed rules and procedures that shall be followed in order for projects to be eligible for funding under the decommissioning programmes.

The Fund Rules govern – within this mandatory legal framework – the conditions for operation of the International Decommissioning Support Funds managed by the European Bank for Reconstruction and Development (EBRD).

The framework agreements between the EBRD and the Member States concerned provide additional arrangements.

The Memorandum of Understanding between the Commission and the EBRD, and its implementing rules, also foresee the way of co-operation between the 2 parties.

The operating agreement between the Commission and the Lithuanian National Agency CPMA foresee the way of co-operation between the 2 parties.

Yearly contribution agreements with the 3 International Decommissioning Support Funds and the national channel might update the specific conditions related to each yearly contribution.

Finally, these guidelines serve to work out practical arrangements on a working level.

3. AIM OF THESE GUIDELINES

These practical arrangements on a working level complement the above legislation, with the aim of standardising procedures and documents. Within these guidelines, a separation is made between the

¹ Commission Decision C(2010) 6885 of 08 October 2010 – Article 2 (19) definition of guidelines

different funding mechanisms in order to take into account the specificities of each implementing route and the best practices developed under each set of governing rules. It is important to determine what information is available, where in which documents it can be found, in order to insure that all mandatory information is available when needed and in a transparent way for all involved. This information, as well as the related procedures and reporting should then be standardised, so that it is independent of the desk officer dealing with a specific file. This will lead to an increased efficiency and effectiveness.

These guidelines shall be reviewed regularly in order to adapt them and stay linked as closely as possible to the day to day reality and identified best practices.

These guidelines shall be understood as the minimum required standard.

4. GUIDELINES FOR THE ESTABLISHMENT AND AMENDMENT OF COMBINED PROGRAMMING DOCUMENTS (MINISTRIES)

List of abbreviations

| | |
|---------|--|
| CPMA - | Central Project Management Agency |
| CPD - | Combined Programming Document |
| EBRD - | European Bank for Reconstruction & Development |
| ELARG - | Directorate General for Enlargement |
| IDSF - | International Decommissioning Support Fund |
| MEUR - | million Euro |
| NA - | National Agency |
| NDAP - | Nuclear Decommissioning Assistance Programme |
| PMU - | Project Management Unit |
| SPD - | Single Programming Document (Structural Funds) |
| TREN - | Directorate General for Energy & Transport |
| ENER - | Directorate General for Energy |

4.1. Introduction

The European Union has, under the relevant protocols² of the Accession Treaty of Slovakia, Lithuania (2004 accession), and Bulgaria (2007 accession) undertaken to provide financial support for decommissioning-related measures of Bohunice, Ignalina and Kozloduy nuclear power plants respectively.

² Protocol 9 (Bohunice) and Protocol 4 (Ignalina)

This support is now provided under three separate, but closely related, programmes for the above-named plants. Except in the case of Ignalina NPP, all support has been provided through the mechanism of multi-donor International Decommissioning Support Funds (IDSFs) administered by the European Bank for Reconstruction & Development (EBRD) to which the European Union is the principal contributor. In Lithuania, there has also always been a nationally managed funding route through the Central Project Management Agency (CPMA); CPMA now acts as a National Agency³ according to the methodology of centralised-indirect management.

Since 2007, the first year of the present Financial Perspective, the programming of the three decommissioning-related programmes has been closely coordinated through DG TREN / ENER according to the procedures of Commission Decision C(2007)5538. The Commission is assisted for this purpose by a Management Committee composed of the representatives of the Member States and chaired by the representative of the Commission in line with Article 4 of Council Decision 1999/468/EC; the said article outlines the manner in which this Management Committee (NDAP Committee: Nuclear Decommissioning Assistance Committee) will conduct its business.

The programming procedures foresee the preparation by the three respective beneficiary Member States of an annual programming document, the *Combined Programming Document* (CPD), and guidelines were first informally issued in mid-2007 for its content and format.

4.2. Concept of the Combined Programming Document

The concept of the CPD is fundamentally unchanged. It draws upon, but appropriately refines, the Structural Funds approach in which the Member State outlines the proposed use of funding in the so-called Single Programming Document (SPD). However, whereas the SPD covers the entire Perspective, the CPD is updated and issued annually, owing to the much greater uncertainties and evolving planning of the decommissioning assistance programmes. The CPD will therefore be correspondingly more detailed.

The CPD is *combined* in three senses:

- it addresses all aspects of the programme for which eligibility is defined in the relevant protocols and regulations which comprise the basic acts (decommissioning and energy sector);
- in the case where part of the financial assistance is also managed through a National Agency, the programme therein will outline objectives for both implementation routes (the National Agencies and IDSFs);
- the objectives presented in the CPD would be the basis for the programming of projects making use of funds allocated under the programme in the current year and funds remaining (if any) from preceding years (i.e. the objectives set out in the latest CPD build on those of previous CPDs).

4.2.1. Explanation of the programme

It is necessary for the European Commission and the NDAP Committee to have a good understanding of the reasoning that underpins the submission of decommissioning-related projects in any given programming period. This information is often contained in a large number of national-level documents extending beyond the scope of the programme concerned and which may, in some

³ Council Regulation 1605/2002 on the Financial Regulation applicable to the budget of the European Communities as amended by Council Regulation 1995/2006 of 13 December 2006

cases, be unavailable to the Commission/NDAP Committee. Thus, the CPD must synthesise and explain the context for the use of the Union decommissioning-related funding as a whole, but more especially the use of the funding allocated under the current Financial Perspective. The CPD will provide on an annual basis an updated summary of the underlying strategy in the sectors concerned:

- the long-term strategy extending to the completion of decommissioning to its predefined end-point and corresponding restructuring of the energy sector; and
- the perspective development presenting the targets, milestones, and disbursement schedule for making use of the funding allocated in the 2007~2013 Perspective, to be presented in the manner of a macro-project with quantifiable, monitorable outcomes serving to ensure that the programme as a whole is meeting its goals.

Most importantly, the CPD will present the annual programme-stage planning: the prioritised set of immediate key objectives which will form the basis for the subsequent consideration of detailed project descriptions over the period of validity of the CPD.

4.2.2. *Division of funding*

If the programme is implemented, both through the IDSF and through the National Agency, the CPD will indicate which objectives are to be achieved through which funding route and the total financial allocation to each, thereby allowing the European Commission to make the appropriate arrangements for the commitment and transfer of funding.

4.3. **Use of the Combined Programming Document**

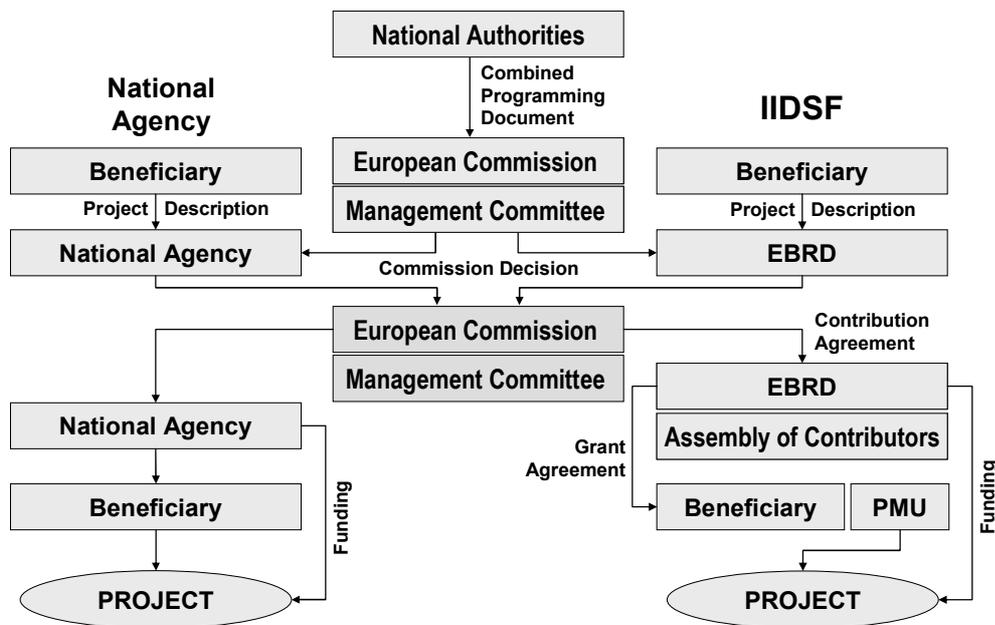
The CPD is the basis for, and an annex to, the annual Commission Decision on financing for the commitment of the Union support to both the IDSF and, where applicable, National Agency.

In respect of both the IDSF and National Agency, the CPD must outline eligibility criteria for projects to be submitted at a later stage, after adoption of the Commission Decision. The CPD does not, however, refer specifically to projects or contracts but only to objectives; it will be left to the Implementing Agency⁴ – EBRD (assisted by its PMUs) or National Agency – to decide how best to achieve these objectives through the creation of projects and letting of contracts. Projects proposed by the Implementing Agency within the objectives defined in the CPD are subject to separate Commission approval (following the opinion of the NDAP Committee).

Although the CPD must put the objectives in context, for practical reasons the CPD cannot show progress in individual projects (in practical terms, the timescales for preparation, consultation and approval of CPD render this unfeasible – any monitoring information would be over an irregular period and out of date at the time adopted). The CPD is thus a planning document only which, in combination with the respective Monitoring Reports, should form part of the basis for future assessment.

Figure 1 provides a simplified schematic of the programming system for Lithuania, where both implementing routes are in place. In the present situation only the IDSF route is to be considered for Slovakia and Bulgaria.

⁴ An organization or agency entrusted with certain implementation tasks in accordance with the provisions of Articles 53(7) and 54(2) of the Financial Regulation.



4.4. Preparation of the Combined Programming Document

The CPD should be prepared by the responsible Ministry of the Member State (henceforth Programme Coordinator). This should be done in close consultation with the Implementing Agencies (with appropriate input from the beneficiaries) to ensure that the objectives put forward are technically feasible and within the available budgetary resources.

Perspectives presented in the CPD in terms of objectives and funding, including fund allocations, should be provided based on the best available assessment at the time of drafting the CPD. Evolutions and changes can be taken into account in the CPDs of the following years.

The CPD should normally be finalised in the first quarter of the programming year, including any national-level consultation and incorporation of the comments of the European Commission before formal submission to the Commission/NDAP Committee at the beginning of the second quarter.

A precise template for the preparation of the CPD is attached in Annex I. In order for the documents from each country to be consistent, the preparers are requested to adhere **strictly** to the template in all respects. DG ENER can provide further guidance on request.

5. GUIDELINES FOR THE ELABORATION AND AMENDMENT OF PROJECT IDENTIFICATION DOCUMENTATION (NATIONAL AGENCY)

5.1. Introduction

The respective Council Regulations for the decommissioning-related programmes of Bohunice and Ignalina allow for the possibility of Union funding either as contributions to an International Decommissioning Support Fund (IDSF) managed by the EBRD or through a national agency under *centralised indirect management* (Article 54(2) of the Financial Regulation) – where for Kozloduy the Council Regulation foresees only the ISDF route. At present, only Lithuania has established a National Agency (as part of the existing Central Project Management Agency). All measures under these programmes are required to be examined by a committee of the Member States – the so-called Nuclear Decommissioning Assistance Programme (NDAP) Committee. A standard way of

identifying projects and their presentation has to be determined. The template (single document) for a National Agency project – referred to as a project identification fiche – can be found in Annex II.

5.2. Content of the Project Identification Fiche (PIF)

The PIF is divided into 13 sections but can be considered to have the following major components:

- the basic data provided on the standard cover sheet;
- the project description including the technical and financial justification and all essential information determining the eligibility of the project;
- the project implementation plan including the scope of the project, the detailed project schedule, including main tasks and intermediate milestones as well as the critical path and main results/deliverables of the project against which progress will be monitored.;
- interfaces with other projects and when applicable the critical path of the overall decommissioning plan; and
- the detailed Budget with explanatory notes.

The PIF must be prepared in line with the most recent approved Combined Programming Document. It is to be drafted according to these guidelines by the beneficiary, in close cooperation with the National Agency, after adoption of the Financing Decision of which the respective Combined Programming Document is a part.

These guidelines explain in detail the required content of each individual section of the PIF starting with the Standard Cover Sheet. Titles of sections and information to appear in the PIF are in the font Arial thus: **Budget breakdown** which should also be used in the PIF itself.

5.3. Submittal/approval of the Project Identification Fiche

In line with the Commission Decision C(2010) 6885 on Programming & Monitoring Procedures, adopted on 08/10/2010, proposed PIFs must be submitted to the European Commission (henceforth “Commission” or “EC”) in hard copy under covering letter of the National Agency after adoption of the annual Financing Decision of which the relevant Combined Programming Document (CPD) is a part. All PIFs submitted to the Commission must be in line with the latest CPD. Although PIFs may be submitted to the Commission individually, it is preferable where possible that the PIFs be submitted in batches. Submittal of PIFs to the Commission electronically is acceptable subject to subsequent provision in hard copy.

The Commission will issue to the National Agency an acknowledgement of receipt within a period of 15 calendar days from receiving the proposed PIF(s) in hard copy. The Commission shall appraise the PIF(s) in consultation with the NDAP Committee taking account, if necessary, of the advice of external experts in order to confirm that the PIF(s) provide(s) an adequate basis for the implementation of the project(s) and comply with:

- (1) Union legislation,
- (2) the principle of sound financial management,
- (3) the respective Combined Programming Document, and

(4) these present guidelines.

Where the Commission considers that the proposed PIF does not fully comply with (1) to (4) above, it will request the National Agency to initiate an appropriate amendment. Each PIF will be considered individually: approval or non-approval of one PIF will in no way affect the approval of any other PIF. The Commission will deliver its decision on approval, and any conditionalities imposed thereon, in writing to the National Agency, normally within a period of 30 calendar days from receipt of the PIF(s).

However, if approval of the PIF cannot, because of the complexity of the matters which it raises, be decided upon within this time-limit, the Commission will inform the National Agency thereof as soon as possible and in all cases within the 30 day time-limit, setting the timescale in which the decision will be taken.

5.4. Amendment of the Project Identification Fiche

In order to be able to ensure sound financial management of the EU funds, the main data of the project identification documentation should be kept up to date at all times by the beneficiary and the National Agency. In the course of the project implementation it may therefore be necessary to amend the project identification documentation occasionally or even regularly in order to reflect changes to the main data such as technical scope, timeline, financial data and any other relevant information. Where it becomes necessary or advisable to deviate from the provisions of the Commission-approved project identification documentation, the National Agency shall oversee the amendment thereof.

An amendment must be made to the PIF before any changes to tenders, ongoing contracts, etc.. In all cases, it is the responsibility of the beneficiary to perform the amendment (under the supervision and guidance of the National Agency), and the responsibility of the National Agency to ensure that the amendments are of the required quality and to submit the PIF to the Commission for approval or for information as appropriate.

Throughout these guidelines, annotations of the type:

| | |
|----------|--|
| Revision | |
|----------|--|

have been included to indicate the normal procedure for amending this item of data. With reference to Article 15(3) of the Commission Decision on Programming & Monitoring Procedures these categorisations may be explained as:

5.4.1 Basic information referencing the programming procedure

| | |
|----------|---------------|
| Revision | Not amendable |
|----------|---------------|

This information cross-references to the respective annual Financing Decision of which the Combined Programming Document (CPD) is a part. It includes information indicating the eligible sector, objective and National Agency as provided in the CPD.

This information allows the Commission and the NDAP Committee to confirm the link between the declared objective in the CPD and the individual PIF. Once the PIF has been approved, this information is normally not amendable (note that in some cases this information may be amendable if the underlying Financing Decision/CPD is amended beforehand).

5.4.2 Essential information determining project eligibility

| | |
|----------|----|
| Revision | EC |
|----------|----|

This information is used to judge whether the project is consistent with the declared objective in the approved CPD, the principles of sound financial management and Union legislation, and provides an adequate technical and financial basis for implementing the project. As such, it primarily comprises the comprehensible technical description of the project purpose, justification of the technical approach (including financial justification if required), scope of the project, project schedule, milestones, main progress indicators and main deliverables of the project.

Although less likely to have an impact on project eligibility, this category of information also includes the implementation methodology (particularly the use of direct grants for works and services performed by national entities), the beneficiaries and other institutions and/or entities concerned with the implementation of the project, and any additional requirements or other conditionalities imposed by the Commission.

In the case of amendment of information: if the Commission considers the proposed changes to be contrary to the objective of the project or to impact upon its eligibility in any other way, the Commission may at its discretion refer the change for the opinion of the NDAP Committee. The National Agency will be so informed.

5.4.3 Important information for implementation of the project

| | |
|----------|-----------------|
| Revision | National Agency |
|----------|-----------------|

This information is used to enhance the comprehensibility of the project and provide the National Agency with a basis for conducting the required monitoring. Changes to information in this category are under the control of the National Agency concerned but must be notified to the Commission. It includes:

- activities of any other Union programme or other donors in the same field;
- any interactions with, or dependencies on, other relevant projects;
- uncertainties and risks foreseen for implementing the project;
- conditionalities imposed by the National Agency;
- the project implementation plan, including critical path, key and intermediate results;
- requirements for the reporting and monitoring of progress;
- the visibility measures showing the use of Union funding within the project;
- coordinates of bodies responsible for implementation of the project.

5.4.4 Amendment of financial information

The rules for amendment of the financial information are quantitative:

- Major amendments, where these concern an overall increase in the original approved project budget, or decrease due to the cancellation of activities or of other-source funding, that is both greater than 30% of the said budget and greater than EUR 1 million, or redistribution between the

original approved budget lines both greater than 50% of the approved budget breakdown and greater than EUR 1 million, will require approval of the Commission, when appropriate following consultation of the NDAP Committee.

- Significant amendments, where these concern an overall increase in the original approved project budget, or decrease due to the cancellation of activities or of other-source funding, that is both greater than 15% of the said budget and greater than EUR 500 000, or redistribution between the original approved budget lines both greater than 25% of the approved budget breakdown and greater than EUR 500 000, will be approved by the Commission only.
- Minor amendments: The Implementing Bodies must, when making any minor amendments to the financial information not covered by the above provisions, immediately inform the Commission of the amendments made by the submittal of an updated PIF.

In this way, large percentage changes in project financial data that might bring into question the viability or justification of the project require approval by the EC – when appropriate following consultation of the NDAP Committee – but only if their absolute value exceeds the given thresholds. All amendments to projects must be brought to the attention of the EC.

Note that the rules on total budget apply to the sum total of all project funding sources (i.e. in Annex II the total of the figures in box 1.11 + box 1.13 of the Standard Cover Sheet). Where there is an increase in total budget, or decrease due to the cancellation of activities, the ratio between the contributions shown in boxes 1.11 and 1.13 must normally be preserved. If it is not, the change in ratio will be reflected as a change in Budget Breakdown and subject to the rules thereof.

The rules are summarised in the table below.

| Amendment | TOTAL Budget | Budget Breakdown | Approval by: |
|--------------------|----------------------------|----------------------------|------------------------|
| MAJOR | > 30% AND > 1 MEUR | > 50% AND > 1 MEUR | EC* |
| SIGNIFICANT | > 15% AND > 0.5 MEUR | > 25% AND > 0.5 MEUR | EC |
| MINOR | All other amendments | All other amendments | National Agency |

* In the case of major amendments, the Commission shall seek the opinion of the NDAP.

Further detail on the calculation of the impact on budget breakdown is presented in the Table 4 notes (see Annex II).

5.4.5 Procedure for submittal of PIF amendments

In the case of amendments to PIFs requiring approval by the Commission referred to in 5.4.2 and significant or major financial amendments referred to in 5.4.4, a proposed amended PIF must be submitted to the Commission in hard copy under covering letter of the National Agency, wherein shall be explained the reasons for requesting the amendment. The Commission will accept electronic copies of the PIFs subject to subsequent provision in hard copy. Where there are multiple revisions to the text of the PIF, the proposed amended PIF shall be accompanied by a detailed indication of insertions and deletions (e.g. as “track changes” or equivalent).

The Commission will issue to the National Agency an acknowledgement of receipt within a period of 15 calendar days from receiving the request (unless a substantive reply can be sent within that period). The Commission shall deliver its decision in writing to the National Agency on approval or rejection of the request normally within a period of 30 calendar days from receipt. However, if the request cannot, because of the complexity of the matters which it raises, be decided upon within this time-limit, the Commission shall inform the National Agency thereof as soon as possible and in all cases within the 30 day time-limit, setting the timescale in which the decision will be taken.

In the case of amendments to the PIF not requiring approval by the Commission referred to in 5.4.3 and minor financial amendments referred to in 5.4.4, the National Agency must notify the Commission before any action is taken by providing the amended PIF. Such notification may, with the agreement of the Commission, be provided electronically. The Commission may raise objections within 15 calendar days from receipt of the notification. After expiry of that deadline, the Commission is deemed to have no objections to the amendment.

5.5. Contingencies within projects

Unless otherwise agreed with the Commission and set out in the PIF, the following restrictions shall apply to the use of contingencies within projects:

The budget indicated in the PIF shall be the justified estimate of the base cost in Euro of implementing the foreseen activities only. It shall exclude all provisions and contingencies. The European Commission shall be informed in the project identification documentation of the intention to conclude contracts in currencies other than Euro.

After the award of all foreseen contracts required to implement a project in full, the National Agency shall ensure by amendment of the project identification documentation within 20 working days, that any excess of the project budget⁵ over the total commitment to contracts does not exceed the committed amount by more than 5% or 100,000 EUR (whichever is the lesser).

5.6. Cancellation of projects

The Programme Coordinator may, by written instruction to the respective National Agency, require that no further action is to be taken in respect of the implementation of a specific objective of the CPD or in respect of a specific beneficiary. In these circumstances, the National Agency shall refrain from submitting new projects in order to fulfil the respective CPD objective or for the beneficiary concerned and shall, by amendment of any project identification documentation approved under the relevant CPD objective, according to these present guidelines, request the approval of the

⁵ This implies that when all contracts are signed, the total budgeted PIF amount must be reduced to the sum of the contracts signed. In case of cost overruns during the project implementation phase, an explicit request for increase needs to be made at the moment this would materialise.

Commission for the cancellation of activities that are not yet put into effect, duly noting that it is doing so at the instruction of the Programme Coordinator.

The cancellation of projects for which the PIF has been approved will otherwise follow the procedure for significant amendments (see 5.4.4).

The European Commission may withdraw its approval of projects, or parts thereof, that have not yet been put into effect where it considers the implementation to be unsatisfactory. The Commission shall duly inform the Programme Coordinator, the National Agency, and the members of the NDAP of such a decision on the withdrawal of approval duly justifying the reasoning for its action.

6. GUIDELINES FOR THE ELABORATION AND AMENDMENT OF PROJECT IDENTIFICATION DOCUMENTATION (EBRD)

6.1. Introduction

The respective Council Regulations for the decommissioning-related programmes of Bohunice and Ignalina allow for the possibility of Union funding either as contributions to an International Decommissioning Support Fund (IDSF) managed by the EBRD or through a national agency under *centralised indirect management* (Article 54(2) of the Financial Regulation) – where for Kozloduy the Council Regulation foresees only the ISDF route. All measures under these programmes are required to be examined by a committee of the Member States – the so-called Nuclear Decommissioning Assistance Programme (NDAP) Committee. This makes it essential to harmonise the documentation used for all projects in all three countries concerned within the same funding route. A standard way of identifying projects and their presentation shall be determined. The structure of the set of documentation that together forms the project identification documentation (PD) can be found in annex III.

In general this documentation is provided through the Assembly of Contributors for each of the funds. However the services may decide to provide the documentation bilaterally to the Commission in its role as main contributor to the IDSFs and Chair of the Assemblies.

6.2. Content of the project identification documentation (PD)

The EBRD provides the EC as a member of the Assemblies with comprehensive information on project selection and implementation in line with the Rules of the relevant Fund and decisions by the Assembly. The information provided is contained in several types of documents depending on the project status. These guidelines do not aim to impose additional obligations on the Bank but help to clarify the provided documentation conform to Article 15(3) and (4) of the Procedural Decision:

- the basic information provided on the standard cover sheet;
- the project description including the technical justification, the financial data / cost estimation figures and all essential information determining the eligibility of the project;
- the project implementation plan including the scope of the project, its interfaces with other projects and when and where applicable the critical path of the overall decommissioning plan against which progress will be monitored;
- the detailed financial information (cost break down) with explanatory notes

- the full project schedule (on first level), including main tasks and key intermediate milestones as well as the critical path; and
- the main deliverables of the project.

The project identification documentation follows the lifecycle of each project. Once a project has been identified as a possible candidate for grant funding or co-funding the recipient produces a project identification sheet (PIS). This document which contains a project description at conceptual level as well as tentative cost and schedule estimates once agreed by the EBRD is provided to the EC as a member of the Assembly for early information and agreement in principle to proceed with project development. At this stage project proposals can be assessed against overall strategy documents including CPD. Progress with project development (technical specifications, tender process) is reported in the work programme. Once sufficiently advanced, the Bank will propose a draft Grant Agreement to the Assembly and the EC as a member of the Assembly. Approval of the Grant Agreement by the Assembly allocates a specific grant amount for the implementation of the project (set of projects). Schedule 2 of the Grant Agreement provides an update of the PIS including top level schedule estimates. Projects are implemented through contracts placed by the recipient in line with EBRD procurement rules. Actual cost and schedule are functions of market response and contract implementation. The EBRD informs the Assembly including EC on project implementation through Assembly presentations, the work programme and direct communication if required. The work programme will highlight any major project developments in the body of the report, such as potential delays and cost increase, and annex 1 of the work programme provides an overview of all key grant and contract data. In addition to the formal project reporting the Bank provides any related available information such as sector studies and strategy documents.

The structure of the set of documentation that together forms the PD is to be found in annex III.

6.3. Submittal/approval of the project identification documentation

Differentiation on a procedural level should be made between PD that are formally approved by the Assembly (Grant Agreements and work programmes), and PD that are not formally approved by the Assembly (PIS) but only submitted for information giving rise to the non-objection of the initiation of a project - but subject to later update and approval in the PD (Grant Agreement). Headings 6.3 and 6.4 do not include procedures for submittal of PIS.

In line with the Commission Decision C(2010) 6885 on Programming & Monitoring Procedures, adopted on 08/10/2010, proposed PDs must be submitted to the European Commission (henceforth "Commission" or "EC") in hard copy under covering letter of the Bank. All duly approved (final) PDs submitted to the Commission must be in line with the latest CPD. It is the recipient's obligation to ensure consistency with CPD. Although PDs may be submitted to the Commission individually, it is preferable that the PDs be submitted in batches for Commission approval. Submittal of PDs to the Commission electronically is acceptable subject to subsequent provision in hard copy.

The Commission will issue to the Bank an acknowledgement of receipt within a period of 14 calendar days from receiving the proposed PD(s) in hard copy. The Commission shall appraise the PD(s) in consultation with the NDAP Committee taking account, if necessary, of the advice of external experts in order to confirm that the PD(s) provide(s) an adequate basis for the implementation of the project(s) and comply with:

- (1) Union legislation

- (2) the principle of sound financial management
- (3) the respective Combined Programming Document, and
- (4) these present guidelines

Where the Commission considers that the proposed PD does not fully comply with (1) to (4) above, it will request the Bank to initiate an appropriate amendment. Each PD will be considered individually: approval or non-approval of one PD will in no way affect the approval of any other PD. The Commission will deliver its decision on approval, and any conditionalities imposed thereon, as member of the Assembly of Contributors in line with the Fund Rules. It might be indicated in specific cases to deliver its opinion directly in writing to the EBRD.

However, if approval of the PD cannot, because of the complexity of the matters which it raises, be decided upon within this time-limit, or if the Commission needs to consult the NDAP Committee, the Commission will inform the Bank thereof as soon as possible and in all cases within the 14 day time-limit, setting the timescale in which the decision will be taken.

6.4. Amendment of the project identification documentation

In order to be able to ensure sound financial management of the EU funds, the main data of the project identification documentation should be kept up to date at all times by the beneficiary and the Bank. In the course of the project implementation it may therefore be necessary to amend the PD occasionally or even regularly in order to reflect changes to the main data such as technical scope, timeline, financial data and any other relevant information. Where it becomes necessary or advisable to deviate from the provisions of the formally approved PD, the Bank shall oversee the amendment thereof.

An amendment shall be made to the PD before any changes to tenders, ongoing contracts, etc.. In all cases, it is the responsibility of the beneficiary to perform the amendment (under the supervision and guidance of the Bank), and the responsibility of the Bank to ensure that the amendments are of the required quality and to submit the PD to the Commission for approval or for information as appropriate, via the Assembly of Contributors or directly in writing.

6.4.1 Basic information referencing the programming procedure

| | |
|----------|---------------|
| Revision | Not amendable |
|----------|---------------|

This information cross-references to the Combined Programming Document (CPD) in force at the time of approval or amendment. It includes information indicating the eligible sector, objective and implementing route as provided in the CPD.

This information allows the Commission and the NDAP Committee to confirm the link between the declared objective in the CPD and the individual PD. Once the PD has been approved, this information is normally not amendable (note that in some cases this information may be amendable if the underlying Financing Decision/CPD is amended beforehand).

6.4.2 Essential information determining project eligibility

| | |
|----------|----|
| Revision | EC |
|----------|----|

This information is used to judge whether the project is consistent with the declared objective in the approved CPD, the principles of sound financial management and Union legislation, and provides an adequate technical and financial basis for implementing the project. As such, it primarily comprises the comprehensible technical description of the project purpose, justification of the technical

approach (including financial justification if required), scope of the project, project schedule, milestones, main progress indicators and main deliverables of the project.

Although less likely to have an impact on project eligibility, this category of information also includes the implementation methodology, the beneficiaries and other institutions and/or entities concerned with the implementation of the project, and any additional requirements or other conditionalities imposed by the Commission.

In the case of amendment of information: if the Commission considers the proposed changes to be contrary to the objective of the project or to impact upon its eligibility in any other way, the Commission may at its discretion refer the change for the opinion of the NDAP Committee. The Bank will be so informed.

6.4.3 Important information for implementation of the project

| | |
|----------|------|
| Revision | Bank |
|----------|------|

This information is used to enhance the comprehensibility of the project and provide the Bank with a basis for conducting the required monitoring. Changes to information in this category are under the control of the Bank concerned but must be notified to the Commission. It includes:

- activities of any other Union programme or other donors in the same field;
- any interactions with, or dependencies on, other relevant projects;
- uncertainties and risks foreseen for implementing the project;
- critical path (in view of the overall decommissioning plan);
- conditionalities imposed by the Bank;
- the project implementation plan, including key and intermediate results;
- requirements for the reporting and monitoring of progress, including key indicators;
- the visibility measures showing the use of Union funding within the project;
- coordinates of bodies responsible for implementation of the project.

6.4.4 Amendment of financial information

The rules for amendment of the financial information are quantitative:

- **Major amendments**, where these concern an overall increase in the original approved project cost allocation, or decrease due to the cancellation of activities or of other-source funding, that is both greater than 30% of the said cost allocation and greater than EUR 1 million, or substantial and material redistribution between the original approved cost allocation lines, will require approval of the Commission in the Assembly of Contributors, when appropriate following consultation of the NDAP Committee.
- **Significant amendments**, where these concern an overall increase in the original approved project cost allocation, or decrease due to the cancellation of activities or of other-source funding, that is both greater than 15% of the said cost allocation and greater than EUR 500 000, will be approved by the Commission in the Assembly of Contributors.

- **Minor amendments:** The Bank must, when making any minor amendments to the financial information not covered by the above provisions, immediately inform the Commission via the Assembly of Contributors or directly of the amendments made by the submittal of an updated PD.

In this way, large percentage changes in project financial data that might bring into question the viability or justification of the project require approval by the EC, when appropriate following consultation of the NDAP Committee – but only if their absolute value exceeds the given thresholds.

All significant and material amendments will be brought to the attention of the Commission upfront.

The rules are summarised in the table below.

| Amendment | TOTAL Cost Allocation | Cost Allocation Breakdown | Approval by: |
|--------------------|------------------------------|--|---------------------|
| MAJOR | > 30% AND > 1 MEUR | Substantial And Material | EC* |
| SIGNIFICANT | > 15% AND > 0.5 MEUR | | EC |
| MINOR | All other amendments | All other amendments | Bank |

* In the case of major amendments, the Commission shall seek the opinion of the NDAP Committee.

6.4.5 Procedure for submittal of PD amendments

In the case of amendments to PDs requiring approval by the Commission referred to in 6.4.2 and significant or major financial amendments referred to in 6.4.4, a proposed amended PD must be submitted to the Commission.

The Commission will issue to the Bank an acknowledgement of receipt within a period of 14 calendar days from receiving the request (unless a substantive reply can be sent within that period). The Commission shall deliver its decision through the Assembly of Contributors to the Bank on approval or rejection of the request normally within a period of 14 calendar days from receipt. However, if the request cannot, because of the complexity of the matters which it raises, be decided upon within this time-limit, or if the Commission needs to consult the NDAP Committee, the Commission shall inform the Bank thereof as soon as possible and in all cases within the 14 day time-limit, setting the timescale in which the decision will be taken.

In the case of amendments to the PD not requiring approval by the Commission referred to in 6.4.3 and minor financial amendments referred to in 6.4.4, the Bank shall notify the Commission in a timely manner before any action is taken by providing the amended information, either directly or through the Assembly of Contributors.

6.5. Contingencies within projects and grant agreements

In case a project includes a contingency, the contingency shall be seen as a means of coping with likely but unquantifiable financial events, which do not impact or alter the project essentials or scope. An example would be exchange rate fluctuations for contracts concluded in foreign currency, or the fluctuations in the underlying commodities price when this is explicitly foreseen in the contract. To be noted is that the contingency is not to be seen as part of the baseline cost of a project but as an additional reasonable margin that can be used for likely but unquantifiable events that are justified at outset. Therefore it will not be used for making any significant and material changes to the Grant agreements and projects; nor for the addition of new projects to existing grant agreements without prior approval in the Assembly of Contributors.

In general, rules for use and amendment of contingencies need to follow the rules for amendment of financial information as described above.

6.6. Cancellation of projects

The cancellation of projects for which the PD has been approved will be subject to discussion in the Assembly of Contributors.

7. GUIDELINES FOR MONITORING (NATIONAL AGENCY)

7.1. Introduction

The monitoring principles are described in article 18 of Commission Decision C(2010) 6885 of 08 October 2010.

In line with Article 22(3) of the above mentioned Commission Decision on Programming & Monitoring Procedures (henceforth “the Procedures Decision”) these guidelines clarify the requirements for Monitoring Reports under the decommissioning-related programmes involving management by a National Agency. They describe the reporting obligations placed on the National Agency and, by extension, organisations which are the beneficiaries of, or otherwise manage, the implementation of projects funded under the respective programmes.

The purpose of the Monitoring Report is to inform the European Commission and national authorities (in particular the Programme Coordinator and Financial Coordinator) of the overall technical and financial and status of the programme, to measure the progress made towards pre-defined targets, to highlight achievements and to draw attention to any problems arising.

As required under the Procedures Decision, a Monitoring Report must be prepared by each Implementing Body to which the fulfilment of objectives has been assigned in an annual Combined Programming Document. The Monitoring Reports, after Commission approval (and approval of the Monitoring Committee where this has been established) will be forwarded by the Commission to the Nuclear Decommissioning Assistance Programme (NDAP) Committee for information.

7.2. Monitoring Committee

The Monitoring Committee (MC) is established under Article 18 of the Procedures Decision. It is co-chaired by the Programme Coordinator and the representative of the European Commission. The other members of the MC are representatives of those organisations which have a formal role in

managing the programme: the Financial Coordinator and the National Agency – the EBRD is invited as an observer. Meetings of the MC are held on a half-yearly basis normally at the end of the 1st and 3rd quarter.

Under Article 23 of the Procedures Decision, for Lithuania the MC incorporates the former 2004-2006 Programmed Instrument Monitoring Committee; hence, all projects within the scope of the European Union funding in the national funding route of Lithuania are subject to scrutiny by the Ignalina Programme Monitoring Committee.

7.3. Monitoring Reports

The Procedures Decision requires a Monitoring Report to be prepared routinely for discussion at a half-yearly Monitoring Committee (additional *ad hoc* reports may exceptionally be requested by the Committee). The Monitoring Report for projects implemented by *centralised indirect* management is compiled by the National Agency on the basis of contributions from the nominated individual representing the beneficiary or supervisory institutions⁶ as set out in the National Agency Operating Agreement (henceforth the “Senior Project Officer” – SPO). Financial implementation data is provided by the National Agency itself. The Monitoring Report will be provided for approval to the Monitoring Committee members.

These guidelines present the minimum requirements placed on SPOs for monitoring.

Note: The monitoring requirements for any remaining projects under the 2004-2006 Programmed Instrument of Lithuania are not included. The Programmed Instrument Monitoring Report is compiled separately by the Ministry of Energy according to the procedures of the former PHARE/Transition Facility.

7.4. Minimum Requirements

7.4.1. Content of the Monitoring Report

The Monitoring Report shall be prepared in English and shall comprise:

- a financial and technical overview of the respective programme or part-programme managed, provided by the National Agency; and
- contributions by organisations which are the beneficiaries or supervisory institutions, the implementation of individual projects funded under the respective programme.

The required content is defined under Article 22 of the Procedures Decision. Each Monitoring Report shall include the following information in order to obtain a clear view of the implementation of measures under the respective decommissioning-related programme:

- the progress made in achieving the objectives of measures under the respective decommissioning-related programme as set out in the corresponding combined programming documents;

⁶ Terminology from the National Agency Operating Agreement – annex 1 item 3.2 - The beneficiary is the recipient of the funding for a given project (also the executing entity); the supervisory institution is the body which shall control the correct completion of the projects.

- the financial implementation of the respective decommissioning-related programme, detailing the status of the financing targets and indicative disbursement schedules provided in the corresponding Combined Programming Documents;
- the description of the status of concrete results of projects under the respective decommissioning-related programme as provided in the corresponding combined programming documents and specified in the project identification fiches;
- the description of activities performed during the monitoring period in respect of the implementation of measures under the respective decommissioning-related programme;
- the contractual and financial data on projects implemented in line with the project identification fiches;
- the visibility measures taken to provide information on and publicize the financial assistance under the respective decommissioning-related programme;
- the steps taken by the National Agency to implement any recommendations made by the respective Monitoring Committee;
- any problems occurring with regard to the implementation of measures under the respective decommissioning-related programme during the monitoring period;
- the measures and actions to be taken to address the occurring problems;
- the activities planned to implement the measures under the respective decommissioning-related programme during the next planned monitoring period.
- The National Agency shall be responsible for ensuring that that the Monitoring Report is of high quality in terms of presentation and content.

The National Agency may, at its discretion, establish more detailed guidance for contributions to the Monitoring Report from other organisations according to this requirement.

7.4.2. *Procedure*

Formal responsibility for providing a contribution to the Monitoring Report reports rests with the Senior Project Officer (SPO) of the organisation supervising the implementation of a grant or benefiting from the goods, works or services provided under a commercial contract. The SPO is indicated in the relevant Financing Agreement (commercially tendered projects) or Special Financing Agreement (grants).

The SPO, must prepare a contribution to each Monitoring Report on a half-yearly basis. The first contribution must be prepared for the Monitoring Report which follows the formal approval of the respective Project Identification Fiche by the European Commission. The SPO will continue to prepare such contributions until the project is completed and all payments have been made;

The half-yearly contributions are to cover the inclusive calendar periods: January ~ June (H1), and July ~ December (H2), and (unless otherwise specified in the relevant project financing agreement) must be submitted to the National Agency no more than 20 calendar days after the end of the period covered;

Contributions must be submitted electronically (in Microsoft Word editable format) to the National Agency. The National Agency may request justified changes in the contribution and shall notify the SPO electronically of the changes required;

The National Agency will notify the SPO electronically of the acceptance of the contribution for inclusion into the report.

7.4.3. Contributions by beneficiary or supervisory institutions

All contributions must be prepared in English according to the template presented in annex to these guidelines;

Contributions must be of a high-quality in terms of presentation and content. The National Agency is responsible for determining whether the contribution has met the required standard and for informing the SPO of any improvements required;

Contributions shall be clear and concise. They must contain or reference all information essential to the comprehension of their significant content. Abbreviations and acronyms must be explained and/or tabulated. Repetitious and irrelevant information shall be avoided;

Where the project is divided into subprojects, every subproject must be clearly indicated in the report and the relevant status/progress detailed as described below. If no progress has been made on a given subproject, this must also be clearly indicated and explained.

The contribution must include the following:

- A short synopsis of the overall objective and project purpose as set out in the programming documents with refinements as deemed necessary;
- Approved modifications made to the purpose of the project, key results or budget;
- (In tabular form) Assumptions, pre-conditions and conditionalities as defined in the programming documentation and their respective realisation and fulfilment;
- A summary of the current status of activities covered by the project including a clear and detailed account of progress over the period;
- Main problems and corrective actions: Detailed consideration of problems which have impaired progress and risks to future progress.

The report shall present:

- where these problems/risks are due to factors under the control of the project: measures put in place, or to be put in place, to address the problems/risks and to rectify and recover the situation;
- where these problems/risks are beyond the control of the project: considered and constructive recommendations to the responsible authorities as to how the problems/risks may be mitigated or overcome.
- All potentially critical items that may affect project completion by the end date must be identified;

- Where the contribution to the Monitoring Report is the final contribution regarding a particular project, the SPO shall instead include:
 - A summary of the completion of the different tasks/subprojects, assessing and quantifying to what extent the objectives of the individual tasks/subprojects have been met and giving the origin and nature of failures (if any);
 - An assessment of the strengths and weaknesses of the project, the effectiveness and efficiency of project implementation and any lessons learnt.
- Visibility measures implemented in line with the programming documents;
- An update of the Project Implementation Plan showing:
 - the state of achievement of the milestone or metric foreseen; and
 - the date (mm/yyyy) on which the milestone was achieved; or
 - if appropriate, a revised forecast for the date of achievement of the milestone.
- Where milestones or metrics have not been achieved as foreseen in the PIF, an explanation must be provided in the text.

7.4.4. *Errors and omissions*

Following discussion at the Monitoring Committee, significant errors or omissions in the presentation of implementation status will be corrected by reissuing the Monitoring Report for the formal acceptance of the Committee.

7.5. **Template**

The template for the monitoring report covering the national channel is attached in Annex IV.

8. **GUIDELINES FOR MONITORING (EBRD)**

8.1. **Introduction**

The monitoring principles are described in article 18 of Commission Decision C(2010) 6885 of 8 October 2010.

In order to monitor correctly the progress of the overall decommissioning programmes, it is necessary to establish a global view. Therefore the Commission deems it necessary, when several implementation channels exist under a programme, to have representatives of the other implementation channels present at each monitoring committee as observer.

8.2. **Principles**

Each monitoring report shall include the following information in order to present a clear view of the implementation of measures under the respective decommissioning-related programme, including the source (author) of the latest information:

- the progress made in achieving the objectives under the respective decommissioning-related programme as set out in the corresponding combined programming documents;
- the financial implementation of the respective decommissioning-related programme;
- the description of the status of concrete results of projects under the respective decommissioning-related programme as provided in the objectives of the corresponding combined programming documents and specified in the project identification documentation;
- the description of activities performed during the monitoring period in respect of the implementation of measures under the respective decommissioning-related programme;
- the contractual and financial data on projects implemented in line with the project identification documentation;
- the visibility measures taken to provide information on and publicize the Union financial assistance under the respective decommissioning-related programme;
- the steps taken by the Implementing Bodies to implement the recommendations made by the respective committee for monitoring;
- any problems occurring with regard to the implementation of measures under the respective decommissioning-related programme during the monitoring period;
- the measures and actions to be taken to address the occurring problems;
- the activities planned to implement the measures under the respective decommissioning-related programme during the next planned monitoring period.

8.3. Documents in practice

The monitoring shall be performed through the Assembly of Contributors.

The work programme and its associated annexes form the basis of the monitoring activity.

In order to provide a full monitoring according to existing best practices, it may become necessary to provide a set of several documents that together may constitute the monitoring report. The documents should indicate whether the source is the beneficiary or the Bank.

The template for the monitoring report covering the EBRD route is attached in Annex V.

Annex I CPD (Ministries)

| | |
|-----|---------------------------------------|
| F | Required content |
| AAa | Required formatting |
| P | Information with special requirements |

EXAMPLE Combined Programming Document

< Bohunice / Ignalina / Kozloduy > Programme 2010

Ref Number: CPD.2010.01 Draft 01

| | |
|---|--|
| F | <p>The reference number includes the year and version number starting at 01. The version number is incremented only in the case of amendments occurring after the Commission Decision including the relevant CPD has been adopted. In the case of such amendments after adoption, the text of the originally approved document shall <u>not</u> be changed. For each amendment, an additional sheet or sheets shall be attached. Amendment of the CPD will require a further Commission Decision and so should be a rare occurrence.</p> <p>The <i>Draft</i> number represents the numbering system to be used before approval. The draft number will start at 01 and culminate in <i>FINAL</i> for that formally submitted to the Commission.</p> |
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| | |
|-----|---|
| AAa | <p>Text: Times New Roman (12 pt) fully justified</p> <p>Headings: as shown</p> <p>Bullet points: Times New Roman (12 pt) left justified</p> <p>Paragraph: Line spacing single / paragraph spacing 6 pt</p> <p>Footnotes: (if any) Times New Roman (8 pt)</p> <p>Objective headings: Ariel Bold (10 pt) left justified</p> |
|-----|---|

1. INTRODUCTION

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| F | <p>A brief general introduction focused on general status in the sectors affected by the programme and significant external factors at a national level (e.g. major changes of policy, organisational restructuring, new</p> |
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| | |
|--|---|
| | legislation). (Not normally more than 500 words) |
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2. UNDERLYING LONG-TERM STRATEGY

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| P | <p>As noted in Section B, the CPD is not intended to set the national-level strategy for the Programme concerned. It is intended to explain and put in context the existing strategy derived from national legislation, technical and financial planning documents.</p> <p>The national system for approval (if required) of the CPD before its submittal to the Commission is a matter for the Member State concerned. However, its forwarding to the Commission must be through the nominated Programme Coordinator.</p> |
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| | |
|---|---|
| F | <p>In this context, <i>Underlying Long-term Strategy</i> refers to planning extending to the envisaged completion of decommissioning to the defined end point and corresponding restructuring of the energy sector.</p> <p>This will inevitably be an outline plan. It should be included to illustrate how the funding under the present Perspective contributes to the long-term plan.</p> <p>Particular emphasis should be paid to referencing the underlying strategy documents, the legislative and technical framework.</p> |
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3. PERSPECTIVE DEVELOPMENT

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| P | <p>In the broadest terms, the Perspective should be treated as though it were a very large, long macro-project making use of the 2007~2013 allocated funding; the Perspective should have targets, outcomes, milestones, a disbursement schedule, etc., in the manner of a project. This will serve to ensure that the programme as a whole is meeting its targets as the Perspective progresses. The technical targets should be broken down into <i>decommissioning</i> and <i>energy sector</i> and related <i>sub sectors</i> as defined in table 1.</p> |
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3.1. Decommissioning

3.1.1. Target schedule

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| F | <p>Reference should be made to approved national-level and, where possible, more detailed planning documents (e.g. Final Decommissioning Plan).</p> <p>As the Perspective progresses, attention should be drawn to aspects of the planning that have changed or been notably refined. This may refer</p> |
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| | |
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| | <p>in a general manner to outcomes of, or delays in, the programme but <u>should not</u> be a progress report.</p> <p>The Perspective Planning should, where possible, be supported with outline Gantt-style charts indicating the above-mentioned key milestones. In subsequent CPDs, the charts should also illustrate how the targets and milestones have been changed in the course of the Perspective as compared to the initial baseline chart.</p> <p>(Normally 300~500 words)</p> |
|--|---|

| | |
|-----|---|
| AAA | <p>Figures and charts should normally be included in the flow of text, numbered according to the order in which they are referenced as:</p> <p>Fig. 1. Timescale for Unit 1 dismantling activities</p> <p>Figures which cannot be accommodated in the text should be appended to the document appearing <u>before</u> the tables.</p> |
|-----|---|

3.1.2. Perspective milestones

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|---|---|
| F | <p>These milestones should be explained and then presented in a quantifiable manner in Table 2. Typical examples might include targets for: completion of fuel unloading, buildings completely dismantled, replacement generating capacity or emission-levels. These targets should allow progress to be monitored on, at least, an annual basis.</p> <p>(Normally 200~300 words)</p> |
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| | |
|-----|--|
| AAA | <p>Figures and charts should normally be included in the flow of text, numbered according to the order in which they are referenced as:</p> <p>Fig. 1. Timescale for Unit 1 dismantling activities</p> <p>Figures which cannot be accommodated in the text should be appended to the document appearing before the tables.</p> |
|-----|--|

3.2. Energy sector

See explanation of 3.1

3.3. Financial Planning

| | |
|---|--|
| F | <p>The <i>Financial Planning</i> should present an approximate breakdown of the funding of each sector and subsector from the allocated funds as defined in Table 1. This information should be presented according to the template of Table 3. These figures will also be monitored in the half-yearly Monitoring Report.</p> |
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| | The <i>Financial planning</i> must also include the plan for the allocation of funding to the respective IDSF and NA routes (where appropriate). Table 4 must show past and current planned division of funding between the implementing bodies (where a NA is in place). |
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4. PROGRAMME-STAGE PLANNING

| | |
|---|---|
| F | The <i>Programme-stage Planning</i> will constitute the link between the <i>Perspective Development</i> and <i>Objectives for the subsector</i> , explaining how and why this programme stage has concentrated on specific sectors and objectives. Note that this is not referred to as ‘annual planning’ as the measures under the programme, although planned in this year, may be implemented later. |
|---|---|

4.1. Sector < X > < title >

| | |
|---|--|
| F | Where < X > is the Sector 1~3 listed in Table 1 with its corresponding title. Every sector in Table 1 will be considered. If there are no objectives in the entire sector then this shall be noted and explained, and the subsections on <i>Current status</i> , <i>Sectoral planning</i> and <i>Objectives for subsector</i> may be omitted. (Normally 100~200 words) |
|---|--|

4.1.1. Current status

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| F | A brief general description of the status in the relevant Sector providing an introduction for the <i>Sectoral Planning</i> . Previous support should be mentioned but not on a project-by-project basis. (Note that project-by-project reporting will be contained in the specific project progress reports and in the Monitoring Report – the CPD is not an appropriate document for this). (Normally 200~300 words) |
|---|---|

4.1.2. Sectoral planning

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| F | An explanation of the factors that have given rise to the specific objectives for this sector in the present CPD. This should expand on the information provided in Section 4. (Normally 100~200 words) |
|---|--|

4.1.3. Objectives for Subsector < XX >: < title >

| | |
|---|---|
| F | Where < XX > is the Subsector 1A~3B listed in Table 1 with its corresponding title. |
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|--|--|
| | Every subsector in Table 1 will be considered. If there are no objectives in the subsector then this shall be noted and explained. |
|--|--|

| | |
|-----|--|
| AAA | <p>Objective Layout:</p> <p>Objectives should be presented for each subsector with the most recent first. A compliant document would have Subsector 1B objectives in the following order:</p> <p>1B.10/01, 1B.09/01, 1B.09/02, 1B.08/01</p> <p>Objective header format:</p> <p>Font: Ariel (10pt / bold) left justified</p> <p>Table:</p> <p>Colour coding:</p> <p>NEW (Light yellow / RGB 255:255:153)</p> <p>AMENDED and CONTINUING (Clear)</p> <p>ELABORATED and WITHDRAWN (Grey 10% / RGB 230:230:230)</p> |
|-----|--|

| | |
|-----------------------|-----------|
| Objective <XX.yy/xx > | < Title > |
| Implementation: <IB> | |
| Status: <STATUS> | |

| | |
|---|--|
| F | <p>Objectives should be presented with a header as shown, where < XX > is the <i>Subsector</i> as shown in Table 1, < yy > is the programming year (07~13 according to the year in which the objective was first included), and < xx > is the objective number <u>within this subsector</u> starting at 01 followed by a brief title.</p> <p>Within each subsector included in the CPD, the specific objectives shall be numbered. The subsector/Objective entry will therefore have the example form: 2C.07/02 – representing subsector 2C (on enhancing security of energy supply), the year 2007, and Objective number 2. This information will be required by the NDAP Committee in order to assess compliance of projects submitted to achieve this objective.</p> <p>< IB > <i>Implementing Body</i> is either “IDSF” or “NA” (<i>National Agency</i>). Each objective may have only <u>one</u> <i>Implementing Body</i>; in the</p> |
|---|--|

| | |
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| | <p>event that both implementing bodies undertake measures to achieve the same goal, a further <i>Objective</i> with more precise definition shall be created.</p> <p>The objectives will be described in such a way as to present clearly what is intended and make possible the subsequent assessment of the eligibility of projects. The description shall present the anticipated outcomes of the intervention; it should, however, not normally describe the means by which these are achieved or make reference to a specific project or contract. References to nationally used numbering systems may be included to assist CPD preparation; these will be disregarded by the Commission.</p> <p>The header for each objective shall also include the Status of the objective according to the table below.</p> <p>Status Meaning</p> <p>NEW The objective is appearing in the CPD for the first time</p> <p>AMENDED The objective has appeared in the previous CPD but has changed in the latest CPD. Objectives amended in the past but unchanged in the latest CPD are not marked in this way (see CONTINUING).</p> <p>CONTINUING The objective has appeared in the previous CPD(s) but may still give rise to new projects</p> <p>ELABORATED The objective has given rise to one or more projects but will no longer be the basis for the submittal of new projects.</p> <p>WITHDRAWN The objective was previously included but did not give rise to any projects and will no longer be the basis for the submittal of new projects.</p> <p>It is important to emphasise that this refers to the status of the objective for programming purposes and <u>not</u> to the status of projects deriving from the objective.</p> <p>(Normally 200~300 words)</p> |
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| | |
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| P | The budget for the specific objective should <u>not</u> be presented. It should be included in Tables 3 according to sector/subsector. |
|---|--|

Example:

| | |
|-----------------------|------------------------------------|
| Objective 1A.10/03 | Decontamination of heat exchangers |
| Implementation : IDSF | |

| | |
|-------------|--|
| Status: NEW | |
|-------------|--|

Description of the Objective

Related measures

| | |
|---|--|
| F | For each objective: Where there is funding in the same sector under another European Union programme that might be related to this objective, this <u>must</u> be mentioned. Where another source of funding may contribute to the achievement of the objective, this should also be noted but shall not be binding. |
|---|--|

Principal Responsible Institutions

| | |
|---|--|
| F | For each objective: A list of institutions that are potentially beneficiaries for projects under this objective. The list is not considered exhaustive – however, in the event that a different institution is subsequently nominated as a beneficiary in a project deriving from the objective, a full justification must be provided to the Commission/NDAP. |
|---|--|

4x - Sector 3 : Administration of the Programme

| | |
|---|--|
| P | Costs related to the administration of the programme are treated by the European Commission in a different manner from those of projects achieving the technical objectives. The administrative overhead includes expert assistance in the review of projects, tenders and other duties that may be considered the routine work of the Implementing Agencies. It does not include studies related either to technical (Sector 1 and 2) or administrative (Sector 3) matters which should be included in the respective sectors – the European Commission can advise on how to classify proposed activities. The following wording is recommended for the IDSF: |
|---|--|

4.1.4. Objectives for Subsector 3A : Administrative overheads of the programme

| | |
|----------------------|--|
| Objective 3A.07/01 | Administrative overheads of the EBRD related to the IDSF |
| Implementation: IDSF | |
| Status: Continuing | |

According to the rules of the IDSF, with the approval of the Assembly of Contributors, the EBRD is entitled to receive full compensation from the resources of the Fund for all costs and expenses incurred by it, including the fees and expenses of consultants engaged by the Manager, in connection with the Fund.

In practice, the EBRD prepares, on an annual basis, a detailed statement of the running costs of the fund. As these running costs are met by direct deduction from the Fund, to ensure compliance with

Article 5(3) of the Council Regulation on the Ignalina Programme, the above-mentioned statement will be presented to the European Commission.

This objective will not give rise to projects.

Objectives for Subsector 3B : Technical assistance in administration of the programme

| | |
|---|--|
| P | These objectives should be presented and justified in the same manner as the technical objectives of Sectors 1 and 2. This subsector specifically includes: studies related to administrative and organisation matters, evaluations of the programme, measures to promote the visibility of the programme. Studies related to Sectors 1 and 2 should be included in those sectors. |
|---|--|

5. FINANCING UNDER THE PROGRAMME

| | |
|---|--|
| F | A simple statement of the division of funding for the programme-stage considered between the IDSF and NA as presented in the relevant column of Table 4. |
|---|--|

Example:

< *Beneficiary Member State* > requests that, of the **xxx.xx MEUR** available in the <YEAR> annual programming stage, **xx.xx MEUR** be allocated under contribution agreements to the IDSF and **xx.xx MEUR** be allocated to the National Agency (see also Table 4).

| | |
|---|---|
| P | The division of funding should be rounded to the first decimal place in MEUR. |
|---|---|

Table 1 – Eligible Sectors and Subsectors under the Programme

| Decommissioning | |
|--|--|
| Subsector 1A | Activities directed at the dismantling of the NPP and the treatment and storage or release of all waste arising |
| Subsector 1B | Permanent disposal of radioactive (or toxic) waste |
| Subsector 1C | Support to plant personnel in maintaining a high level of operational safety prior to closure and during the decommissioning. |
| Subsector 1D | Technical assistance to regulatory bodies. |
| Energy Sector | |
| Subsector 2A | Environmental upgrading in line with the acquis of conventional production capacity |
| Subsector 2B | Upgrading and modernization of the energy production, transmission and distribution sectors |
| Subsector 2C | Enhancing the security of energy supply (includes any new generating capacity – other than through up-rating which is Sector 2B) |
| Subsector 2D | Improving energy efficiency (interpreted as reduction of final-user consumption – otherwise Sector 2B) |
| Administration of the Programme | |
| Subsector 3A | Administrative overheads of the programme |
| Subsector 3B | Technical assistance in administration of the programme |

| | |
|---|--|
| P | Slightly different wording is used in the basic acts of the three programmes. However, for consistency it has been found convenient to use a common format for presenting the eligible sectors and subsectors. Thus, for example, in the Kozloduy protocol the explicitly mentioned renewable energy resources would, as new generating capacity, be included in Subsector 2C above. The European Commission can advise on the categorisation of objectives if required. |
|---|--|

Table 2 – Key Programme Milestones occurring within the Timescale of the Financial Perspective

| Key Programme Milestones | | Outset | Revised | Movement | Movement to precedent CPD (months) | Achieved | Final movement to Outset after achievement |
|---------------------------|--|---------------|---------|--------------------|------------------------------------|----------|--|
| | | | <YEAR> | to outset (months) | | | |
| 1. Decommissioning | | Source | | | | | |
| 1.01 | | < Ref > | < | < | | | < |
| 1.02 | | | | | | | |
| ... | | | | | | | |
| 1.10 | | | | | | | |
| 2. Energy Sector | | Source | | | | | |
| 2.01 | | | | | | | |
| 2.02 | | | | | | | |
| ... | | | | | | | |
| 2.10 | | | | | | | |

| | |
|-----|--|
| F | <p>The purpose of the Perspective Milestones is to monitor the overall decommissioning process at a level above that of the projects and contracts. These milestones may indeed depend on the successful and timely outcome of several projects rather than one project alone. The milestones are selected to reflect the most important goals and watersheds, irrespective of possible changes in the detailed planning, with a representative distribution in timing. Where the milestone is subsequently revised, its movement is tracked in months relative both to the outset and latest revision (positive movements represent slippage, negative movements represent acceleration).</p> <p>Milestone “Outset” dates must NOT be changed in the course of the Perspective.</p> |
| AAA | <p>Font: Ariel 9pt / Header Row: Ariel Narrow 9pt / Header Row and Sectors in bold.</p> <p>Alignment: Vertical: Cell = centre // Horizontal: Header = centre / Numbers = Right (margin 6mm)</p> <p>Row height: 5mm “At least”</p> <p>Cell borders: Grey 25% (RGB 192:192:192) ½pt / Current year: Black 2.5pt</p> <p>Shading: Past years: Grey 5% / Current year: Clear / Future years: Grey 12.5% / Totals: Grey 20%</p> |

Table 3 – Funding by Sector and Subsector (%)

| Sector | | Allocated to Projects | | | | | |
|------------------------------------|--|-----------------------|--------------|------|------|------|------|
| | | 2008 | 2009 | 2010 | 2011 | 2012 | 2013 |
| 1. Decommissioning | | 54.0 | 54.0 | - | - | - | - |
| 1A | Dismantling and storage | 34.0 | 34.0 | - | - | - | - |
| 1B | Radioactive & toxic waste disposal | 14.0 | 14.0 | - | - | - | - |
| 1C | Support to personnel (social consequences) | 4.0 | 4.0 | - | - | - | - |
| 1D | Regulatory and administrative assistance | 2.0 | 2.0 | - | - | - | - |
| 2. Energy Sector | | 43.5 | 43.5 | - | - | - | - |
| 2A | Environmental upgrading | 4.0 | 4.0 | - | - | - | - |
| 2B | Modernisation of energy sector | 28.0 | 28.0 | - | - | - | - |
| 2C | Security of supply | 9.0 | 9.0 | - | - | - | - |
| 2D | Energy efficiency | 2.5 | 2.5 | - | - | - | - |
| 3. Programme Administration | | 2.5 | 2.5 | - | - | - | - |
| 3A | Administrative overheads of the programme | 1.5 | 1.5 | - | - | - | - |
| 3B | Technical assistance in programme admin. | 1.0 | 1.0 | - | - | - | - |
| TOTAL | | 100.0 | 100.0 | - | - | - | - |

| | |
|-----|---|
| F | <p>This table shows the percentage allocation of funding across the sectors/sub-sectors. The columns “<i>Allocated to Projects</i>” are calculated from the beginning of the programme up to a fixed cut-off date, being the 31 December of the year preceding the year for which the new CPD is being prepared (e.g. when preparing the CPD 2010, the cut-off date is 31 December 2009 and column 2009 will be completed with the corresponding data). To be considered are from the EC/NDAP approved projects of IDSF Grant Agreements and projects under implementation by the NA.</p> |
| AAA | <p>Font: Arial 9pt / Header Row, Sectors, Totals and Subtotals in bold.</p> <p>Alignment: Vertical: Cell = centre // Horizontal: Header = centre / Numbers = right (margin 3.5mm)</p> <p>Row height: 5mm “At least”</p> <p>Cell borders: Grey 25% (RGB 192:192:192) ½pt</p> <p>Shading: Past years: Clear / Future years: Grey 5% / Overall allocation: Grey 12.5% / Totals: Grey 20%</p> |

Table 4 – Planned allocation of funding between Implementing Agencies (MEUR) (in case a National Agency is in place)

| Implementing Agency | | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 | 2013 |
|---------------------|----------------------------|-----------------|-------------|-------------|-------------|------|------|------|
| 1. | National Agency | 10.0 | 10.0 | 5.0 | 10.0 | | | |
| 2. | International Support Fund | Decommissioning | 30.0 | 30.0 | 35.0 | 30.0 | | |
| TOTAL | | 40.0 | 40.0 | 40.0 | 40.0 | | | |

Example data only

| | |
|-----|--|
| F | The table must show the past, current year estimated division of funding between the implementing bodies (where a National Agency is in place). |
| AAA | <p>Font: Ariel 9pt / Header Row and Totals in bold.</p> <p>Alignment: Vertical: Cell = centre // Horizontal: Header = centre / Numbers = Right (margin 6mm)</p> <p>Row height: 9mm “Exactly”</p> <p>Cell borders: Grey 25% (RGB 192:192:192) ½pt / Current year: Black 2.5pt</p> <p>Shading: Past years: Grey 5% / Current year: Clear / Future years: Grey 12.5% / Totals: Grey 20%</p> |

Table 5 – Summary of objectives in the < YEAR > programming stage

| Sector/Subsector | | Objective | Implementation | National Ref. (if any) | Title | Beneficiary | Status |
|-------------------------------------|-------|-----------|-----------------|------------------------|-------|-------------|--------|
| Sector 1 Decommissioning | 1A.09 | 01 | IIDSF | B22 | | | |
| | | 02 | National Agency | | | | |
| | 1A.08 | 01 | National Agency | | | | |
| | | ... | | | | | |
| | 1B.09 | 01 | | | | | |
| | | 02 | | | | | |
| | 1C.08 | 01 | | | | | |
| | 1D.08 | 01 | | | | | |
| Sector 2 Energy | 2A.07 | | | | | | |
| | 2B.09 | | | | | | |
| | | | | | | | |
| Sector 3 Administration | 3A.07 | | | | | | |
| | 3B.07 | | | | | | |

Example data only.

Annex II PIF (CPMA)

Template

| | | | | | |
|--|--|--|---|---|-----------------|
| PROJECT IDENTIFICATION FICHE FOR THE DECOMMISSIONING ASSISTANCE PROGRAMME | | | | <PROGRAMME NAME> | |
| (Standard Cover Sheet) | | | | | |
| Project Title: ^(1.1) | Upgrading of Existing INPP Bituminised Waste Vaults into Repository | | | | |
| Short Title: ^(1.2) | Bit. Waste Vault Upgrade | | (max. 25 characters inc. spaces) | | |
| Reference No: ^(1.3) | BWV.01 | Funding Route: ^(1.4) | <input checked="" type="checkbox"/> National Agency <input type="checkbox"/> IDSF | | |
| Amendment No: ^(1.5) | Original | Amending: ^(1.6) | N/A | | |
| Sector/Objective: ^(1.7) | 1B.08 / 03 | Commission Decision: ^(1.8) | C(2010)9999 | | |
| Priority: ^(1.9) | 2 | Beneficiary: ^(1.10) | xxxx NPP | | |
| Requested funding: ^(1.11) | 10.000 | MEUR | Other funding Source(s): ^(1.12) | National Decommissioning Fund | |
| Other source funding: ^(1.13) | 2.000 | MEUR | | | |
| TOTAL | | 12.000 | MEUR | Contracting Authority: ^(1.14) | National Agency |
| Implementation: ^(1.15) | <input checked="" type="checkbox"/> Contract(s) <input type="checkbox"/> Grant | | Executing entity: ^(1.16) | N/A | |

| Project development | Name | Position | Date |
|---|----------------------------------|----------|------|
| Prepared: ^(1.17) | | | |
| Checked: ^(1.18) | | | |
| Agreed: ^(1.19) | <i>(Executing entity or N/A)</i> | | |
| Submitted to IB: ^(1.20) | <i>(Beneficiary)</i> | | |

| | | | |
|---|----------------------------|--|--|
| Submitted to EC: ^(1.21) | <i>(Implementing Body)</i> | | |
|---|----------------------------|--|--|

1. Basic Information (all to be conveyed on the standard cover sheet)

1.1. Title:

| | |
|----------|---------------|
| Revision | Not amendable |
|----------|---------------|

A short title indicating the key aspects of the project, normally not more than 10 words.

1.2. Short Title:

| | |
|----------|---------------|
| Revision | Not amendable |
|----------|---------------|

An abbreviated title of not more than 25 characters, including spaces, to be used in tables.

1.3. Ref Number:

| | |
|----------|---------------|
| Revision | Not amendable |
|----------|---------------|

The reference number of the project used by the National Agency.

In the examples shown, a three-character mnemonic abbreviation / two number code uniquely identifying the project.

[To be inserted by the National Agency]

1.4. Funding Route:

| | |
|----------|---------------|
| Revision | Not amendable |
|----------|---------------|

Either National Agency (NA) or International Decommissioning Support Fund (IDSF) as specified in the Combined Programming Document.

1.5. Amendment Number:

| | |
|----------|----------------|
| Revision | Not applicable |
|----------|----------------|

A sequential number starting at 01 indicating the number of times the fiche has been amended. The original fiche is to be marked "Original".

[To be inserted by the National Agency]

1.6. Amending:

| | |
|----------|----------------|
| Revision | Not applicable |
|----------|----------------|

Where box 1.5 is set at 01 or greater, a reference to the section of the PIF to be amended (e.g. 4.1 Budget Breakdown). For each amendment (including the proposed amendment), the Summary of Amendments sheet (see Table 4) must be updated and, where there is an impact on the overall budget or budget breakdown, its impact calculated.

1.7. Commission Decision reference:

| | |
|----------|---------------|
| Revision | Not amendable |
|----------|---------------|

The reference number of the Commission Decision that forms the basis for programming this project. Commission Decision references have the form C(2010)9999.

1.8. Sector/Objective:

| | |
|----------|---------------|
| Revision | Not amendable |
|----------|---------------|

The sector/objective number (example form: 2C.07/03) included in the Combined Programming Document which this project addresses. This information is required by the EC and NDAP Committee to see the link between the PIF and the CPD.

1.9. Priority

| | |
|----------|---------------|
| Revision | Not amendable |
|----------|---------------|

A direct reference to the priority assigned in the Combined Programming Document.

1.10. Beneficiary/Supervising institution

| | |
|----------|----|
| Revision | EC |
|----------|----|

For commercially tendered projects, this is the beneficiary which will receive the goods or services (and normally sign the contract). For direct grants this is the institution exercising supervisory control.

1.11. Requested funding

| | |
|----------|-----------------|
| Revision | Guidelines G4.4 |
|----------|-----------------|

The funding requested for the project. In the case of NA projects, this is the requested EU contribution. Financial data should, in all cases, be presented in MEUR (million Euro) to three decimal places.

1.12. Other funding source(s)

| | |
|----------|-------------------|
| Revision | Implementing Body |
|----------|-------------------|

The institution, organisation or mechanism contributing the other-source funding.

1.13. Other-source(s) funding

| | |
|----------|-----------------|
| Revision | Guidelines G4.4 |
|----------|-----------------|

The value of funding contributed from any other source not included in box 1.11. To be filled in only where the other funding source is contributing directly to the contract(s) under the project (i.e. where the funding is mixed at the contract level) – otherwise refer to “Parallel actions” in Section 6.2. Any other-source funding must be described in more detail in Section 4.3. Financial data should be presented in MEUR to three decimal places.

1.14. Contracting Authority

| | |
|----------|----|
| Revision | EC |
|----------|----|

In the case of projects implemented by external commercially-tendered contracts, the entity acting as Contracting Authority to conduct the procurement. In each project there can be only one Contracting Authority.

1.15. Implementation

| | |
|----------|----|
| Revision | EC |
|----------|----|

Restricted to “contract” or “grant”. The term “grant” refers only to direct grants for works and services (such as those provided by the staff of the relevant plant).

1.16. Executing Entity

| | |
|----------|----|
| Revision | EC |
|----------|----|

In the case that box 1.15 is “grant”, the entity performing the works and services under the grant (i.e. the final recipient of the grant funding). In the case that box 1.15 is “contract”, then box 1.16 is “Not applicable”.

1.17. Project development (preparation)

| | |
|----------|----------------|
| Revision | Not applicable |
|----------|----------------|

Person responsible for the development of the PIF.

1.18. Project development (checking)

| | |
|----------|----------------|
| Revision | Not applicable |
|----------|----------------|

Person responsible for the checking the PIF.

1.19. Project development (agreement)

| | |
|----------|----------------|
| Revision | Not applicable |
|----------|----------------|

In the case of **direct grants**, agreement is by the senior responsible person of the executing entity concerned. For external commercially-tendered contracts this may be omitted as “Not applicable”.

1.20. Project development (submittal to Implementing Body)

| | |
|----------|----------------|
| Revision | Not applicable |
|----------|----------------|

Submittal is by the senior responsible person of the beneficiary (contracts) or supervisory institution (direct grants) concerned.

1.21. Project development (submittal to EC)

| | |
|----------|----------------|
| Revision | Not applicable |
|----------|----------------|

Submittal to the European Commission by the National Agency.

TABLE OF CONTENTS

2. Project objective

| | |
|----------|----|
| Revision | EC |
|----------|----|

A short summary, not normally more than 300 words, summarising the overall objective of the project. This will usually be either the same as, or a subset of, the objective presented in the Combined Programming Document.

3. Project description

| | |
|----------|----|
| Revision | EC |
|----------|----|

3.1. Project purpose

The more detailed comprehensible technical description of the purpose of the project derived from the objective that it is intended to meet, highlighting the intended overall outcome. Noting that any subsequent amendments to the project purpose will require referral to the EC, the purpose should not include minor matters about which there may be technical uncertainties (not normally more than 500 words).

3.2. Background and justification

An explanation of the specific reasons for undertaking the project and a technical and, where necessary, financial justification of the approach proposed (including explanation of the proposed breakdown into contracts if applicable). For major and critical-path projects, the technical/financial implications of not proceeding with or delaying the project should be explained.

This section may be further broken down, for example, into:

3.2.1 Technical Overview

3.2.2 Short Description of the Facility/Equipment

3.2.3 Special Requirements

3.2.4 Technical Justification (and/or)

3.2.5 Financial Justification

3.2.6 Technical Options and Alternatives

or as otherwise appropriate.

3.3. Activities/Specifications

Projects should be broken down into their component parts as subprojects and/or work packages in such a way as to permit the use of the funding to be identified (see Section 4). The level of detail provided should be such as to make the project comprehensible but, allowing that the EC must approve modifications, not such as to generate unnecessary amendments.

Subprojects are groups of closely related activities achieved through one or more activities/procurements contributing to the overall purpose of the project. Subprojects must not be used to collect together unrelated activities or procurements that do not form part of a

common project. In the examples shown, subproject numbers are appended to the project number starting at 01.

Work packages are the basic unit of work that is budgeted, reported and monitored. The precise specification of a work package will depend on the nature of the project:

- For external procurements of works and services, the planned actions to be contracted that will give rise to the results.
- For supplies, the outline technical specification of the supplies.

Each work package will normally represent a single proposed contract. However, in large procurements (>5 MEUR), the work packages may be equivalent to a “lot” in the tender concerned. Equally, for small procurements falling below the thresholds defined in Article 7 of the Public Procurement Directive (or equivalent thresholds in national law where these are lower), one work package may represent a category of multiple contracts – in this case, eligibility criteria associated with the proposed procurements must be precisely defined in this section for each work package.

In the case of work performed under direct grants: the scope of work to be performed. The breakdown of the work will be at the discretion of the project Supervisor in agreement with the Implementing Body.

In the examples shown, work package numbers are appended to the subproject number starting at 01. Where there is no subproject structure, the subproject number is replaced by 00.

This section may also include for external contracts, the local input of the beneficiary.

4. Budget

| | |
|----------|-----------------|
| Revision | Guidelines G4.4 |
|----------|-----------------|

4.1. Budget breakdown

Section 4.1 will refer to Table 1 of the PIF wherein all data is to be presented.

With reference to the Table 1 column headings:

- (1) **Subproject:** As noted in Section 3, subprojects must form part of the common project and must not be used to collect together unrelated activities or procurements. Subproject numbers shall be appended to the project number starting at 01.
- (2) **Work Package:** Within each project or subproject there may be individual Work Packages; in projects implemented by commercial tendering subject to the ex ante control of the Implementing Body, each Work Package will represent no more than one contract (except as described in Section 3.3). In the event that such contracts are to be suppressed or created, the Implementing Body must be consulted.
- (3) **Activity:** A short descriptive title of the work package concerned which cross-references to Section 3.3.
- (4) **Activity Type:** For the purpose of the PIF, there shall be three basic Activity types (works, services, supplies) or a combination thereof if the contract or grant is also combined. Wording may be added in brackets to clarify the subproject concerned.

- (5) Indicative Implementation Strategy: For contracts (see box 1.15) this will show the indicative procurement procedure and contract type (e.g. fee-based, fixed price) but shall not be binding. The use of direct grants will be indicated.
- (6) Implementing Body Control: The manner in which the National Agency exercises control over the procurement – for which there are two options: ex ante (XA) or ex post (XP). Where the National Agency is also the Contracting Authority, this is not applicable.
- (7) Other source: The proposed funding from other sources within this subproject or work packages. The total should be in agreement with box 1.13.
- (8) EC: The requested funding from the EC. The total should be in agreement with box 1.11.
- (9) TOTAL: The sum of (7) and (8) above. These total figures are to be used when calculating impact on budget breakdown.

4.2. Basis for budget

An explanation of how the figures used in the budget breakdown were arrived upon. Any risk provisions, contingencies or reserves included into the budget must be presented and explained (may be presented in tabular form).

Note that all financial data presented in the PIF should normally exclude taxes (value added tax, import duties) unless it has been agreed with the Commission that taxes are eligible for payment from Union funding. Taxes paid from other sources should not be included in the PIF.

This section is to be updated in the event of a requested change in budget or budget breakdown.

4.3. Other funding sources

A description of other sources of funding contributing directly to contracts under this project including any conditions placed on the funding by the other source. The funding should be presented in Table 1 according to the same breakdown as the EC funding.

5. Project implementation

| | |
|----------|-------------------|
| Revision | Implementing Body |
|----------|-------------------|

5.1. Key Result(s)

A quantified description of the final intended outcome of each subproject/work package.

Revision of the key results is under the authority of the National Agency. However if, in the course of the project, the key results are changed to an extent or in a manner such that they are no longer consistent with the Project Purpose, a request to change the Purpose must be submitted to the Commission.

5.2. Milestones / Metrics

A short description of each of the verifiable preparatory stages and concrete intermediate results (with its target date of achievement) leading up to the key result(s) of each work package referenced in Table 2. As a guide, for each work package there should be at least 2 milestones per year enabling progress to be monitored in the 6-monthly Monitoring Reports – the final milestone will be the respective key result. Output reports of studies are considered to be results – routine reporting activities are not.

The “outset” data, comprising the outset target date and outset planned disbursement will not be modifiable after initial approval – unless the associated scope of work or procurement strategy, respectively, also changes.

In the case of activities that, within the time window covered by the project, are continuous processes (e.g. continuous loading of decommissioning waste drums into a disposal facility), a scaleable metric may be presented (e.g. 100 drums loaded in the first 3 months of the project). In this case the target date represents the bounding date of the period considered.

5.3. Project implementation plan

Section 5.3 will refer to Table 2 of the PIF wherein all data is to be presented.

The *purpose* of the Project Implementation Plan is to enable the subsequent follow-up monitoring of project implementation. The outset plan (presented at the time of PIF submittal) is used as a reference against which subsequent activities are measured.

A detailed description of the required Table 2 content is provided with the table. Note that this represents the minimum requirement – the National Agency may request additional information in order to improve project monitoring.

6. Related and parallel actions

| | |
|----------|-------------------|
| Revision | Implementing Body |
|----------|-------------------|

6.1. Related actions

This section is used to indicate past, ongoing, or planned future actions receiving funding from other programmes of the European Union (e.g. structural funds), excluding projects under the respective decommissioning programme, or other donors in the same general field which are relevant to this project.

6.2. Parallel actions

This section is used to indicate actions (ongoing or planned to be ongoing at the time of the project), that are funded from other sources (other European Union programmes, bilateral programmes, or national programmes) that directly contribute to the same specific objective as this project.

Details of the other funding source and the approximate level of funding should be provided. Note that this is not the same as Section 4.3 where funding is contributed directly to the same contracts that are under this project. It is also more specific than Section 6.1 as the objective must be the same and past actions are excluded.

7. Project interdependencies

| | |
|----------|-------------------|
| Revision | Implementing Body |
|----------|-------------------|

7.1. Projects upon which this project is dependent

Other projects which may or will directly and materially impact upon the achievement of the results/milestones of this project. An explanation of the nature of the dependency and of the consequences of failure or delay in the other project and, if applicable, on the overall decommissioning schedule.

7.2. Projects dependent upon this project

Other projects which may or will be directly and materially affected by the achievement or possible non-achievement of the results/milestones of this project. An explanation of the nature of the dependency and of the consequences of failure or delay of this project on the other project and, if applicable, on the overall decommissioning schedule.

8. Uncertainties and risks

| | |
|----------|-------------------|
| Revision | Implementing Body |
|----------|-------------------|

These are external factors that can be identified at the planning stage that would prevent either the successful contracting or successful execution/completion of the project.

9. Project management

| | |
|----------|-------------------|
| Revision | Implementing Body |
|----------|-------------------|

9.1. Responsible bodies and contact persons

This information is to be provided in Table 3.

Where necessary (e.g. if the beneficiary is previously unknown to the European Commission), this section should also be used to describe the roles, functions and legal status of the beneficiary. The contact persons are those at the outset of the project – this information need not be updated.

9.2. Supervision and reporting requirements

The frequency of steering committee meetings. The minimum number and frequency of progress reports and an outline description of any other deliverable reports under the project.

9.3. Monitoring requirements

Any special requirements for contributions to the Monitoring Report.

9.4. Other requirements

(if any)

10. Conditionalities

| | |
|----------|-------------------|
| Revision | Implementing Body |
|----------|-------------------|

Conditions imposed for commencing or continuing actions under this project. Concrete indicators that the conditionality has been satisfied must be proposed. These may be volunteered by the Beneficiary/Supervisory institution or added by the National Agency.

11. Visibility

| | |
|----------|-------------------|
| Revision | Implementing Body |
|----------|-------------------|

Concrete verifiable measures to achieve the visibility of European Union funding. Enforcing visibility requirements is the responsibility of the National Agency.

12. Additional information

| | |
|----------|----------------|
| Revision | Not applicable |
|----------|----------------|

Any other information of significance to the implementation of the project.

13. References

| | |
|----------|----------------|
| Revision | Not applicable |
|----------|----------------|

(if any)

Table 1 – Budget breakdown

Example 1

| Subproject | Work Package No | Activity | Activity Type | Indicative Implementation Strategy | IB Control | Budget (MEUR) | | |
|------------|-----------------|--------------------------------|---------------|------------------------------------|------------|---------------|-------|-------|
| | | | | | | Other source | EC | TOTAL |
| (1) | (2) | (3) | (4) | (5) | (6) | (7) | (8) | (9) |
| RFH.03.01 | 01 | Security fence construction | Works | Intl. -stage fixed-price | XA | 0.000 | 0.400 | 0.400 |
| RFH.03.02 | 01 | Railway extension design | Services | Intl. -stage fixed-price | XA | 0.000 | 0.300 | 0.300 |
| | 02 | Railway extension construction | Works | Intl. -stage fixed-price | XA | 0.000 | 0.300 | 0.300 |
| RFH.03.03 | 01 | Design of buildings | Services | Negotiated fee-based | XA | 0.000 | 0.500 | 0.500 |
| RFH.03.04 | 01 | Security and monitoring equip. | Supplies | Intl. tender (3 lots) | XA | 0.000 | 0.500 | 0.500 |
| TOTAL | | | | | | 0.000 | 2.000 | 2.000 |

Example 2

| Subproject | Work Package No. | Activity | Activity Type | Indicative Implementation Strategy | IB Control | Budget (MEUR) | | |
|------------|------------------|----------------------|------------------|------------------------------------|------------|---------------|-------|-------|
| | | | | | | Other source | EC | TOTAL |
| (1) | (2) | (3) | (4) | (5) | (6) | (7) | (8) | (9) |
| SM1.01.01 | 01 | Care and maintenance | Works & Services | Direct Grant | XP | 0.000 | 3.000 | 3.000 |
| SM1.01.02 | 01 | Legal services | Services | Simplified Procedure | XP | 0.000 | 0.300 | 0.300 |
| | 02 | Telecommunication | Services | Long-term contracts | XP | 0.000 | 0.200 | 0.200 |
| TOTAL | | | | | | 0.000 | 3.500 | 3.500 |

Table 2 – Project Implementation Plan

| Project | Subproject | Work Package | Budget (MEUR) | Milestone Reference | Type | Action / Result | Outset Target Date (month) | Outset Planned Disbursement % of WP Budget |
|---------|------------|--------------|---------------|---------------------|------|--|----------------------------|--|
| (1) | (2) | (3) | (4) | (5) | (6) | (7) | (8) | (9) |
| | | Total | 2.900 | {000} | P | Approval of project | 05/2007 | - |
| | | | | {010} | P | Submittal of Tender Dossier to Implementing Body | 10/2008 | - |
| | | | | {020} | P | Submittal of Procurement Notice | 11/2008 | - |
| | | | | {030} | P | Tender opening | 12/2008 | - |
| | | | | {040} | P | Contract signature | 01/2009 | - |
| | | 01 | 1.500 | {050} | F | Payment 1 (pre-financing) | 02/2009 | 20.0 |
| | | | | {060} | R | Completion of Task 1 (Design of storage container) | 03/2009 | - |
| | | | | {070} | F | Payment 2 (milestone payment) | 03/2009 | 40.0 |
| | | | | {080} | K | Contract completion (Tender Dossier prepared for Package 02) | 08/2009 | - |
| | | | | {090} | F | Payment 3 (final) | 10/2009 | 20.0 |
| | | | | {100} | P | Submittal of Tender Dossier to Implementing Body | 08/2009 | - |
| | | | | {110} | P | Submittal of Procurement Notice | 10/2009 | - |
| | | | | {120} | P | Tender opening | 12/2009 | - |
| | | | | {130} | P | Contract signature | 03/2010 | - |
| | | 02 | 1.400 | {140} | F | Payment 1 (pre-financing) | 04/2010 | 20.0 |
| | | | | {150} | R | Delivery of 50 storage containers | 09/2010 | - |
| | | | | {160} | F | Payment 2 (interim payment) | 09/2010 | 30.0 |
| | | | | {170} | K | Contract completion (delivery of remaining 50 containers) | 12/2010 | - |
| | | | | {180} | F | Payment 3 (final) | 02/2011 | 30.0 |
| | | | | {999} | F | Final close-out of project (all project accounts closed) | 03/2011 | - |

With reference to Table 2 column headings:

- (1) **Project:** the reference number of the project.
- (2) **Subproject:** the reference number of the subproject. In the example shown, 00 is appended to project number as there are no subprojects.
- (3) **Work Package:** as defined in Sections 3.3 and 4.1.
- (4) **Budget:** The nominal budget in MEUR, exactly as presented in Section 4.1 rounded to three decimal places (as 10.000 MEUR).
- (5) **Milestone Reference:** A reference to the project suffixed by a 3-digit milestone number in curly brackets {xxx} (e.g. TRS.02{010}). Milestone references should preferably be sequential. It is recommended to space the milestone references (e.g. by 5 or 10) such that additional milestones can be inserted if required. Milestone {000} is reserved for the approval of the project by the EC. Milestone {999} is reserved for the final closure of accounts by the Implementing Body.
- (6) **Type:** At present, 5 milestone types are defined:
 - P : preparatory. Stages in arriving at a contract.
 - F : financial. Related to the use and disbursement of funding
 - R : result. A concrete outcome of the project.
 - M : metric. In continuous processes, the output by the target date.
 - K : a key result representing the final outcome of the activity.
- (7) **Action/Result:** P-milestones should be used for all key stages in contract preparation (Submittal of: forecast notice, tender dossier, procurement notice, tender opening, contract signature).
 - F-milestones take the place of the disbursement schedule formerly included in planning documents, but are more useful because they are relative to implementation dates.
 - R- and K-milestones are the summary title of an objectively verifiable result or achievement described in the text of the fiche (Sections 5.1 and 5.2). For example: the delivery of an output report, the start or end of a job, the receipt of supplies, etc.. Routine reporting activities (e.g. delivery of a progress report) are not valid results.

- For the purposes of Union funding, continuous processes may need to be projectised. M-milestones represent a volume of work performed in the period considered (e.g. 100 drums of waste transferred to landfill). M-milestones are therefore scaleable.
- (8) **Outset Target date:** should be expressed in the format mm/yyyy where mm is the month and yyyy is the year. The Outset target Date given in the PIF is **not** amendable unless there is a corresponding change in the scope of work
- (9) **Outset Planned disbursement (%):** This takes the place of the disbursement schedule. The nominal disbursement is based on the payment schedule of the contract or grant. This figure is expressed as a percentage of the Work Package budget – in the example shown milestone TRS.02{050} is 20% of 1.5 MEUR = 0.300 MEUR.

Table 3 – Responsible Bodies and Contact Persons

(a) Responsible bodies

| Role | Name of organisation | Address |
|--|----------------------|---------|
| Beneficiary/Supervisory Institution | | |
| Executing Entity (direct grants) | | |

(b) Contact person for project development

| Name of contact person | Title | Tel. | Fax | Email |
|--|-----------------|----------------|----------------|----------------|
| Implementing Body | | | | |
| John DOE | Head of Service | +000 000000 00 | +000 000000 00 | j.doe@anon.com |
| Beneficiary/Supervisory Institution | | | | |
| | | | | |
| Executing Entity (direct grants only) | | | | |
| | | | | |

Table 4 – Summary of amendments

| Amendment No.: | Amending Section: | Amendment | Approved | Impact on Budget Breakdown | | New TOTAL Budget | Impact on TOTAL Budget | |
|----------------|-------------------|---|---------------------|----------------------------|-----|------------------|------------------------|-----|
| | | | | MEUR | % | MEUR | ± MEUR | ± % |
| (1) | (2) | (3) | (4) | (5) | (6) | (7) | (8) | (9) |
| See Box 1.5 | See Box 1.6 | Short description of amendment, e.g. "Change of budget breakdown" | "IB" or "EC" + date | | | | | |

Notes:

Budget Breakdown

- (1) The initial budget breakdown is that in the *original* approved PIF. The initial budget breakdown is revised pro-rata if the overall budget increases.
- (2) Impact on budget breakdown is calculated as the sum of all absolute budget line changes (relative to the initial breakdown normalised to the new total budget) divided by two.
- (3) No contract can be signed if its value exceeds the value provided in the budget breakdown.
- (4) Implementing Body (IB) approval is required for any change in budget breakdown (and the EC must be notified).
- (5) If the impact on budget breakdown exceeds 25% and 0.5 MEUR, EC approval is required.
- (6) If the impact on budget breakdown exceeds 50% and 1.0 MEUR, NDAP Committee opinion may be required. If approval is granted, the revised budget breakdown becomes the new initial budget breakdown (i.e. impact is reset to zero)
- (7) Where budget lines are merged, there is no impact unless the new merged budget-line value differs from the sum of its components – in this case the above rules apply.

Overall TOTAL Budget Increase

- (8) If the overall TOTAL budget increases, pro rata adjustment should be made to all budget lines; the impact on budget breakdown is therefore zero.
- (9) If the increase in budget does not affect budget lines equally, impact on budget breakdown must be calculated as above.
- (10) Implementing Body approval is required for any increase in budget (and EC must be notified)
- (11) If the change in overall budget exceeds 15% and 0.5 MEUR , EC approval is required (but the impact is not reset)
- (12) If the change in overall budget exceeds 30% and 1.0 MEUR, NDAP Committee opinion may be required. If approval is granted, the revised budget becomes the new initial budget (i.e. impact is reset to zero).

Budget Decrease

- (13) Budget decreases due to cancellation of activities or withdrawal of other-source funding shall be treated in the same manner as budget increase.

Other notes

- (14) Impact in MEUR and as a percentage shall be rounded to three and one decimal place respectively.

Annex III Project identification documentation PD (EBRD)

Table on, across all 3 funds consistent, location of information in the various documents, being part of the project identification documentation. (Optimal format of the cover sheet to be proposed by EBRD)

| MINIMUM INFO NEEDED BY EC | IN: (where? - location in standardised EBRD document consistent across all funds – and available to EC) |
|---|--|
| PROJECT SELECTION / APPROVAL INFO (at decision date in AoC) | |
| Project number (unique) | PIS, Grant Agreement, Annex I to the work programme |
| Project name/title | PIS, Grant Agreement, Annex I to the work programme |
| GA number | Grant Agreement, Annex I to the work programme |
| Project description | Grant agreement schedule II |
| Objective to be fulfilled (reference to CPD) | PIS |
| Project justification (including reference to CPD objective fulfilment, decommissioning plan and timeline) | PIS and work programme |
| Checked to be in line with legal base (applicable decommissioning funding regulation and fund rules) | All Grant agreements are systematically checked to be in line with fund rules, that are derived 100% for the Council Regulations |
| Checked to be in line with applicable EU and Bank legislation (energy efficiency, procurement, financial regulation) | All Grant agreements are systematically checked to be in line |
| Project scope (technical specificities) | Grant agreement schedule II |
| Interfaces with other existing projects | Work programmes |
| Information on possible critical path in relation to the overall decommissioning plan | "early warning" within work programmes and where possible already in Grant agreement schedule II |
| Cost allocation foreseen (total) | PIS, Grant agreement schedule II and V |
| Cost allocation foreseen (breakdown) | Grant agreement schedule II |

| | |
|---|---|
| Contingencies (if any) | Grant agreement schedule V |
| Justification contingencies and unallocated (including cases where they could be used for) | Grant agreement schedule II |
| Other funding sources | Grant agreement schedule V and work programmes |
| Possible overlap with other EU funding (checks by Ministry and/or EBRD) | In future document to be provided by the Ministry or Beneficiary at Grant agreement |
| Beneficiary | Grant agreement |
| Tendering information | (New procedure) – included in annex I to the work programmes |
| Project schedule for the total project (including GANTT chart on first level) | Grant agreement schedule II |
| Main tasks to be fulfilled for the total project | Grant agreement schedule II (within section project description) |
| Milestones for the total project (interim and final - including target dates for their accomplishment and indicators) | Grant agreement schedule II |
| Deliverables for the total project (list + target dates) | Grant agreement schedule II |
| Consent of the recipient country | In AoC approval |

Annex IV Monitoring report (CPMA)

Template

Report No. NA/2011/H1 (Draft 1)

Monitoring Report

National Agency of the
xxxxxx Programme

2011 / H1

Draft 1

Issued xx/xx/2011

Compiled: <Name> <Title>

Checked: <Name> <Title>



<NAME OF NATIONAL AGENCY>

Table of Contents

< To be prepared by the National Agency >

List of Abbreviations and Acronyms

< To be prepared by the National Agency >

Section A - Executive Summary

An overview of progress in implementing the programme approved under the respective Commission Decisions.

< To be prepared by the National Agency >

Section B - Summary Implementation Tables

Explanation of the tables, followed by the tables themselves.

< To be prepared by the National Agency >

B1. Overall Programme Implementation

| Situation at: | EU Funding | | Other-source Funding | | Cumulative Interest Generated | Total Funds Managed | Total Allocated to Projects | Total Contracted | Total Disbursed | | Total Cash Held | Total Funds Available |
|---------------|--------------------------|---------------------|--------------------------|---------------------|-------------------------------|---------------------|-----------------------------|------------------|-----------------|-----------------|-----------------|-----------------------|
| | Cumulative Contributions | Cumulative Payments | Cumulative Contributions | Cumulative Payments | | | | | Under Contracts | For Other Costs | | |
| (1) | (2) | (3) | (4) | (5) | (6) | (7) | (8) | (9) | (10) | (11) | (12) | (13) |
| dd/mm/yyyy | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |

- (1) Column descriptions:
- (2) Date of the end of the monitoring period (normally 31 Dec and 30 Jun).
- (3) Total cumulative EU funding under Contribution Agreements to date.
- (4) Total cumulative EU payments received to date.
- (5) Total cumulative funding contributions from other sources
- (6) Total cumulative other-source payments received to date.
- (7) Total cumulative interest generated to date on all funds held (see Table B2).
- (8) Total of: (2) + (4)

- (9) Total budget of approved project identification fiches. For closed projects: the final amount paid under all contracts.
- (10) Total funding committed under contracts/grants. For closed contracts: the final amount paid under the contract.
- (11) Total funds disbursed under closed and ongoing contracts and grant agreements
- (12) Any other disbursements that are not included in the contracts and grant agreements.
- (13) Calculated as: $(3) + (5) + (6) - (10) - (11)$.
- (14) Calculated as: $(7) - (8) - (11)$

All data to be presented in MEUR rounded down to 3 decimal places. Notes to be numbered and presented below the table – further information in the text may be referenced.

B2. Project Implementation

| Objective Ref | Project Ref | Abbreviated Project Title | Beneficiary | Revisions | Total Budget (EUR) | EU Budget (EUR) | Project Status | Contracts Signed / Total | EU Funds only (EUR) | |
|---------------|-------------|---------------------------|-------------|-----------|--------------------|-----------------|-------------------|--------------------------|---------------------|--------------|
| | | | | | | | | | Contracted | Disbursed |
| (1) | (2) | (3) | (4) | (5) | (6) | (7) | (8) | (9) | (10) | (11) |
| 1A.07/01 | ZZ11 | Dismantling in Building X | ...NPP | 0 | 10,000,000.00 | 10,000,000.00 | Fully Implemented | 1 / 1 | 9,555,050.00 | 2,900,067.00 |
| ... | ... | | | | | | | | | |
| TOTAL | | | | | | | TOTAL | / | | |

Projects to be presented in normal sorting order of CPD objectives by sector / number, with later programming years first (i.e. 1A.08/01...1A.08/05, 1A.07/01...1A.07/03, 1B.08/01...)

Column descriptions:

- (1) Objective reference from the Combined Programming Document (CPD).
- (2) The project reference number assigned by the National Agency.
- (3) An abbreviated title indicating the nature of the project (full titles are given in the text)
- (4) The implementation methodology type: G = direct grant, C = commercial contract
- (5) The beneficiary/Supervisory Institution of the project.
- (6) The number of times the project identification fiche has been revised.
- (7) The total budget of the project including all sources of funding. For closed projects, the final amount paid under all contracts as declared in the Project Closure Form.

- (8) The budget of the project that is allocated from EU funds. For closed projects, the final amount paid under all contracts in the Project Closure Form (note: the original EU-funded project budget can be found in Table B6 Column 6).
- (9) The project status as:
- Not yet implemented : no contracts signed
 - Partially implemented : not all planned contracts signed
 - Fully implemented : all contracts signed
 - Completed : all contracts completed
 - Closed : all payments made
 - In 2009/H1 the special status of “Suspended” has been added to denote projects which are intentionally not being progressed at this time due to Government reorganisation.
- (10) The number of contracts actually signed or under procurement compared to the total number of planned in the PIF (the term “contract” is taken to include direct grant agreements).
- (11) The total amount of EU funds contracted under the project to date.
- (12) The total amount of EU funds disbursed to date under the contracts signed.

B3. Contract Implementation

| Contract Ref | Contract Description | | Technical Implementation | | | Contract Status | Financial Implementation | | |
|--|----------------------|-------------------|--------------------------|--------------------------|-------------------------------|-----------------|----------------------------|--------------------------------|------------------------------|
| | | | Start Date of Tendering | Start Date of Activities | Completion Date of Activities | | Total Contract Price (EUR) | EU-funded Contract Price (EUR) | EU-funded Disbursement (EUR) |
| (1) | (2) | | (3) | (4) | (5) | (6) | (7) | (8) | (9) |
| Project Ref: <CPD Objective> - <Project Ref.> (<Abbreviated Project Title>) | | | | | | | | | |
| < Ref > | < Description > | Actual | 05/2011 | <i>07/2012</i> | <i>12/2012</i> | Tendering | 65,000,000.00 | 48,000,000.00 | 27,000,000.00 |
| | | Planned | 04/2011 | 06/2012 | 10/2012 | | 64,000,000.00 | 47,000,000.00 | |
| | | Difference | +1 | +1 | +2 | | +1,000,000.00 | +1,000,000.00 | |

Contracts are to be presented by project; projects are to be in the same order as in the preceding Project Implementation table. The **Project Ref:** should be followed by the objective number from the Combined Programming Document, the Implementing Body’s project reference, and the abbreviated project title used in the preceding Project Implementation table.

Notes for each Column above:

- (1) The contract reference used by the Implementing Body.
- (2) The title or short description of the contract.
- (3) The date of publication of the procurement notice (mm/yyyy): “Actual”, “Planned” (as shown in PIF) and the “Difference” in months (+ = late, - = early). “Actual” may be used to show a revised forecast; if so, the date should be shown in italics.
- (4) Start date of the activities (normally date of contract signature) – for “Actual”, “Planned” and “Difference”, see (3) above.
- (5) Completion date of activities; for “Actual”, “Planned”, and “Difference”, see (3) above.
- (6) The contract status as:

- Specification
- Tendering
- Evaluation/contracting
- Ongoing
- Completed (certificate of acceptance / final report)
- Closed (financially closed: all payments/recoveries completed)

- (7) Total contract price (including taxes) from all funding sources: “Actual”, “Planned” (as shown in PIF) and the “Difference” in Euro (+ = over-budget, - = under-budget).
- (8) The total amount of EU funds contracted; for “Actual”, “Planned” and “Difference”, see (7) above.
- (9) The total amount of EU funds disbursed.

Section C - Basis for programming

A summary of the relevant objectives assigned to the National Agency under approved Combined Programming Documents.

< To be inserted by the National Agency >

Section D – Management of the Projects

A summary of the project management arrangements put in place.

< To be inserted by the National Agency >

Section E - Project Status & Results

E1. Sector 1A - Decommissioning / treatment and storage or release of all waste arising

| | | | | | |
|---------------------------|--|------------------|------------|-----------------------------|---------------------|
| E1.1. Objective: 1A.08/01 | | Project: DXX.01 | | SPO Institution: XXXXXXXXXX | |
| Project Title: | Technical Assistance in the Dismantling of Building XX | | | | |
| Short Title: | TA for Building XX D&D | EU Budget | 5.000 MEUR | Status | Not yet implemented |
| SPO/Contributor: | | | | | |

E1.1.1 Project purpose

E1.1.2 Modifications to the project

E1.1.3 Assumptions, pre-conditions and conditionalities

| Planned and unexpected factors | Realisation of external factors and fulfilment of conditionalities |
|--|--|
| (1) | (2) |
| Assumptions and risks | |
| | |
| Pre-conditions and conditionalities | |
| | |

E1.1.4 Activities

or Summary of completion (only for final report of project)

E1.1.5 Main problems and corrective actions

or Strengths and weaknesses (only for final report of project)

E1.1.6 Visibility measures

E1.1.7 Project Implementation Plan

| Project | Subproject | Work Package | Budget (MEUR) | Milestone Reference | Type | Action / Result | Outset Target Date (month) | Achieved | Previous | | New | |
|---------|------------|--------------|------------------|---------------------|--|--|-------------------------------|----------|---------------------------|-------------|---------------------------|---------------|
| | | | | | | | | | Date Achieved or Forecast | From Outset | Date Achieved or Forecast | From Previous |
| (1) | (2) | (3) | (4) | (5) | (6) | (7) | (8) | (9) | (10) | (11) | (12) | (13) |
| DXX.01 | DXX.01.00 | Total | 2.900 | {000} | P | Approval of project | 01/2008 | | | | | |
| | | 01 | 1.500 | {010} | P | Submittal of Tender Dossier to Implementing Body | 02/2008 | | | | | |
| | | {020} | | P | Submittal of Procurement Notice | 03/2008 | | | | | | |
| | | {030} | | P | Tender opening | 05/2008 | | | | | | |
| | | {040} | | F _C | Contract signature | 08/2008 | | | | | | |
| | | {050} | | F | Payment 1 (pre-financing) | 09/2008 | | | | | | |
| | | {060} | | R | Completion of Task 1 (Design of storage container) | 12/2008 | | | | | | |
| | | {070} | | F | Payment 2 (milestone payment) | 03/2009 | | | | | | |
| | | {080} | | K | Contract completion (Tender Dossier prepared for Package 02) | 08/2009 | | | | | | |
| | | {090} | | F | Payment 3 (final) | 10/2009 | | | | | | |
| | | 02 | 1.400 | {100} | P | Submittal of Tender Dossier to Implementing Body | 08/2009 | | | | | |
| | | | | {110} | P | Submittal of Procurement Notice | 10/2009 | | | | | |
| | | | | {120} | P | Tender opening | 12/2009 | | | | | |
| | | | | {130} | F _C | Contract signature | 03/2010 | | | | | |
| | | | | {140} | F | Payment 1 (pre-financing) | 04/2010 | | | | | |
| | | | | {150} | R | Delivery of 50 storage containers | 09/2010 | | | | | |
| | | {160} | | F | Payment 2 (interim payment) | 09/2010 | | | | | | |

| Project | Subproject | Work Package | Budget (MEUR) | Milestone Reference | Type | Action / Result | Outset Target Date (month) | Achieved | Previous | | New | |
|---------|------------|--------------|------------------|------------------------|------|---|---|----------|------------------------------|-------------|------------------------------|------------------|
| | | | | | | | | | Date Achieved or Forecast | From Outset | Date Achieved or Forecast | From Previous |
| (1) | (2) | (3) | (4) | (5) | (6) | (7) | (8) | (9) | (10) | (11) | (12) | (13) |
| | | | | {170} | K | Contract completion (delivery of remaining 50 containers) | 12/2010 | | | | | |
| | | | | {180} | F | Payment 3 (final) | 02/2011 | | | | | |
| | | | | {999} | F | Final close-out of project (all project accounts closed) | 03/2011 | | | | | |

Annex V Monitoring (EBRD)

This annex includes both information needed for the regular update of the project identification documentation PD and its coversheet, as information needed for the actual monitoring report.

Table on, across all 3 funds consistent, location of information in the various documents, being part of the PD and/or the monitoring report. (Optimal format of the monitoring report to be proposed by EBRD)

| PROJECT MONITORING AND PD UPDATING (provide only changes compared to original baseline data (at grant agreement) and highlighting changes compared to latest previous version) | |
|---|--|
| Project number (unique) | PIS, Grant Agreement, Annex I to the work programme |
| Project name/title | PIS, Grant Agreement, Annex I to the work programme |
| GA number | Grant Agreement, Annex I to the work programme |
| Project description | Grant agreement schedule II |
| Objective to be fulfilled (reference to CPD) | PIS |
| Project justification (including reference to CPD objective fulfilment, decommissioning plan and timeline) | PIS and work programme |
| Checked to be in line with legal base (applicable decommissioning funding regulation and fund rules) | All Grant agreements are systematically checked to be in line with fund rules, that are derived 100% for the Council Regulations |
| Checked to be in line with applicable EU and Bank legislation (energy efficiency, procurement, financial regulation) | All Grant agreements are systematically checked to be in line |
| Project scope (technical specificities) | Grant agreement schedule II |
| Interfaces with other existing projects | Work programmes |
| Information on possible critical path in relation to the overall decommissioning plan | "early warning" within work programmes and where possible already in Grant agreement schedule II |
| Cost allocation foreseen (total) | PIS, Grant agreement schedule II and V |

| | |
|---|---|
| Cost allocation foreseen (breakdown) | Grant agreement schedule II |
| Contingencies (if any) | Grant agreement schedule V |
| Justification contingencies and unallocated (including cases where they could be used for) | Grant agreement schedule II |
| Other funding sources | Grant agreement schedule V and work programmes |
| Possible overlap with other EU funding (checks by Ministry and/or EBRD) | In future document to be provided by the Ministry or Beneficiary at Grant agreement |
| Beneficiary | Grant agreement |
| Tendering information | (New procedure) – included in annex I to the work programmes |
| Project schedule for the total project (including GANTT chart on first level with indication of shift compared to baseline data) | Grant agreement schedule II |
| Main tasks to be fulfilled for the total project | Grant agreement Schedule II (within section project description) |
| Milestones for the total project (including target dates for their accomplishment and indicators to be used for their measurement – comparison with baseline and with previous data)) | Grant agreement schedule II |
| Deliverables for the total project (list + target dates) | Grant agreement schedule II |
| Publicity of EU assistance | Work programme |
| Contractual data | Work programme Annex I |
| Detail on amendments (N° - financial and time influence – content change) | |
| Payment data | |
| Problems identified and corrective measures taken | Work programme |
| For energy sector projects (when applicable): include figures on | Work programme |

| | |
|---|--|
| replacement capacity (in MW electricity production capacity saved) | |
|---|--|