Interreg
EUROPEAN UNION
Danube Transnational Programme

Guidelines for the AF

A stream of cooperation

Programme co-funded by the European Union

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Introduction

The submission of the Application Form (AF) is mandatory for applying for funding of projects within the second Call for Proposals (CfP) of the Danube Transnational Programme (DTP) 2014 – 2020.

The Application Pack for the second step consists of:

- Call Announcement
- DTP Applicants Manual (DTP AM) Version 1.1, December 2016
- Application Form (AF) consisting of pdf file and xls file
- Guidelines for the AF
- Partnership Agreement (PA) template
- State Aid Declaration
- Declaration of pre-financing and co-financing statement
- Declaration of International Organisations
- Declaration of Interest for Associated Strategic Partner

The AF is to be submitted electronically together with the other relevant documents via DTP website www.interreg-danube.eu. Please consider that all Applicants must submit the Partnership Agreement, the Co-financing and State Aid Declarations, while ASP and International Organisation Declarations are to be submitted only if it is the case.

The **deadline** for submission of the Application Form and its Annexes for the 2nd Call for Proposals is **specified in the Call announcement**.

Please note that:

- **The submission of the Application Form and all its Annexes IN ONE SINGLE PACKAGE is an eligibility criterion. Failure in doing so will result in the non-eligibility of the proposal.**

Technical requirements

PDF file:

- Please only use *Adobe Acrobat or Acrobat Reader X (10)* or higher to fill in the Form.
- When using other PDF-Readers the Form is not working properly.
- The latest Version of the free Acrobat Reader can be downloaded at http://get.adobe.com/reader/
- Please ensure that *JavaScript is enabled* (check Main Menu > Edit > Preferences > JavaScript).
- This is an interactive Form e.g. some parts are only visible when you press certain buttons.
- Guidance is displayed through tooltips when you move the mouse over a field.
- Please save the data from time to time during your work.
- To validate and finalise the Form please use the button „Validate & Finalise".
- Please be aware that after pressing this button the Form will no longer be editable!

XLSX file:

The Financial Part of the AF consists of a Microsoft Excel Workbook (.xlsx format)

PART A – Portable Document Format file (PDF)

Please note that:

- **By "number of characters" it is meant "number of characters including spaces".**

Part 1 – PROJECT SUMMARY

1. 1 Project identification

1.1.1 Main data

Reference number: the field should not be filled in.

Project acronym: up to 20 characters are allowed for writing the project acronym.

Project title: up to 250 characters are allowed for writing the full title of the project.

The **name of the Lead Partner organisation in English** is automatically filled in by editing the specific section 2.3.1.1. *Legal Identification Data* of the LP.

Project duration shall be inserted by selecting month and year from the calendar, considering the actual implementation period from the project start. The project implementation duration cannot be more than 36 months. Please note that the starting date should not take into consideration the project preparation phase. The **number of months** is automatically calculated. Please consider a starting date not earlier than January 1st, 2018.

Applicants must then use the drop down menu to select the relevant **Programme Priority** and **Programme Specific Objective** to which the project proposal contributes to.

1.1.2 Project summary

Applicants shall provide a short but comprehensive overview of the project by describing the present context (needs, challenges to be jointly tackled by the partners), the main objective of the project and the expected *change* the project intends to bring as compared to the current situation, the planned outputs and the target group to be addressed as well as how they will use/ benefit from the project results and finally explain the innovative character of the proposal. The maximum number of characters allowed in this section is 2,000.

When filling in this section, Applicants are expected to focus on the most relevant aspects of the project, providing concrete and qualitative information in an eloquent and expressive manner, thus producing an article-like summary suitable also for publishing (e.g. on project's or programme's website).

1.1.3 Project budget summary

This section will be filled in automatically with the sum of the WP budgets, including WP0, if applicable. Preparation costs, i.e. 17,500 euro, are included by default in the form. The total budget of the project will be inclusive of WP0 budget if the Applicant did not make use of any Seed Money Facility or other EU/ national funds for the development of the proposal.

Please note that:

- **The total amount should be the same as the one in the xlsx file. In case they differ, the one in the xlsx file will be considered.**

Part 2 – PROJECT PARTNERS

2.1 List of project partners

This section is automatically filled in by editing section 2.3 *Project Partners data*.

2.2 Description of the partnership

In this section, Applicants shall provide an overview of the partnership composition, indicating the geographical coverage and explaining the reason for which participant countries were selected (and not others) in the light of the identified needs and challenges, their relevance for the addressed topic as well as the type of the involved project partners and their competences to implement project activities and deliver the planned results. The maximum number of characters allowed in this section is 2,000.

2.3. Project partners data

2.3.1. Lead Partner (LP)

2.3.1.1 Legal Identification Data

250 characters are allowed for writing the **official name in English of the LP organisation** and another 250 for indicating the **full name in original language** (use of Cyrillic characters is accepted by the form)**.** Applicants shall also indicate a suitable **acronym,** the respective field allowing maximum 20 characters.

Applicants shall then select the **country** and **region (both NUTS II and NUTS III level)** in which the LP main office is located from the respective drop-down menus. For information related to the NUTS divisions, please refer to the following web page: http://ec.europa.eu/eurostat/web/nuts/overview.

Under **type of institution** the Applicants shall select from the drop down menu the suitable type (e.g. university, municipality etc.). If "Other" is selected, the field allows insertion of free text. The **Legal status** shall be selected from amongst the three possible categories: public body/ body governed by public law (EGTCs are included in this category), private non-profit body or international organisation.

Further on, Applicants shall indicate whether the **LP's organisation is entitled to recover VAT based on national legislation for the activities implemented in the project**, by selecting *yes, no* or *partly* from the drop down menu. Only if *partly* is indicated, Applicants are requested to provide an explanation on how the VAT is recovered. The maximum number of characters allowed in this section is 500.

The **National tax number** of the **LP institution** shall be inserted in the row below. The maximum number of characters allowed in this section is 100.

Contact data of the LP: **official address** (street, number, postcode, town, country – max. 200 characters), general **Phone** number (max. 50 characters), general **Mobile** number (if applicable- max. 50 characters), **Home page** (max. 50 characters) and general **e-mail** (e.g. office@xxx.xx – max. 50 characters) shall be inserted in the relevant fields.

In the **Legal Representative** and **Contact Person** sections, Name (max. 100 characters), Position (max. 100 characters) and Contact details (Phone –max. 50 characters, Mobile – max. 50 characters and e-mail – max. 100 characters) have to be indicated. **Applicants are requested to insert personal business contact details, not the general institution ones as these will be used by the Programme bodies for official communication.**

Note: Applicants have to make sure that the person indicated as contact person is actually involved in the implementation of the project.

2.3.1.2 Geographic scope of the LP activities

In this section, Applicants shall select from the drop down menu the geographic scope of the LP activities (e.g. local, regional, national or transnational).

2.3.1.3 LP's relevance for the proposed project (thematic competence)

The Applicants shall provide a description of the relevance and thematic competence of the LP organisation in view of the project topic and of the specific role in the project. The maximum number of characters allowed in this section is 2,000.

2.3.1.4 How is the organisation and the related territory benefiting from participating in this project?

In this section, the Applicants shall describe the benefits for the LP organisation and for the territory represented in the project as a result of the transnational cooperation. Applicants shall highlight the changes which are expected to occur in the long run in the territory represented by the LP. The maximum number of characters allowed is 2,000.

2.3.1.5 Description of the LP's previous institutional experience and of the available capacities and resources for managing an international partnership.

The Applicants shall provide a concise, yet comprehensive description of the previous institutional experience both in the field of expertise and in managing international partnerships (INTERREG or other international funded projects). Applicants must demonstrate the existence and availability of necessary capacities and resources (skilled personnel, equipment, sound internal procedures, etc.) as well as expertise in the project thematic field allowing them to bring adequate contribution to project activities and play an active role as a coordinator. The maximum number of characters allowed is 2,000.

2.3.1.6 Description of previous participation to other relevant EU funded projects

The Applicants shall describe their previous participation in other relevant EU funded projects, also providing a list thereof with specific emphasis on INTERREG projects. Any leading role previously assumed by the current LP organisation in other such projects should be also underlined. The maximum number of characters allowed is 2,000.

2.3.1.7 Revenues generated by the project

The Applicant shall indicate which are the activities generating revenues in the project context. The maximum number of characters allowed is 250. Amount of the revenues is to be inserted in the relevant field. For more information about the revenues, please refer to *Part 3, Section VIII – Revenues of the DTP AM.*

Additional Partners shall be added by pressing the "+" button at the end of this section and selecting the type of partner. It is recommended that partners be added in the following order: ERDF, IPA, ENI MD, ENI UA and ASP.

<u>2.3.2/ 2.3.3/ 2.3.4/ 2.3.5 ERDF PP/ IPA PP / ENI MD PP/ ENI UA PP</u>

Legal identification Data

250 characters are allowed for writing the **official name in English of the ERDF/ IPA, ENI MD, ENI UA PP organisation** and another 250 for indicating the **full name in original language** (use of Cyrillic characters is accepted by the form)**.** Applicants shall also indicate a suitable **acronym,** the respective field allowing maximum 20 characters.

Applicants shall then select the **country** and **region** (NUTS II for both ERDF, IPA, ENI MD and ENI UA PPs and NUTS III only for ERDF PPs) in which the ERDF/ IPA/ ENI MD/ ENI UA PP's main office is located from the respective drop-down menus. For information related to the NUTS divisions, please refer to the following web page: http://ec.europa.eu/eurostat/web/nuts/overview.

Under **type of institution** the Applicants shall select from the drop down menu the suitable type (e.g. university, municipality etc.). If "Other" is selected, the field allows insertion of free text. The **Legal status** shall be selected from amongst the **four possible categories for ERDF PPs**: public body/ body governed by public law (EGTCs are included in this category), private non-profit body, private enterprise or international organisation and **three possible categories for IPA/ ENI MD and ENI UA PPs**: public body/ body governed by public law (EGTCs are included in this category), private non-profit body or international organisation.

Further on, Applicants shall indicate whether the **ERDF/ IPA/ ENI MD/ ENI UA PP organisation is entitled to recover VAT based on national legislation for the activities implemented in the project**, by selecting *yes, no* or *partly* from the drop down menu. Only if *partly* is indicated, Applicants are requested to provide an explanation on how the VAT is recovered. The maximum number of characters allowed in this section is 500.

The **National tax number** of the **ERDF/ IPA/ ENI MD/ ENI UA PP institution** shall be inserted in the row below. The maximum number of characters allowed in this section is 100.

Contact data of the ERDF/ IPA/ ENI MD/ ENI UA PP: **official address** (street, number, postcode, town, country – max. 200 characters), general **Phone** number (max. 50 characters), general **Mobile** number (if applicable- max. 50 characters), **Home page** (max. 50 characters) and general **e-mail** (e.g. office@xxx.xx – max. 50 characters) shall be inserted in the relevant fields.

In the **Legal Representative** and **Contact Person** sections, Name (max. 100 characters), Position (max. 100 characters) and Contact details (Phone –max. 50 characters, Mobile – max. 50 characters and e-mail – max. 50 characters) have to be indicated. **Applicants are requested to insert personal business contact details, not the general institution ones.**

Geographic scope of the ERDF/ IPA/ ENI MD/ ENI UA PP activities

In this section, Applicants shall select from the drop down menu the geographic scope of the ERDF/ IPA/ EN MD/ ENI UA PP activities (e.g. local, regional, national or transnational).

ERDF/ IPA/ ENI MD/ ENI UA PP's relevance for the proposed project (thematic competence)

The Applicants shall provide a description of the relevance and thematic competence of the ERDF/ IPA/ ENI MD/ ENI UA PP organisation in view of the project topic and of the specific role in the project. The maximum number of characters allowed in this section is 2,000.

What is the benefit for the organisation and the territory that represents from participating in this project?

In this section, the Applicants shall describe the benefits for the ERDF/ IPA/ ENI MD/ ENI UA PP organisation and for the territory represented in the project as a result of the transnational cooperation. Applicants shall highlight the changes which are expected to occur in the long run in the territory represented by the ERDF/ IPA/ ENI MD/ ENI UA PP. The maximum number of characters allowed is 2,000.

Description of previous participation to other relevant EU funded projects

The Applicants shall describe the ERDF/ IPA/ ENI MD/ ENI UA PP's previous participation in other relevant EU funded projects, also providing a list thereof with specific emphasis on INTERREG projects. Role and main tasks of the ERDF/ IPA/ ENI MD/ ENI UA PP in such projects should be also described. The maximum number of characters allowed is 2,000.

Revenues

The Applicants shall indicate which are the activities generating revenues in the project context. The maximum number of characters allowed is 250. Amount of the revenues is to be inserted in the relevant field. For more information about the revenues, please refer to the *Applicants Manual, Part 3 – eligibility of expenditure, Section VIII.*

2.3.6 ASP

Legal Identification Data

250 characters are allowed for writing the **official name in English of the ASP organisation** and another 250 for indicating the **full name in original language** (use of Cyrillic characters

is accepted by the system). Applicants shall also indicate a suitable **acronym**, the respective field allowing maximum 20 characters.

Applicants shall then select the **country** and **region (NUTS II level)** in which the ASP main office is located from the respective drop-down menus. For information related to the NUTS divisions, please refer to the following web page: http://ec.europa.eu/eurostat/web/nuts/overview.

Under **type of institution** the Applicants shall select from the drop down menu the suitable type (e.g. university, municipality etc.). If "Other" is selected, the field allows insertion of free text. The **Legal status** shall be selected from amongst the four possible categories: public body/ body governed by public law (EGTCs are included in this category), private non-profit body, private enterprise or international organisation.

The **National tax number** of the **ASP institution** shall be inserted in the row below. The maximum number of characters allowed in this section is 100.

Contact data of the ASP: **official address** (street, number, postcode, town, country – max. 200 characters), general **Phone** number (max. 50 characters), general **Mobile** number (if applicable- max. 50 characters), **Home page** (max. 50 characters) and general **e-mail** (e.g. office@xxx.xx – max. 50 characters) shall be inserted in the relevant fields.

In the **Legal Representative** and **Contact Person** sections, Name (max. 100 characters), Position (max. 100 characters) and Contact details (Phone –max. 50 characters, Mobile – max. 50 characters and e-mail – max. 50 characters) have to be indicated. **Applicants are requested to insert personal business contact details, not the general institution ones.**

Geographic scope of the ASP activities

In this section, Applicants shall select from the drop down menu the geographic scope of the ASP activities (e.g. local, regional, national or transnational).

ASP's relevance for the proposed project (thematic competence)

The Applicants shall provide a description of the relevance and thematic competence of the ASP organisation in view of the project topic and of the specific role in the project. Applicants shall highlight the importance of the ASP's role in the project and the added value to be brought to the partnership and the project results by its participation. The maximum number of characters allowed in this section is 2,000.

What is the benefit for the organisation and the territory that represents from participating in this project?

In this section, the Applicants shall describe the benefits for the ASP organisation and for the territory represented in the project as a result of the transnational cooperation. Applicants shall highlight the changes which are expected to occur in the long run in the territory represented by the ASP. The maximum number of characters allowed is 2,000.

Description of the involvement of the partner in the project

The Applicants shall describe the role of ASP within the project by stressing the importance of its contribution to the project activities and results. The actual added value to be brought by the participation of the ASP in the project should be described in relation to the specific project activities in which the ASP will be involved and the corresponding outputs. The maximum number of characters allowed is 2,000.

Applicants shall also select from the drop down menu the **sponsoring partner** (i.e. the ERDF PP covering ASP's travel and accommodation costs) and also the **amount** the ASP is sponsored with. Under **Rate** the Applicants shall insert the percentage of the sponsored amount in relation to the sponsoring ERDF PP's total budget (for instance, if the sponsoring ERDF PP's total budget is 100,000 EUR and the amount he is sponsoring the ASP1 with is 10,000 then the rate is 10%).

Finally, Applicants are requested to describe the **activities** the ASP is to be involved in within the project as well as the added value of their involvement. They also have to specify the **location of the activities**. The maximum number of characters allowed here is 2,000.

Part 3 – PROJECT DESCRIPTION

3.1 Strategic relevance

Territorial needs/ challenges

The Applicants shall provide a comprehensive description of the territorial needs or challenges to be addressed by the proposal, underlining the current situation in the involved territories, the status of the issue and the specific necessities, what is concretely needed to be tackled, improved or changed at transnational level by the partnership as well as a short outline of the project activities through which the identified needs and challenges will be addressed. The maximum number of characters allowed in this section is 3,000.

Project main and specific objectives in relation to identified needs/ challenges

The Applicants are requested to explain the link between the identified needs and challenges and the project main and specific objectives as defined in the project intervention logic (Section 3.3). Applicants are requested to demonstrate the appropriateness of proposed project objectives in relation to the identified needs and challenges. The maximum number of characters allowed in this section is 3,000.

Methodology

The Applicants shall provide a consistent presentation to demonstrate how the planned outputs and the ultimate project result are achievable by following a logical sequence and combination of activities as well as a certain set of well-established and commonly agreed methods. Innovative approaches are highly recommended while defining the project methodology. The maximum number of characters allowed in this section is 3,000.

Afterwards the Applicant has to select of up to 3 most relevant EUSDR PAs that the proposal is contributing to, based on the project chosen topic and proposed activities.

Contribution to EU strategies and policies

The Applicants shall clearly describe the link between the project proposal and a relevant EU, national or regional policy or strategy, by highlighting the contribution of the project proposal to the implementation of the relevant policy or strategy. The applicants should additionally describe clearly the contribution towards the achievement of the EUSDR current targets and/or corresponding actions, as described in the list of targets and actions *(the EUSDR Action Plan can be checked in the EUSDR website: http://www.danube-region.eu/component/edocman/action-plan-eusdr-pdf,* the targets per priority can be found on each Priority Area website as well as on the 1st Call webpage of the DTP website *http://www.interreg-danube.eu/calls/calls-for-proposals/first-call).* Applicants are advised to check the websites of the PAs in order to better understand how the proposal can contribute to the EUSDR (http://www.danube-region.eu/about/priorities). The website of each PA has the section "contact", so Applicants with specific questions have the opportunity to get in contact with the PA team. The maximum number of characters allowed is 3,000.

The Applicants will have to demonstrate throughout their entire proposal that EUSDR is embedded in their proposal (at the level of needs and challenges, methodology, synergy/ capitalisation, work plan, durability and transferability).

This can be done, for example by involving the PACs in the project meetings, workshops, pilot actions or development of relevant projects strategies/ tools etc.

Transnational approach

The Applicants shall describe the benefits, advantages and added value of the transnational approach in achieving the project objectives as opposed to tackling the issues on a national/ regional/ local or cross border context. The transnational approach implies joint work that facilitates additional effectiveness or produces an added value to the final outcomes and from which all territories of the Programme area are benefitting. Therefore, collections of local/ national actions uniquely beneficial for the involved territories distinctively cannot be considered as having a transnational impact. Applicants must demonstrate that transnationality is present throughout the project (planning phase, implementation of project activities, achievement and dissemination of results, follow-up activities). The maximum number of characters allowed is 3,000.

Relevance and competence of the partnership

The Applicants shall explain how the composition of the partnership, both from the relevance and competence point of view, can effectively and efficiently achieve the project objectives. An overview of the roles of different types of partners in the project shall also be provided in compliance with their profile and thematic expertise. The maximum number of characters allowed is 3,000.

Capitalisation and synergies

In case the project proposal plans to capitalise from previous projects or initiatives, Applicants are requested to provide a description of what exactly is to be capitalised (in terms of outputs, results) as well as the added value brought by the current proposal. Alternatively, in case synergic activities with other on-going projects or initiatives are planned, Applicants are requested to describe how these activities will complement each other and explain which the added value of the result will be. When filling in this part, Applicants shall pay attention to avoid any possible duplication or overlapping of activities. The maximum number of characters allowed is 3,000.

Durability and transferability of results

The Applicants shall describe how the project proposal will ensure the long-lasting effect of its results by ensuring the financial, institutional and political durability of the main project outputs. Thus, the Applicants are requested to provide information and concrete measures on how, when and by whom the project outputs will be used, how they will be maintained/ can be transferred after the project closure and how they will be used in other related areas or by other target groups in the future. The maximum number of characters allowed is 3,000.

Target groups

The Applicants shall first select from the drop down menu maximum 5 types of target groups (the most representative) intended to be addressed during the project implementation through planned activities and then provide a target value, the number of entities, organisations, institutions of the selected group to be addressed. If "other" is selected, the form allows the insertion of free text.

Involvement of the target groups in the project

Applicants shall provide more detailed information about the different target groups and a comprehensive description on how partners plan to involve the target groups in the activities of the project, highlighting also the added value of their involvement, as well as their benefit from participation in the activities. The maximum number of characters allowed in this section is 3,000.

State aid

This section shall be filled in only if applicable by indicating and describing the activity/ activities planned to be implemented within the project which might fall under the State aid rule. Applicants shall also provide information about the responsible partner(s) and allocated budget for the respective activity/ activities. The maximum number of characters allowed is 3,000.

3.2 Level of joint cooperation

According to Art. 12(4) of Regulation 1299/2013, partners should cooperate in the development and implementation of projects and additionally in the staffing or financing of projects. Therefore, **the DTP already pre-defined the two mandatory levels of cooperation (joint development and joint implementation) and Applicants shall choose to select either one or both among joint staffing and joint financing. Failure in doing so will result in the rejection of the proposal.**

For a better understanding of the levels of cooperation, Applicants shall consider following explanations:

- **Joint development** means that the project must be developed by representatives of all partner organisations. Therefore, the project proposal must clearly integrate their ideas, priorities and actions. The Lead Partner is the coordinator of this process and the other partners should be involved in the project design process from an early stage.
- **Joint implementation** means that activities must be carried out and commonly implemented as opposed to parallel actions. Clear content-wise links between the activities implemented in each participant country and regular contact between the

partners should be demonstrated. The Lead Partner is responsible for ensuring that activities are properly coordinated, that schedules are kept and that the appropriate quality level is achieved.

- **Joint staffing** means that representatives from each participant country should work together on the project. Partners should not merely carry out activities in parallel without coordination and exchange. The project manager appointed by the LP organisation has overall responsibility for project activities. The Lead Partner team is the core project staff, but project partners should also assign staff according to their responsibilities within the project.

- **Joint financing** means that there will be only one subsidy contract per project and therefore one joint project budget. The budget should be divided between partners according to the activities they will carry out. Also, there is only one project bank account (held by the Lead Partner) and payments are made from the Programme to this account. The Lead Partner is responsible for the administration and distribution of the received EU funds and for accounting for their use. Co-funding is provided by all partners and it illustrates the commitment of each partner to the joint project.

3.3 Project intervention logic

Programme specific objective

The section is automatically filled in by selecting the Programme priority and Programme Specific Objective in section 1.1.1 Main data.

Project main objective

The Applicants shall describe the main objective of the project in relation to the identified needs and challenges and proposed activities. Applicants shall also provide a comprehensive description on how this objective is contributing to the selected Programme Specific Objective. The main objective should be clearly defined and it should reflect the strategic and long-term change that the project plans to bring as compared to the current situation, for the benefit of the involved territories and the specific target group(s). The maximum number of characters allowed is 1,500.

Project specific objectives

The Applicants shall define (maximum 70 characters) and describe *up to three* project specific objectives, evidently and clearly leading to the realisation of the main objective and inherently of the Programme Specific Objective. Specific objectives generally have immediate effects, i.e. they are achievable during the project implementation. Ideally, specific objectives should be linked to concrete project outputs. The maximum number of characters allowed for the description of each specific objective is 500.

The table below highlights the differences between the project main objective and the specific objectives:

Main objective	Specific objectives
describes the general and strategic long term change for the benefit of the target groups	*describes the specific and immediate effects of the project*
usually one main objective is defined	*can be realistically achieved within the project timeframe*
	not more than three specific objectives per project

Programme result indicator

The section is automatically filled in by selecting the Programme priority and Programme Specific Objective in section 1.1.1 Main data.

Project main result

The Applicants shall define the project main result clearly contributing to the selected programme result indicator. Applicants should provide evidence of how and to which extent the project will contribute to the programme result indicator, highlighting the advantages of carrying out the project and the benefits of using project outputs. Please note that the contribution to the result indicator shall relate not only to project partners, but also to the target groups of the project considering also the transferability of project results to other territories facing similar challenges. Contribution of the project main result to the programme result indicator has to be quantified (e.g. percentage) considering SMART criteria (i.e. specific, measurable, achievable, relevant, time-bound) if possible. However, given their absolute character, quality-type project results are excluded from quantification. The maximum number of characters allowed is 1,500.

Examples:

Quantifiable result: reduced CO2 emissions (reduced CO2 emissions can be measured in %: for ex. reduced CO2 emissions by 10%). In this case, the Applicant should explain how the result is measured.

Quality type result: improved management and use of natural heritage sites

Project outputs as defined in the work packages

This section will be automatically filled in with the information provided in Section 4.2 of the AF.

3.4 Horizontal principles

The Applicants shall select the type of contribution the project proposal brings to the three horizontal principles (neutral, positive or negative). Additionally, Applicants are requested to describe how the project proposal will contribute to the sustainable development or ensure the equal opportunities and non-discrimination as well as equality between men and women. Each field allows the insertion of 1,000 characters.

Part 4 – WORK PAKAGES AND ACTIVITIES

4.1 Financial support for project preparation

The Applicants are requested to indicate if the project proposal made use of any Seed Money Facility or other EU/ national funds for its development by selecting one or both options, however applicable. Please note that one or both options shall be ticked, however applicable, even if the funds were received only by some of the project partners or for part of the project activities.

Applicants must bear in mind that in case the proposal received such funds for its preparation, they will not be entitled to preparation costs under DTP, i.e. WP0.

4.2 Work Packages

Work Package 0

It is by default named Project Preparation. This WP's budget (17,500 euro) is inserted by default but it is erased if one or both financial support options for the preparation of the project has/ have been ticked.

Description of activities

Applicants are further requested to provide a description of the project preparation activities (e.g. project generation, engagement of partners, development of work plan and associated budget). Furthermore, Applicants shall provide a brief description of the involvement and contribution of each partner in the development of the project proposal. The maximum number of characters allowed is 2,000.

Partners' involvement

Partners involved in the preparation of the proposal shall be selected from the drop-down list.

Work Package 1

It is by default named Project Management. WP start and end month/ year and the WP budget will be filled in automatically based on the start/ end date of the individual activities within the WP and the allocated budgets. WP responsible partner, i.e. the LP for this WP, will also be filled in automatically.

Partners' involvement

Partners involved in the implementation of this WP shall be selected from the drop-down list. WP responsible partner does not need to be selected again.

Summary of WP1

The Applicants shall provide a summary of the work package also taking into consideration the information provided in Part V of the Applicants Manual – *How to set up an efficient project coordination*. The maximum number of characters allowed is 2,000.

Activities within the WP

Appropriate number of Activities (but not more than 5) shall be added by pressing the "+" button. Activity title (maximum 100 characters) shall be introduced, start and end month/ year of each Activity shall be selected from the calendar and allocated budget shall be indicated in the appropriate field. A description of each project activity within WP1 shall be provided. The description of the activities must be clear and concise and should contain the tasks that are going to be performed by the project partners. **The Applicants should avoid generic terms** (such as concepts, definitions) or too general descriptions that do not contain a geographical and time reference. A description of each project activity within WP1 shall be provided. The maximum number of characters allowed is 2,000.

Examples:

Correct description: *ERDF PP3 and IPA PP1 will organise each one workshop for stakeholders regarding policy development in cluster field in August 2019 (ERDF PP3 will organise the workshop in Budapest and IPA PP1 in Novi Sad). All the other project partners will participate in the workshops. ASP1 will provide support in the presentations and will feed back after the workshops. After the workshops, all the project partners and ASP1 will meet in September 2019, back to back with the project meeting and summarise in a common paper the recommendations for the next steps to be taken in enhancing the capacity of the relevant policy makers in advancing coherent cluster policies.*

Generic description: *two workshops will be organised by the ERDF PP3 and IPA PP1 based on which a recommendation paper will be drafted.*

Role of partners

Role of each involved partner shall be described in the corresponding field. Besides the roles, tasks and responsibilities of each partner, Applicants should describe also the role of the Associated Strategic Partners. Generic descriptions: such as "all partners contribute", should be avoided, Applicants being requested to underline how each project partner is involved in each activity. The maximum number of characters allowed is 1,500.

Deliverables

Appropriate deliverables shall be listed for each Activity providing a short description (max 250 characters) and indicating the target value and the delivery period. Deliverables will be automatically numbered and additional ones can be inserted by clicking the “+” button. Each activity should include one or more **deliverables** (e.g. analysis report, minutes etc.).

Work Package 2:

It is by default named Communication activities. WP start and end month/ year and the WP budget will be filled in automatically based on the start/ end date of the individual activities within the WP and the allocated budgets.

Partners’ involvement

WP responsible partner shall be selected from the drop-down list. Partners involved in the implementation of this WP shall be selected from the drop-down list. WP responsible partner does not need to be selected again.

Contribution of communication activities to the achievement of project specific objectives

The Applicants shall add and select as many specific objectives as defined in Section 3.3 – *Project intervention logic* and then answer the two questions, each field allowing 500 characters. The Applicant shall first indicate which are the methods, means and channels by which the target groups will be reached, which are the steps to be taken so that the proper message reaches them. Then, the Applicant shall explain how the communication activities contribute to the achievement of the defined specific objectives of the project.

Activities within the WP

Appropriate number of Activities (but not more than 5) shall be added by pressing the “+” button. Activity title (maximum 100 characters) shall be introduced, start and end month/ year of each Activity shall be selected from the calendar and allocated budget shall be indicated in the appropriate field. A description of each project activity within WP2 shall be provided. The description of the activities must be clear and concise and should contain the tasks that are going to be performed by the project partners. **The Applicants should avoid generic terms** (such as concepts, definitions) or too general descriptions that do not contain a geographical and time reference. A description of each project activity within WP1 shall be provided. The maximum number of characters allowed is 2,000.

Role of partners

Role of each involved partner shall be described in the corresponding field. Besides the roles, tasks and responsibilities of each partner, Applicants should describe also the role of the Associated Strategic Partners. Generic descriptions: such as “all partners contribute”, should be avoided, Applicants being requested to underline how each project partner is involved in each activity. The maximum number of characters allowed is 1,500.

Deliverables

Appropriate deliverables shall be listed for each Activity providing a short description (max 250 characters) and indicating the target value and the delivery period. Deliverables will be automatically numbered and additional ones can be inserted by clicking the “+” button. Each activity should include one or more **deliverables** (e.g. analysis report, newsletters etc.).

Additional WPs shall be added by clicking the “+” button at the end of this section. Please bear in mind that the maximum number of WPs is 7, excluding WP0.

Work Packages 3 to 7

The Applicants shall fill in the WP title (max. 25 characters). WP start and end month/ year and the WP budget will be filled in automatically based on the start/ end date of the individual activities within the WP and the allocated budgets.

Partners’ involvement

WP responsible partner shall be selected from the drop-down list. Partners involved in the implementation of the WP shall be selected from the drop-down list. WP responsible partner does not need to be selected again.

Summary of the WP

Applicants shall provide a brief description of the Work Package and the objectives thereof by indicating planned activities and intended outputs. The maximum number of characters allowed is 2,000.

Project outputs within the WP

The Applicants will define project outputs planned to be achieved within the WP (50 characters). Additional outputs can be inserted by clicking the “+” button and they are automatically numbered. Target value and delivery period shall be inserted in the specific fields. Planned outputs shall be described in the specific field, in terms of content of the output, as well as their contribution to the project specific objectives (max. 500 characters). The appropriate programme output indicator to which the project output will contribute shall be selected from the drop-down list.

Please bear in mind that the mandatory output indicator, *PO7 – Number of documented learning interactions in finalized operations*, needs to be selected at least once. Failure in doing so shall result in the ineligibility of the proposal.

Target groups involvement

The Applicants shall select from the drop-down list the target group relevant for each WP. Please note that multiple selection is possible. Additionally, Applicants shall then describe the involvement of the target group(s) in the development of the project outputs. The maximum number of characters allowed is 1,000.

Durability and transferability of outputs within the WP

Applicants shall provide answers to the questions regarding the durability and transferability of the project outputs after the closure of the project by describing the measures taken during the project implementation to ensure durability of project outputs and their transferability and applicability to other organisations/ bodies/ countries. If applicable, the role of the ASPs in ensuring the durability and transferability has to be described in this section. Durability refers to the long lasting effects of the projects outputs including their further valorisation. The section should also tackle the sustainability of the project outputs and its three dimensions:

- **Financial sustainability** - financing of follow up activities, leverage of funds etc.
- **Institutional sustainability** - "ownership" of project outputs - which structures will allow, and how, the results of the project to continue to be in place after the project end?
- **Political sustainability** - what structural impact will the project have? - e.g. will it lead to improved policies, legislation, plans, codes of conduct, methods, etc.?

Transferability refers to the potential to use/ apply the outputs of the projects in other regions or in different contexts.

Each field allows the insertion of maximum 1,500 characters.

Activities within the WP

Appropriate number of Activities (but not more than 5) shall be added by pressing the “” button. Activity title (maximum 100 characters) shall be introduced, start and end month/ year of each Activity shall be selected from the calendar and allocated budget shall be indicated in the appropriate field. A description of each project activity within the WP shall be provided. The description of the activities must be clear and concise and should contain the tasks that are going to be performed by the project partners. Applicants should avoid generic terms (such as concepts, definitions) or too general descriptions that do not contain a geographical and time reference. The maximum number of characters allowed is 2,000.

Role of partners

Role of each involved partner shall be described in the corresponding field. Besides the roles, tasks and responsibilities of each partner, Applicants should describe also the role of the Associated Strategic Partners. Generic descriptions: such as “all partners contribute”, should be avoided, Applicants being requested to underline how each project partner is involved in each activity. The maximum number of characters allowed is 1,500.

Deliverables

Appropriate deliverables shall be listed for each Activity providing a short description (max 250 characters) and indicating the target value and the delivery period. Deliverables will be automatically numbered and additional ones can be inserted by clicking the "+" button. Each activity should include one or more **deliverables** (e.g. country reports, minutes etc.) that contribute to the achievement of project outputs. In general, small steps of a single activity, such as working groups, partner meetings etc., do not need to be listed as separate deliverables, but their result should be aggregated into one deliverable, e.g. a qualitative report describing the policy initiatives in a certain field.

EXAMPLE:

The output of a thematic work package is "policy recommendations for stimulating the innovative ideas for products and services in the field of Information Society". In order to achieve this output several activities and deliverables are planned:

Activity 1: Analysis of the current policy framework

Deliverable 1: report on the current policy framework, including the gaps

Activity 2: Involvement of the policy makers through workshops

Deliverable 2: report on the outcomes of the workshops

Activity 3: Elaboration of the policy recommendations document

Deliverable: none, as the outcome of the activity is the output itself

4.3 Infrastructure and works

The Applicants shall add, if applicable, appropriate number of investments by clicking the "+" button and then name them (maximum 1,000 characters).

Applicants are then requested to provide a **description of the investment** (1,000 characters) and a thorough **justification** (1,000 characters) for the investment explaining its necessity for the implementation of the project and achievement of the project objectives, its **transnational character** or **transferability** to at least two other participating countries, in accordance with the Programme specific requirements, its **beneficiaries** and **advantages** to be brought. In case of a pilot investment, Applicants shall explain how it will be replicated in other countries and which will be the benefit for the other territories.

The Applicants shall also indicate, if not an exact address of the investment, at least its **location** (500 characters) and select the appropriate **NUTS II or III** region division from the drop-down list.

Applicants are further requested to describe the **risks** associated with the investment (1,000 characters), provide information on the necessary **investment documentation** and its availability (1,000 characters), select from the drop-down menus the **responsible partner** as well as other **involved partners**, provide information about the **ownership** of the investment (1,000 characters), select from the drop-down menu the appropriate **Activity** within which the investment will be carried out and enter the corresponding **budget**, **start date** and **delivery date**.

For more information about the eligibility of the infrastructure and works, please refer to Part 3, Section III – Eligibility of expenditure by budget lines of the DTP AM.

4.4 Equipment

Applicants shall add appropriate number of equipment items by clicking the "+" button and then select the specific WP from the drop-down menu for the implementation of which the equipment to be purchased is necessary.

Additionally, Applicants shall **list** all equipment to be purchased (200 characters), shall **indicate if the equipment is part of an investment or not**, will provide a **short and clear justification** regarding the necessity of the equipment and shall select from the drop-down menu the corresponding **responsible partner**. **Number of items** for each type of equipment will be inserted in the Unit no. column and the **price** per unit under the Unit rate column. Total cost will be automatically calculated under the budget column. Grand total of the equipment will also be calculated automatically.

For more information about the eligibility of the equipment, please refer to Part 3, Section III – Eligibility of expenditure by budget lines of the DTP AM.

4.5 Time plan

This section will be automatically filled in with the information provided in Section 4.2 of the AF.

Part 5 – OTHER DATA

5.1 Codes for the priority theme dimension

The Applicants shall select from the drop down list the **codes** relevant for the project. Additionally, a projected percentage shall be inserted while the amount is automatically calculated considering the total budget of the project.

Please be aware that the total contribution should reach 100% (equal to total project budget).

5.2 Key words

The Applicants shall list **maximum 5 key** words relevant for the project – each maximum 50 characters long (e.g. natural preservation, water management, e-mobility, social innovation, governance, sustainable development etc.)

Part 6 – ANNEXES

The applicants shall enter the number of files to be submitted with the AF (e.g. Partnership Agreement - 1, Co-financing Declarations – n, one for each financing partner, State Aid Declarations – n, one for each financing partner, International Organisation Declarations – n, one for each such partner, if applicable, ASP Declarations – n, one for each such partner, if applicable).

Lead partner confirmation and signature

The LA shall select the date from the calendar and enter the place where the AF was filled in. The name and the position of the signing person shall also be filled in (100 characters are available for each field).

The legal representative is the person who is entitled to sign officially on behalf of the LP institution. However, <u>at this stage, the signature of the LA legal representative is not required</u>. In case the proposal is selected for funding, the Applicant shall be requested to provide a signed AF.

Validate and finalise

After filling in all the sections of the AF, the applicant shall press the **"Validate and finalise"** button. In case required fields are not filled in, the form will generate error messages until they are complied with. The validated pdf file shall be submitted together with the other relevant files on the DTP website as indicated in the Introduction.

<u>Please note that:</u>

- **Once validated, the file becomes non-editable, therefore no changes can be made.**
  The "Edit Form" button which appears on the upper part of the first page after validation is to be used <u>only in case the project is approved for funding with conditions and the AF needs amendment. In this case, the JS will provide the LP the editable version of the submitted AF</u>.

PART B – Microsoft Excel Workbook (XLSX)

General instructions

The Financial Part of the AF consists of a Microsoft Excel Workbook (.xlsx) containing 11 (eleven) worksheets. The whole workbook as well as all the individual worksheets are locked and protected against being renamed/ modified/ copy-pasted/ deleted and so are the cells and formulas inside each worksheet. <u>In each worksheet, only the cells with white background are unlocked for the Applicants to fill in</u>. Attention shall be paid to the fact that the format of these cells can be modified by the Applicant (e.g. the background colour in case of copy-paste from another excel table).

As a general rule, the font Cambria 11 has been used in all worksheets and the international format of numbers #,###.## shall be respected in all inserted amounts. **It is recommended that all the amounts are being typed in, one-by-one**. The copy-paste function shall be very carefully managed: the amount in the source excel table must be first modified according to the destination cells format (i.e. **no background/ highlight colour, font Cambria 11 in black colour, no bold/underline or italic selected, international format of number #,###.##**) and then pasted in the relevant worksheet of the Financial Part of the AF.

1. Worksheet 1: Source of funds per PP

This is an overview on the different type of funds per partners and total amounts at project level. The Applicant shall fill in only the cells reflecting the percentages for the State, Public own, Private own Contribution (columns M, O and Q) and the amounts of planned revenues per partner (column S), where relevant.

<u>Please note that:</u>

- **In case of projects with partner(s) for which the State and/or Public own and/or Private own contribution are granted in a fixed amount (instead of fixed percentage), <u>please submit a request to the MA/JS in order to receive a file with unlocked cells for the amounts of the specific type(s) of contribution. In such a case, please make clear for which partner(s) and specific type(s) of contribution a fixed amount is to be granted.</u>**

The Acronym and the total budget of each partner are being automatically copy-pasted from the data inserted by the Applicant in Worksheet **2. ERDF PPs (WP-BL)** in case of ERDF partners, in Worksheet **4. IPA PPs (WP-BL)** in case of IPA partners, in Worksheet 6**. ENI MD PPs (WP-BL)** in case of ENI MD partners and in Worksheet 8**. ENI UA PPs (WP-BL)** in case of ENI UA partners. All the amounts regarding the ERDF/ IPA/ ENI MD/ ENI UA, State, Public own and Private own Contribution are automatically calculated according to the inserted percentages. The amounts are always being rounded down in case of ERDF/ IPA/ ENI MD/ ENI UA contribution and rounded up in case of State, Public own and Private own Contribution.

For the partners whose total budget is higher than 0 EUR, the percentages of the State, Public own and Private own Contribution will automatically be highlighted ("*conditional formatting*" function) with red colour unless the total of these 3 percentages will be the correct one (15%).

2. Worksheet 2: ERDF PPs (WP-BL)

The table in the upper part of this worksheet provides an overview of the ERDF PPs budgets per WPs and BLs. The amounts are automatically calculated by adding up the amounts inserted for each partner (see below).

For each partner, the Acronym and all the amounts per WP and BL shall be inserted by the Applicant, except for BL "Office and administrative expenditure" (see below, in the same paragraph). The method of calculating the Staff Costs shall be chosen (by a drop-down menu): the default option is "**Real cost basis**", which can be changed to "**Flat rate (up to 20%) of direct costs**". Similarly, the flat rate to be used for the Office and administrative expenditure shall be chosen (by a drop-down menu): the default option is **"0.00%"**, which can be changed to **"15.00%"**. In both cases, the value of "Office and administrative expenditure" is automatically calculated (based on the data provided for Staff Costs). Finally (only for the Lead Partner) the amount of the Preparation costs has to be selected (again from a drop-down menu): 0.00 EUR or 17,500.00 EUR.

In this datasheet, there is 1 conditional formatting function valid for each partner:

- If, under Staff Costs the option "**Flat rate (up to 20%) of direct costs**" is selected, and the inserted amount for Staff Costs in a given WP is higher than the 20% of the direct costs (i.e. the sum of BLs 'Travel and accommodation costs', 'External expertise and services', 'Equipment expenditure' and 'Infrastructure and works') of the same WP, then the amount of Staff Costs is highlighted with **yellow** colour, meaning that the amount has to be corrected. The same conditional formatting is applied to the total amount and the percentage of the Staff Costs (for all WPs).

3. Worksheet 3: ERDF PPs (WP-reporting periods)

The table in the upper part of this worksheet provides an overview of the ERDF PPs budgets per reporting periods and WPs. The amounts are automatically calculated by adding up the amounts inserted for each partner (see below).

For each partner, all the amounts per WP and reporting period shall be inserted.

In this worksheet, there is 1 conditional formatting function valid for each partner:

- If, for a given WP, the total amount (for all periods) is **not equal** to the total amount of the same WP in worksheet 2. ERDF PPs (WP-BL), then the total amount and the respective percentage are being highlighted in red colour. This means, that the total amount per WP/ Periods for each partner shall be harmonized with the total amount per WP/ BL.

The same conditional formatting is applied to the total budget of each partner as well to all the total amounts per WP in the first part (overview table for the sum-up of all ERDF partners) of this worksheet.

4. Worksheet 4: IPA PPs (WP-BL)

Same instructions as in worksheet **2. ERDF PPs (WP-BL)** are valid (where "ERDF" please read "IPA"), except the ones regarding the Preparation Costs –WP0 which are not relevant for IPA PPs.

5. Worksheet 5: IPA PPs (WP-reporting periods)

Same instructions as in worksheet **3. ERDF PPs (WP-reporting periods)** are valid (where "ERDF" please read "IPA"), except the ones regarding the Preparation Costs –WP0 which are not relevant for IPA PPs.

6. Worksheet 6: ENI MD PPs (WP-BL)

Same instructions as in worksheet **2. ERDF PPs (WP-BL)** are valid (where "ERDF" please read "ENI MD"), except the ones regarding the Preparation Costs –WP0 which are not relevant for ENI MD PPs.

7. Worksheet 7: ENI MD PPs (WP-reporting periods)

Same instructions as in worksheet **3. ERDF PPs (WP-reporting periods)** are valid (where "ERDF" please read "ENI MD"), except the ones regarding the Preparation Costs –WP0 which are not relevant for ENI MD PPs.

8. Worksheet 8: ENI UA PPs (WP-BL)

Same instructions as in worksheet **2. ERDF PPs (WP-BL)** are valid (where "ERDF" please read "ENI UA"), except the ones regarding the Preparation Costs –WP0 which are not relevant for ENI UA PPs.

9. Worksheet 9: ENI UA PPs (WP-reporting periods)

Same instructions as in worksheet **3. ERDF PPs (WP-reporting periods)** are valid (where "ERDF" please read "ENI UA"), except the ones regarding the Preparation Costs –WP0 which are not relevant for ENI UA PPs.

10. Worksheet 10: Overall + Activities

The table in the upper part of this worksheet provides an overview of the total project budget per PP (including all ERDF, IPA, ENI MD and ENI UA) and WP. The amounts are automatically copy-pasted from the data inserted by the Applicant in worksheets **2. ERDF PPs (WP-BL)**, **4. IPA PPs (WP-BL)**, **6. ENI MD PPs (WP-BL)** and 8**. ENI UA PPs (WP-BL)**.

The next 2 tables are giving a full picture on the total project budget (for All partners) regarding the Work Packages per Budget Lines and the Work Packages per Periods, respectively. These 2 tables are automatically filled in based on the information provided in sheets **2. ERDF PPs (WP-BL)** to **9. ENI UA PPs (WP-Periods)**.

The 4th table provides an overview of the total project budget per Activities (All partners), The amounts are automatically calculated from the amounts inserted by the Applicant in the following 4 tables:

i) "Total project budget per Activities (ERDF Partners)",
ii) "Total project budget per Activities (IPA Partners)"
iii) "Total project budget per Activities (ENI MD Partners)", and
iv) "Total project budget per Activities (ENI UA Partners)".

In this worksheet, there is 1 conditional formatting function, applied to the last 5 tables of the worksheet: "Total project budget per Activities (All partners)", "Total project budget per Activities (ERDF partners)", "Total project budget per Activities (IPA partners)", "Total project budget per Activities (ENI MD partners)" and "Total project budget per Activities (ENI UA partners)":

- When the total amount for a given WP/ Activities is not equal to the total amount per WP in the worksheets **2. ERDF PPs (WP-BL)**, **4. IPA PPs (WP-BL)**, **6. ENI MD PPs (WP-BL)** or **8. ENI UA PPs (WP-BL)** (for ERDF, IPA, ENI MD and ENI UA partners, respectively), then the total amount of this WP/ Activities is highlighted in **red** colour.

11. Worksheet 11: Associated Strategic Partners (ASPs)

The table in the upper part of this worksheet provides an overview of total amounts per WP for all Associated Strategic Partners (ASPs). The amounts are automatically calculated from the amounts to be inserted by the Applicant in the tables below, for each ASP.

For each ASP, the Acronym, the Sponsoring ERDF Partner and the amount allocated for each ASP per WP is to be inserted. Please, note that only BL3. "Travel and accommodation costs" is displayed, since the only eligible expenditure for the ASP partners is under that specific BL.

Applicants are requested to submit the filled in xlsx file in the provided template, not change it in any way or save it as pdf or any other type of file.