SOUTH EAST EUROPE
Transnational Cooperation Programme

SEE Applicants' Guidelines
- Part 1 -
Expression of Interest

2nd Call for Proposal

October 2009

European Territorial Co-operation 2007 – 2013

Content

As a sign of respect to the environment and to reduce printing costs, the SEE Co-operation Programme encourages applicants and beneficiaries to print this documentation, where possible, double-sided.

Introduction

The submission of the Expression of Interest (EoI) is the ***"First Step"*** for applying for the funding of projects within the SEE Programme 2007 – 2013.

The application pack for the Expression of Interest is composed by:

- SEE Programme Manual (SEE PM) Version 2.0 October 2009;
- Call for Proposals announcement October 2009;
- EoI form[1], Second Call for Proposals;
- Applicant's Guidelines (1st Part), October 2009.

The SEE PM provides useful information and guidance on how to develop a SEE transnational project proposal within the SEE Programme 2007 – 2013.

It is very important to carefully read the SEE Operational Programme (OP) and all the documents in the application pack before filling in the EoI form. Projects which have a good level of planning to date, that meet the relevant Area of Intervention and follow the Call documents should be able to offer a level of detail and coherence in their EoI that positively evidences their preparedness.

The Expression of Interest form is an electronic document which needs to be filled in electronically and sent in at the latest, by the deadline set in the call for proposals. This should be done by uploading it on the Programme's website (www.southeast-europe.net).

Expressions of Interest must only be submitted using the official form provided as part of this application pack.

Technical instructions

Lead Applicants (LA) are asked to fill in only the **light yellow** fields of the Expression of Interest form. This must be completed in English which is the official language of the SEE Programme.

For technical reasons, the fields to describe the project are limited to a pre-defined number of characters. Fields are locked in order to ensure that all Lead Applicants have the same amount of space for describing their project and answering the questions. Any text exceeding this space will not be visible and therefore cannot be taken into account when assessing the project. If the Lead Applicant exceeds the space in the **light yellow** field a warning will appear.

Scroll down menus in **orange** fields allow the Lead Applicant to select the appropriate response option. **Dark red** and **olive green** fields cannot be changed or edited as they are automatically completed or blocked. All **light yellow** fields must be filled in unless otherwise stated in the instruction field.

[1] tested and checked in Microsoft® Office Excel 2003

Please notice that in case of copy / paste action of cells in a single merged cell, Microsoft Excel may remove the formatting of the destination cell (merged cell) thus corrupting the file and preventing the filling in of the field. Drag function can also result in corruption of the template.

Instructions for filling in the EoI Sections

Section 1: Project identification

This Section refers to the general information related to the project. A maximum of 200 characters are allowed for writing the full project title and up to 20 characters for its acronym. The Lead Applicant should note that effective acronyms should link to the project title/idea and also be easily remembered.

The Lead Applicant must use the scroll down menus to complete fields 1.3, with the relevant Priority Axis and Area of Intervention (AoI). Selection can be made only among open AoIs.

Section 2: Number of project partners from the Programme area (including ASP)

Partners from a minimum of three partner states coming from the Programme area are required, of which at least one partner must be from a Member State.

The table summarizes automatically the number of partners, including the LP, coming from the partner states of the programme area, both financing project partners and associated strategic partners (ASP) except observers, once they are inserted in section 7 of the EoI.

As a mean of guidance, all projects should foster a geographically integrated approach across administrative boundaries. In doing so projects should try to involve a proportionate, in terms of the Programme Area and the issue being addressed, number of partners able to offer benefits for the whole Area. For more detailed information on transnational partnerships please check section 3.2.3 of the SEE PM.

Section 3: Project Lead Applicant

This Section provides the name, organisation type/status and contact details of the Project Lead Applicant.

Note: Only potential Project's Lead Partners can apply as the Lead Applicant.

Only Project Partners coming from the Programme's ERDF countries are entitled to apply as Lead Applicant/ Lead Partner.

The legal status of the Lead Applicant's institution should be selected from amongst a choice of three types of status: public, a body governed by public law as defined by the Art. 1, paragraph 9 of the Directive 2004/18/EC or a body governed by private law. For clarification on the definition of the three types of legal status, please refer to the Section 3.2.1 of the SEE PM.

Lead Applicants must provide full contact details of their institution. The relevant country can be chosen from amongst the scroll down list of the Programme Member States. In addition, Lead Applicants should provide the name of the region in which their main office is located, this selected from amongst the scroll down list relating to the NUTS II division.

For information related to the NUTS II regions, please refer to the following web pages: http://ec.europa.eu/eurostat/ramon/nuts/codelist_en.cfm.

Finally, the Lead Applicant institutions' **legal representative** and contact person details are required.

Section 4: Project duration

The duration of the project is automatically calculated by choosing a starting and finishing date. It is assumed that the project will run from the beginning of the month of the starting date to the end of the month of the finishing date. Lead Applicants should plan for maximum project duration of 36 months and also to be ready to start as soon as possible after the approval. Projects planning should include consideration of the timeframe needed for the selection process and any potential start-up delays.

Please note that the starting date should **not take into** consideration the project's preparation phase.

Lead Applicants are requested, if correct, to tick the Section 4 box to confirm that project implementation has not started prior to the submission of the EoI.

Section 5: Project description

This is the core part of the EoI and Lead Applicants are advised to take extra care in filling in this Section.

Short project description: Lead Applicants are requested to write a comprehensive but short summary of the project idea.

Main problem(s) or challenge(s) to be addressed: Lead Applicants should explain why there is a need for their project. This should include describing the background of the project idea, the problems and challenges that the proposal would like to address and tackle, targeted on the involved partners.

Main objectives of the project: the objectives of the project should be listed and explained in this field following a threefold approach:

- the main objectives of the project in relation to the above mentioned problem/challenge;
- the main objectives of the project in relation to the selected Priority and Area of Intervention;
- the contribution of the project to growth, job creation and sustainable development as well as consistency with the EU horizontal policies on environmental sustainability and equal opportunities and non discrimination.

The link to the selected Area of Intervention should be explicit. Responses should relate to the problems described in the previous field, since the objectives should in effect provide solutions to the problems. Objectives should be concrete, quantifiable and realistic.

<u>Overview of the main activities</u>: The main activities envisaged should be summarised in this field and developed in the next one. The information included in this field provides the basis for the understanding of the joint implementation of the project. Lead Applicants are suggested to fill in this section after the completion of the following section 5.5.

<u>Work plan</u>:

In order to ease the management of the project, Lead Applicants are asked to divide the project into components – **Work Packages** (WPs). A WP is a cluster of actions within the project, which are interlinked thematically (e.g. activities contributing to the achievement of the same sub-objective).

In this section, Lead Applicants should define up to six thematic WPs – additionally to the predefined ones whose description is not requested at this EoI stage – by which the potential partners plan to realise the objectives of the project. As a minimum requirement, WP3 has to be filled in. Max characters for each description field are 500

Only in the event of approval of the EoI and invitation to submit a full Application Form, description of the WP0 "preparatory activities", WP1 "transnational project and financial management" and WP2 "Communication activities" would be requested.

The Lead Applicant is kindly asked to focus on the logic groupings of activities that the definition of "work package" requires and NOT to complete a higher number of WP than effectively needed. A large number of Work Packages does not lead to a better score. Moreover, complete but concise information, avoiding the repetition of concepts that are not providing additional information, aiming to an easy understanding of the concepts, will be positively considered.

Please, indicate **titles** for the WPs. The title should preferably reflect the focus of the WP (e.g. Environmental Analysis). Please make sure that the WP title matches with the overall aim of the project and that there is a clear linkage and consistency among all the WPs.

A **responsible partner** for the WP has to be selected within the partnership and indicated in the related field. Reasons behind responsibility selection should be understood (i.e. specific experience in thematic field).

Each WP should contain a **short description**, summarising the planned activities, carried out by an appropriate mix of partners.

For each WP, the **starting and end month** (correct format: *mm/yyyy*) of implementation should be indicated as well as the duration in months. The Lead Applicant should consider potential difficulties and delays which can have an impact on the time schedule.

The description of the **partners' specific tasks** should offer a deeper understanding of the extent of their involvement.

The main planned **outputs and results** (concrete products, services, and deliverables) within each WP are to be indicated and quantified. A maximum number of 10 outputs and results can be listed per each WP.

Lead Applicants should be aware of the different meaning of outputs and results.

- Outputs are tangible deliverables and visible outcomes or products of the project. They directly result from the activities carried out in the project. Output indicators are typically measured in concrete units such as the number of seminars; conferences; participants; publications; good practices identified; policies addressed.
- Results are direct and immediate effects resulting from the project and from the production of the outputs. Compared to outputs, results often imply a qualitative value. These should also be measured in concrete units such as the number of staff with increased capacity; the number of good practices successfully transferred; the number of policies improved.

The **cost** of each WP (included the estimation of costs for WP0, WP1 and WP2) shall be provided to allow a cross checking of the total cost of the WP with the budget tables in Section *"6. Budget"* and Section *"7. Partnership"*. In case of inconsistency with the total amounts in the three sections, a warning message will appear.

Involvement of target groups and stakeholders: an explanation on how and by whom the envisaged outputs and results are needed, who are the potential users and in which way as well as how the decision making process will be influenced by the project's outcomes.

Transnational approach: why is the identified problem better addressed at transnational level than at national, regional or local level? Describe the benefits and advantages of a transnational approach for the project and for the planned objectives. The genuine transnational character and the transnational added value, explaining how the project goes beyond mere addition of local activities, shall be outlined in this section.

Capitalisation of results: the results of the projects implemented in the previous programming period on the related topic should be exploited and used as starting point for transnational cooperation in the Structural Funds period 2007 – 2013, to avoid the dispersion of existing knowledge and the duplication of projects. Please, insert information on how you plan to use the results of the previous projects/ programmes specifying how the results will be used. If the project proposal is not connected to already implemented projects for any reason, please explain why.

Synergies with other relevant projects, programmes and policies and with relevant EU/national related networks: this field should describe if the project addresses already approved international/ transnational documents, treaties, conventions and strategies as well as contain the description of planned synergies with other EU/national/regional relevant funded projects, programmes, policies and initiatives (such as Intelligent Energy, ESPON, FP6 and FP7, etc.).

Plans for sustainability and transferability of project results: the Lead Applicant shall explain the links of the project to the future, including visibility plans, link to planned investments, foreseen leverage effects, etc.

Section 6: Budget

This Section, will automatically display the requested total budget, the requested ERDF contribution, the requested IPA contribution for any of the involved IPA countries, if any.

A control function will alert the Lead Applicant in case the total budget, as a result of the cost of each WP of table 5.5, is different from the sum of the partners' budget of table 7.1 and if the IPA contribution per each country is not respecting the given thresholds. In this case, the Lead Applicant is requested to make sure that the error is solved, before submitting the expression of interest.

The calculation of the budget should be carried out carefully. The proposed budget given on the EoI will, if the project proposal is invited to the *"Second Step"*, need to be maintained on the subsequent Application Form.

Section 7: Partnership

For clarifications on the sort of partners, please refer to Section 3.2.2 of the SEE PM.

Financing Project Partners should be listed in the table 7.1 with an indication of their name in English and their contact details (official address, phone number and email address). The field for the sort of financing project partner (ERDF PP, ERDF 20% PP, IPA PP) should be selected from the scroll down menu, as well as the field for the country input (depending from the sort of partner), the type of institution and the legal status. In the last cell, an indication of the foreseen total budget of the Partner shall be given. Please note that if there is the intention to "sponsor" any ASP this should be considered in the ERDF Partner budget. **For the Lead Applicant (LA) only the budget should be indicated in the first row** (its data having already been inserted in section 3).

Associated Strategic Partners (ASPs) should be listed in the table 7.2 with an indication of their name in English and their contact details (official address, phone number and email address). Also for them, the field for the country input should be selected after selecting the sort of ASP from the scroll down menu, as well as the field for the type of institution and the legal status input.

Please be aware that the ENPI funds are not available for this call. However, the participation of partners from Ukraine and the Republic of Moldova could be financed by applying for the so called *10% ERDF* flexibility rule[2] and being included as Associated Strategic Partner (10% Partner).

In the tick box part of Section 7.3, Lead Applicants should tick the boxes detailing the type of cooperation between the partners.

Relevance of the Partnership: Lead Applicants should explain the reasons behind the choice of the partners and how the composition of the partnership ensures a greater

[2] For information concerning the application for the *10%* and *20% ERDF flexibility rule*, please refer to section 4.1.8 of the SEE Programme Manual

level of effectiveness in achieving the objectives of the project. Reference to partners' experience, institutional / technical competence and capacity should be provided.

Section 8: Self-assessment of the project idea

In this last Section, Lead Applicants should briefly explain the necessity and importance of their project providing sound reasoning for the approval of the Application.