



Managing Authority: Prime Minister's Office in Hungary

**Hungary-Slovakia-Romania-Ukraine
ENI CBC Programme
2014-2020**

EC decision No C(2015) 9180

**Guidelines
for applicants
for the 1st Call for Proposals**

Budget lines numbers: General budget Articles of the European Union
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Reference number: HUSKROUA/1701/LIP/

Deadline for submission of proposals:

15 November 2017

Notice

This is an **open** Call for Proposals, where all documents are submitted at one stage.

The Guidelines for applicants are compiled to provide assistance to the potential Applicants for the elaboration of the application documents (Full Grant Application Form, its annexes and supporting documents) of the 1st Call for proposals of the Hungary-Slovakia-Romania-Ukraine ENI CBC Programme 2014-2020.

The Guidelines provide an overview of the design, planning, co-ordinating, managing and follow-up to the projects financed from the Programme. The Guidelines include information on the process from the drafting of the Application Form to implementation, monitoring, reporting and finalization of the project. They also contain information on how to fill in the Grant Application Form, what to annex to it and what procedures to follow. Text of the Guidelines shall serve as a summarised basic guide to the LIP applicants. Please note that at the moment of submitting the proposal entities of the potential partnership are called Lead Applicant and Applicant(s) and after signing the grant contract with the Managing Authority later Lead Beneficiary and Beneficiary(ies). Please note that these Guidelines do not in any way replace the obligations and provisions set out in the respective EU and national legislation. In case of doubt, the latest provisions prevail.

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1. HUNGARY-SLOVAKIA-ROMANIA-UKRAINE ENI CROSS-BORDER COOPERATION PROGRAMME 2014-2020

1.1 BACKGROUND

The programme area is located on the Hungarian-Slovak-Romanian-Ukrainian border.

The programme area includes approximately 598.9 km joint border with Ukraine which covers fully the Slovak-Ukrainian (97.9 km) the Hungarian-Ukrainian (134.6 km) and partially the Romanian-Ukrainian (366.4 km) border lines.

The programme area, in reality, features strong historical and cultural connections. It is also characterised by many common geographical and ecological features, such as importance of rivers as well as the presence of ecological corridors crossing administrative borders. This cooperation programme – as continuity of the ENPI CBC Hungary-Slovakia-Romania-Ukraine Programme 2007-2013 aims to intensify the co-operation between the regions of Zakarpatska, Ivano-Frankivska and Chernivetska of Ukraine and the eligible areas of the Member States in order to initiate progress on the fields of existing social, economic, infrastructural and environmental difficulties.

Based on the intention written above the following vision was defined for the programme implementation:

*In 2030 the area along the borders of Ukraine with the three Member States of Hungary, Slovakia and Romania is a **cooperative cross-border region** that efficiently functions and works together in the field of **promotion of local culture and preservation of historical heritage, environmental protection, climate change adaptation and disaster management**. The **cross-border accessibility among Ukraine and the three Member States does not hinder day-to-day cross-border cooperation, while safety and security and including border management is assured on an adequate level. Cooperation is an integral and natural part of the daily life of the people living and authorities operating here.***

In the eligible area for the ENI CBC Hungary-Slovakia-Romania-Ukraine Programme, the EU supports also other programmes of cross-border cooperation (Romania-Ukraine and Poland-Belarus-Ukraine ENI CBC Programme 2014-2020, Slovakia-Hungary and Romania-Hungary INTERREG V-A Cooperation Programmes 2014-2020) and regional cooperation on a larger regional scale (Danube Transnational Programme 2014-2020), and supported projects implemented under the cross-border cooperation programmes (Romania-Ukraine-Republic of Moldova and Hungary-Slovakia Cross-border Cooperation Programmes 2007-2013), the neighbourhood programmes (Neighbourhood Programme Hungary-Slovakia-Ukraine 2004-2006, PHARE/TACIS Neighbourhood Programme Romania-Ukraine 2004-2006) and regional cooperations on a larger regional scale (Eastern regional, Interreg IVC, South-East Europe). The Managing Authority, as defined hereafter, will ensure coordination mechanisms with these other programmes.

The following joint structures have been established to manage the ENI CBC Hungary-Slovakia-Romania-Ukraine Programme:

- Joint Monitoring Committee (JMC): supervising and monitoring the programme implementation, ultimately responsible for selecting projects;
- Managing Authority (MA): the body appointed by the participating countries as responsible for managing the programme and bearing overall responsibility for the management and implementation of the programme towards the European Commission;
- Joint Technical Secretariat (JTS): the programme coordination and implementation body, assisting the Managing Authority, the Joint Monitoring Committee and the National Authorities in carrying out their respective duties, the JTS acts under the responsibility of the MA.

The legal framework for the implementation and management of the Programme is the following:

- Commission Implementing Decision of 8 October 2014 adopting a programming document for European Union support to ENI Cross-Border Cooperation for the period 2014-2020 (Programming Document);
- Regulation (EU) No 232/2014 of the European Parliament and of the Council of 11 March 2014 establishing a European Neighbourhood Instrument (ENI Regulation);

- Regulation (EU) No 236/2014 of the European Parliament and of the Council of 11 March 2014 laying down common rules and procedures for the implementation of the Union's instruments for financing external action (ENI CIR);
- Commission Implementing Regulation (EU) No 897/2014 of 18 August 2014 laying down specific provisions for the implementation of cross-border cooperation programmes financed under Regulation (EU) No 232/2014 of the European Parliament and the Council establishing a European Neighbourhood Instrument (ENI CBC IR);
- Regulation (EU) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002;
- Commission Delegated Regulation (EU) No 1268/2012 of 29 October 2012 on the rules of application of Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council on the financial rules applicable to the general budget of the Union;
- Joint Operational Programme of Hungary-Slovakia-Romania-Ukraine ENI Cross-Border Cooperation Programme 2014-2020 (hereinafter referred to as JOP);
- National rules applicable to the Lead Beneficiary and Beneficiaries;
- State Aid applicable rules;
- Financing Agreement concluded between the European Commission and Ukraine;
- Memorandum of Understanding concluded between Hungary and the Member States participating in the Programme;
- Project implementation manual of the Programme.

1.2 PROGRAMME ELIGIBLE AREA

The Projects financed from the programme budget can be implemented in the following territorial units:

In Hungary

- Szabolcs-Szatmár-Bereg
- Borsod-Abaúj-Zemplén (adjoining region with full participation rights)

In Slovakia

- Košický
- Prešovský

In Romania

- Maramureş,
- Satu-Mare
- Suceava (adjoining region with limited participation rights)

In Ukraine

- Zakarpatska,
- Ivano-Frankivska
- Chernivetska (adjoining region with limited participation rights)

Adjoining region with full participation rights

“Adjoining region with full participation rights” means that any organisation located in the concerned area is able to cooperate within the programme without any restriction.

Adjoining region with limited participation rights

“Adjoining region with limited participation rights” means that any organisation located in the concerned area is able to cooperate within the programme with restriction as follows:

- in order to avoid any overlap with the Romania-Ukraine Programme where Suceava in Romania and Chernivetska in Ukraine are also eligible, projects from the adjoining regions has to have Hungarian or Slovak partners in the partnership, projects are restricted to Thematic Objective 6 and 7, and Large Infrastructure Projects (LIPs) cannot be implemented by them.

Major social, economic or cultural centres

Besides the seven core and three adjoining regions the following **centres are identified and conditions for their participation in the programme are as follows:**

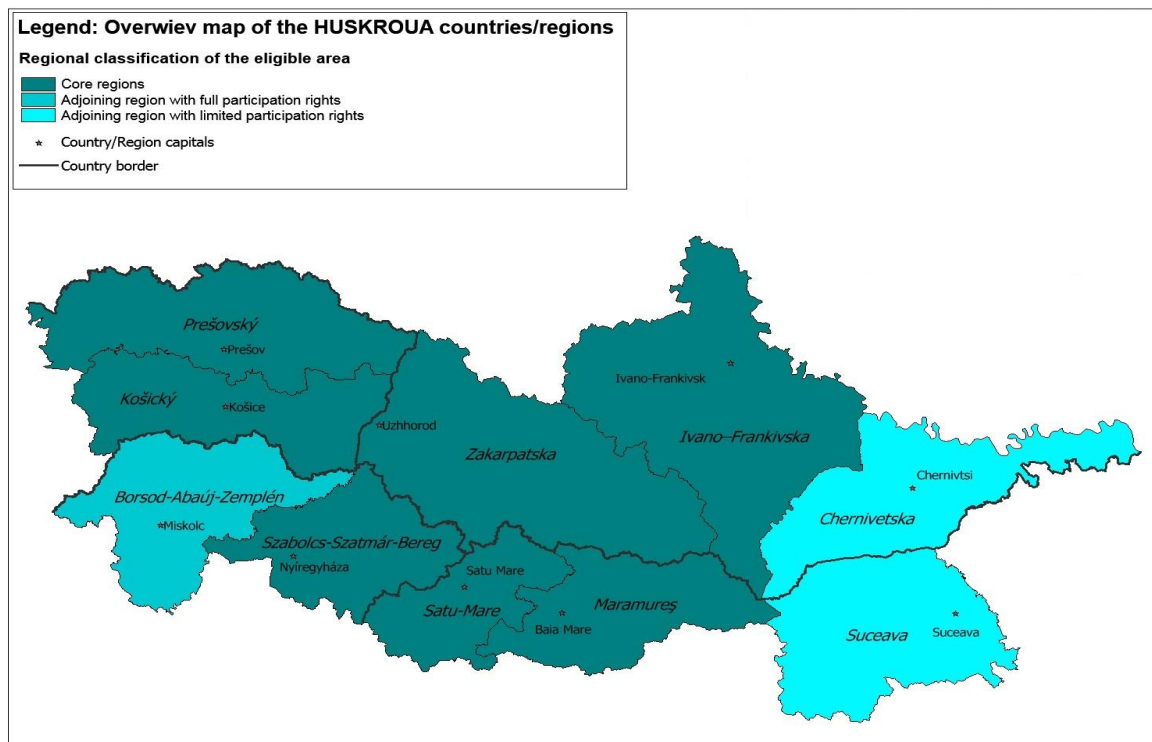
National or regional authorities or organisations located in the capital cities will be included in the Programme, in the specific cases when the involvement of these authorities and organisation is essential for the implementation or sustainability of the projects. In these cases, the authorities and organisations are allowed to participate in projects in the role of lead beneficiary or beneficiary. The project activities carried out by these authorities and organisations can be carried out in the major social, economic or cultural centres, but the **results of these activities must always be to the benefit of the border region.**

The national and regional capitals concerned are:

- Budapest (Hungary)
- Debrecen (Hungary)
- Eger (Hungary)
- Bratislava (Slovakia)
- Bucharest (Romania)
- Cluj Napoca (Romania)
- Kiev (Ukraine)

The above mentioned major social, economic or cultural centres are involved in all priorities of the programme. The type of authorities and organisations that may participate from these territories identified for each programme priority are listed in point 2.4 of the JOP.

The eligible core area distinguishing between the territorial units by their nature (core or adjoining) of the HUSKROUA ENI CBC Programme 2014-2020



Eligible core area and the major centres involved of the HUSKROUA ENI CBC Programme 2014-2020



1.3 THEMATIC OBJECTIVES (TOs) OF THE PROGRAMME AND PRIORITES

The following thematic objectives were selected by the decision of the Joint Task Force:

- **TO3 Promotion of local culture and preservation of historical heritage**
- **TO6 Environmental protection, climate change mitigation and adaptation**
- **TO7 Improvement of accessibility to the regions, development of sustainable and climate-proof transport and communication networks and systems**
- **TO8 Common challenges in the field of safety and security**

According to the decision of the Joint Monitoring Committee Thematic objective 6 Priority 1, Thematic objective 7 Priority 1 and 2, Thematic objective 8 Priority 1 will be available under the present Call for Proposals.

The **selected thematic objectives, priorities supporting the TOs and types of actions foreseen** of this Call for Proposals are:

Table 1

| TO 6 Environmental protection, climate change mitigation and adaptation | |
|--|---|
| Indicative list of activities | |
| Priority 1: Sustainable use of the environment in the cross border area - | <ul style="list-style-type: none"> • Protection of landscape, maintenance of biodiversity and eco-systems with cross border relevance via common developments like protected areas co-operations, sustainable forestry managements systems, ecological and traditional agricultural production etc. • Protection of water resources, adaptation to the more frequent water extremities through integrated water management actions. • Joint ecological education programmes. |

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| <p>preservation of natural resources, actions to reduce GHG emission and pollution of rivers</p> | <ul style="list-style-type: none"> • Co-operation between institutions, authorities and civil organisations for the sustainable use of natural resources; support for the harmonisation of relevant regulations. • Supporting investments to increase renewable energy production, energy efficiency, energy savings and recycling. • Elaboration of joint low-carbon strategies. • Exchange of best practices and expertise, study tours, education on energy efficiency. • Strengthening competences and skills in the field of eco-innovation and low-carbon solutions. • Harmonisation of local renewable energy production strategies for biomass, hydro power and geothermal energy. • Sharing best practices, setting up of small scale pilot systems for wastewater treatment, communal and industrial waste management. • Surveys on water quality problems of river basins crossing the border. • Setting up water quality monitoring systems of rivers crossing the borders. • Development of landfills that are suitable for recycling and fulfil environmental requirements. • Joint awareness campaigns. |
| <p>TO 7 Improvement of accessibility to the regions, development of sustainable and climate-proof transport and communication networks and systems</p> | |
| <p>Indicative list of activities</p> | |
| <p>Priority 1: Development of transport infrastructure to improve the mobility of persons and goods</p> | <ul style="list-style-type: none"> • Preparation activities and/or building, modernisation and upgrading of transport infrastructures leading to and crossing the border to improve the opportunities for transboundary mobility. • Developing border crossing infrastructure and improvement of border management systems connected with transport infrastructure developments. • Building, modernisation and upgrading of bicycle paths, routes leading to and crossing the border. • Development of cross-border public transport initiatives, harmonisation of systems, acquisition of rolling stocks. • Awareness-raising activity regarding the importance of environment-friendly transport system (low emission and low noise pollution of cross-border transport). • Development of IT solutions for public transport facilities. |
| <p>Priority 2: Development of ICT infrastructure and information sharing</p> | <ul style="list-style-type: none"> • Development of cross-border broadband internet infrastructure and communication centres. • Development of joint local media content and related media production capacities. |
| <p>TO8 Common challenges in the field of safety and security</p> | |
| <p>Indicative list of activities</p> | |
| <p>Priority 1: Support to joint activities for the prevention of</p> | <ul style="list-style-type: none"> • Harmonising activities in the field of flood prevention, development of flood and inland water prevention infrastructure. • Setting up joint early warning systems for natural disaster incidents. • Strategic and technical planning and establishment of joint monitoring systems on |

| | |
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| natural and man-made disasters as well as joint action during emergency situations | <p>environmental (air, water, soil) pollutions.</p> <ul style="list-style-type: none"> • Support/cooperation/network of non-governmental and public rescue teams/organisations. • Database regarding natural disasters incidents. • Joint training programmes and workshops, exchange of experiences, study tours. |
|---|---|

1.4 CROSS-CUTTING ISSUES OF THE PROGRAMME

In addition to the priorities which are in the focus of the Programme activities, there are four horizontal issues that are crucial in case of any project activity. Project applicants are expected to consider these issues when developing their projects. The possible types of action per TOs and per Priorities and the ways of contribution to the concerned cross-cutting issue are demonstrated in paragraph 9 of the JOP.

Cross-cutting issues of the Programme are:

- Environmental sustainability
- Democracy and human rights
- Gender equality
- HIV/AIDS

1.5 INDICATIVE FINANCIAL ALLOCATION PROVIDED BY THE MANAGING AUTHORITY

The overall *indicative* amount made available under this Call for Proposals is 22,000,000 EUR considering Article 38 of the Implementing Rules that the share of the Union contribution allocated to large infrastructure projects may not exceed 30 %. The Joint Monitoring Committee reserves the right not to award all available funds and to reallocate the remaining funds to future Call for Proposals.

Size of grants

Any grant awarded under this Call for Proposals the budget share of **at least 2,5 million EUR shall be allocated to acquisition of infrastructure** with the conditions set by the Programme, and the grant can not be more than 90% of the total eligible costs of the Project.

Table 2

| Thematic Objective | Priority | allocation per Priority in EUR | % of the budget per Priority |
|---|---|--------------------------------|------------------------------|
| Thematic Objective 6: Environmental protection, climate change mitigation and adaptation | Priority 1 Sustainable use of the environment in the cross border area - preservation of natural resources, actions to reduce GHG emission and pollution of rivers | 7,000,000 | 49,93% |
| Thematic Objective 7: Improvement of accessibility to the regions, development of sustainable and climate-proof | Priority 1 Development of transport infrastructure to improve the mobility of persons and goods | 4,000,000 | 37,49% |

| | | | |
|---|--|-----------|--------|
| transport and communication networks and systems | Priority 2 Development of ICT infrastructure and information sharing | 7,000,000 | 65,61% |
| Thematic Objective 8: Common challenges in the field of safety and security | Priority 1 Support to joint activities for the prevention of natural and man-made disasters as well as joint action during emergency situations | 4,000,000 | 41,36% |

Please note that according to the Programme rules the organisations located in **adjoining areas** with limited participation are able to cooperate within the programme with the restriction that they have to involve Applicants from Hungary or the Slovak Republic, are restricted to Thematic Objective 6 and 7, **and cannot implement Large Infrastructure Projects (LIPs) neither as Lead Applicant nor as Applicant.**

Co-financing rate

EC Grants may not finance the entire eligible cost of the Project of a Lead Beneficiary. No grant may exceed 90 % of the total forecasted eligible costs of the Project, nor be below 50%.

The balance must be financed from the Lead Beneficiary's or Beneficiaries' own resources, or from sources other than the European Community budget or the European Development Fund. The co-financing shall amount to at least 10% of the total eligible costs of the Project.

In case of grant Lead Beneficiaries/Beneficiaries registered in participating Member States maximum 5% of the total eligible costs of the Project (50% of the co-financing) will be funded from the national budget. The remaining minimum 5% of the total eligible costs of the Project (50% of the co-financing) has to be covered from the Lead Beneficiary's/Beneficiary's own contribution or from sources other than the European Community budget or the European Development Fund. Detailed information on the national co-financing in the Member States will be available on the Programme's website.

1.6 STATE AID RULES

Aid granted by participating countries under the Programme shall comply with the rules on State aid within the meaning of Article 107 of the Treaty on the functioning of the European Union for the Beneficiaries located in EU Member States and – where applicable - with State aid provisions in Chapter 10 of Title IV of the Association Agreement between the EU and Ukraine for the Beneficiaries located in Ukraine.

As a general principle, all project activities have to be assessed at partner level to determine whether they are State aid relevant or not. Therefore each Applicant has to provide a State aid declaration conform to the template in Annex 9.2 and 9.3 of the Application Form. This will form the basis on which the MA/JTS decide on the State aid relevance of each Applicant's activities. The MA/JTS supports the Applicants in this process (e.g. during individual project consultations) and they are also encouraged to consult their national State aid units.

If an activity of a project meets the cumulative criteria of State aid definition, it means that no grant might be awarded. The European Commission has to be notified and its prior approval is necessary to the grant. However, EU legislation gives the possibility to apply exemptions to the rule and award grant. Where support to a project is identified as being State aid relevant, there are two options provided for compliance:

de minimis support (only in Member States) and State aid compatible with the General Block Exemption Regulation (GBER).

De minimis regime is based on the principle that the negative effects of a competitive advantage and the distortion of the intra-community market are reduced if financial aid is kept to a minimum. Therefore De Minimis regulation¹ allows small amounts of aid – less than €200,000 per Member State² over 3 rolling years – to be given to an undertaking for a wide range of purposes. If you use this mechanism, records of aid granted must be kept and all the rules of the de minimis regulation must be followed.

The overall aim of the General Block Exemption Regulation³ is to obviate the need for notification of aid to the European Commission and its approval in advance of implementation. Instead, for certain categories of aid, compatibility is presumed, provided that specified conditions are met and the monitoring and reporting requirements are fulfilled.

¹ Commission Regulation (EU) No 1407/2013 on the application of Articles 107 and 108 of the Treaty on the Functioning of the European Union to de minimis aid

² In the Hungary-Slovakia-Romania-Ukraine ENI CBC Programme 2014-2020 the grant is provided by the Member State where the Beneficiary implementing State aid relevant activity is located.

³ Commission Regulation (EU) No 651/2014 declaring certain categories of aid compatible with the internal market in application of Articles 107 and 108 of the Treaty (General Block Exemption Regulation (GBER))

2. RULES FOR THIS CALL FOR PROPOSALS

The purpose of this open call for proposals is to support the implementation of those **Large Infrastructure Project**⁴ which are applying to one of the four Priorities and considering the high quality and distinguished development of the project concept was awarded by the Joint Monitoring Committee. In addition the call is intended for strategic projects, which are in line with the relevant national and regional strategies.

These guidelines set out the rules for the submission, selection and contracting of Projects financed under this Call.

2.1 ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

- Lead Applicant(s) which may request a grant (2.1.1), and Applicants (2.1.2);
- Projects which may receive financial contribution from the Programme (2.1.3);
- Types of cost which may be taken into account in setting the amount of the grant (2.1.4).

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| 2.1.1 Eligibility of Lead Applicants: who may apply? |
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(1) In order to be eligible for a grant, Lead Applicants **must be**:

- legal persons **and**
- public bodies, bodies governed by public law⁵ or non-profit making private bodies **and**
- established for the purposes of public interest or specific purpose of meeting needs of general interest, which may belong to one of the groups indicated in the following non-exhaustive list:
 - a. national, regional and local organisations implementing policies in the fields of relevant policies defined as programme priorities;
 - b. semi-public institutions like regional development associations and promoters, innovation and development agencies, research institutes and universities;
 - c. regional and local associations of enterprises (e.g. chambers of commerce, unions); professional organisations;
 - d. regional, local and county self-governments and their organisations acting as legal entities, regional councils;
 - e. EGTCs⁶ - the applicants must have their seats or a regional/local branch registered in the eligible programme area
 - f. non-state actors such as:
 - non-governmental organisation;
 - organisation representing national and/or ethnic minorities;

⁴ Large Infrastructure Projects means projects comprising a set of works, activities or services intended to fulfil an indivisible function of a precise nature pursuing clearly identified objectives of common interest for the purposes of implementing investments delivering a cross-border impact and benefits and where a budget share of at least EUR 2,5 million is allocated to acquisition of infrastructure.

⁵ Body Governed by public law, as defined in Article 1.9 of Directive 2004/18/EC means any legal body established for the specific purpose of meeting needs in the general interest, not having an industrial or commercial character, and financed, for the most part, by the State, regional or local authorities, or other bodies governed by public law; or subject to management supervision by those bodies; or having an administrative, managerial or supervisory board, more than half of whose members are appointed by the State, regional or local authorities, or by other bodies governed by public law.

⁶ Regulation (EC) No 1082/2006 of the European Parliament and of the Council of 5 July 2006 on a European grouping of territorial cooperation (EGTC)

- local citizen groups and traders' associations;
 - cooperatives, trade unions, organisations representing economic and social interests;
 - local organisations (including networks) involved in the decentralised regional cooperation and integration;
 - consumer organisations, women's and youth organisations, teaching, cultural research and scientific organisations;
 - universities;
 - churches and religious associations and communities;
 - the media;
 - cross border associations, non-governmental associations and independent foundations **and**
- be nationals⁷ of one of the Programme participating countries: Hungary, Slovakia, Romania, Ukraine **and**
- have their operation⁸ of at least two years counted from the day of submission of the application **and**
- be directly responsible for the preparation and management of the project in cooperation with the other Applicant(s), not acting as an intermediary **and**
- have their headquarters or a registered regional/local branch having legal entity in the specified programme territorial units (see point 1.2)
- If the Lead Applicant is a regional/local branch with legal personality of a national/regional organisation, and the national/regional organisation's *headquarter is not situated* in the eligible regions, the *regional/local branch shall apply* for funding, and in case of contracting it shall be the Lead Beneficiary; or
 - A central/national public sector body or a body governed by private law with a public service mission from one of the major social, economic or cultural centres (see point 1.2) of the participating country may act as a Lead Applicant or as an Applicant if it can demonstrate that the Project is fully for the benefit of the eligible area covered by the Programme.

In addition to the above mentioned eligibility criteria the indicative list of the legal entities - eligible Applicants according to the Slovak national legislation - can be found in Section 3 under documents for information.

(2) Potential Lead Applicants and Applicants **may not participate in Calls for Proposals or be awarded grants if they are in any of the exclusion situations set out in Article 106(1) and Article 107 of Regulation (EU, Euratom) No 966/2012⁹:**

(a) they are bankrupt or being wound up, are having their affairs administered by the courts, have entered into an arrangement with creditors, have suspended business activities, are the subject of proceedings concerning those matters, or are in any analogous situation arising from a similar procedure provided for in national legislation or regulations;

(b) they or persons having powers of representation, decision making or control over them have been convicted of an offence concerning their professional conduct by a judgment of a competent authority of a state which has the force of *res judicata*;

⁷ Such nationality being determined on the basis of the organisation's statutes which should demonstrate that it has been established by an instrument governed by the national law of the country concerned. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation, even if the statutes are registered locally or a "Memorandum of Understanding" has been concluded.

⁸ Legal succession may be accepted in duly justified cases depending on the existence and proof of financial and operational capacity.

⁹ Regulation (EU, EURATOM) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002.

- (c) they have been guilty of grave professional misconduct proven by any means which the Managing Authority can justify;
- (d) they are not in compliance with their obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which they are established or with those of the country of the Managing Authority or those of the country where the contract is to be performed;
- (e) they or persons having power of representation, decision making or control over them have been the subject of a judgment which has the force of res judicata for fraud, corruption, involvement in a criminal organisation, money laundering or any other illegal activity, where such illegal activity is detrimental to the Union's financial interests;
- (f) they are subject to an administrative penalty referred to in Article 109(1) of Regulation No 966/2012.¹⁰
- (g) they are subject to a conflict of interests connected to their participation in the present Call for Proposals;
- (h) they are guilty of misrepresenting the information required by the Managing Authority as a condition of participation in the Call for Proposals or fail to supply that information.

Subparagraphs (a) to (d) of the point (2) shall not apply in the case of the purchase of supplies on particularly advantageous terms from a supplier which is definitively winding up its business activities or from the receivers or liquidators of a bankruptcy, through an arrangement with creditors, or through a similar procedure under national law.

Subparagraphs (b) and (e) of the point (2) shall not apply where the candidates or tenderers can demonstrate that adequate measures have been adopted against the persons having power of representation, decision making or control over them, who are subject to a judgement as referred to in subparagraphs (b) or (e) of the point (2).

Lead Applicant and Applicant(s) **shall not** participate in the Calls for Proposals and be awarded grants under the HU-SK-RO-UA ENI CBC Programme 2014-2020, therefore, applications submitted with their participation **will be automatically disqualified from the evaluation process** if the Managing Authority/Joint Technical Secretariat has evidence that (any of) the Applicant(s) have any unduly paid and/or not recovered amounts under the HU-SK-RO-UA ENPI CBC Programme 2007-2013 at the time of submission of the Project proposal.

Lead Applicants and Applicants must declare that they do not fall into any of these situations (“Declaration by the Lead Applicant” is Annex 1 and “Declaration by the Applicant” is Annex 2 to the Grant Application Form).

2.1.2 Partnerships and eligibility of Project Participants

a. Lead Applicant/Lead Beneficiary

Lead Applicant is a legal person that submits an application with a view to obtaining a grant and in case its project proposal is selected by the JMC will receive the financial contribution in order to implement the activities of a project. Lead Applicants must act with partner organisations as specified below following the Lead Partner Principle.

The Lead Applicant will be the “Lead Beneficiary” in case its project proposal is selected for financing by the JMC and a Grant Contract is signed between the Lead Beneficiary and the Managing Authority.

¹⁰ The Managing Authority may impose administrative and/or financial penalties on the following: (a) contractors, candidates or tenderers in the cases referred to in point (b) of Article 107(1); (b) contractors who have been declared to be in serious breach of their obligations under contracts covered by the budget. In all cases, however, the Managing Authority shall first give the person concerned an opportunity to present his or her observations.

b. Lead Partner Principle

The “Lead Partner Principle” is a basic requirement in all projects financed from the Programme.

The Lead Partner is referred to as “Lead Applicant” when submitting the proposal and as “Lead Beneficiary” after signature of the Grant Contract.

For each project a Lead Applicant/Lead Beneficiary shall be appointed by the Project Participants among themselves before submitting the proposal. The Lead Applicant/Lead Beneficiary is a body which takes the overall responsibility for the submission of the Grant Application Form, signs a Grant Contract with the Managing Authority and which assumes full legal and financial responsibility for project implementation vis-à-vis that authority. It receives the financial contribution from the Managing Authority and ensures that it is managed and distributed in accordance with the agreements drawn up with Beneficiaries. The Lead Beneficiary is directly accountable to the Managing Authority for the operational and financial progress of activities. The Lead Beneficiary is also responsible for the proper reporting of progress during project implementation to the Joint Technical Secretariat as stipulated in the Grant Contract.

Beneficiary is an actor that commits itself to functionally and financially implement a part of the project according to the Grant Application Form as approved by the Joint Monitoring Committee.

Project Participants means Lead Beneficiary and other Beneficiary/Beneficiaries together.

Project part covers a set of activities within the project as a whole, undertaken by the Lead Beneficiary or another Beneficiary in a defined timeframe and presented as a Lead Beneficiary / Beneficiary budget sheet in the Budget of the Application.

The project will be presented by the Lead Beneficiary who will act as the only direct contact between the project and the joint management bodies of the Programme. It is the responsibility of the Lead Beneficiary to create a well working partnership and lawful connection between the project participants ensuring the proper and sound implementation of the project.

The Lead Beneficiary shall assume the following responsibilities:

- a. it shall monitor that the Project is implemented in accordance with the Grant Contract and ensure coordination with all Beneficiaries in the implementation of the Project. For that purpose, it shall ensure that the relevant provisions of the grant contract applicable to all project participant are included in the Partnership Agreement;
- b. it shall be the intermediary for all communications between the Beneficiaries and the Managing Authority/Joint Technical Secretariat;
- c. it shall be responsible for supplying all documents and information to the Managing Authority/Joint Technical Secretariat which may be required under the Grant Contract, in particular in relation to the reports and the requests for payment. Where information from the Beneficiaries is required, the Lead Beneficiary shall be responsible for obtaining, verifying and consolidating this information before passing it on to the Managing Authority/Joint Technical Secretariat.

Any information given, as well as any request made by the Lead Beneficiary to the Managing Authority/Joint Technical Secretariat, shall be deemed to have been given in agreement with all Beneficiaries;

- d. it shall inform the Managing Authority/Joint Technical Secretariat of any event likely to significantly affect or delay the implementation of the Project;
- e. it shall inform the Managing Authority/Joint Technical Secretariat of any change in the legal, financial, technical, organisational or ownership situation of the Lead Beneficiary/Beneficiaries, as well as, of any change in the name, address or legal representative of the Lead Beneficiary/Beneficiaries;
- f. it shall be responsible in the event of audits, checks, monitoring or evaluations, as described in Article 11 of the draft Grant Contract for providing all the necessary documents, including the accounts of the Beneficiaries, copies of the most relevant supporting

documents and signed copies of any contract concluded according to Article 15 of the draft Grant Contract;

- g. it shall have full financial responsibility for ensuring that the Project is implemented in accordance with the Grant Contract;
- h. it shall establish the payment requests in accordance with the Grant Contract;
- i. it shall be the sole recipient, on behalf of all of the Beneficiaries, of the payments of the Managing Authority. The Lead Beneficiary shall ensure that the appropriate payments are then made to the Beneficiaries without unjustified delay, in accordance with the agreed provisions of the Partnership Agreement;
- j. it shall ensure that the expenditure submitted by the Project Participants in the financial reports complies with all the eligibility requirement, *inter alia*, it has been paid for the purpose of implementing the Project and corresponds to the activities agreed between the Project Participants;
- k. it shall have its expenditures incurred in the given reporting period, verified by the designated national controller (for Lead Beneficiary from one of the Member States) or accepted auditor (for Lead Beneficiary from Ukraine);
- l. it shall not delegate any, or part of, these tasks to the Beneficiaries or other entities.

The possibility to initiate projects and to act as Lead Applicant/Lead Beneficiary will be open for all eligible organisations.

The “Declaration by the Lead Applicant” shall be filled in and duly signed by the Lead Applicant.

c. Applicant(s)/Beneficiary(ies)

Beneficiary(ies) are those other organisation(s) that in addition to the Lead Beneficiary are involved with the implementation of the projects.

They are referred to as “Applicant(s)” when submitting the proposal and as “Beneficiary(ies)” after signature of the Grant Contract.

Projects shall involve at least one Applicant from one of the Member States participating in the Programme and at least one Applicant from Ukraine. This compulsory Applicant(s) shall fulfil the eligibility criteria set up for the Lead Applicants in the point 2.1.1 of the Guidelines.

Applicants/Beneficiaries participate in designing and implementing the project, and the costs they incur are eligible in the same way as those incurred by the Lead Beneficiary. They must therefore satisfy the eligibility criteria as applicable on the Lead Beneficiary.

The applicant organisations may have partnerships with organisation(s) from their own country. If a Beneficiary from the same country (if any) is a recipient of the funding, it should be located in the eligible territorial unit and must comply with the same eligibility criteria identified in the point 2.1.1 of the Guidelines.

The Lead Applicant and Applicant(s) shall be presented in section 8 and 9 of the Grant Application Form.

Declaration by the Applicant as an annex to the Grant Application Form will have to be filled in and duly signed by the statutory representative of each Applicant. For the objective evaluation of the partnership, the real role and involvement of the Project Participants during planning, development, implementation, financing and utilisation after completion of the proposed Project must be described in detail and endorsed by all Applicants (Declaration by the Applicant, as well as Description of the Activities – including the involvement of specific Applicants). The necessary number of copies should be made of this statement and annexed to the Grant Application Form.

Before the signing of the Grant Contract a Partnership Agreement has to be signed by the Lead Beneficiary and Beneficiary(ies). The model Partnership Agreement regulating the relationship between project Participants is part of the Application Package.

Each Beneficiary is directly and exclusively responsible to the Lead Beneficiary for the due implementation of its respective project part and for the proper fulfilment of its obligations. Beneficiary(ies) also bear financial responsibility for the funds that they implement in accordance with Article 46.2 of ENI CBC Implementing Rules. The specific obligations as well as the financial responsibilities of the beneficiaries shall be laid down in the Grant Contract, in the Partnership Agreement and in the Grant Application Form.

The following are not Project Participants and do not have to sign the “Declaration by the Applicant”:

- **Subcontractors**

Each Beneficiary has the possibility to award contracts. Beneficiary cannot be subcontractor. If the implementation of a project requires procurement of goods, works or services by a Beneficiary, the following rules shall apply:

- Where the Beneficiary is a contracting authority or a contracting entity within the meaning of the Union legislation applicable to procurement procedures, it may apply national laws, regulations and administrative provisions adopted in connection with Union legislation.
- In all other cases the applicable rules are set out in Art. 52 paragraph 2 and Articles 53 to 56 of the ENI CBC Implementing Rules, as well as any specific instructions defined in the Project Implementation Manual.

- **Target group**

Target groups are the groups/entities who will be directly positively affected by the project at the project level.

- **Final beneficiaries**

Final beneficiaries are those who will benefit from the project in the long term at the level of the society or sector at large.

2.1.3 Eligible Projects: Projects which may receive financial contribution from the Programme

Definition: A project is composed of a set of activities aiming at achieving specific, measurable, relevant, achievable and timed results and objectives, which contribute to the programme priorities.

Projects may receive financial contribution from the Programme provided they meet all the following conditions:

- (a) they deliver a clear cross-border cooperation impact and benefits as described in the programming document and demonstrate added value to Union strategies and programmes;
- (b) they are implemented in the programme area;
- (c) they fall within one of the following categories:
 - (i) **integrated projects** where each beneficiary implements a part of the activities of the project on its own territory;
 - (ii) **symmetrical projects** where similar activities are implemented in parallel in Member State(s) and Ukraine.

Projects may not be implemented in regions other than those defined in point 1.2 as Programme eligible area.

Projects shall be submitted by Lead Applicants representing partnerships consisting of at least one Applicant from a Member State participating in the Programme and at least one Applicant from Ukraine.

Duration

The planned duration of a Project implementation may not be lower than **12 months** nor exceed **36 months**. In exceptional and justified cases the possibility of the extension of the project implementation period (without grant amount or rate increase) will be foreseen with approval of the MA on the request of the Lead Beneficiary. However, due to the extension of the project implementation period the own contribution rate can be increased upon the request of the Lead Beneficiary.

Cooperation criteria

Main four cooperation criteria of the project need to be respected in the projects of all nature.

1. joint project development
2. joint project implementation
3. joint staffing
4. joint financing

All beneficiaries shall actively cooperate in the development and implementation of the project. In addition, they shall cooperate in the staffing and financing of the project.

Types of activity

The type of activity which can be financed under this Call: the indicative list of activities is defined in the Table 1 of the point 1.3.

The following types of Projects are ineligible:

- Projects concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences, congresses;
- Projects concerned only or mainly with individual scholarships for studies or training courses;

Note that the Lead Applicant must comply with the thematic objectives (TOs) and priorities of this call and guarantee the visibility of the EU-financing in accordance with Article 19 of the Grant Contract.

Number of applications and grants per Lead Applicant

A Lead Applicant may submit more than 1 application under this Call for Proposals.

A Lead Applicant may be awarded more than 1 grant under this Call for Proposals.

A Lead Applicant may at the same time be Applicant in other applications.

Applicants may take part in more than one application.

A Lead Applicant (Lead Beneficiary) may be awarded more than one grant under this Call for Proposals, if it can demonstrate its financial and administrative capacity of managing and co-financing all the awarded projects.

Concentration of grants in some entities can be considered a risk factor and should be discussed by the Joint Monitoring Committee and consequently may lead to a rejection of the Project Application.

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| 2.1.4 Eligibility of costs: costs which may be taken into consideration for the grant |
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Only "eligible costs" can be taken into account for a grant. The categories of costs considered as eligible and non-eligible are indicated below. The budget is both a cost estimate and a ceiling for "eligible costs". Note that the eligible costs must be based on real costs based on supporting documents (except for indirect costs where flat-rate funding applies).

Recommendations to award a grant are always subject to the condition that the checking process which precedes the signing of the contract does not reveal problems requiring changes to the budget (for instance arithmetical errors, inaccuracies or unrealistic costs and other ineligible costs). The checks may give rise to requests for clarification and may lead the Managing Authority/Joint Technical Secretariat to impose modifications or reductions to address such mistakes or inaccuracies. The amount of the grant and the percentage of co-financing as a result of these corrections shall not be increased.

It is therefore in the Lead Applicant's interest to provide a **realistic and cost-effective budget**.

In order to be eligible the expenditure of the project must be incurred during the project period and in the previously defined eligibility area of execution of each relevant contract. The eligible costs have to meet all the following criteria:

(a) they are incurred during the implementation period of the project. In particular:

(i) costs relating to services and works shall relate to activities performed during the implementation period. Costs relating to supplies shall relate to delivery and installation of items during the implementation period. Signature of a contract, placing of an order, or entering into any commitment for expenditure within the implementation period for future delivery of services, works or supplies after expiry of the implementation period do not meet this requirement; cash transfers between the lead beneficiary and the other beneficiaries may not be considered as costs incurred;

(ii) costs incurred should be paid before the submission of the final reports. They may be paid afterwards, provided they are listed in the final report together with the estimated date of payment;

(iii) an exception is made for costs relating to final reports, including expenditure verification, audit and final evaluation of the project, which may be incurred after the implementation period of the project;

(iv) procedures to award contracts, as referred to in Article 52 and following of ENI CBC Implementing Rules, may have been initiated and contracts may be concluded by the Lead Beneficiary/Beneficiary(ies) before the start of the implementation period of the project, provided the provisions of Article 52 and following of ENI CBC Implementing Rules have been respected;

(b) they must be indicated in the project's estimated overall budget;

(c) they must be necessary for the project implementation;

(d) they are identifiable and verifiable, in particular being recorded in the accounting records of the Lead Beneficiary/Beneficiaries and determined according to the accounting standards and the usual cost accounting practices applicable to the Lead Beneficiary/Beneficiaries;

(e) they comply with the requirements of applicable tax and social legislation;

(f) they must be reasonable, justified, and comply with the requirements of sound financial management, in particular regarding economy and efficiency;

(g) they are supported by invoices or documents of equivalent probative value.

(4) Eligible direct costs

Subject to the above, the following direct costs of the Lead Beneficiary and Beneficiaries shall be eligible:

- a) the cost of staff assigned to the Project, under the following cumulative conditions:
 - o they relate to the costs of activities which the beneficiary would not carry out if the project was not undertaken,

- they must not exceed those normally borne by the beneficiary unless it is demonstrated that this is essential to carry out the project,
 - they relate to actual gross salaries including social security charges and other remuneration-related costs;
- b) travel and subsistence costs of staff and other persons taking part in the project, provided they exceed neither the costs normally paid by the beneficiary according to its rules and regulations nor the rates published by the Commission at the time of the mission if reimbursed on the basis of lump sums, unit costs or flat rate financing;
 - c) purchase or rental costs for equipment and supplies (new or used¹¹) specifically for the purposes of the Project, and costs of services, provided they correspond to market rates;
 - d) costs of consumables specifically purchased for the project;
 - e) costs entailed by contracts awarded by the beneficiaries for the purposes of the project;
 - f) costs deriving directly from the requirements of the Grant Contract (dissemination of information, evaluation specific to the Project, audits, translation, reproduction, insurance, etc.) including financial service costs (in particular the cost of bank transfers and financial guarantees).

(5) Eligible indirect costs (overheads)

The indirect costs incurred in carrying out the Project may be eligible for flat-rate funding fixed at not more than 2% of the total eligible direct costs, excluding costs incurred in relation to the provision of infrastructure, provided that the rate is calculated on the basis of a fair, equitable and verifiable calculation method. Indirect costs are eligible provided that they do not include ineligible costs as referred to below or costs already declared under another cost item or heading of the budget of the project.. The Lead Applicant may be asked to justify the requested percentage before contracting. However, once the flat-rate has been fixed in the Grant Contract, no supporting documents need to be provided.

(6) Contributions in kind

Contribution in kind is not considered actual expenditure. The contributions in kind may not be treated as co-financing by the Lead Beneficiary/Beneficiaries. The cost of staff assigned to the Project shall not be considered a contribution in kind but may be considered part of the minimum 10 % co-financing.

(7) Ineligible costs

The following costs are not eligible:

- a) debts and debt service charges;
- b) provisions for losses or potential future liabilities;
- c) costs declared by the beneficiary and already financed by the Union budget;
- d) purchases of land or buildings for an amount exceeding 10 % of the eligible expenditure of the project concerned, except where necessary for the direct implementation of the Project, in which case ownership must be transferred to the final beneficiaries and/or local Partners, at the latest by the end of the Project;
- e) currency exchange-rate losses;
- f) duties, taxes and charges, including VAT, except where non-recoverable under the relevant national tax legislation, unless otherwise provided in appropriate provisions negotiated with Ukraine;
- g) loans to third parties;

¹¹ If it was not funded by other EU instruments.

h) fines, financial penalties and expenses of litigation.

The unjustified and ineligible cost will be deducted from the Project's eligible expenditure.

No-profit

The grant may not produce a profit for the beneficiary. Profit is defined as a surplus of the receipts over the eligible costs approved by the Managing Authority when the request for payment of the balance is made. The receipts to be taken into account are the consolidated receipts on the date on which the payment request for the balance is made by the beneficiary that fall within one of the three following categories:

- a) income generated by the Project;
- b) financial contributions specifically assigned by the donors to the financing of the same eligible costs financed by this Contract and declared by the Lead Beneficiary as actual costs under this Contract. Any financial contribution that may be used by the Lead Beneficiary to cover costs other than those eligible under this Contract or that are not due to the donor where unused at the end of the Project are not to be considered as a receipt to be taken into account for the purpose of verifying whether the grant produces a profit for the Lead Beneficiary;
- c) interest from pre-financing.

Where the final amount of the grant determined in accordance with the Contract would result in a profit, it shall be reduced by the percentage of the profit corresponding to the final European Union contribution to the eligible costs actually incurred and approved by the Managing Authority.

2.2 HOW TO APPLY AND THE PROCEDURES TO FOLLOW

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| 2.2.1 Application Form, its annexes and supporting documents |
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Applicants must apply in English.

Any error or major discrepancy related to the points listed in the instructions on the Grant Application Form or any major inconsistency in the Grant Application Form (e.g. the amounts mentioned in the budget are inconsistent with those mentioned in the Grant Application Form) may lead to the rejection of the application.

Clarifications will only be requested when information provided is unclear, thus preventing the Joint Technical Secretariat from conducting an objective assessment.

Hand-written applications will not be accepted.

Lead Applicant and Applicants shall obtain supports from the relevant regional authorities proving the strategic importance of the planned project idea. As many support letters shall be attached to a project application as many regions are concerned e.g. a bilateral project composed of one Ukrainian Lead Applicant and two Slovak Applicants belonging to the same county shall obtain and submit two letters of support: one letter from the relevant Ukrainian regional authority and an other letter from the relevant Slovak regional authority. Letters of support from the relevant regional authorities shall be obtained in Hungary from the County Council / in the Slovak Republic from the Self-governing Region / in Romania from the County Council / in Ukraine from the County Council or from the Oblast Administration.

Please note that only the Grant Application Form including all tables and model plans (description of the activities, time plan, procurement plan, communication plan, risk analysis & contingency plan, logical framework matrix, list of Project team and CVs of the key permanent staff of Lead Applicant/Applicant(s) which will be involved in the project implementation), the Annexes to the Grant Application Form (Annex 1: the Declaration by the Lead Applicant, Annex 2: the Declaration(s) by the Applicant, Annex 3 and 4: the State aid declarations, Annex 5: the Legal Entity Form and Annex 6: the Financial Identification Form), the published documents which have to be filled in (Budget, Financial plan), the Letters of support from the relevant regional authorities as well as the supporting documents detailed

below will be evaluated. It is therefore of utmost importance that these documents contain ALL relevant information concerning the project.

Legal entity form (sample provided^{12,13}) shall be duly completed and signed by the Lead Applicant, accompanied by the justifying documents which are requested therein.

Financial identification form with the EURO account (sample provided¹⁴), shall be certified by the bank to which the payments will be made. This bank must be located in the country where the Lead Applicant is registered. In case the Lead Applicant does not have EURO account at the moment of the application the existing account in national currency should be declared in the Financial identification form. However before the Contract signature and after the Lead Applicant gets the award letter it should provide the Managing Authority with the Financial identification form with the bank account in EURO. All Ukrainian Project Participants are obliged opening a bank account by any of the state-owned banks and in line with the Programme requirements it should be denominated in EURO in the case of the Lead Applicant. The Lead Applicant must inform the Managing Authority about any changes in the bank requisites.

The following supporting documents should be submitted together with the Grant Application Form and its annexes:

1. The Statutes or Articles of association of the Lead Applicant organisation¹⁵.
2. The Statutes or Articles of association of each Applicant organisation¹⁶.
3. Copy of the Lead Applicant's and all the Applicants' approved and audited Annual accounts for the last 2 financially closed years
4. The original specimen of signature of the legally authorized representative of the Lead Applicant organization issued by a public notary¹⁷.

All the documents must be supplied in the form of originals, photocopies or scanned versions (i.e. showing legible stamps, signatures and dates) of the said originals. **However, the following documents must always be submitted in original:**

- Letters of support from the relevant regional authorities,
- Declaration by the Lead Applicant,
- Declaration(s) by the Applicant(s),
- State aid declarations,
- Legal entity form,
- Financial identification form and
- Original Specimen of Signature.

The Statutes or Articles of association of the Lead Applicant and Applicant organisation(s) shall be submitted in original language ***accompanied with brief English summary (max. 1 page)***, reflecting the main content as follows:

- name of the organisation,
- legal status,
- main goals and types of activities,
- registration and location of headquarters and,
- if it is the case, of the subsidiary(ies)/branch(es).

¹² http://ec.europa.eu/budget/library/contracts_grants/info_contracts/legal_entities/legEnt_public_en.pdf

¹³ http://ec.europa.eu/budget/library/contracts_grants/info_contracts/legal_entities/legEnt_privComp_en.pdf

¹⁴ http://ec.europa.eu/budget/library/contracts_grants/info_contracts/financial_id/fich_sign_ba_gb_en.pdf

¹⁵ Where the Lead Applicant is a public body created by a law, the Statutes or Articles of association are not required. In such cases the Lead Applicant should submit a statement referring to the relevant legal act.

¹⁶ Where the Applicant(s) is a public body created by a law, the Statutes or Articles of association are not required. In such cases the Applicant(s) should submit a statement referring to the relevant legal act.

¹⁷ Signature of the legally authorized representative of the Lead applicant organization should be the same on the Declaration by the Lead Applicant, State aid declaration by the Lead Applicant, Legal Entity Form, Financial Identification Form and Original Specimen of Signature. In case if the abovementioned documents are signed by more than one legally authorized representative of the Lead Applicant organization, all the corresponding original specimens of signature have to be provided.

In case of changes of the abovementioned relevant parts of the Statutes proving the Lead Applicant's, and its Applicants' eligibility, the decision of the competent authority regarding the registration of the modifications according to the national legislations in force, must also be submitted.

Project applications for project which contains construction, work and/or supply components are called investment type of the Project. In case of the project includes an infrastructure component of at least EUR 1 million and/or according to the national legislation building permission is required, the following documents shall be submitted in addition:

5. Full Feasibility study or equivalent carried out, including the options analysis, the results, and independent quality review (if according to the national legislation it is required for the obtaining the building permission in the set format).
6. Environmental impact assessment in compliance with the Directive 2011/92/EU of the European Parliament and of the Council¹⁸ and, for the participating countries which are parties to it, UN/ECE Espoo Convention on Environmental Impact Assessment in a Transboundary Context of 25 February 1991
7. Building permit signed by the relevant authority. If the investment does not require a building permit, a certification should be annexed that the works component is not subject of a building permission.
8. Evidence of ownership by the beneficiaries or access to the land.
9. Project technical documentation (ordinary copy), depending on the type of the investment it could be: construction plan submitted for the building permit or, in case the works activity is not subject to permission, the technical description; diagrammatical plan and/or the general plan of the building site.

Exceptionally and in duly justified cases, the Managing Authority may accept a later submission of the Building permit (point 9).

The full feasibility study (point 7) and Environmental impact assessment (point 8) may be submitted in original language *accompanied with brief English summary*, reflecting the main content.

The Application will be disqualified from the evaluation process in case any of the following documents or its parts are missing from the Application both in paper and electronic versions:

- Grant Application Form and its Annexes (Declaration by the Lead Applicant, Declaration(s) by the Applicant(s), State Aid declarations, Legal Entity Form, Financial Identification Form)
- Budget of the Project
- Financial Plan
- Letters of support from the relevant regional authorities

However, in case of uncertainties or unclear information provided in the Grant Application Form and its annexes and/or the supporting documents, the Lead Applicant is invited to submit a clarification within 14 calendar days after receipt of the official letter (as evidenced by the date of dispatch, the postmark or the date of the deposit slip). The Joint Monitoring Committee may use its discretion to decide whether or not it should still be considered the rest of the evaluation, while ensuring the equal treatment of proposals and in accordance with the principle of proportionality.

The Lead Applicants could be requested to submit the missing supporting documents, defined in the above points 1-4 and 9. The Lead Applicants have to submit missing documents to the Joint Technical Secretariat within 14 calendar days after the receipt of the official letter from the Secretary of the Joint Monitoring Committee (as evidenced by the date of dispatch, the postmark or the date of the deposit slip). If the Lead Applicant fails to submit the missing supporting documents within the given deadline the application will be rejected.

Incoherence between the Declaration by the Lead Applicant and the supporting documents will lead to the rejection of the proposal on that sole basis.

¹⁸ Directive 2011/92/EU of the European Parliament and of the Council of 13 December 2011 on the assessment of the effects of certain public and private projects on the environment (OJ L 26, 28.1.2012, p. 1).

2.2.2 Where and how to send the Applications

Applications must be submitted in one original and as many copies as the number of countries involved in the Partnership but not less than 2 copies¹⁹ in A4 size, each bound, containing Table of Contents and all pages numbered. The numbering shall be with whole numbers (e.g. 12/1 and 12/2 is not allowed) and it shall be continuous (i.e. after the last page of the Application Form one should not re-start the numbering). Numbering can be handwritten as well.

The following documents shall be supplied in electronic format (CD-Rom) as well, each one in a separate and unique file in the same format as the relevant forms of the Call for Proposals published on the programme's website (e.g. Grant Application Form must not be split into several different files).

- Grant Application Form (in 'doc' or 'docx' format)
- Annexes to the Grant Application Form (the scanned version of the signed documents)
- Budget and Financial plan (in 'xls' or 'xlsx' format)
- Letters of support from relevant regional authorities (the scanned version of the signed documents)

The documents sent in electronic format must contain **exactly the same** information as the paper version enclosed.

The Checklist (Section 10 of the Grant Application Form), the Declaration by the Lead Applicant (Annex 1 of the Grant Application Form), the Declaration(s) by the Applicant(s) (Annex 2 of the Grant Application Form), the State Aid declarations (Annex 3-4 of the Grant Application Form) must be stapled separately and enclosed in the envelope.

Where a Lead Applicant sends several different applications, each one has to be sent separately and contain all required documents for each application.

Please complete the application carefully and as clearly as possible so that it can be assessed properly. The Lead Applicant should be precise and provide enough detail to ensure the application is clear, particularly as to how the aims of the Project will be achieved, the benefits that will flow from it and the way in which it is relevant to the Programme's thematic objectives and priorities.

The outer envelope must bear the reference number and the title of the Call for Proposals (**HUSKROUA/1701/LIP/, Hungary-Slovakia-Romania-Ukraine ENI Cross-border Cooperation Programme**), together with the full name and address of the Lead Applicant, and the words "**Not to be opened before the opening session**".

Applications must be submitted in one package in a sealed envelope by registered mail, private courier service or by hand-delivery (a signed and dated certificate of receipt will be given to the deliverer) at the address below:

HU-SK-RO-UA ENI CBC Programme
Joint Technical Secretariat
Széchenyi Programme Office Nonprofit Ltd.
H-1053 Budapest, Szép street 2,
3rd floor, room A302

Applications sent by any other means (e.g. by fax or by e-mail) or delivered to other addresses will be rejected.

Applicants must verify that their application is complete using the Checklist (section 10 of the Grant Application Form). Incomplete applications may be rejected.

¹⁹ There are following possibilities: 1. If the project is bilateral, e.g. HU-UA, the Lead Applicant must submit 1 original and 2 copies, 2. If the project is trilateral, e.g. HU-SK-UA, the Lead Applicant must submit 1 original and 3 copies, 3. If the project is quadrilateral, e.g. HU-SK-RO-UA, the Lead Applicant must submit 1 original and 4 copies.

2.2.3 Deadline for submission of Applications

The deadline for the submission of applications is **15 November 2017** as evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is **at 14:00 local time** as evidenced by the signed and dated receipt. Any application submitted after the deadline will automatically be rejected.

However, for reasons of administrative efficiency, the Joint Monitoring Committee may reject any application sent before the deadline, but received after the effective date of approval of the administrative and eligibility check (see indicative calendar under section 2.4.2).

2.2.4 Further information for the Application

Questions may in addition be sent by e-mail no later than 10 days before the deadline for the submission of applications to the below address, indicating clearly the reference of the Call for Proposals:

E-mail address: info@huskroua-cbc.net

The Joint Technical Secretariat has no obligation to provide further clarifications after this date.

Replies will be given no later than 5 days before the deadline for the submission of applications.

In the interest of equal treatment of Applicants, the Managing Authority and the Joint Technical Secretariat cannot give a prior opinion on the eligibility of a Lead Applicant, an Applicant, a Projector specific activities.

Questions that may be relevant to other Applicants, together with the answers, will be published on the internet at the: <http://www.huskroua-cbc.eu>. It is therefore highly recommended to regularly consult the above-mentioned website in order to be informed of the questions and answers published.

Contact details of the Branch Offices will be published on the programme's website right after setting them up in the eligible Programme territory.

2.3 EVALUATION AND SELECTION OF APPLICATIONS

Applications will be examined and evaluated by the Joint Monitoring Committee with the direct assistance of the assessors. All Projects submitted by the Lead Applicants will be assessed according to the following steps and criteria.

If the examination of the application reveals that the proposed Project does not meet the eligibility criteria stated in paragraphs 2.1.1, 2.1.2 and 2.1.3, the application shall be rejected on this sole basis.

(1) STEP 1: OPENING SESSION, ADMINISTRATIVE AND ELIGIBILITY CHECK

All proposals received should be opened in an opening session at which the registration details will be checked and completed and the application numbered. The representatives of the MA/JTS will supervise the opening session and may be assisted by the staff of the Branch Offices according to the needs.

The registration of proposals should contain the following information:

- registration number of Application
- date of submission
- the Lead Applicant's name and address.

The following will be assessed:

- The submission deadline has been respected. If the deadline has not been respected the application will automatically be rejected.
- The Application Form satisfies all the criteria specified in points 1-16 of the Checklist (section 10 of the Grant Application Form) and the Assessment Grid (to be used by the Joint Technical Secretariat

for administrative and eligibility check). If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

The Application will be disqualified from the evaluation process in case any of the following documents are missing from the Application: the Grant Application Form including all tables and model plans (description of the activities, time plan, procurement plan, communication plan, risk analysis & contingency plan, logical framework matrix, list of Project team and CVs of the key permanent staff of Lead Applicant/Applicant(s) which will be involved in the project implementation), the Annexes to the Grant Application Form (Annex 1: the Declaration by the Lead Applicant, Annex 2: the Declarations by the Applicant, Annex 3 and 4: the State aid declarations, Annex 5: the Legal Entity Form and Annex 6: the Financial Identification Form), the published documents which have to be filled in (Budget, Financial plan), the Letters of support from the relevant regional authorities as well as the supporting documents.

However, in case of uncertainties or unclear information provided in the Grant Application Form and its annexes, the Lead Applicant is invited to submit a clarification within 14 calendar days after receipt of the official letter (as evidenced by the date of dispatch, the postmark or the date of the deposit slip). The Joint Monitoring Committee may use its discretion to decide whether or not it should still be considered during the rest of the evaluation process, while ensuring the equal treatment of proposals and in accordance with the principle of proportionality. Whatever the Joint Monitoring Committee decides, this must be fully recorded and justified in the Evaluation Report.

The Declaration by the Lead Applicant (Annex 1 of the Grant Application Form) will be cross-checked with the supporting documents provided by the Lead Applicant (see point 2.2.1). The Lead Applicants could be requested to submit the missing supporting documents, defined in points 1-4 and 9 of the section 2.2.1. The Lead Applicants have to submit missing documents to the Joint Technical Secretariat within 14 calendar days after the receipt of the official letter from the Secretary of the Joint Monitoring Committee (as evidenced by the date of dispatch, the postmark or the date of the deposit slip). If the Lead Applicant fails to submit the missing supporting documents within the given deadline the application will be rejected.

Incoherence between the Declaration by the Lead Applicant and the supporting documents will lead to the rejection of the proposal on that sole basis.

The eligibility of the Lead Applicant, the Applicants, and the Project will be verified according to the criteria set out in sections 2.1.1, 2.1.2 and 2.1.3 and will be performed by the representatives of the MA/JTS or Branch offices. The Evaluation Report will be endorsed by the JMC.

Following the opening session and the administrative and eligibility check, the Chairperson of the JMC will send a letter to all Lead Applicants, indicating whether their application was submitted prior to the deadline, informing them of the reference number they have been allocated and whether they have been recommended for further evaluation.

(2) STEP 2: EVALUATION OF THE APPLICATION

The evaluation of the Application Forms that have passed the first opening session, administrative and eligibility check will cover the relevance of the Project, its merits and effectiveness, its viability and sustainability. An evaluation of the quality of the applications, including the proposed budget, and of the capacity of the Lead Applicant and Applicants, cross-border impact will be carried out in accordance with the evaluation criteria set out in the Evaluation Grid. There are two types of evaluation criteria: selection and award criteria.

The selection criteria are intended to help evaluate the Lead Applicants' financial and operational capacity to ensure that they:

- have stable and sufficient sources of finance to maintain their activity throughout the period during which the Project is being carried out and, where appropriate, to participate in its funding;
- have the management capacity, professional competencies and qualifications required to successfully complete the proposed Project. This also applies to any Applicants.

The award criteria allow the quality of the applications submitted to be evaluated in relation to the set objectives and priorities, and grants to be awarded to Projects which maximise the overall effectiveness of the Call for Proposals. They enable the selection of applications which the Managing Authority can be confident will comply with its objectives and priorities. They cover such aspects as the relevance the Project, its consistency with the objectives of the Call for Proposals, quality, expected cross-border impact, sustainability and cost-effectiveness.

Scoring:

The Application Form will be given an overall score out of **100 points** in accordance with the breakdown provided in the Evaluation Grid below.

The evaluation criteria are divided into sections and subsections.

Evaluation Grid

| ASSESSMENT CRITERIA | Maximum Score | Reference |
|---|---------------|---|
| SELECTION CRITERIA | | |
| 1. Operational and financial capacity of the Lead Applicant and of other Applicants | 15 | |
| 1.1. The Lead Applicant and Applicants have sufficient experience in project management | 4 | AF 5.1, 5.2 and 5.6 |
| 1.2. The Lead Applicant and Applicants demonstrate sufficient technical expertise (especially knowledge of the issues to be addressed) and management capacity (including staff, equipment, knowledge and ability to handle the budget of the project) | 5 | AF 5.1, 5.2 and 5.6 |
| 1.3. The Lead Applicant's and Applicant's organisations dispose with sufficient sources for their financial operations (positive balance sheet for two previous closed financial years) | 2 | AF Section 8, 9 and Supporting document 3. |
| 1.4. Sufficient and reasonable sources are planned to ensure project implementation (both the Lead Applicant and Applicants who financially contribute to the project have stable and sufficient sources of co-financing) | 4 | AF Section 5.7, 8, 9 and Supporting document 3. |
| AWARD CRITERIA | | |
| 2. Cross border approach for the chosen topic, target group, programme area and partners | 15 | |
| 2.1. The project demonstrates clear cross-border impact and positively affects target groups and final beneficiaries | 5 | AF 2.1 and 6.5 |
| 2.2. The added value deriving from cross-border cooperation and share of joint benefits is significant. The cross-border cooperation brings added value in terms of: a) The results benefit two/three/four sides of the borders b) There is a clear benefit of cooperation – results cannot be fully achieved without cooperation in the proposed project partnership c) Partners share their experience, methods, models, data, ideas, know-how, knowledge etc. | 4 | AF 6.2, 6.4, 6.5, 6.9 |
| 2.3 Relevant and necessary partners are involved in project development, during project implementation and in achieving project results | 3 | AF 5.1 and 5.3 |
| 2.4 All partners play a precise role in the partnership and get a real benefit from it | 3 | AF 5.2 and 5.3 (and 2.5.3 for infrastructure component) |
| 3. Relevance of the project to the Programme | 27 | |
| 3.1 The problems and needs that justify the project are precisely defined and described | 5 | AF 6.2, 6.3 |
| 3.2 The project's objectives are relevant and are supported by | 3 | AF Project summary, 2.1, |

| | | |
|--|---------------------|--|
| the background analysis . The objectives are in line with the aims of the relevant Programme's Thematic Objective and Priority | | 2.2, 6.1 and 6.2 |
| 3.3 The project proposal contains a complex, relevant and detailed risk analysis with a clear contingency plan | 2 | AF 3.3 |
| 3.4 All project activities are balanced, relevant for achieving the project results and are all necessary for the successful implementation of the project | 3 | AF 2.3, 2.5, 6.8 and 6.9 |
| 3.5 Final beneficiaries and target groups are clearly defined and strategically chosen. Their needs have been clearly defined and the project proposal addresses them appropriately. The added value of the project for target groups is clearly demonstrated as well as the way the project serves the wider public (there is a real need for the project). | 3 | AF 6.4, 6.5 and 6.6 |
| 3.6 The project is relevant to the cross-cutting issues (such as gender equality, human rights, democracy, environmental sustainability, struggle against HIV/AIDS) | 3 | AF 6.7 |
| 3.7 The project demonstrates added value to the implementation of the Programme strategy and relevant national/regional/ macro regional strategies | 3 | AF 6.3 |
| 3.8 Indicators of output and result have been properly identified vis-a-vis all project activities. The achievement of the objectives can be traced by the realization of the identified indicators. Project monitoring can rely on the output indicators. | 3 | AF 2.4 and 5.8 |
| 3.9 The project indicators contribute to the Programme indicators | 2 | AF 3.4 |
| 4. Sustainability | 10 | |
| 4.1 The project is likely to have a long-lasting impact on its target groups. The project main outputs will be further used once the project has ended. | 2 | AF Section 3 (and AF 3.5.1 in case of infrastructure component) |
| 4.2 Project is likely to have a multiplier effects (including scope for replication and extension of the outcome of the project and dissemination of information) | 2 | AF 3.1 (and 3.5.1 and 2.5.3 in case of infrastructure component) |
| 4.3 The expected results of the proposed project are sustainable in relation to: a.) financial sustainability (there are sources of revenue for covering all future operating and maintenance costs during the period of project results sustainability, for financing of follow-up activities etc.) b.) institutional level (there are structures that would allow the results of the project to be continued after the end of the action- local "ownership" of the project results) c.) environmental sustainability (if applicable) (there are conditions put in place to avoid negative effects on natural resources on which the project depends and on the broader natural environment). | 2 2 2 | AF 3.4 |
| 5. Work plan and Communication | 20 | |
| 5.1 The overall design of the project is coherent. In particular, it reflects the analysis of the problems involved and takes into account external factors and relevant stakeholders | 4 | AF 4.1 |
| 5.2 The project's intervention logic clearly presents the proposed activities, results and objectives. The intervention | 4 | AF 2.3 |

| | | |
|--|------------|--------------------------------|
| logic and project plan are clear and feasible. The results will improve the situation of the identified target groups and will serve as proper solution for the presented problems and needs. The method of implementing the planned activities is presented in adequate detail. | | |
| 5.3 Proposed activities and project outputs are appropriate, practical and consistent with the objectives and expected results | 4 | AF 2.3, 2.5 and 4.1 |
| 5.4 The project communication plan is appropriate to achieve project communication goals. The planned communication activities have a joint nature, are suitable for the dissemination of the project results | 3 | AF 5.9 and 5.10 |
| 5.5 The time plan is realistic | 3 | AF 4.2 |
| 5.6 The level of involvement and participation in the project of the cross-border co-applicants is satisfactory from the perspective of joint preparation/joint implementation/joint staffing/joint financing of the project | 2 | AF 5.3, 5.4 and 5.5 |
| 6. Budget | 13 | Attached to the GAF |
| 6.1 Project budget is proportionate to the proposed work plan and the main outputs and results aimed for (the ratio between the estimated costs and the expected results is satisfactory) | 3 | Annex B: Budget of the project |
| 6.2 Total partner budgets reflect partners' actual involvement in the project and are balanced and realistic . The planned project financing ensures its stable implementation | 3 | Annex B: Budget of the project |
| 6.3 The budget is transparent and adequately related to the planned activities. Activities are appropriately reflected in the budget. | 4 | Annex B: Budget of the project |
| 6.4 Financial plan is efficient and realistic | 3 | Attached to the GAF |
| Maximum total score | 100 | |

Selection and contracting

Following the evaluation, a table listing the applications ranked according to their score and within the available financial envelope will be established as well as a **reserve list** following the same criteria.

Based on the evaluation of the applications the Joint Monitoring Committee will decide on the **award of grants** and will inform about its final decision via the Managing Authority. In case of positive decision, the Lead Applicant will receive a letter of award with the list of conditions and requirement which shall be fulfilled before the signature of the grant contract. Prior to the signature of the grant contract the Description of the Project (Annex I of the Grant Contract) must be corrected taking into consideration changes which have occurred since the submission of the proposal and the Budget of the Project (Annex II of the Grant Contract) and Financial Plan (Annex III of the Grant Contract) proposed for the project must be corrected and removed any arithmetical errors or ineligible costs. The Joint Technical Secretariat will have the right to investigate any section of the Description of the Project and items of the Budget of the Project and Financial Plan included in and annexed to the project application. These amendments should not call into question the award decision and cannot lead to an increase in neither the amount of the grant nor the percentage of the co-financing fixed by the Joint Monitoring Committee for the EU contribution. Before the conclusion of the grant contract the Joint Monitoring Committee shall be notified on the fulfilment of conditions set for the Project.

2.4 NOTIFICATION OF THE JOINT MONITORING COMMITTEE'S DECISION

2.4.1 Content of the decision

Lead Applicants will be informed in writing of the Joint Monitoring Committee's decision concerning their application and, in case of rejections, the reasons for the negative decision.

Lead Applicants believing that they have been harmed by an error or irregularity during the evaluation process may file a complaint not later than 14 calendar days (as evidenced by the date of dispatch, the postmark or the date of the deposit slip) after receiving the letter from the Managing Authority. Complaints should be sent to the address of the Joint Technical Secretariat (see section 2.2.2).

The complaint can be filed in case the decision:

- infringes the rights stipulated in the Regulations of the European Union;
- presents an encroachment to the Call for Proposals published or the procedures regulating the assessment process.

The complaint has to be:

- written in English;
- addressed to the Head of MA and sent to the Joint Technical Secretariat by registered mail to the following address:
- HU-SK-RO-UA ENI JTS – Széchenyi Programme office Nonprofit Llc. H-1053, Budapest, Szép street 2. 3rd floor;
- filed by the legal representative of the Lead Applicant;
- sent in 14 calendar days following the notification regarding the rejection of the project;
- contain clear and articulate reference to the nature of the encroachment based on EU Regulations, and Programme procedures or the Call for Proposals.

All complaints shall be considered and answered by the MA, as the responsible complaint handling body, in 20 calendar days following receipt of the complaint and can be extended once with an extra 45 calendar days in case further investigations are needed. The Lead Applicant will be informed about the extension of the deadline.

Complaints shall be automatically rejected, without any examination in case:

- they were not filed by the one entitled to submit a complaint;
- in case they were filed after 14 calendar days following the receipt of the official rejection letter;
- they do not contain clear reference to the nature of the encroachment based on EU Regulations, procedures or the Call for Proposals;
- in case the subject and content of a complaint correspond with a complaint already filed and rejected;
- the complaint was not sent by registered mail (e.g. complaints received by fax or e-mail will be automatically rejected).

2.4.2 Indicative time table

| | DATE | TIME* |
|---|--------------------------------|--------------------------------|
| Information meeting (if any) | see on the programme's website | see on the programme's website |
| Deadline for request for any clarifications from the Joint Technical Secretariat | 31 October 2017 | 16:00 |
| Last date on which clarifications are issued by the Joint Technical Secretariat | 10 November 2017 | - |
| Deadline for submission of Application | 15 November 2017 | 14:00 (for hand-delivery) |

| | | |
|--|------------------|---|
| Notification of award with information to Lead Applicant on the evaluation of the Application | 15 February 2018 | - |
| Contract signature | 30 March 2018 | - |

***Provisional date.** All times are in the time zone of the country of the Managing Authority

This indicative timetable may be updated by the MA/JTS during the procedure. In such case, the updated timetable shall be published on internet at the Programme web site <http://www.huskroua-cbc.eu>

2.5 CONDITIONS APPLICABLE TO IMPLEMENTATION OF THE PROJECT FOLLOWING THE JOINT MONITORING COMMITTEE'S DECISION TO AWARD A GRANT

Following the decision to award a grant, the Beneficiary will be offered a contract based on the Managing Authority's grant contract (attached to the Application Package). By signing the Application Form, the Lead Applicant declares accepting, in case where it is awarded a grant, the contractual conditions as laid down in the grant contract.

Implementation contracts

Where implementation of the project requires the Beneficiary to award procurement contracts, it must award the contract to the tender offering the best value for money, that is to say, the best price-quality ratio, in compliance with the principles of transparency, equal treatment and non-discrimination for potential contractors, care being taken to avoid any conflict of interests and objectivity and fair competition. To this end, the Beneficiary must follow the applicable rules are set out in Art. 52.2 of ENI CBC Implementing Rules, as well as any specific instructions defined in the Project Implementation Manual.

2.6 PROJECT MONITORING

The term monitoring applies for the process of regular gathering of physical and financial data on project implementation, activities that were carried out, payments and achievement of objectives. Monitoring aims at identifying potential deviations in achieving set goals, justifying the Programme in the public and gathering information for the needs of evaluation of the Programme implementation

The monitoring of Hungary-Slovakia-Romania-Ukraine ENI CBC Programme and projects is handled in IMIS 2014-2020 monitoring and information system especially developed for the needs of the joint implementing bodies (Managing Authority, Joint Technical Secretariat, Joint Monitoring Committee) involved in the management of the Programme.

IMIS 2014-2020 supports the whole project cycle of projects implemented under the Hungary-Slovakia-Romania-Ukraine ENI CBC Programme from the contracting till the closure of each project. On project level the system contains the basic data of the progress and final reports submitted by the Beneficiaries.

Approval of data management / Privacy Policy

The Lead Applicant by submitting the application for the present Call for Proposals duly consents to the fact that the Contractor (Data Manager) and Széchenyi Programme Office Nonprofit Llc. (Technical Data Processor) will manage all the personal data included in the application package and provided in the contracting or project implementation phase, in particular with regard to the data managed in the IMIS 2014-2020.

2.6.1 Indicators

The project progress is measured by financial and physical indicators which are regularly monitored.

Indicators should reflect as much as possible the objectives that the Project participants want to achieve with the project.

The Lead Applicant is obliged to specify and monitor the project indicators according to the Thematic Objective and priority selected. Each Lead Applicant should use at least one or more indicators (key outputs) pre-defined in the table below. The Lead Applicants are required also to define and monitor additional indicators, according to specific outputs and results of the Project.

Definitions:

Outputs are the products of the activities funded e.g. number of reports written, number of seminars held, kilometers of riverbed cleaned, number of innovation centres opened. They tell us what has actually been produced for the money given to the project.

Results are the immediate advantages of carrying out these activities e.g. number of regional policy changes, number of members of target group given additional training, percentage reduction of certain pollutants in a river system, number of new business start-ups. They tell us about the benefit of funding the outputs.

Impacts are the sustainable long-term benefits of an activity e.g. improved regional situation because of more effective policies, fall in number of long-term unemployed, increase in biodiversity, increased regional GDP. They relate to the project's objectives and tell us whether the short-term benefits (the results) have actually caused the desired improvements.

Outcomes are used to describe the combination of project outputs, results and impacts.

Result Indicators

The effects and results achieved by the Programme will be tangibly measured through the following indicators:

| Thematic Objective | Priority | Result Indicator |
|---|--|---|
| TO 6 Environmental protection, climate change mitigation and adaptation | Priority 1: Sustainable use of the environment in the cross border area | Increased capacity in environmental protection and climate change mitigation (Based on surveys (baseline, mid-term, final) among key stakeholders e.g. water directorates, relevant NGOs institutions, authorities) |
| TO 7 Improvement of accessibility to the regions, development of sustainable and climate-proof transport and communication networks and systems | Priority 1: Development of transport infrastructure to improve the mobility of persons and goods | Increase of number of vehicles using the built, modernized transport and border management infrastructure (number of vehicles per day) |
| | | Increase of number of passengers using transport systems improved with the support of the programme (number of passengers) |
| | Priority 2: Development of ICT infrastructure and information sharing | Size of population serviced by new ICT infrastructure or information service (number of citizens served) |
| TO 8 Common challenges in the field of safety and security | Priority 1: Support to joint activities for the prevention of natural and man-made disasters as well as joint action during emergency situations | Risk management index (RMI) of the cross-border area ²⁰ |

²⁰ Following the methodology as described in „A System of Indicators for Disaster Risk Management in the Americas”, OMAR D. CARDONA, Instituto de Estudios Ambientales, IDEEA, Universidad Nacional de Colombia, Manizales (<http://www.unisdr.org/2005/HFdialogue/download/tp3-paper-system-indicators.pdf>). The survey shall be conducted among the disaster management authorities of the four countries.

Output Indicators

With the implementation of the planned activities the Programme is planned to have the following outputs by the end of the programming period:

| Thematic Objective | Priority | Output Indicator |
|---|--|--|
| TO 6 Environmental protection, climate change mitigation and adaptation | Priority 1: Sustainable use of the environment in the cross border area | Number of persons actively participating in environmental actions and awareness raising activities (COI17) |
| | | Number of waste, wastewater, energy efficiency or renewable energy production interventions(programme specific indicator) |
| | | Surface area of habitats supported in order to attain a better conservation status, ha (COI15) |
| TO 7 Improvement of accessibility to the regions, development of sustainable and climate-proof transport and communication networks and systems | Priority 1: Development of transport infrastructure to improve the mobility of persons and goods | Total length of newly built roads (km) (COI26) |
| | | Total length of newly built bicycle roads and bicycle paths (km) (programme specific indicator) |
| | | Total length of reconstructed or upgraded roads (km) (COI27) |
| | | Total length of reconstructed or upgraded bicycle roads and bicycle paths (km) (programme specific indicator) |
| | | Number of public transport lines with increased service level as direct consequence of the support (lines)(programme specific indicator) |
| | Priority 2: Development of ICT infrastructure and information sharing | Number of additional ICT based tools developed supporting cross-border cooperation as direct consequence of the support(COI29) |
| | | Number of newly developed information providers with cross border coverage(programme specific indicator) |
| TO 8 Common challenges in the field of safety and security | Priority 1: Support to joint activities for the prevention of natural and man-made disasters as well as joint action during emergency situations | Number of co-operating organisations in disaster management (programme specific indicator). |
| | | Population benefiting from flood protection measures services as a direct consequence of the support, persons (COI31) |
| | | Population benefiting from forest fire protection measures services as a direct consequence of the support, persons (COI32) |

3. DOCUMENTS TO BE SUBMITTED

GRANT APPLICATION FORM (INCLUDING DESCRIPTION OF ACTIVITIES, TIME PLAN, PROCUREMENT PLAN, COMMUNICATION PLAN, RISK ANALYSIS & CONTINGENCY PLAN, LOGICAL FRAMEWORK MATRIX, LIST OF PROJECT TEAM AND CVS OF THE KEY PERMANENT STAFF OF LEAD APPLICANT/APPLICANT(S) WHICH WILL BE INVOLVED IN THE PROJECT IMPLEMENTATION)

ANNEX 1: DECLARATION BY THE LEAD APPLICANT

ANNEX 2: DECLARATION(S) BY THE APPLICANT(S)

ANNEX 3: STATE AID DECLARATION FOR APPLICANTS IN MEMBER STATES

ANNEX 4: STATE AID DECLARATION FOR APPLICANTS IN UKRAINE

ANNEX 5: LEGAL ENTITY FORM

ANNEX 6: FINANCIAL IDENTIFICATION FORM

BUDGET OF THE PROJECT (EXCEL FORMAT)

FINANCIAL PLAN OF THE PROJECT (EXCEL FORMAT)

LETTERS OF SUPPORT FROM THE RELEVANT REGIONAL AUTHORITIES

SUPPORTING DOCUMENTS:

1. THE STATUTES OR ARTICLES OF ASSOCIATION OF THE LEAD APPLICANT ORGANISATION IN ORIGINAL LANGUAGE ACCOMPANIED WITH BRIEF ENGLISH SUMMARY
2. THE STATUTES OR ARTICLES OF ASSOCIATION OF EACH APPLICANT ORGANISATION IN ORIGINAL LANGUAGE ACCOMPANIED WITH BRIEF ENGLISH SUMMARY
3. COPY OF THE LEAD APPLICANT'S AND ALL APPLICANTS' APPROVED AND AUDITED ANNUAL ACCOUNTS FOR THE LAST TWO FINANCIALLY CLOSED YEARS
4. ORIGINAL SPECIMEN OF SIGNATURE OF THE LEGALLY AUTHORIZED REPRESENTATIVE OF THE LEAD APPLICANT ORGANIZATION ISSUED BY A NOTARY PUBLIC

ADDITIONAL SUPPORTING DOCUMENTS IN CASE OF INVESTMENT PROJECTS:

5. FULL FEASIBILITY STUDY
6. ENVIRONMENTAL IMPACT ASSESSMENT
7. BUILDING PERMIT
8. EVIDENCE OF OWNERSHIP BY THE BENEFICIARIES OR ACCESS TO THE LAND
9. PROJECT TECHNICAL DOCUMENTATION

DOCUMENTS FOR INFORMATION:

- GRANT CONTRACT
- PARTNERSHIP AGREEMENT
- INDICATIVE LIST OF ELIGIBLE APPLICANTS – SLOVAK REPUBLIC