



# Lead Applicants Seminar – 2<sup>nd</sup> call for proposals

*Budapest, 9th February 2017*

A stream of cooperation

# Introduction and Timeframe

- 08.00 – 09:00*      *Registration of participants*
- 09.00 – 09.15**      **Introduction and Timeframe**
- 09.15 – 11.00**      **Specific Objectives (SOs) to be addressed**
- 11.00 – 11.30*      *Coffee break*
- 11.30 – 12.00**      **Eligibility**
- 12.00 – 12.15**      **Main elements of the Application Form**
- 12.15 – 12.45**      **Intervention logic**
- 12.45 – 14.15*      *Networking lunch break*

- 14.15 – 14.35**      **Assessment**
- 14:35 – 14:50**      **Practical experience from an applicant**
- 14.50 – 15.20**      **Communication**
- 15.20 – 15.45**      **Financial management of the project (budget planning, etc.)**
- 15.45 – 16.15**      *Coffee break*
- 16.15 – 16.45**      **Eligibility of expenditure**
- 16.45 – 17.00**      **Wrap-up and closure**

# Introduction of the DTP



## Innovative and socially responsible Danube Region

- 1.1: Improve framework conditions for innovation
- 1.2: Increase competences for business and social innovation



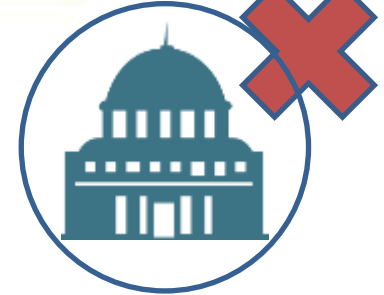
## Environment and culture responsible Danube Region

- 2.1: Strengthen transnational water management and flood risk prevention
- 2.2: Foster sustainable use of natural and cultural heritage and resources
- 2.3: Foster the restoration and management of ecological corridors
- 2.4: Improve preparedness for environmental risk management



## Better connected and energy responsible Danube Region

- 3.1: Support environmentally-friendly and safe transport systems and balanced accessibility of urban and rural areas
- 3.2: Improve energy security and energy efficiency



## Well governed Danube Region

- 4.1: Improve institutional capacities to tackle major societal challenges
- 4.2: Support the governance and implementation of the EUSDR

## Overall DTP budget:

Fund	EU contribution	National co-financing	Total
ERDF	202,095,405.00	37,565,971.00	239,661,376.00
IPA	19,829,192.00	3,499,271.00	23,328,463.00
ENI UA	5,000,000.00	794,119.00	5,794,119.00
ENI MD	5,000,000.00	794,119.00	5,794,119.00
<b>Total</b>	<b>231,924,597.00</b>	<b>42,653,480.00</b>	<b>274,578,077.00</b>

Planned to be available at the launch of the 2<sup>nd</sup> CFP.



# Specific Objectives (SOs) to be addressed

### **SO 1.1: Improve framework conditions for innovation**



Improve the institutional and infrastructural framework conditions and policy instruments for research & innovation to ensure a broader access to knowledge for the development of new technologies and the social dimension of innovation.



### **2<sup>nd</sup> Call restrictions!!!**

- Commercialisation of research results and technology transfer;
- Cluster policies and transnational cluster cooperation based on smart specialisation approaches;
- Management of intellectual property rights for supporting innovation

### Available funds for the 2<sup>nd</sup> Call 7,016,115.42 EUR

ERDF	IPA	ENI
5,958,680.86 EUR	253,178.96 EUR	<i>ENI MD</i> 402,127.80 EUR  <i>ENI UA</i> 402,127.80 EUR

## SO 1.2 – Business & social innovation

### SO 1.2: Increase competences for business and social innovation



Foster innovative learning systems to increase competences of employees in the business sector, to strengthen entrepreneurial culture and learning contributing to better meet social needs and the delivery of services in the general interest.

**No restrictions for 2<sup>nd</sup> Call!**

## SO 1.2 – Business & social innovation

 <b>Topics addressed by the DTP</b>	 <b>NOT addressed by the DTP</b>
<p>Projects built around the knowledge triangle of research, education and social innovation, producing knowledge through research, diffusing it through innovative learning systems, and applying it through social innovation in order to:</p> <ul style="list-style-type: none"> <li>➤ Improve policy learning and development of practical solutions to better adapt human resources to technological change and market requirements</li> <li>➤ Improved policies and practical solutions for entrepreneurial culture and learning</li> <li>➤ Improved environment, skills and competences to advance social innovation and social services to better meet social and address new challenges</li> <li>➤ Building capacities of public administration to better cope with innovation processes</li> </ul>	<p>Purely academic, soft research and networking projects not having the key constitutive elements as to allow them to translate soft activities (surveys, studies, analysis, territorial mapping, virtual cooperation, questionnaires, abstract ICT tools etc.) into concrete and sustainable project outputs.</p> <p>Hard infrastructure projects and investment with significant costs.</p> <p>Projects not looking to proposed innovative learning systems or address social innovation and with no policy uptake capacity.</p>

### Available funds for the 2<sup>nd</sup> Call

# 14,552,145.78 EUR

ERDF	IPA	ENI
12,579,492.19 EUR	1,168,397.99 EUR	<i>ENI MD</i> 402,127.80 EUR  <i>ENI UA</i> 402,127.80 EUR

### SO 2.1: Strengthen transnational water management and flood risk prevention



strengthen **joint and integrated approaches** to further **develop and implement River Basin Management Plans** in the Partner States in line with the overall Danube River Basin Management Plan in order to **improve transnational water management and flood risk prevention** contributing to the sustainable provision of ecosystem services.

## Specific Objective 2.1

 <b>Topics addressed by the DTP</b>	 <b>NOT addressed by the DTP</b>
<ul style="list-style-type: none"> <li>➤ Harmonised, joint monitoring and management of ecological, chemical status of waters</li> <li>➤ Joint measures to reduce water pollution</li> <li>➤ More efficient waste water treatment</li> <li>➤ Harmonised management of sediment quality</li> <li>➤ Joint flood monitoring, forecasting, alert systems and measures</li> <li>➤ Harmonised, sustainable flood <u>prevention</u> measures</li> </ul>	<ul style="list-style-type: none"> <li>➤ Flood risk / disaster management instead of prevention ➡ (SO 2.4)</li> <li>➤ Focusing more on sludge management / renewable energy usage in relation to waste water treatment</li> <li>➤ Solid waste treatment</li> <li>➤ Focusing on infrastructure development</li> <li>➤ Focus on local needs / cross-border area</li> </ul>

### **2<sup>nd</sup> Call restrictions!!!**

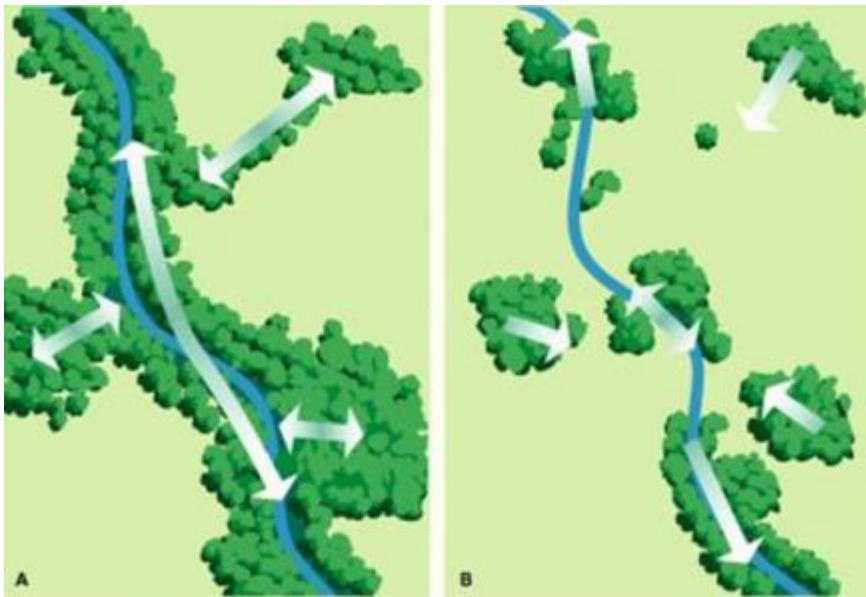
- Flood prevention (monitoring / early warning systems; preventive solutions)
- Water quality management (e.g. harmonised monitoring and assessment systems and solutions, measures to reduce nutrient and hazardous substance pollution, more efficient waste water treatment solutions).



### Available funds for the 2<sup>nd</sup> Call **3,562,460.58 EUR**

<b>ERDF</b>	<b>IPA</b>	<b>ENI MD*</b>	<b>ENI UA*</b>
2,940,677.01 EUR	296,060.37 EUR	162,861.60 EUR	162,861.60 EUR



### SO 2.3: Foster the restoration and management of ecological corridors



Strengthen effective approaches to **preservation, restoring and management of bio-corridors and wetlands of transnational relevance** to contribute to the better conservation status of ecosystems of European relevance.

**No restrictions for 2<sup>nd</sup> Call!**

## Specific Objective 2.3

 <b>Topics addressed by the DTP</b>	 <b>NOT addressed by the DTP</b>
<p>➤ <u>Improve interlinking / connectivity along transnationally relevant ecological corridors</u></p> <ul style="list-style-type: none"> <li>• Restoring flood plains, wetlands</li> <li>• Reducing barriers and supporting integrated habitat management for migratory species</li> <li>• Harmonised spatial planning / land use management techniques to reduce fragmentation of ecosystems</li> </ul>	<p>➤ <u>Without transnationally relevant corridor / connectivity approach focusing on:</u></p> <ul style="list-style-type: none"> <li>• Biodiversity</li> <li>• Management of protected areas</li> <li>• Management of habitats</li> <li>• Agriculture related issues</li> <li>• Soil management</li> <li>• Monitoring / management tool development</li> </ul>

### Available funds for the 2<sup>nd</sup> Call **5,167,872.25 EUR**



<b>ERDF</b>	<b>IPA</b>	<b>ENI MD*</b>	<b>ENI UA*</b>
4,410,625.53 EUR	431,810.32 EUR	<i>162,718.20 EUR</i>	<i>162,718.20 EUR</i>

### SO 2.4: Improve preparedness for environmental risk management

Establish and develop a **more effective governance system for environmental protection addressing emergency situations and improve the preparedness of public authorities and civil protection organisation contributing to the **reduction of risks and impact on ecosystem services, biodiversity and human health**.**

**No restrictions for 2<sup>nd</sup> Call!**

## Specific Objective 2.4

 <b>Topics addressed by the DTP</b>	 <b>NOT addressed by the DTP</b>
<ul style="list-style-type: none"> <li>➤ Strategic, operational cooperation; interoperability among emergency response authorities and stakeholders responding to major transnational emergencies               <ul style="list-style-type: none"> <li>• <b>Flood protection</b>, but not directly flood prevention ➔ (SO 2.1)</li> <li>• <b>Drought</b> management</li> <li>• <b>Industrial accidents</b></li> <li>• <b>Single / multi-risks</b></li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>➤ Flood prevention focus (SO 2.1)</li> <li>➤ Climate change adaptation</li> <li>➤ Air pollution focus</li> <li>➤ Natural disasters not connected to non-functioning ecosystems / man-made actions (earthquakes, geomagnetic storms...)</li> <li>➤ Human health related interventions (e.g. epidemics, diseases)</li> </ul>

### Available funds for the 2<sup>nd</sup> Call **6,832,850.10 EUR**

<b>ERDF</b>	<b>IPA</b>	<b>ENI MD*</b>	<b>ENI UA*</b>
6,008,367.90 EUR	499,045.80 EUR	<i>162,718.20 EUR</i>	<i>162,718.20 EUR</i>

*Specific objective:*

Strengthen **joint** and **integrated** approaches to **preserve** and **manage** the diversity of natural and cultural heritage and resources in the Danube region as a basis for **sustainable development** and **growth strategies**.







➤ **Improved frameworks, capacities and solutions for sustainable tourism development in the Danube region**

*based on*

- Protection and sustainable use of natural and cultural heritage and resources,
- Reduction of resource and energy consumption and
- Sustainable mobility management

## Specific Objective 2.2

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- **Improved strategies and tools for sustainable use of cultural and natural heritage and resources for regional development in order to avoid or limit use conflicts (e.g. with tourism, natural resource consumption)**

## Specific Objective 2.2



both on preservation but also on sustainable use of the natural and cultural heritage and resources as basis for economic development of the region, sustainable tourism development being a central element of the SO as defined by the Cooperation Programme



Management (preservation and valorisation) of resources (water, species etc), tourism without link to natural/ cultural resources, resource consumption/ mobility as a stand alone topics

### Available funds for the 2<sup>nd</sup> Call **10,989,513.66 EUR**

<b>ERDF</b>	<b>IPA</b>	<b>ENI MD*</b>	<b>ENI UA*</b>
9,307,708.48	820,103.18	430,851.00	430,851.00
EUR	EUR	EUR	EUR

### **SO 3.1: Support environmentally-friendly and safe transport systems and balanced accessibility of urban and rural areas**



Improve planning, coordination and creating practical solutions for an environmentally-friendly, low-carbon and safer transport network and services in the programme area contributing to a balanced accessibility of urban and rural areas.

### **2<sup>nd</sup> Call restrictions!!!**

- Multi/ inter-modality (especially inclusive but not limited to rail and air transport)
- Transport safety (inclusive of ITS, if applicable)
- IWT fleet modernisation
- Connectivity of rural areas
- Improvement of public transport

### Available funds for the 2<sup>nd</sup> Call **6,506,903.87 EUR**

<b>ERDF</b>	<b>IPA</b>	<b>ENI MD*</b>	<b>ENI UA*</b>
4,904,692.17	797,956.70	402,127.50	402,127.50
EUR	EUR	EUR	EUR



### SO 3.2: Improve energy security and energy efficiency



Contribute to the energy security and energy efficiency of the region BY supporting the development of joint regional storage and distribution solutions and strategies for increasing energy efficiency and renewable energy usage.



## Specific Objective 3.2

 <b>Topics addressed by the DTP</b>	 <b>Topics NOT addressed by the DTP</b>
<p>SO covers a niche area related to smart energy distribution, storage and transmission systems and distributed generation from renewable sources:</p> <ul style="list-style-type: none"> <li>➤ Development of smart grids and integration of RES</li> <li>➤ Regional energy planning and distribution</li> <li>➤ Security of energy supply through a better exploitation of RES</li> </ul>	<ul style="list-style-type: none"> <li>➤ Development of specific installations, prototypes or technologies</li> <li>➤ Implementation of actions solely aiming the alignment to specific standards, directives or local commitments</li> <li>➤ Indirect approaches (energy efficiency through awareness raising actions/ training of energy managers)</li> <li>➤ The shift towards low-carbon economy - ERDF Regulation 1301/2013, Art.5, (4)</li> </ul>

**No restrictions for the 2<sup>nd</sup> Call!**

**Available funds for the 2<sup>nd</sup> Call**

**5,280,803.34 EUR**

<b>ERDF</b>	<b>IPA</b>	<b>ENI MD*</b>	<b>ENI UA*</b>
4,724,730.34 EUR	153,945.20 EUR	201,063.90 EUR	201,063.90 EUR

# Eligibility

- Partnership requirements – who can apply?
- What are the eligibility criteria?
- How can they be fulfilled?
- What will be checked?
- What are the possible consequences?

# Project partnership

## Partnership requirements

- Minimum three financing partners from **three different countries** of the programme area
- At least one from EU Member State of DTP area ➔ **Lead Partner**
- No max. limit for number of project partners



- Local, regional, national **public bodies/ bodies governed by public law**
  - “body governed by public law” according to Article 2(1) of DIRECTIVE 2014/24
  - Including EGTCs (Article 2(16) of Regulation (EU) No 1303/2013)
- **International organisations** (under national (DTP Partner State) / international law);
  - Fulfil EU, programme and national requirements in terms of control, validation of costs and audits
- **Private bodies** (non-profit & profit, funded by private law)
  - Legal personality
  - Make available results of the project to general public
  - Apply principles of public procurement

➤ **Private non-profit bodies**

- Can be LP, PP, ASP

➤ **Private profit oriented bodies**

- Cannot be Lead Partner
- Private enterprises not eligible as IPA or ENI PP

**Private bodies** whose main scope of activities limited to **project management, communication**, or other activities of **supporting character** cannot be PPs, but to be subcontracted



## Geographic eligibility

- Direct EU financing only for **PPs located in Programme area (including MD\* & UA\*)**
- Legal entities in **DE & UA outside Programme area**
  - Competent in their scope of action for eligible area
  - Activities for benefit of the Programme area
  - Fulfil general eligibility



# Type of Partners

Type of Partner	Location	Budget	Budget lines	
Directly financed partners	<b>LEAD PARTNER</b>	Only EU part of Programme area	Separate	All
	<b>ERDF PARTNER</b>	Only EU part of Programme area	Separate	All
	<b>IPA PARTNER</b>	Only Bosnia and Herzegovina, Montenegro, Serbia	Separate	All
	<b>ENI PARTNER</b>	Moldova and Ukraine	Separate	All
Indirectly financed partners	<b>Associated Strategic Partners (ASPs)</b>	<ul style="list-style-type: none"> <li>➤ EU countries</li> <li>➤ Non-EU countries of the Programme Area</li> </ul>	Part of a "sponsoring" ERDF PARTNER budget	TRAVEL and ACCOMODATION

# Eligibility check

Confirming that the proposal:

- Arrived within the set deadline
- The Application Form is complete
- AF package, including partnership conform to requirements

Check to be carried out by JS and assisted by NCPs

Failure to meet an eligibility requirement can lead to:

- Rejection of the whole proposal (criteria 1-9)
- Rejection of partner(s) with eligibility problem (criteria 10-12)

1. The AF in all its parts has been submitted within the set deadline

- Deadline: **date and time will be set in the Call announcement**
- Submission is valid only if at least the pdf and xls parts of the AF are submitted

2. The AF in all its parts has been submitted in the official templates through the DTP website

- Only official templates provided by the Programme are accepted (*manipulated template files not accepted!*)
- Only electronic submission through specific link of DTP website is accepted
- Only first version of submitted documents (containing pdf and xls parts of AF) will be considered for assessment (*do not “test” submission; make sure each document is complete and final*)

## 3. The AF in all its parts, including the annexes have been submitted in one single package

- **Application Form** (PDF and MS Excel parts) – no signature
- **Partnership Agreement** – 1 document, signed by each financing PP
- **Declaration of co-financing** - filled and signed one / each financing PP
- **State Aid declaration** - filled and signed one / each financing PP
- **Declaration of International Organisations** - filled and signed one / each relevant financing PP (if applicable)
- **ASP declaration** - filled and signed one / each ASP (if applicable)
- *Avoid high resolution when scanning/convertig annexes into “.pdf”*
- *Pack (convert) all files into **one single “.zip” file***

## Application Form and its annexes

Documents	Content
<b>Application Form</b>	<ul style="list-style-type: none"> <li>➤ Part A – main application form (PDF file)</li> <li>➤ Part B – financial tables (MS Excel file)</li> </ul>
<b>Partnership Agreement</b>	Document governing legal aspects of the project, laying down relations of the LP with PPs, responsibilities, rights and others
<b>Declaration of co-financing</b>	<ul style="list-style-type: none"> <li>➤ PP confirming: Legal status; sufficient resources for pre-financing activities; amount and source of financial commitment of own contribution; no liquidation or bankruptcy procedure initiated against; accept obligations deriving from SC; apply principles of public procurement; make available results of the project to general public; avoiding double financing</li> </ul>

## Application Form and its annexes

Documents	Content
<b>State Aid declaration</b>	<ul style="list-style-type: none"> <li>➤ PP confirms in relation to state aid discipline: whether partner institution is undertaking, or not; if project activities are market oriented; if project activities affect trade between MSs; if PP institution is final beneficiary</li> </ul>
<b>Declaration of International Organisations</b>	<ul style="list-style-type: none"> <li>➤ Respective PP agrees: To accept and comply with EU, programme and national requirements, rules, also in terms of control, validation of costs and audits and assuming financial liability</li> </ul>
<b>ASP declaration</b>	<ul style="list-style-type: none"> <li>➤ ASP confirms Its role in project, reason to be involved in the partnership, amount and financing ERDF PP</li> </ul>



# Eligibility criteria

4. The AF is compiled in English

5. Partnership is composed by at least three financing partners from at least three participating countries of which at least one (LP) is located in a Member State

- Financing PPs – ERDF (LA) / IPA / ENI PPs

6. Lead Applicant is an eligible beneficiary

- From ERDF country
- Public body / body governed by public law / private non-profit / international organisation – **but NO private for profit**

## 7. At least 3 joint cooperation levels are indicated

According to Art 12(4) of EU reg. 1299/2013:

- Joint development
- Joint implementation
- Joint staffing
- Joint financing

## 8. The proposal contributes to at least two programme output indicators

Contribution to:

- Horizontal output indicator (documented learning interaction)
- Another type of output indicator (strategy / tool / pilot action)

## 9. Completeness of Partnership Agreement

- Signed by all directly financed partners (LP, ERDF, IPA, ENI but no ASP)

## Criteria that can make fail only affected partner(s)

### 10. Financed partners (ERDF/IPA/ENI) are eligible

- ERDF/IPA/ENI financed partners fulfil requirements of Applicants Manual Part 2, section II.

### 11. Completeness of submitted ERDF/IPA/ENI partner documents

For each ERDF (inc. LA) / IPA / ENI PP enclosed filled in & signed copy of:

- Declaration of co-financing
- State Aid declaration
- Declaration of International Organisations (if relevant)

### 12. Completeness of submitted ASP documents

- For each ASP enclosed a filled in & signed copy of ASP declaration

Missing documents (i.e. Annexes), parts of documents and/or signatures can be completed by LA in 5 working days from JS notification!!!

# Main elements of the Application Form

# Main elements of the Application Form

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- Use Adobe Acrobat or Acrobat Reader X (10) or higher to fill in the form (<http://get.adobe.com/reader/>)
- When using other PDF-readers the form is not working properly
- Ensure that JavaScript is enabled / up to date
- This is an interactive form e.g. some parts are only visible when you press certain buttons
- Guidance is displayed through tooltips when you move the mouse over a field
- Save the data from time to time during your work
- Validate and finalise the form please use the button “Validate & Finalise“. After pressing this button the form will no longer be editable!

# Main elements of the Application Form

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## Project identification:

### Main data

Two interconnected sections:

- Name of the Lead Partner – automatically filled from section 2.3.1.1  
*Legal identification Data of the LP*
- Programme Priority drop-down menu with the Programme SO drop down menu

## Part I) Project Summary

**Keywords:** short, comprehensive, article-like, change, qualitative

**Do:** provide a clear and simple summary of the project

**Don't:** simply copy/paste elements from other sections of the AF

## Project budget summary:

- automatically filled in with the sum of WPs, preparation costs by default, in case of budget inconsistencies the .xlsx will be considered

# Main elements of the Application Form

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## Part II) Project Partners:

List of PPs – automatically filled in from section 2.3 *Projects Partner data*

**Keywords:** project foundation, composition, territorial relevance, thematic competences, geographical coverage

**Do:** fill in all sections with relevant and coherent info, pay attention to the legal status, underline the thematic competences of each PP, insert personal business contact details, stress the importance of the ASPs (if any) and describe the activities they would contribute to.

**Don't:** add information of general interest with no connection to the scope of the project (e.g. info from the website, or statute of the organization)



# Main elements of the Application Form

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## Part III) Project description:

**Keywords:** strategic relevance (descriptive, cursive), joint cooperation, intervention logic, horizontal principles



**Do:** connect needs/challenges, objectives, EUSDR (tip embed-contribution at WP level), policy background and framework ( tip – avoid simple listing), partnership (tip - keep in mind the info inserted under section 2.3 and role of PPs under WPs), capitalization and synergies (tip – consider your future contribution to the DTP capitalisation strategy), durability and transferability of results (tip - target groups involvement), horizontal principles (tip – reflect them under WPs), intervention logic (tip – carefully listen to the next presentation)

**Don't:** copy paste, forget to connect the dots and add up-to-date, cursive and relevant information, use the knowledge accumulated during the preparation phase, peer-review

# Main elements of the Application Form

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## Part 4) WPs (0-7) and Activities

**Keywords:** coherence, weight on thematic work packages, mandatory output indicator (PO7), infrastructure and works, equipment, time plan

**Do:** explain the processes, ensure operationalisation, connect the summary of WPs with the activities, emphasise the role of PPs (tip - keep in mind the info added under section 2.3), keep an eye on deliverables, outputs, target groups involvement, durability and transferability, use the available character space, justify the equipment/investments

**Don't:** forget to keep it real, be schematic, overlook the importance of this section within the overall assessment procedure

# Main elements of the Application Form

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## Part 5 and 6) Other data and Annexes

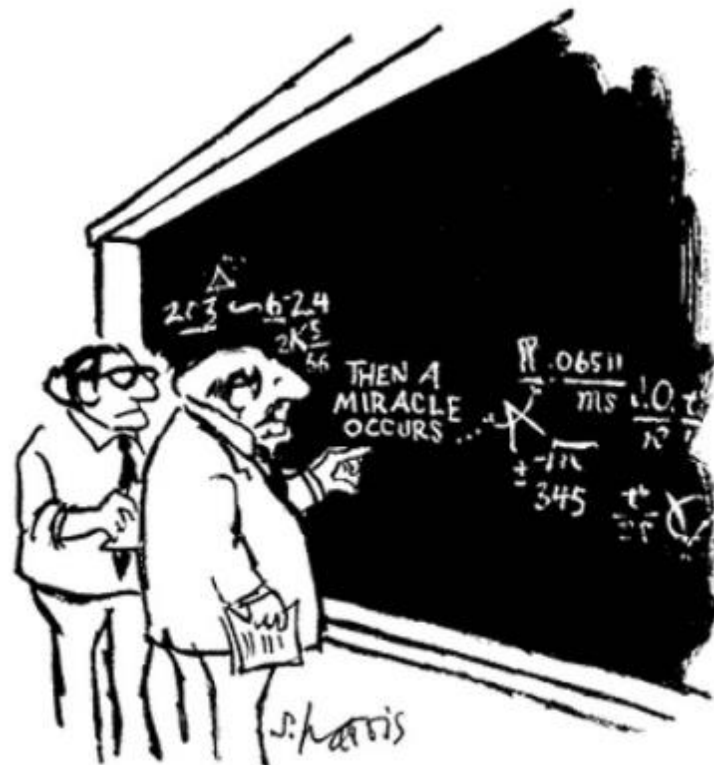
- Codes for the priority theme dimension- 100% contribution (selected only from the PA addressed by the project)
- Keywords
  
- Annexes
  - Partnership Agreement
  - State Aid Declarations
  - Declaration of pre-financing and co-financing
  - Declaration of International Organisations (if any)
  - ASPs Declarations (if any)

# Intervention logic

DTP core principle → *result-orientation*

*Theory of change* → illustrates how and why a desired change is expected to happen in a particular context

*Intervention logic* → reflects the path of the project and steps leading to change



"I think you should be more explicit here in step two."

# Intervention logic



*Transparent*



*Simple*



*Sustainable*



*Consistent*



*Easy to monitor  
and implement*

TERMINOLOGY	DEFINITION
<b>Main objective</b>	Describes the <b>strategic and long term</b> change that the project seeks to achieve for the benefit of the target groups.
<b>Specific Objective</b>	Describes the <b>specific and immediate effects</b> of the project and it can be realistically achieved within the implementation period.
<b>Result</b>	Constitutes the <b>immediate advantage</b> of carrying out the project, telling us about the benefit of using the project main outputs. It should indicate the change the project is aiming for.
<b>Output</b>	It tells us what has actually been <b>produced</b> for the money given to the project. It can be captured by a <b>programme output indicator</b> , and directly contributes to the achievement of the project results. <i>E.g.: transnational strategy</i>
<b>Deliverable</b>	<i>Is a side-product or service of the project that contributes to the development of a project's main output.</i> <i>E.g.: country analysis of the status quo in a certain field (side product that is contributing to the strategy mentioned above)</i>

OUTPUTS	DELIVERABLES
<ul style="list-style-type: none"><li>➤ Main outcome of a content work package</li><li>➤ Contribute to achievement of the expected project result</li><li>➤ Follow output typology and linkage to programme output indicator</li></ul>	<ul style="list-style-type: none"><li>➤ Reflect the product of single activities or their intermediary steps</li></ul>



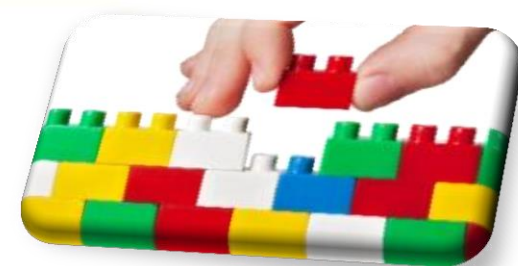
## Intervention logic

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- Projects have to contribute to at least **2** programme outputs indicators



## How to build the intervention logic?



1. Define the project **main objective** and **result** and link them to the programme intervention logic
2. Define the **project specific objectives** (max 3)
3. Define the **project outputs** and link them to the programme output indicators
4. Develop the **work plan**

# Typology of outputs

## Programme output indicators



### 1. Horizontal output indicator – mandatory for all the projects:

“**documented learning interactions**” - the process of acquiring/ enhancing institutional knowledge in transnational cooperation context through joint work aimed at a practical solution, transfer of know-how, capacity building, exchange of experience, peer-reviews or any other type of learning processes

!!! It is **expected** that each project develops, implements and documents at least **three** joint learning interactions





## *Practical hints:*

- *Should be jointly developed at transnational level*
- *Activities related to durability should be planned*
- *Newly gained skill should be used already for the benefit of the project*

**2. Specific programme output indicators** – are developed based on a typology of outputs pre-defined at programme level

A.



- Starting point-**definition of joint problems/ challenges** of the participating countries/ regions
- Sets up clear mid and long term objectives and priorities reflecting also the common vision of the Danube Region in the specific field
- **Should aim at policy integration** in the Danube area in the selected fields and act as policy drivers below EU level but above national level

## ACTION PLAN

- Breaks down the strategy goals and objectives into specific actions
- Should include the sequence of steps to be taken, or activities that must be performed, for a strategy to succeed

!!! Each developed strategy/action plan, whether implemented or not, should be only counted once under the respective output indicator. Project management and communication-related strategies such as e.g. the project communication strategy should not be considered under this output indicator.



## *Examples of strategies:*

- *Strategies for sustainable tourism, leisure and culture*
- *Strategies for multimodal transport*
- *Regional development strategies for improvement of energy distribution*



A.



**ACTION PLAN**



## ***Practical hints:***

- *Plan also the implementation phase of the strategy/ action plan(s)*
- *Describe clearly the involvement of target groups in activities and deliverables*
- *Plan sustainability related activities (e.g. uptake of strategy/ action plan into policies)*

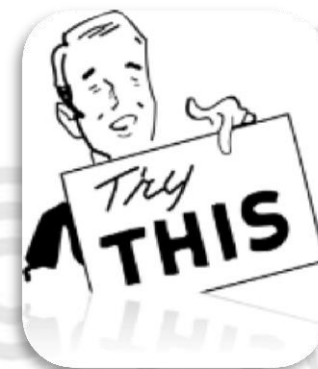


## B. Tools

- The **means for achieving a specific task**.
- Should be jointly developed at transnational level and be innovative.
- Can be **tangible** (physical or technical objects) and **intangible** (methods, concepts or services).

### *Examples of tools:*

- Databases, management concepts, ICT tools etc



## B. Tools



### ***Practical hints:***

- *Clearly describe the main features of the tools*
- *Plan testing/ application through pilot actions, if relevant*
- *Plan sustainability related activities*

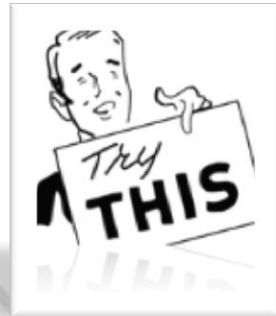


## C. Pilot action

- **Practical implementation of newly developed solutions** (e.g. services, tools, methods or approaches, even an investment)
- Has an experimental nature which aims at testing, evaluating and/or demonstrating the feasibility and effectiveness of a scheme
- A pilot action is limited in its scope (area, duration, scale etc.) and must be unprecedented in a comparable environment

### *Examples of pilot actions:*

- *Pilot implementation of innovative management models*
- *Pilot implementation of solutions for sustainable mobility concepts*
- *Pilot application/ testing of new technologies, services etc.*



## C. Pilot action



### *Practical hints:*

- Results of pilot actions should be transferable. They should be used at transnational level in the project, e.g. to further feed into an output like a strategy or tool.
- Scope of the pilot is limited in terms of area, duration, scale etc.

# Assessment



## Quality assessment

What is assessed?	Main questions	Threshold	Weight
Relevance	2	60%	18%
Strategic dimension	5	60%	46%
Viability	4	n/a	36%

## 1. Is the project relevant for the Programme?

- Project topic - in line with the SO and Call provisions
- Project - is NOT investment or research oriented and it does not target mere networking
- Project - is NOT a duplication of previously funded actions
- Project intervention logic - coherent with the Programme intervention logic





## 2. Is the need for transnational cooperation demonstrated?



- Project transnational dimension and impact - demonstrated through geographical coverage and planned activities
- Added value of the transnational cooperation - clearly demonstrated in comparison to a national/ cross-border approach

## 1. Are the territorial needs and challenges identified and duly justified?

- Needs and challenges - coherently and comprehensively described
- Clear link between planned activities and described needs/ challenges
- Needs and challenges - consistent with the programme objectives
- Capitalisation of previous results and synergies

## 2. Is the project intervention logic coherent?

- IL elements - clearly defined and interlinked



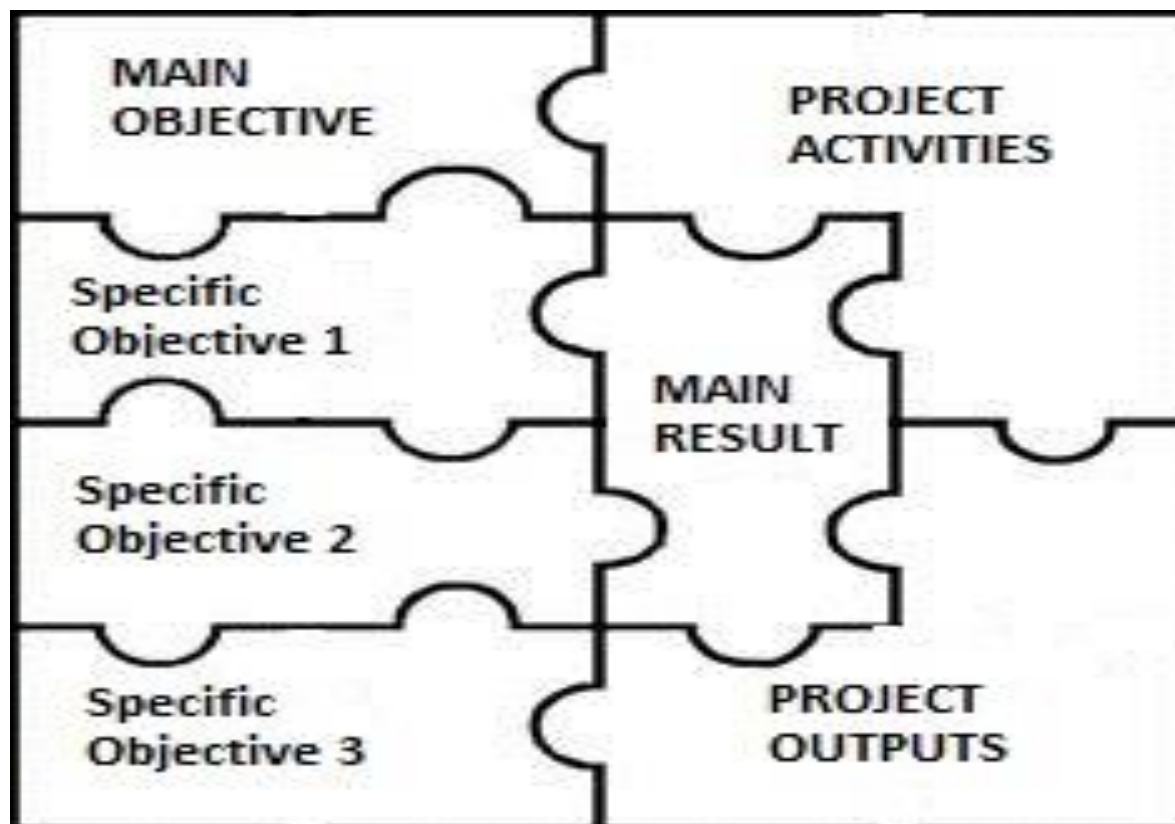
IF

right **activities** are implemented & appropriate **outputs** are delivered,

THEN

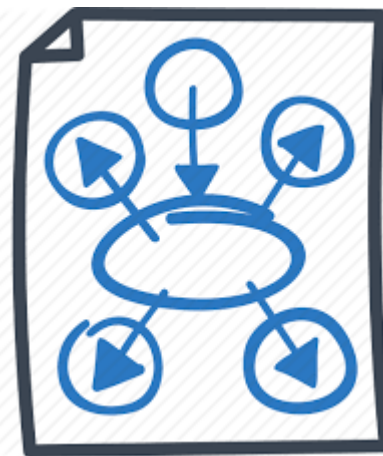
planned **objectives** are reached & envisaged **result** is produced.

- Project **main objective** is in line with the selected programme SO, clearly defined and supported by appropriate activities
- Project **specific objectives** contribute to the achievement of the main objective and they are linked to the project outputs
- Project **main result** captures the advantage of carrying out the project. There is a clear link between **the activities** and the result; appropriate partners are involved in the different WPs proving that the planned result can actually be reached
- Proposed **outputs** are achievable within the project lifetime and as a result of the proposed activities; there is a clear connection between the outputs and the needs of the target group



### 3. To what extent does the proposal contribute to an EU strategy or policy?

- Relevant strategies/ policies - identified; project contribution thereto - comprehensively explained
- Relevant EUSDR PA(s), targets - identified; project contribution thereto - comprehensively explained
- EUSDR is embedded in the proposal



## 4. Is the partnership composition relevant, justified and balanced for the proposed project?

- Geographical coverage - consistent with the territorial needs
- PPs - competent to implement planned activities and produce envisaged outputs
- All relevant sectors and levels of governance are present
- Partnership is balanced
- Harmonized benefits for all countries
- Equitable distribution of tasks; PP involvement - concordant with the project activities



## 5. Is the target group defined and has ownership of the project results?

- Relevant target groups - clearly identified and listed
- Integration and use of project outputs
- Concrete measures to ensure durability and transferability of project outputs
- Contribution to the horizontal principles - coherent with the overall territorial needs and with the programme and project objectives







## 1. Is the work plan realistic, consistent and coherent?

- Timetable – realistic and coherent
- Clear link between the activities/ outputs and methodology
- Activities and outputs – achievable
- Activities - comprehensively and clearly described
- Work plan – clear
- Project - ready to start the implementation

## 2. To what extent are management structures and procedures in line with the project size, duration and needs?



- Clear governance of the project
- Effective know-how transfer inside the partnership
- Quality management structure and adequate procedures
- LA - experience in implementing/ coordinating EU projects (esp. ETC) and institutional capacity to manage the project



## 3. To what extent are communication activities appropriate and forceful to reach the relevant target groups and stakeholders?

- Communication activities - coherent with the project specific objectives
- Adequate methods, means and channels to reach the target groups
- Communication activities - consistent with the project deliverables and the specificities of the addressed target group

## 4. Does the project budget demonstrate value for money?

- Activity/ WP/ BL budget - consistent with the planned actions, involved PPs and duration of activity
- Spending forecast - coherent with the sequence of activities/ duration
- WP1 & WP2 budget - justified by the planned activities and involved PPs
- EE and equipment budget - justified and realistic for planned activities



# Practical experience from an applicant

# Communication

## COMMUNICATION: ESSENTIAL ELEMENT OF A SUCCESSFUL PROJECT

- Integral part of project implementation → Linked to all WP
- Communication objectives linked to project objectives and results
- Communication activities linked to project activities
- Communication aimed to reach the project goal/s and informing about achievements



Good planning and enough resources



- Start/End/Budget → **Allocate enough resources**
- Partners involvement in communication activities → **A communication manager must be appointed**
- Project Specific objectives
  - Which project SO are concerned by communication activities → **How communication help to reach each objective**
  - How to reach target groups
- Activities and deliverables
  - Title, start/end/budget, description and **role of each partner**
  - Deliverable: **Target value, delivery period**

WP2 | WP Title:  | WP Start Month:  to WP End Month:  | WP Budget:

Partner's Involvement

WP responsible Partner:

Involved Partners:

Project Specific Objectives

Specific Objective 1 | Project Specific Objective:

How do you plan to reach your Target Groups?

What can Communications do to reach a specific Project Objective?

« Please describe Activities and Deliverables within the Work Package. »

Activity 2.1 | Activity Title:  | Start Month:  to End Month:  | Activity Budget:

Activity Description:

Role of Each Partner:

D 2.1.1 | Deliverable Description:  | Target Value:  | Delivery Period:



- All partners to follow regulations → namely acknowledge the DTP / EU support and Funds and adequate project promotion → Otherwise: not eligible cost !!
- All partner should be involved in communication coordinated by a **communication manager in the project** → qualified person in charge of:
  - Implementing Communication Plan
  - Involving all partners
  - Contacting JS



**Successful project = Good results + Good partnership  
cooperation with good internal communication**

- Within partnership :
  - All partners engagement
  - Fluent communication LP - partners
  
- With the MA / JS :
  - Participation in LP trainings organised by the MA/JS
  - Participation in other DTP events to present/discuss/develop/share project results and create synergies with other projects/organisations
  - Informing about all project communication activities



**To coordinate communication activities and achieve project objectives**

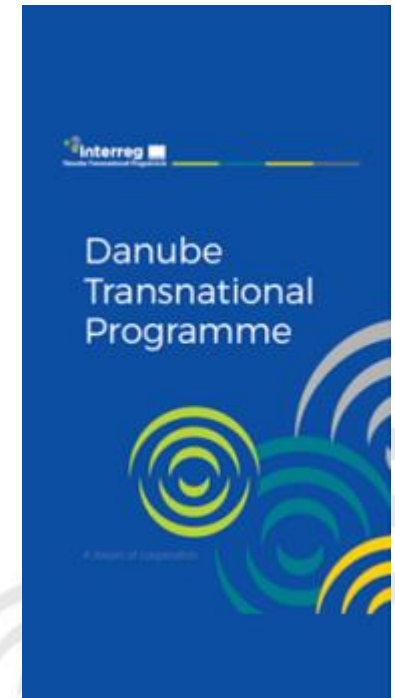
**→ It includes all communication activities**

- To be developed once approved → but useful to think about it already in AF for better approach on project communication
- To be developed by all partners
- Sections:
  - Communication main goal/objectives
  - Target groups
  - Main messages
  - Tools and methods → linked to project/communication objectives and target groups
  - Evaluation measures
  - Budget



# Minimum communication activities

- Production of a **poster** with information about the project and EU support to be placed at a visible location during project implementation → Templates to be provided by JS
- Organisation of **at least two public events** to create awareness and disseminate project results:
  - Kick-off event within 4 months after project beginning
  - Final dissemination event at the end



# Minimum communication activities

## ➤ Project logos → Not eligible to design a project logo

- Programme



- Projects (acronym in the color of the project priority)  
→ *To be provided by JS*




# ATTRACTIVE DANUBE - IMPROVING CAPACITIES FOR ENHANCING TERRITORIAL ATTRACTIVENESS OF THE DANUBE REGION

Home  
Partners  
Library  
News and events  
Gallery  
Newsletters  
Contact

Territorial attractiveness (TA) is reflected in the set of specific economic, environmental and social potentials of a territory which make it competitive in comparison to other territories. Through good governance, policies can maximise these potentials to increase attractiveness of the regions for residents, visitors and investors. The main challenge in the Danube Region is lack of capacities of target groups involved in development planning for more efficient and cooperative multilevel governance considering the needs of all stakeholders.

The main project objective is to strengthen multilevel and transnational governance and institutional capacities of policy planners involved in territorial development of the Danube Region, which will result in more harmonised governance system of the area. This will be achieved by firstly establishing a permanent common transnational platform for monitoring territorial attractiveness (CD-TAMP), 11 national platforms (TAMP), and Territorial attractiveness atlas. Secondly, we will implement an intensive capacity building programme for empowering multilevel public authorities and civil society in 11 countries related to development planning resulting in enhanced skills and knowledge. Finally, the policy integration process, including transnational workshops, policy recommendations and memorandum of understanding, will capitalise the results and assure the long term impact and leverage effect in the society.

**Interreg**   
Danube Transnational Programme  
ATTRACTIVE DANUBE

Start date  
01-01-2017

End date  
30-06-2019

**Budget in Euro**  
Overall: 1860000  
ERDF Contribution: 1294550  
IPA Contribution: 226450  
ENI Contribution: 0

Call number  
Call 1

Priority  
Well-governed Danube region

Specific objective  
Improve institutional capacities to tackle major societal challenges

**KICK OFF EVENT**

Details  
Partners  
Outputs  
Gallery  
Newsletter campaigns  
News and events  
Contact us

### PROJECT PARTNERS

Name	Type	Email	Address
inczedy.bettina	Lead partner	inczedy.bettina@gb-art.hu	test address
korponai.levante@gb-art.hu	Lead partner	korponai.levante@gb-art.hu	test address 2
balazs.varga	Lead partner	balazs.varga@gbart.hu	test address3

See all

### PROJECT NEWS

No news yet

See all

### SUBSCRIBE TO PROJECT NEWSLETTER

Name\*

E-mail\*

**Subscribe**

## Minimum communication activities

- Project webpage within the programme website to keep constantly updated
  - ➔ Not eligible to create an own project website
  - ➔ Manual and training to be provided by JS

- One access per LP
  - Project data from eMS
  - Connected to Library and Project news in main page
    - Online newsletter
    - Storing documents
- A stream of cooperation for all partners

# Financial management

- project budget planning

## **Application Form**

- Requested project budget, work packages and activities
- Investment and equipment

## **Application Form - financial Part (excel tables)**

- Complete financial information

## **Implementation Manual (and Control Guidelines)**

- Eligibility of expenditure



## Sources of funding:

- 85% EU contribution ensured by DTP (ERDF, IPA, **ENI**)
- State contribution - – check the website!
- Public contribution (national level information, NCP support)
- Private contribution

## Work packages and budget lines from PP level:

- Build up the partners' budgets on the basis of their activities per work packages by defining the costs per budget lines for each WP
- The budgets of the project partners will produce the total budget overview for partners per budget lines and per work packages

## Budget lines:

- Staff costs
- Office and administrative expenditure
- Travel and accommodation costs
- External expertise and services costs
- Equipment expenditure
- Infrastructure and works

## **Simplified costs options:**

- Preparation costs: use of lump sum (17,500 EUR)
- Staff costs: possibility for flat rate (up to 20% of direct costs)
- Office and administration: flat rate (15% of staff costs)

## **Involvement of ASPs:**

- Travel and accommodation costs
- Part of the sponsoring partner budget

## **Control costs:**

- To be planned under external expertise and services
- To be planned in case partners would cover them

## **Equipment, Investments and works:**

- Details to be included in the Application Form (pdf)

## **Revenues:**

- Net revenues foreseen to be indicated in the Application Form

## Spending forecast of the project

- Planning the project budget per reporting periods
- Spending forecasts given at partner level will “produce” the project spending forecast
- Periods have to cover **6 months**, starting from the month of the approval date of the project

## Spending forecast of the project

- To be planned carefully by each project partner:
  - The spending level per partner influences the overall project level spending
- Should be in line with the time plan of the project
  - Activities fulfilled within the reporting period- expenditure incurred, expenditure paid within the reporting period, validated expenditure of the reporting period
- Should be realistic
  - Consider the timeframe for each activity, including also the time needed for public procurements and payments!

## Spending forecast of the project

- The project spending forecast will be part of the subsidy contract for the successful applicants
- In case validated eligible expenditure is not reported according to the approved spending forecast, the MA/JS will assess the level of under-spending and the reasons for the lower financial performance; and the MA/JS is entitled to decommit the project by reducing the project budget and the corresponding contribution from the EU Funds.



## Use of the EURO

- Project budget (and partner budget) to be planned in Euro
- All expenditure to be reported in Euro
- EU contribution will be transferred to LP in Euro
- Expenditure incurred by project partners in a currency other than the euro shall be converted into euro by using **the monthly accounting exchange rate of the European Commission** in the month during which expenditure was **submitted for verification to the controller**  
([http://ec.europa.eu/budget/contracts\\_grants/info\\_contracts/inforeuro/inforeuro\\_en.cfm](http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/inforeuro_en.cfm))

# Eligibility of expenditure

Hierarchy of rules

General eligibility rules

Eligibility of expenditure by budget lines

Special eligibility rules

## Hierarchy of rules

- EU Regulations
- Programme rules
- National (including specific institutional) rules



The eligibility rules laid down in the programme level documents cannot be overruled by national or institutional legislation.

## General eligibility rules



## All expenditures:

- Are related to the **initiation** and **implementation** of the project
- Comply with the principle of **efficiency, effectiveness and economy**
- Comply with the principle of **real costs**, with the exception of the costs calculated as **flat rates** and **lump sums**
- Are **incurred** and **paid** by the project partner indicated in the application form during the eligibility period of the project

## All expenditures:

- Relate to activities that **have not been financed** from other financial instruments
- Are **supported by invoices or other documents** with probative value directly attributable to a certain project partner with the **exception** of the costs calculated as **flat rates and lump sums**
- Are in line with **eligibility rules** on EU, programme and national level



- Ineligible expenditures
    - Fines, financial penalties and expenditure on legal disputes and litigation
    - Costs of gifts, except those not exceeding 50 EUR per gift where related to promotion, communication, publicity or information
    - Costs related to fluctuation of foreign exchange rate
    - Interest on debt
    - Purchase of land and existing buildings
    - Value added tax except where it is non-recoverable
    - Contributions in kind
    - Common costs
    - Second hand equipment
- Not exhaustive list*



## Eligibility in time

Eligible project expenditure shall be **incurred and paid within the project period** defined by the starting date and end date of the project according to the approved Application Form.

## Exceptions



- Preparation costs
- Control costs related to the last progress report and application for reimbursement
- Expenditure incurred in the last reporting period

## Eligibility of expenditure by budget lines



# Eligibility of expenditure by budget lines



## 1. Staff cost

- Real cost
- Flat rate (up to 20% of the direct cost)



## 2. Office and admin.

- Flatrate (15% of staff cost)



## 3. Travel & accommodation



## 4. External expertise & service



## 5. Equipment



## 6. Infrastructure & works

## Staff costs



The costs of the **personnel employed** by the beneficiary institution and executing tasks for the project

### Limited to:

- Salary payments
- Any other costs directly linked to salary payments incurred and paid by the employer, such as employment taxes and social security

## Methods of reimbursement:



- Real cost basis
- As a flat rate up to 20% of direct costs other than staff costs

**Each Project partner must choose one reimbursement option in the Application Form which will remain unchanged through the entire project period.**

**Real cost method:**

Justification and supporting documents necessary



**Full-time working on the project**

(no timesheet necessary)

**Part-time work on the project**

- Part-time with a fixed percentage of time worked per month on the operation (no timesheets)
- Part-time with a flexible number of hours worked per month (timesheet necessary)
- On an hourly basis (timesheet necessary)

# Eligibility of expenditure by budget lines

## Flat rate method:

No justification and supporting documents is needed



Flat rate defined in approved AF shall be automatically applied by the given project partner for reporting staff costs in each WP (**except WP0**) and each reporting period

Cannot **exceed** flat rate defined in approved AF

No further staff costs incurred on real costs basis can be reported

Eligibility of staff costs does not depend on the form of reimbursement

# Eligibility of expenditure by budget lines

## Basis of calculation of the BL1-Staff costs

<i>Direct costs</i>	<i>WP1</i>
BL3 Travel and accommodation costs	1000
BL4 External expertise and service costs	2000
BL5 Equipment expenditure	3000
BL6 Infrastructure and works	1000
<b>Total direct costs (BL3+BL4+BL5+BL6)</b>	<b>7000</b>

**Eligible BL1 Staff costs = Total direct costs x flat rate**

Eligible staff costs (BL1 WP1) = 7000 x 20% = 1400





## Office and administration expenditure

**Flat rate basis of  
15% of the  
eligible staff  
costs of the  
project**

- **Cannot be claimed as direct cost** under other budget lines
- If the staff costs are not eligible, office and administration costs cannot be declared
- If the staff costs are declared on flat rate basis, office and administration are eligible
- No staff costs declared in relevant WP, no Office and administration expenditure can be declared

# Eligibility of expenditure by budget lines

The following types of expenditures are included under this budget line (exhaustive list):

- Office rent
- Insurance and taxes related to the buildings where the staff is located and to the equipment of the office (e.g. fire, theft insurances)
- Utilities (e.g. electricity, heating, water)
- Office supplies
- General accounting provided inside the beneficiary organisation
- Archives
- Maintenance, cleaning and repairs
- Security
- IT systems
- Communication (e.g. telephone, fax, internet, postal services, business cards)
- Bank charges for opening and administering the account or accounts where the implementation of an operation requires a separate account to be opened
- Charges for transnational financial transactions

## Travel and accommodation costs

### Option A)

- Travel costs
- Costs of meals
- Accommodation costs
- Visa costs
- Daily allowances

## Travel and accommodation costs

### Option B)

- Per diems according to the **EC-funded external aid contracts**
  - Accommodation
  - Meals
  - Local travel within the place of mission and sundry expenses
- The current per diem rates can be found on the EC website:  
[https://ec.europa.eu/europeaid/sites/devco/files/perdiem-2015-03-corr-columbia\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/perdiem-2015-03-corr-columbia_en.pdf)

## External expertise and service costs

- Studies or surveys (e.g. evaluations, strategies, concept notes, design plans, handbooks)
- Training
- Translations
- IT systems and website, modifications and updates
- Promotion, communication, publicity or information linked to the project
- Financial management
- Services related to the organisation and implementation of events or meetings (including rent, catering or interpretation)
- Participation in events (e.g. registration fees)
- Legal consultancy and notarial services, technical and financial expertise, other consultancy and accountancy services

## External expertise and service costs

- Intellectual property rights
- Verifications: Externalised control activities (FLC) for the verification of the project expenditure where it is relevant for the control system of the concerned Partner State
- The provision of guarantees by a bank or other financial institution where required by Union or national law or in a programming document adopted by the monitoring committee
- Travel and accommodation for external experts, speakers, chairpersons of meetings and service providers
- Other specific expertise and services needed for the given project

## Equipment expenditure

- a. Office equipment
- b. IT hardware and software
- c. Furniture and fittings
- d. Laboratory equipment
- e. Machines and instruments
- f. Tools or devices
- g. Vehicles
- h. Other specific equipment

- Only equipment **listed in the approved AF** are eligible
- **Full costs** of the equipment should be allocated to the project, **if in line** with national and institutional regulations
- **If not**, only depreciation costs shall be allocated to the project.
- Rental or leasing costs for a certain period during the project lifetime are eligible

# Eligibility of expenditure by budget lines

## Infrastructure and works

Only **small scale infrastructure** is eligible; the **transnational character** of the investment has to be demonstrated; the activity is **approved in the Application Form**

This budget line should include execution or both **design and execution of works** as well as **site preparation, delivery, handling installation, renovation**



## Special eligibility rules



## Preparation costs

Lump sum of **17,500.00 EUR** per project. ERDF contribution part of this amount will be reimbursed to the Lead Partner

Only if the approved project have not received other EU financial support for the project preparation

Covers costs of preparation of the Application and further costs of condition clearing until the contracting the project

### Expenditure of the Associated Strategic Partners

EU partners and non-EU partners from eligible area

Added value for the project is demonstrated

ASP-indirectly financed-no separate budget

IPA PP cannot be "sponsoring" PP

Costs of ASP shall be planned in the "sponsoring" ERDF PP and shall be paid by the "sponsoring" ERDF PP

Only travel and accommodation costs of the ASP are eligible under BL3-Travel and accommodation

# Wrap-up and closure