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EU Project Management



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Ministry of Education and Science of Ukraine
Lesya Ukrainka Eastern European National University
International Economic Relations
and Project Management Department

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EU Project Managament

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П 12

Рекомендовано до друку
кафедрою міжнародних економічних відносин та управління
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імені Лесі Українки

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вченою радою факультету міжнародних відносин Східноєвропейського
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Павліха Н.

- П 12 Павліха Н., Їлдіз А. Г., Сидорук М., Цибурт А., Кицюк І. EU Project Managament. Луцьк: Східноєвроп. нац. ун-т ім. Лесі Українки, 2016. 36 с.

Реалізація курсу передбачає поєднання теорії та практики. Слухачі отримують теоретичні знання та практичні навички у сфері написання та управління проектами ЄС. Окрім, відвідування лекцій, семінарів, виконання аналізу конкретних ситуацій, імітаційних вправ та здійснення тематичних досліджень.

Цільова аудиторія курсу включає не лише студентів та молодих науковців СНУ імені Лесі Українки, але й представників мас-медіа, членів професійних та неурядових організацій, а також працівників державних, громадських, політичних інституцій та інших зацікавлених осіб з усієї України.

Учасники отримують відповідні дидактичні та презентаційні матеріали, що також будуть у відкритому доступі на веб-сторінці Східноєвропейського національного університету імені Лесі Українки, відділу міжнародних зв'язків, та у соціальних мережах.

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INTRODUCTION

“Every euro that we invest in Erasmus+ is an investment in the future – in the future of a young person and of our European idea. I cannot imagine anything more worthy of our investment than these leaders of tomorrow. As we celebrate the 9 millionth person to take part, let’s make sure we are 9 times more ambitious with the future of the Erasmus+ programme”.

Jean-Claude Juncker, President of the European Commission

Dear participant of EU Project Management Jean Monnet Module!

The existing methodology and practice of project management have already proved their effectiveness in the conditions of an open international competition and international integration processes and have become a common standard of conduct in practical activity. The experience of the European Union as to applying the technology of project management in solving problems in various spheres of public life is evidence of the above-mentioned.

Modern means and methods of project management are recognized worldwide and are widely used in all areas of purposeful, project-oriented activities. Project management is a powerful tool for managing not only via creation of new products and services, but also by means of implementation of targeted changes within individual organizations, companies, as well as national socio-economic and organizational systems. Project management is a special type of management activity that consists in the development, prior and thorough elaboration of a comprehensive plan (model) for action aimed at achieving specific goals and its implementation.

Projects and programs are the main instrument for attracting investment for development. Nowadays, European Structural Funds are ready to finance Ukrainian projects aimed at creating new jobs, regional development, and solving environmental problems. But, it is necessary to admit that in current realities in Ukraine, there’s a shortage of specialists, knowledge and experience in projects developing and managing.

The European Union Project Management Specialist is not a new profession in the world, but it is new to Ukraine. Why does Ukraine need its own European Union Project Management Specialists? Nowadays, in the media, the attention of the audience is often drawn to the means that

can be obtained from the European Union. But the fact is that these means can come into Ukraine only in the form of financing for a specific project under the control of a highqualified specialist, which is capable of an effective managing this financial resource.

Only the project approach may be used to work with grants of the European Union, that is, to realize your ideas and intentions via financing of the European Union.

A European Union Project Management Specialist can define and describe the goal of a project with a clear structure, beginning from problem substantiating to the development of the expected results and products. A European Union Project Management Specialist has to manage the funding starts in order to ensure effective implementation all of the stages planned in the project. A European Union Project Management Specialist will periodically report to the Funds, and at the end of the project, will provide the final report drawn up in accordance, with certain parameters and results to meet priorities of the European Commission. These are three key functions that a European Union Project Management Specialist should be able to do.

What are the prospects in the activity of a Project Management Specialist? The specificity of forming the budget of the European Union is planning once every seven years. The priority project types and amounts of funding have already been established for the period of 2014-2020 years. They can be studied, and by 2020, and in fact, by 2022, it will be in force.

After that, the next seven-year period will begin, in which, with great probability, nothing will change in the project approach, reporting, project management. The only thing that can change are the priorities and needs of the European Union, due to the fact that there are now several global challenges that can make adjustments to the policies.

As we see, the specialists with knowledge in the European Union Project Management in the coming years (and further), will be in great demand.

EU Project Management Jean Monnet Module is co-funded by the Erasmus+ Programme of the European Union. The project envisages the implementation of short teaching programme in the field of European Union Studies. The module concentrates on EU cooperation policy including the aspects of EU Project Management.

*Best regards, Nataliia Pavlikha,
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Assist. Prof. Dr. at the International Relations Department of the Yasar University. Major Study Area: International Relations. Minor Study Area: European Studies, Migration, Project Management. Have been actively involved in nearly 45 EU funded projects as coordinator or partner under several different programmes such as JM, Transversal Pr, Marie Curie, Erasmus, LDV. Research Fellow at University of Pittsburgh (USA), Research Fellow at the University of California Berkeley (USA), EU Center of Excellence, Research Fellow at the Wageningen University (Netherlands) Agricultural Economics, Ministry of Agriculture NL Grant.



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Анотація курсу

Реалізація курсу передбачає поєднання теорії та практики. Слухачі отримають теоретичні знання та практичні навички у сфері написання та управління проектами ЄС. Окрім, відвідування лекцій, семінарів, виконання аналізу конкретних ситуацій, імітаційних вправ та здійснення тематичних досліджень, учасники отримають відповідні дидактичні та презентаційні матеріали, що також будуть у відкритому доступі на веб-сторінці Східноєвропейського національного університету імені Лесі Українки та у соціальних мережах.

Мета та завдання курсу

Метою проведення курсу «Управління проектами ЄС» в рамках програми Еразмус+ за напрямом Жана Моне є формування у студентів знань та навичок стосовно тематики Європейської політики сусідства, включаючи сферу управління проектами ЄС. Реалізація курсу сприятиме поширенню інформації про ЄС, обізнаності про програми ЄС та заохоченню до проведення в майбутньому міждисциплінарних досліджень з питань європейської інтеграції.

Вивчення курсу сприятиме поширенню інформації про ЄС, обізнаності про програми ЄС та заохоченню до проведення в майбутньому міждисциплінарних досліджень з питань європейської інтеграції.

В процесі досягнення мети вирішуються наступні **завдання**:

- набуття слухачами знань про ЄС;
- оволодіння різними методиками та інструментами управління проектами;
- отримання практичних навичок з розробки бюджету та формування фінансової звітності за проектами;
- проведення моніторингу та евалюації запропонованих проектів;
- вирішення практичних завдань із застосуванням проектного підходу.

В результаті формуються наступні компетенції:

Використання основних теоретичних, методологічних та прикладних основ управління проектами, навичок їхнього застосування у практичній діяльності; застосування практичних навичок пошуку інформації про програми і гранти ЄС, підготовки та подання проектних заявок до міжнародних програм, управління проектів з використання стандартів.

В результаті вивчення курсу слухачі повинні

знати:

- основні правові, інституційні та економічні засади діяльності ЄС;
- основні поняття, методи і методології проектного менеджменту;
- теоретико-методологічні засади розробки та обґрунтування концепції проекту, що фінансуються за рахунок коштів з ЄС;
- методики планування та управління проектами;
- основні принципи та етапи управління проектом ЄС;
- правила, процедури та контрактні зобов'язання проектів, співфінансованих ЄС;
- особливості розробки бюджету проекту та подання фінансової звітності;

вміти:

- проводити структуризацію циклу управління проектом;
- обирати оптимальні методики та інструменти управління проектами;
- вирішувати практичні завдання із застосуванням логіко-структурного підходу для планування та управління проектами;
- визначати параметри і проблематику проекту, структуру та функції зацікавлених осіб проекту;
- планувати усі етапи життєвого циклу проекту;
- складати логіко-структурну схему;
- розробляти план управління змістом проекту, формувати ієрархічну структуру робіт, складати перелік робіт і встановлювати зв'язки між ними;

- формувати план управління часом проекту; розраховувати тривалість виконання робіт;
- складати календарний графік проекту;
- формувати кошторис і бюджет проекту;
- визначати очікувані результати проектної діяльності та проводити аналіз розповсюдження результатів проекту задля забезпечення довготривалості ефектів результатів проекту.

Знання, вміння, компетенції отримані слухачами під час вивчення даного курсу, використовуватимуться в подальшому при їх навчальній, професійній та громадській діяльності. Зважаючи на те, що проекти ЄС стосуються різних сфер життєдіяльності суспільства, реалізація курсу, що охоплює вибрані аспекти управління проектами, що фінансуються із фондів ЄС, сприятиме підвищенню професійних навиків та можливостей випускників.

Цільова аудиторія курсу

Цільова аудиторія курсу включає не лише студентів та молодих науковців, але й представників мас-медіа, членів професійних та неурядових організацій, а також працівників державних, громадських, політичних інституцій та інших зацікавлених осіб.

Зміст роботи курсу

Навчальний матеріал курсу структурований за модульним принципом і складається з двох класичних навчальних модулів. Окремим третім модулем є проектна робота, яка виконується протягом навчального періоду.

Модуль 1

Тема I. Вступ до європейських студій

Правові, інституційні та економічні аспекти діяльності ЄС.
Європейський інтеграційний процес.

Політика ЄС щодо країн-не членів ЄС – фінансування та інструменти її впровадження.

Пряме та непряме фінансування ЄС та сфери його охоплення – можливості отримання фінансування від ЄС в рамках програмного періоду 2014–2020.

Фінансування з боку ЄС у сфері вищої освіти в рамках фінансової перспективи 2014–2020 (Горизонт 2020, Еразмус+). Можливості фінансування з ЄС для приватного, публічного та третього сектору.

Тема II. Основи управління проектами ЄС

Правові та організаційні аспекти управління проектами ЄС.

Сутність та розуміння специфіки управління проектами ЄС.

Розуміння правил, процедур та контрактних зобов'язань проектів, спів фінансованих за кошти ЄС.

Проектний підхід.

Цикл управління проектом.

Логіко-структурний підхід.

Бюджет та фінансове звітування.

Розповсюдження результатів, моніторинг, евалюація та забезпечення довго тривалості результатів проекту.

Модуль 2

Співробітництво ЄС з Україною: правові, інституційні та економічні аспекти.

Вступ до управління проектами.

Цикл управління проектом. Етапи життєвого циклу управління проектом.

Логіко-структурна схема. Дерево проблем. Дерево цілей.

Розробка плану, етапів і термінів роботи за проектом.

Бюджет проекту.

Моніторинг та евалюація.

Модуль 3

Проект

Навчальний план

Загальний обсяг навчального навантаження – 52 години на рік.

Система контролю

Тестовий контроль.

Annotation of the course

The course confines theory with practice. The objective of the course “EU Project Management” is to provide students with the needed and comprehensive knowledge and essential skills of EU cooperation policy including the aspects of EU project management. Furthermore, the module aims at contributing to the preparation of students to use the tools offered by the EU and to participate in calls proposed by the EU in order to get funding for the proposals as well as to increase the awareness, knowledge and skills for successful, cost-effective preparation a funding proposal and to develop management capabilities for the implementation of projects. The course materials will also be in an open access on the website of the Lesya Ukrainka Eastern European National University and the Department of International Economic Relations and Project Management and in the social networks.

The target group is composed of not only students and young researchers, but also journalists, members of professional and non-governmental organizations, as well as employees in state, public, political institutions and other non-EU related studies persons.

Content of the course

Module I

Theme I. General introduction to EU studies

The Legal, Institutional and Economic Aspects of the European Union.

European Integration Process.

EU Cooperation Policy with the non EU Member Countries – Policy Addressed the European Funding and Its Implementation Tools.

Direct and Indirect Funding of the EU and Areas Covered – Presentation of the Opportunities Offered by the EU under the Current Programming Period 2014–2020.

European Funds in the Field of Higher Education – the European Perspective 2014–2020 (Horizon 2020, Erasmus+). European Funding Opportunities for the Private, Public and Third Sector.

Module II

Theme II. Basics of EU project management

Legal and Organizational Aspects of EU Project Management.

Defining and Understanding the Specificity of EU Project Management.

Understanding of the Rules, Procedures and Contractual Obligations Involved in EU Funded Projects.

The Project Approach.

Project Cycle Management. Stages of the Project Life Cycle.

The Logical Framework Approach. The Tree of Problems. The Tree of Goals. Project Schedule Development.

Management of Budget and Financial Reporting.

Dissemination. Monitoring and Evaluation.

Module III

Project

Theme I. General introduction to EU studies

The Legal, Institutional and Economic Aspects of the European Union

The three Pillars of the European Union

Common metaphor according to which the EU is like a temple on three pillars:

- **European Communities** – treaties establishing the European Economic Community, European Coal and Steel Community and the European Atomic Energy Community,
- **Common foreign and security policy**, as defined in Section V of the EU Treaty,
- **Cooperation in the field of justice and home affairs**, as defined in section VI of the EU Treaty.

European Union – history, pillars, treaties and agreements							
1951	1957	1965	1986	1992	1997	2001	2007
		European Communities		European Union			
	European Coal and Steel Community						
	European Community (EEC)		Economic Community	European Community			
				Justice and Home Affairs of EU			
			European political cooperation	Common foreign and security policy			
	European Atomic Energy Community						
Paris	Rome	Brussels	Luxembourg/Hague	Maastricht	Amsterdam	Nice	Lisbon

EU is based on the principles of liberty, democracy, respect for human rights and fundamental freedoms, and the rule of law; these principles are common to all Member States. EU respects the diversity of cultures and traditions of European nations.

“Copenhagen criteria” to access the EU

This criteria can be divided into: **political criteria**: stability of institutions guaranteeing democracy, the existence of civil society, the legitimate authority, respect for human rights, protection of minority rights in the candidate country; **economic criteria**: compe-

titive market economy that provides welfare and adequate standard of living; **legal criteria**: the ability to implement legal instruments of Communities and assume obligations of membership.

European Integration Process

Europe a la carte (Strategies “menu” of European countries)

Europe “à la carte” – the European integration model on which most states choose whether to participate in certain specific integration initiatives or not.

Concentric circle of Europe – the Europe division concept into groups of the integration degree. Such approach can be applied not only to the integration structure of the European Union.

Europe of regions – this term refers to the concept that totally opposes the concept of centralized creation of Pan-European institutions and involves the active participation of European regions in the EU governance functions.

Multi-speed Europe – a term used to describe the idea of the possibility of integrating different rates for different countries. Those member-states who have the desire and opportunity, with the consent of the other, can quickly advance in integration process in a particular area.

Deepening – integration between the EU states.

Enlargement – the accession of new states to the European Union.

Closer cooperation (enhanced (closer) cooperation) – deeper integration among several, not all, member-states in some political areas.

The institutions of the EU

The European Parliament (elected by the people of the Member States). The Council of The European Union (represented by the Governments of the Member States.) The European Commission (mover and executive organ). The EU Court of Justice (provides legitimacy). The European Court of Auditors (controls financial management).

There are also many other institutions that help to reach the goals of the EU: the European Council, the Council of the EU, the European Parliament, the European Commission, the European Court of Justice etc.

The EU Budget – all EU revenues and its expenditures are contributed to the budget of the community on the basis of annual forecasts. However, the exception of this rule is funding the operating costs associated with implementation the provisions of chapters V and VI the Treaty on European Union, which can be carried out by the Member States.

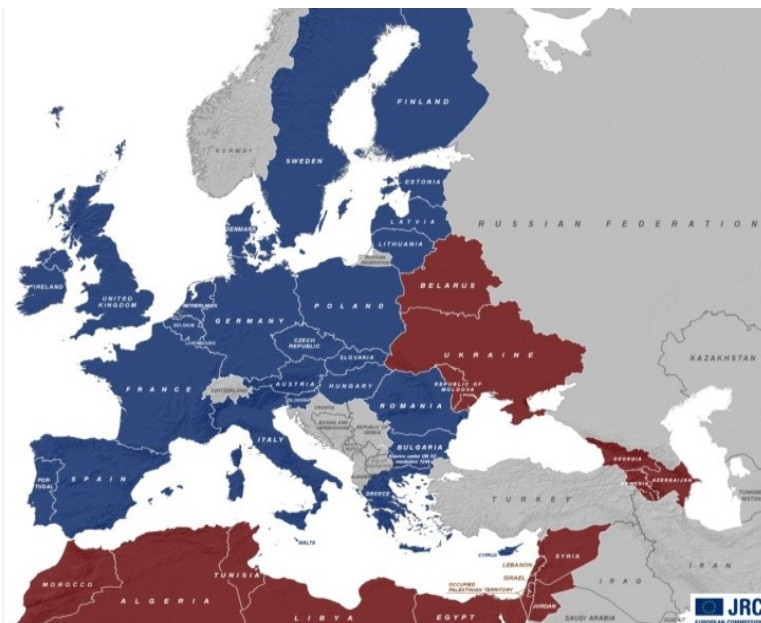
EU Cooperation Policy with the nonEU Members Countries – Policy Addressed the European Funding and its Implementation Tools

Origin and aims of Eastern dimension of the European Neighborhood Policy

The EU is in the process of studying its own unique objectivity. It is a specific participant of international relations, the status of which depends on the status of a country and international organization. Within the development of the EU, a range of principles and instruments was developed which was aimed at influencing the international environment. It consists of special external policies for international relations which are based on the principles underlying the emergence and development of the EU. Countries which are in the immediate vicinity of the EU, were the specific subject-matter of its external actions at every stage of development.

Common Foreign and Security Policy

The main condition of the emergence of the new policies of the EU towards these neighboring countries was introduced by the process of creating the Common Foreign and Security Policy. On December 11, 1999 the European Council used this instrument by adopting the *Common Strategy on Ukraine* by which it underlined the readiness to deepen bilateral relations.



The second condition of development of the new policy of the EU towards the neighboring countries is unprecedented enlargement that took place in 2004 and 2007.

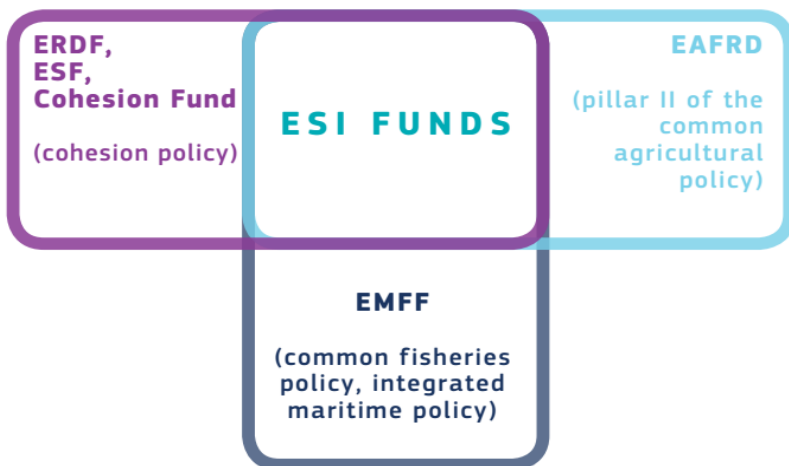
At the end, the result of expansion of the EU was the priority area of influence of European foreign policy – *the European Neighborhood Policy (ENP)*, which is aimed at creating around the EU a zone of stability, security and development. The European Neighborhood Policy as an official policy of the EU was presented for the first time in the report of the Commission on “*Wider Europe*”.

ENP is addressed to all the countries bordering the EU. The policy towards the EU’s neighbors is formed within the so-called dimensions of the EU. “Dimensions” meant the conceptual and reformatory principles towards external regions of the EU. Ukraine belongs to the groups of neighbors of the Eastern dimension.

Financial implementation tools:

- European Neighbourhood and Partnership Instrument, EISP (2007–2013);
- European Neighbourhood Instrument, ENI (2014–2020).

Direct and Indirect Funding of the EU and Areas Covered – Presentation of the Opportunities Offered by the EU under the Current Programming Period 2014–2020



Main 5 ESI Funds:

- the European Regional Development Fund (ERDF);
- the European Social Fund (ESF);
- the Cohesion Fund;
- the European Agricultural Fund for Rural Development (EAFRD);
- the European Maritime and Fisheries Fund (EMFF).

Common rules for five ESI Funds in 2014–2020

There is now a single set of rules covering the EU's five ESI Funds. The purpose of these rules is to establish a clear link with the Europe 2020 strategy for generating smart, sustainable and inclusive growth in the EU, improve coordination, ensure consistent implementation and make access to the ESI Funds as straightforward as possible for those who may benefit from them. The 2014–2020 programming period brought forward a new legislative framework for these five Funds, which fall under the EU's cohesion policy, the common agricultural policy and the common fisheries policy.



ESI Funds goals and intervention principles

These goals are at the core of the Europe 2020 strategy. The *ESI Funds* aim to provide support to deliver this strategy, as well as Fund-specific missions including economic, social and territorial cohesion. While the overall missions of the *ESI Funds* are defined clearly in the Treaties, policy reforms for the period 2014–2020 are derived from Europe 2020 strategy.

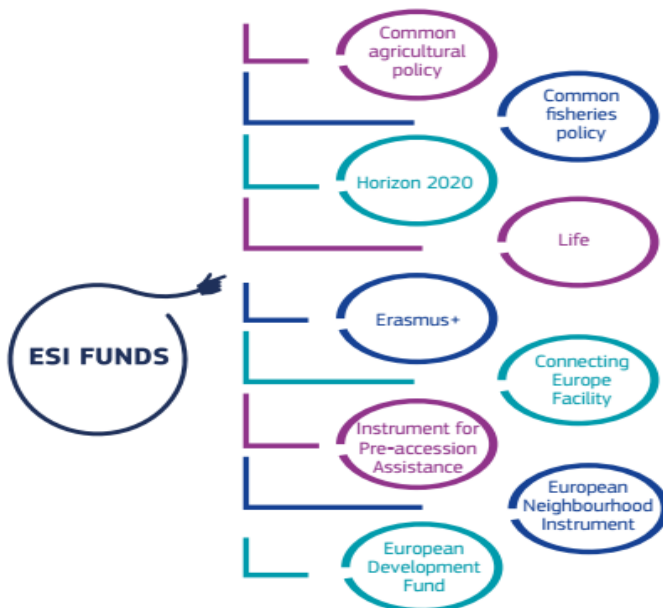
Key goals of cohesion policy in the period 2014–2020:

- Investment for growth and jobs, a goal common to all three categories of regions (supported by the ERDF, EFS, Cohesion Fund);
- European territorial cooperation (supported by the ERDF).

Strategic approach

The new legal framework substantially strengthens links with the Europe 2020 strategy and enhances the principle of coordination between the ESI Funds and with other EU instruments.

The Common Strategic Framework also sets out practical ways to build synergies between the ESI Funds and other EU policies and instruments:



Three categories of regions

The level of support still depends on each region's position in relation to the average GDP per capita of the EU-27. For cohesion policy and EAFRD, the CPR now distinguishes between three categories of regions instead of the previous two (Convergence and Regional Competitiveness & Employment in 2007–2013).

These three are:

1. Less developed regions: those whose GDP per capita is less than 75 % of the average GDP of the EU-27;
2. Transition regions: those whose GDP per capita is between 75 % and 90 % of the average GDP of the EU-27, this category replaced the phasing-in and phasing-out mechanisms applied in the previous funding period;
3. More developed regions: those whose GDP per capita is above 90 % of the average GDP of the EU-27.

European Funds in the Field of Higher Education – the European Perspective 2014–2020 (Horizon 2020, Erasmus+)

Horizon 2020 is the biggest EU Research and Innovation programme ever. It promises more breakthroughs, discoveries and world-firsts by taking great ideas from the lab to the market:

- it is the new framework for the EU’s investments in research and innovation for every stage of the innovation process from basic research to market uptake;
- its main priorities are generating excellent science, creating leadership in industrial technologies, and tackling societal challenges;
- Budget: nearly €80 billion of funding available over 7 years (2014 to 2020).

The HORIZON 2020 Framework Programme:

- European Research Council;
- Future and Emerging Technologies;
- Marie Skłodowska-Curie actions;
- European Research Infrastructures, including e-Infrastructure.

Erasmus+ Programme for the period 2014–2020. Erasmus+ replaces seven programmes bringing together:

- the Lifelong Learning Programme (Erasmus, Leonardo da Vinci, Comenius, Grundtvig and Jean Monnet);
- the Youth in Action Programme;
- Five international cooperation programmes (Erasmus Mundus, Tempus, Alfa, Edulink, the programme for cooperation with industrialised countries);
- the new sport action.

What does Erasmus+ support?

- Erasmus + provides grants for a wide range of actions and activities in the fields of education, training, youth and sport;

- the programme gives opportunities to students, trainees, staff and volunteers to spend a period abroad to increase their skills and employability;

- it supports organisations to work in transnational partnership and to share innovative practices in the fields of education and training youth;

- the new Sport action will support grassroots projects and cross-border challenges such as combating match-fixing, doping, violence and racism.

How ERASMUS + is managed?

- the actions of the Erasmus + Programme are divided into *decentralised actions* and *centralised actions*;

- the decentralised actions are managed in each programme country by *National Agencies* that are appointed by their national authorities;

- the centralised actions are managed at a European level by *the Education, Audiovisual and Culture Executive Agency (EACEA)* located in Brussels;

- *EACEA* is in charge of the *complete life-cycle management of projects*, from the promotion of the programme, the analysis of the grant requests, the on-the-spot monitoring of projects, up to the dissemination of the projects' and programme's results.

Jean Monnet. What is the aim of Jean Monnet Activities?

- Jean Monnet Activities are designed to promote excellence in teaching and research in the field of European Union studies worldwide. The activities also foster the dialogue between the academic world and policy-makers, in particular with the aim of enhancing governance of EU policies.

What types of activities are supported?

- **Teaching and Research:** Jean Monnet Modules, Chairs and Centres of Excellence;

- **Support to Associations:** Jean Monnet support to Associations;

- **Policy debate with the Academic World:** Jean Monnet Networks and Jean Monnet Projects;
- **Key activities** include courses, research, conferences, networking activities, and publications in the field of EU studies.

Theme II. Basics of EU Project Management

Legal and Organizational Aspects of EU Project Management

Project management is the discipline of initiating, planning, executing, controlling, and closing the work of a team to achieve specific goals and meet specific success criteria.

Beneficiary – institution/organisation that benefits from the project implementation. On the application stage, it means applicant, its co-applicants and affiliated entities.

The EU combines different types of support to countries in need. It provides funding in the form of grants to support projects and organisations furthering its development objectives. It also offers public contracts and provides budget and sector support.

Grants and contracts

Grants are direct financial contributions provided to organisations, or to projects carried out by them. Most of the time, the Commission attributes them through calls for proposals. **Contracts** are awarded through tendering procedures to purchase services, supplies or works.

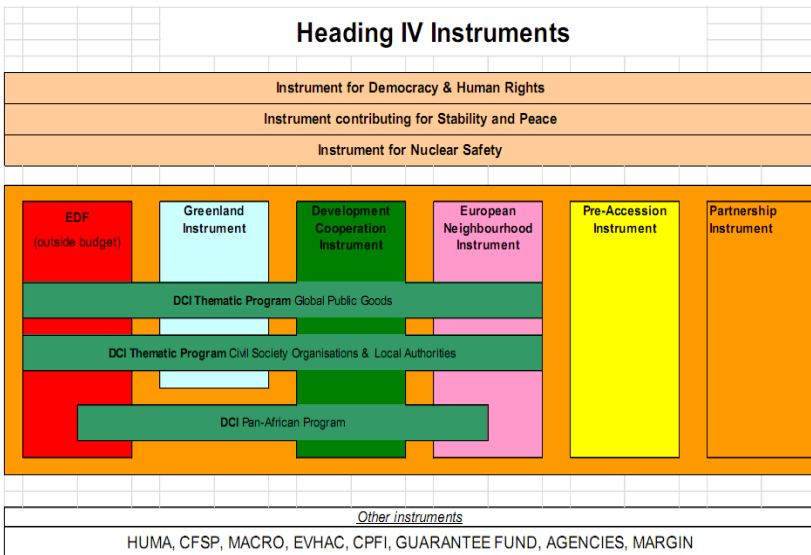
Both contracts and grants are awarded for activities contributing to specific development goals.

Budget support

Budget for the Action – in case of grants, the budget shows all costs eligible for funding and the total cost. It includes costs financed from EU contribution and from beneficiary's own sources. Budget support is an important tool to finance partner countries' development strategies. It consists of financial transfers to the national treasuries, and also involves policy dialogue and measures to assess the use made of these funds.

Sector support

A large part of the development funding made the EU targets specific sectors available in partner countries. This so called “sector approach” increases the effectiveness of aid by supporting government-owned strategies. Sector support gives a boost to sector programmes run by partner governments. The funding can take on the form of sector budget support, grant and contract funding, or “common basket funding” pooling resources from different donors.



Defining and Understanding the Specificity of EU Project Management

The general ENP objectives are refined according to the needs of each programme area and are described in detail in a Cooperation Programme document. This document also presents how coordination and synergies with other programmes and financial instruments in the area are foreseen. Programmes operate by inviting a portfolio of projects to deliver these objectives. Projects are governed by the same quality criteria that define all other types of projects: they need to achieve fixed objectives with limited

resources (budget and staff) and within a defined timeframe. European Commission, the Member States and the Partner States participating in the ENP programmes expect the following from projects applying for funds in ENP programmes:

- A result-driven approach;
- A firm evidence base;
- Concentration of funding.

Project is a series of activities aimed to achieve fixed objectives with limited resources (budget and staff) and within a defined timeframe.

Project Management is the skills, knowledge, experience, tools and processes that are required to make a project successful.

Requirements for the joint working approach

ENP strongly supports a process of ever greater cooperation across Europe’s borders and, as a result, *4 cooperation criteria* are defined in the regulation. All ENP projects must work jointly on both project development and implementation in order to be considered for funding. In addition, all projects must also commit to either joint staffing or joint financing. Programme interpretations may vary slightly, but some of the main points for delivering on this ‘jointness’ are included in the following table. **Advantages of cooperating:** integration results, investment results, performance-related results.

Relationship between projects, programmes and policies



General principles. Proposals must comply with the following principles:

1. *Co-financing rule:* external co-financing from a source other than EU funds is required, either from the Applicant and/or from Co-beneficiaries and/or Associate Partners own resources or financial resources from third parties (minimum 10 % of the total eligible costs of the project).

2. *Non-profit principle:* the project may not have the purpose or effect of producing a profit for the Applicant organisation/Coordinator, Beneficiaries, Associate Partners and third parties.

3. *Non-retroactivity rule:* expenditure eligible for co-financing must be incurred after the starting date stipulated in the Grant Agreement.

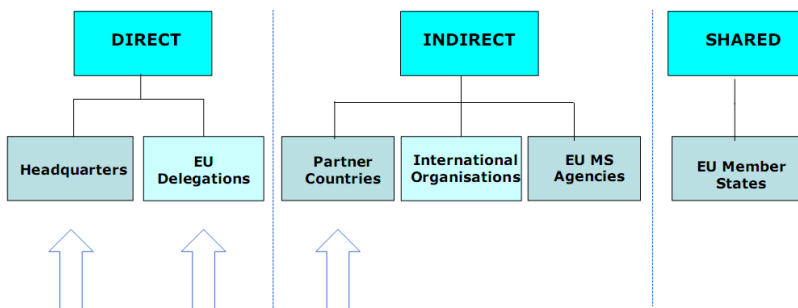
4. *Non-cumulative rule:* only one single grant may be awarded for a specific project carried out by a given beneficiary.

5. *Sound financial management:* economy, efficiency and effectiveness.

Understanding of the Rules, Procedures and Contractual Obligations Involved in EU Funded Projects

What is the PRAG? Practical Guide to contract procedures for European Union external actions. It explains the contracting procedures applying to all EU external actions financed by the EU budget and the European Development Fund (EDF).

Management Modes



Core principles: Transparency, Proportionality, Sound financial management, Equal treatment and non-discrimination, Avoidance of any conflict of interests, Non-retroactivity

Procurement procedures (1)

Open tender / call for proposals. Any operator can send a bid/proposal. It is a one-phase procedure.

Restricted tender / call for proposals. Bidders or applicants may apply to participate, but only some will be invited to submit a bid/proposal following the results of the selection phase (selection criteria). There are therefore two phases in the restricted procedure.

Procurement procedures (2)

Competitive negotiated procedure. The contracting authority invites at least three candidates of its choice to submit tenders.

Negotiated procedure. The contract is awarded directly to a company/consortium following a negotiation. It is used in concrete cases, such as: Following a failed tender. Extreme urgency or operations carried out in crisis situations.

Additional supplies/services/works. Secret contracts, cases of monopoly, etc.

Which procedure for which amount?

SERVICE CONTRACTS	≥ € 300 000 International restricted tender procedure	< € 300 000 but ≥ € 20 000 – Framework contracts or – Competitive negotiated procedure		≤ € 20 000 Single tender
SUPPLY CONTRACTS	≥ € 300 000 International open tender procedure	< € 300 000 but ≥ € 100 000 – Local open tender procedure	< € 100 000 but > € 20 000 – Competitive negotiated procedure	For service, and supply contracts, a payment may be made against invoice without prior acceptance of a tender in expenditure is ≤ 2500 €
WORKS CONTRACTS	≥ € 5 000 000 International open tender procedure or – International restricted tender procedure	< € 5 000 000 but ≥ € 300 000 Local open tender procedure	< € 300 000 but > € 20 000 Competitive negotiated procedure	

The Project Approach

Project is a series of activities aimed at bringing about clearly specified objectives within a defined time-period and with a defined budget.

Projects were (and still are) seen to act as a crucial coordinating mechanism for the implementation of policy and the integration of resources and institutions. Projects differ in size, scope cost and time, but all have the following characteristics:

- A **start** and a **finish**;
- A **life cycle** involving a series of phases (between the beginning and end);
- A **budget**;
- A set of **activities** which are sequential, unique and non-repetitive;
- Use of **resources** which may require coordinating;
- Centralised **responsibilities** for management and implementation;
- Defined **roles** and **relationships** for participants in the project.

What is Project Management?

Project Management is the process of achieving project objectives (schedule, budget and performance) through a set of activities that start and end at certain points in time and produce quantifiable and qualifiable deliverables. Successful Project Management is the art of bringing together the tasks, resources and people necessary to accomplish the business goals and objectives within the specified time constraints and within the monetary allowance.

Project Cycle Management

PCM is the term given to the process of planning and managing projects, programmes and organisations. It is used widely in the business sector and is increasingly being used by development organisations. PCM is based around a project cycle, which ensures that all aspects of projects are considered. A central value of the PCM method is that aspects of the project are reconsidered

throughout the project cycle to ensure that any changes which have occurred are included in the project design. As a result, projects are more likely to be successful and sustainable.

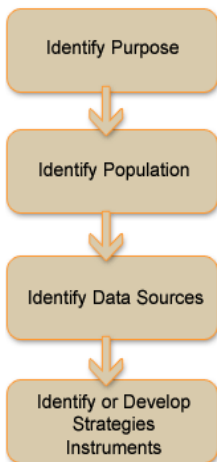
EU Project Cycle

The way in which projects are planned and carried out follows a sequence beginning with an agreed strategy, which leads to an idea for a specific action, oriented towards achieving a set of objectives, which then is formulated, implemented, and evaluated with a view to improving the strategy and further action.



Merging PCM and Logframe Approach

The Project Cycle provides a structure to ensure that stakeholders are consulted and relevant information is available, so that informed decisions can be made at key stages in the life of a project. **PCM** reflects the decision-making and implementation process; the methodology applied for planning, managing, evaluating projects is the Logical Framework Approach.



Needs Assessment – Identification

- the first step in the project cycle is to identify an issue that a project could address. This usually involves a “needs assessment” which finds out what community needs are and whom they affect;
- only when we know what people really want, we can develop an effective project;
- the project should come out of what people say they want and not from assumptions that we make;
- sometimes the needs are not immediately clear or cannot be easily understood;

– by talking to different people, we will be able to understand how differently problems affect people;

– there are many tools that enable communities to identify their needs.

Project design consists of: stakeholder analysis, research, including problem analysis, log frame, risk analysis, action planning, budgeting.

Project Cycle Management

Stages of the Project Life Cycle. Methodology and an integrated system based on logical framework approach and used to develop, implement and assess projects and programs; improves the quality of project planning and management, ensures its expected outputs and impact increase, supports its sustainability; model used in most of the EU projects.

The Logical Framework Approach. The Tree of Problems. The Tree of Goals. Project Schedule Development

Problem analysis

Before we can start to design the project, we need to analyse the problem identified during project identification. Problem analysis helps primary stakeholders to identify the causes and effects of the problems they face. It involves drawing a problem tree, from which project objectives can be identified.

Method of constructing a Problem Tree

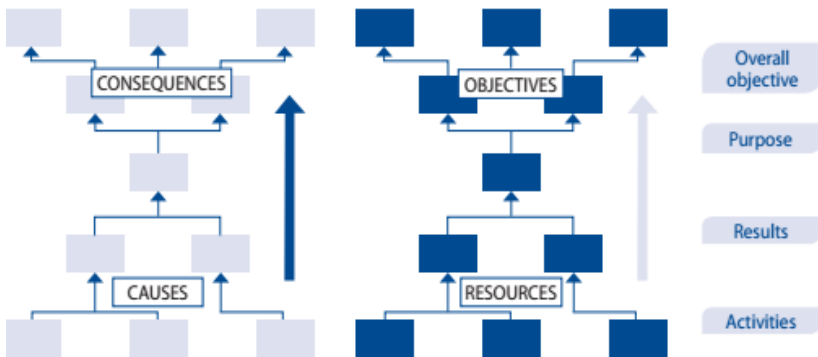
1. Agree on the main problem, usually the one identified during project identification. Write it on a post-it note or piece of card and place it in the middle of the wall or floor. There might be other problems identified by the community that could be explored. Draw separate problem trees for these and compare them later when starting to think about exactly what the project will address.

2. Identify the causes of the main problem by asking ‘But why?’ until we can go no further. Write each cause on a separate

post-it note or piece of card. Some problems might have more than one cause.

3. Identify the effects of the main problem by asking ‘So what?’ until we can go no further. Write each effect on a separate post-it note or piece of card. Some problems might have more than one effect.

Problem and objectives tree



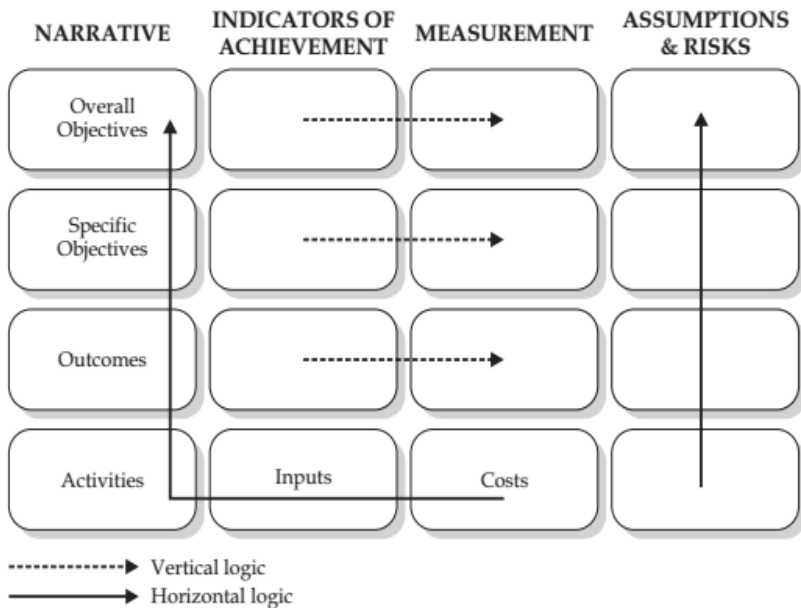
Logical Framework (Logframe Approach – LFA)

The log frame is a tool used to help strengthen project design, implementation and evaluation (the process of completing the log frame helps to think through all the factors that should be considered for planning a successful project). Although it is constructed during the planning stage of a project, **the log frame is a living document**, which should be consulted and altered throughout the project’s life cycle.

The Logframe Matrix

1. **The overall objective** is the higher-order objective that you are seeking to achieve through this project, often in combination with others.

2. **Specific Objective/Purpose** describes the intended effects of the project (project purpose), the immediate objective for the direct beneficiaries as a precisely stated future condition.



3. **Results/outputs** are expressed as the targets which the project management must achieve and sustain within the life of the project.

4. **Activities** are expressed as processes, in the present tense starting with an active verb, such as prepare, design, construct, research.

The log frame asks a series of further questions:

- Where do we want to be? (**goal, purpose**);
- How will we get there? (**outputs, activities**);
- How will we know when we have got there? (**indicators**);
- What will show us we have got there? (**evidence**);
- What are the potential problems along the way? (**assumptions**).

Management of Budget and Financial Reporting

What is “grant”? Grant – is a non-refundable financial resource given to an institution or individual to realize a project, address a problem or need under a specific policy area. **The main difference**

between a grant and charity/donation? You have to realize what you have proposed in your project application, all the activities and outputs. Grants are not free loans!

What is an “EU Grant Programme?”

Financial resources allocated by the EU for member states and candidate states to be used for specific policy areas. Grants are given to national governments or to different segments of the society (Universities, high schools, municipalities, NGOs etc).

Resource Planning:

- prepare your resource planning for each project activity;
- which resources do we need? How many resources do we need? (Human resource, equipment, resources for dissemination);
- watch out the details and limits indicated in the call;
- calculate the institutional contribution;
- who is going to manage the budget?;
- how to monitor and manage the budget?

Dissemination. Monitoring and Evaluation

Dissemination Plan:

- it might be a separate work package;
- coordinator of the dissemination plan;
- every partner has to actively contribute to dissemination activities;
- determine specific activities and performance indicators of the dissemination plan;
- “Multiplier effect”.

Monitoring:

- during the implementation phase of the project, systemic and regular gathering data and evaluating it concerning whether the project is being implemented as it is proposed;
- it is a dynamic process which allows revisions of activities and budget;
- the quality aspect of the project;
- risk management and the solutions proposed.

Evaluation: Assessment of the activities, partners, impact of the project (mid-term reports, final report). **Internal Evaluation:** Partner performance. **External Evaluation:** Independent expert.

Sustainability:

– **Financial Sustainability:** After the end of the project and when the funding finishes, through which financial resource will the impact of the project be sustained?

– **Institutional Sustainability:** After the project ends, how will the institutional structure monitor and continue to implement some activities of the project?

– **Political Sustainability:** After the project ends, whether the local and national policies continue to support the impact of the project.

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