

THIRD CALL FOR PROPOSALS CAPITALISATION PROJECTS TERMS OF REFERENCE

9 December 2009

1. INTRODUCTION

Authorities and stakeholders at local and regional level have a vital role to play in the achievement of the EU's strategies for growth, jobs and sustainable development. The exchange, sharing and transfer of policy experience, knowledge and good practices will contribute to the success of this objective.

The INTERREG IVC Programme is part of the European Territorial Cooperation Objective of the Structural Fund policies for the period 2007-2013. It aims, by means of interregional cooperation, to improve the effectiveness of regional development policies and contribute to economic modernisation and increased competitiveness of Europe, by:

- enabling local and regional actors across the EU to exchange their experiences and knowledge;
- matching regions less experienced in a certain policy field with more advanced regions;
- **ensuring the transfer of good practices into Structural Funds mainstream programmes.**

The INTERREG IVC Programme is financed through the European Regional Development Fund (ERDF), whose principles and regulations are laid down in Council Regulation N° 1083/2006 (General Regulation), Council and Parliament Regulation N° 1080/2006 (ERDF Regulation) and Commission Regulation N° 1828/2006 (Implementation Regulation). The principles and regulations for projects developed within the Programme are laid down in the Operational Programme, which was officially approved by the European Commission on 11th September 2007.

2. ELIGIBLE AREA

The eligible INTERREG IVC cooperation area covers the whole territory of the European Union with its 27 Member States, including insular and outermost areas. In addition, Norway and Switzerland are full members of the Programme and organisations from these countries are welcome to participate in it. Further information on the participation of partners from these two countries in the third call for proposals can also be found in point 5 of the present document. Partners from other countries can participate at their own costs.

3. TIMING OF THE CALL

The third call for proposals opens on **9 December 2009** and closes on **5 March 2010**.

4. TYPES OF INTERVENTION AND PRIORITIES

For this specific call, **only Capitalisation Projects, including Fast Track Projects, will be supported**. A detailed description of this type of intervention is provided in section 2.1.2 of the programme manual. **Applications for Regional Initiative Projects will not be accepted.**

The INTERREG IVC Programme is divided into two thematic priorities related to the EU strategy for growth and sustainable development known as the Lisbon and Gothenburg strategies. Applicants are invited to submit their project application under one of the sub-themes listed below.

PRIORITY 1 – INNOVATION & KNOWLEDGE ECONOMY	PRIORITY 2 – ENVIRONMENT & RISK PREVENTION
- Innovation, Research & Technology Development	- Natural & Technological Risks, Climate change
- Entrepreneurship and SMEs	- Water Management
- Information Society	- Waste Prevention and Management
- Employment, Human Resources and Education	- Biodiversity and Natural Heritage; air quality
	- Energy and Sustainable Transport
	- Cultural Heritage and Landscape

Capitalisation Projects have already been approved in all sub-themes of priority 1 and in the sub-theme 'Waste Prevention and Management' of priority 2. Therefore, applicants submitting proposals under one of these sub-themes will need to precisely explain in their application form the differences but also the possible synergies of their proposal with these existing running projects.

5. PARTNERSHIP REQUIREMENTS

i) WHO CAN APPLY?

Only public authorities and bodies governed by public law are eligible. According to Directive 2004/18/EC, Article 1, a body governed by public law means any body:

- (a) Established for the specific purpose of meeting needs in the general interest, not having an industrial or commercial character;
- (b) Having legal personality; and
- (c) - 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.

Only "official partners" (those listed in the application form, also called "contributing partners") can incur costs and receive ERDF. It is therefore not possible to participate with a "sub-partner" status.

As indicated in the Operational Programme and programme manual, applications from national, regional or local authorities, or partnerships having at least a solid and relevant participation of regional and local authorities in them, will be considered with priority in the selection process. In order to maximise the impact of this programme on regional and local policies across the EU, applicants are strongly encouraged to include the relevant and competent public authorities in their operations.

Due to the characteristics of Capitalisation Projects, **the involvement of the relevant bodies responsible for monitoring the Operational Programme in each of the participating regions (either the Managing Authority (MA) itself or the intermediate body designated to carry out some or all of the tasks of the Managing Authority) is a prerequisite for applying to this type of intervention.**

If the concerned MA/intermediate bodies are not involved directly as partners in the project, the way they will participate in the cooperation would need to be precisely explained in the application form and **a standard letter of support from these MA/intermediate bodies will be required** (with the exceptions described in points iii and iv below).

The aim of this standard letter is to ensure that the MA/intermediate body is aware of the project and supports the participation of the partner(s) representing its 'region'. It should however be noted that this letter does not constitute any legal commitment from the MA/intermediate body to finally implement the action plan.

If the partnership contains more than one organisation from the same region (none of whom are MA/intermediate bodies), a standard letter of support from the MA/intermediate body is required for **each** organisation. If one of these organisations is the MA/intermediate body, no letter of support is required.

The template standard letter of support that must be used is provided in the application pack. A non exhaustive list of the Managing Authorities/intermediate bodies in Europe is available on the programme website.

ii) GEOGRAPHICAL COVERAGE

In order to be eligible, the applications submitted in the third call will have to ensure that the three following requirements are met:

- a **minimum of 6 and a maximum of 10 countries** are represented in the partnership,
- **at least one partner from each of the four Information Point areas** (see point 9 below) are represented in the partnership,
- **at least two of the twelve most recent EU Member States** are represented in the partnership (i.e. Bulgaria, Czech Republic, Cyprus, Estonia, Hungary, Latvia, Lithuania, Malta, Poland, Romania, Slovakia, Slovenia).

iii) PARTNERS FROM NORWAY AND SWITZERLAND

Concerning partners from Norway and Switzerland, only public authorities and bodies governed by public law are eligible. Partners from these countries involved in a Capitalisation Project have to explain in which policy framework the transfer of good practice will take place within their region. The funding instrument/programme which is supposed to finance the implementation of the practices has to be specified in the application form. Ideally, the institution in charge of this instrument/programme should also be directly involved in the Capitalisation Project. If not, the way this policy institution will participate in the cooperation has to be explained in the application form. No letter of support is required for partners from Norway and Switzerland.

iv) OTHER TYPE OF INVOLVEMENT

There may be other rare cases where proposed partner(s) will not directly import or export any practices themselves but bring specific knowledge and competences which are required for the success of the project. This is acceptable only if the partner is a public body or body governed by public law and that this specific role and contribution is made very clear in the application form. No letter of support is required for this particular 'type' of partner.

6. FUNDING AVAILABLE AND CO-FINANCING RATE

A maximum budget of EUR 15 million ERDF is allocated to the third call for proposals but no further specific allocation is made by priority or sub-theme.

To be eligible, the applications submitted in the third call have to propose an ERDF budget ranging from a minimum of EUR 1 million to a maximum of EUR 2 million.

Under the INTERREG IVC Programme, the eligible project activities are co-financed by the ERDF at a rate of either 75% or 85% depending on the Member State.

Co-financing rate/funding	Participating States (EU + Norway)
75% ERDF	Austria, Belgium, Denmark, Finland, France, Germany, Ireland, Italy, Luxembourg, Netherlands, Spain, Sweden, United Kingdom
85% ERDF	Bulgaria, Czech Republic, Cyprus, Estonia, Greece, Hungary, Latvia, Lithuania, Malta, Poland, Portugal, Romania, Slovakia, Slovenia
50% National Funds	Norway

Partners from Norway and Switzerland are not eligible to receive ERDF but can receive co-financing from their respective national funds. Swiss partners should refer to the Cantons in order to know more about the availability of these funds.

7. PROJECT APPLICATIONS

The application pack of the third call is available on the programme website (www.interreg4c.eu) and includes the following documents:

- the present terms of reference,
- the programme manual,
- the application form,
- the co-financing statement template,
- the letter of support template.

Project applicants who would like to submit a proposal must complete an application form in English, as it is the working language of the programme. Applications submitted in another language will be considered ineligible.

The application form consists of an Excel document, which includes a number of automatic links and formulae. These features ensure that error messages appear in the form if it is not properly filled in. Applications submitted with error messages will be declared ineligible. Detailed instructions on how to fill in the application form are provided in the application form itself. All the relevant information is available on the programme's website: www.interreg4c.eu

The application form has to be submitted electronically by e-mail to:

application@interreg4c.eu

at the latest by **5 March 2010**. Similarly the original, unbound hard copy hand signed, stamped (if exists) and dated (as per postal stamp or equivalent proof) has to be sent at the latest by the same date to the following address only:

**INTERREG IVC
3rd call for proposals
Les Arcuriales - Entrée D - 5e étage
45 rue de Tournai
59000 LILLE
FRANCE**

There must be no difference between the electronic version and paper version of the application form. The original paper version of the application form must also include the signed co-financing statements from all partners including the Lead partner (originals, faxed or scanned copies) as well as, if applicable (see point 4 above), all the required support letters from the MA/intermediate body (originals, faxed or scanned copies).

Further requirements are outlined in point 8 below and in section 3.4.1 (eligibility criteria) of the programme manual.

8. PROJECT SELECTION

All applications will be subject to a two-step assessment procedure. Projects will initially be checked against the following eligibility criteria.

Third call eligibility criteria	
1.	Has the application form been submitted in due time in original and electronic versions, both versions being identical? Is a proof of sending provided (postal stamp or equivalent)?
2.	Is the application complete and includes: <ul style="list-style-type: none"> - the application form (original)? - the co-financing statements for the Lead partner and each partner (originals, faxed or scanned copies)? - the letters of support from the MA/intermediate Body, if applicable (originals, faxed or scanned copies)?
3.	Is the application form dated and hand signed and fully and properly filled in according to the instructions (no error messages appear in the document)?
4.	Are all co-financing statements correct? Are they signed and dated (if available they should also be stamped and printed on headed letter paper)? Is the name of the partner mentioned identical to the institution name mentioned in the application form? Does the sum stated in the statement at least cover the "national co-financing" amount (or the "total amount" in case of partners not applying for INTERREG IVC co-financing) indicated in the application form? Is the standard form included in the application pack used and, besides the fields to be filled, have no amendments been made to the text?
5.	Are letters of support provided for partners representing a 'region' where the MA/intermediate body is not directly involved in the partnership? Are the letters of support correct? Are they signed and dated (they should also be stamped and printed on headed letter paper if existing) by the relevant MA/intermediate body? Is the name of the partner mentioned identical to the institution name mentioned in the application form? Is the standard form included in the application pack used and, besides the fields to be filled, have no amendments been made to the text?
6.	Is the project supported by partners from at least six countries , including at least two new EU Member States ? Is the number of countries represented in the partnership limited to a maximum of 10 ?
7.	Does the project partnership include at least one partner from each IP area ?
8.	Is the ERDF budget comprised between EUR 1 million and EUR 2 million ?

The eligibility assessment is a 'yes or no' process. This means that the eligibility assessment does not allow any flexibility in the way the criteria are applied. Only applications that pass this eligibility step will be subject to quality assessment according to six selection criteria.

Based on the results of the quality assessment, final decisions are made by the Monitoring Committee of the programme, which is made up of representatives from both national and regional authorities within the participating states. They are communicated to all Lead partners via a notification letter.

Decisions on third call applications are expected to be taken by autumn 2010. Therefore, it is recommended that the project start date is not earlier than October 2010.

9. TECHNICAL ASSISTANCE

The Joint Technical Secretariat (JTS) which supports the Nord-Pas de Calais Region, Managing Authority of the programme is based in Lille, France. The JTS is in charge of the overall implementation of the programme (development, assessment, monitoring, auditing). The JTS works closely with four Information Points located across Europe. They provide assistance to applicants and organise events to promote the programme. They also support the network of national and regional contact points. Applicants are asked to be in contact with their respective Information Points depending on their location (see table below).

Information Point	Geographical area
North (Rostock, Germany) IP-North@interreg4c.eu	Denmark, Estonia, Finland, Germany, Latvia, Lithuania, Sweden, Norway
East (Katowice, Poland) IP-East@interreg4c.eu	Austria, Bulgaria, Czech Republic, Hungary, Poland, Romania, Slovakia, Slovenia
South (Valencia, Spain) IP-South@interreg4c.eu	Cyprus, Greece, Italy, Malta, Portugal, Spain
West (Lille, France) IP-West@interreg4c.eu	Belgium, France, Ireland, Luxembourg, Netherlands, United Kingdom, Switzerland

Full details of the support offered to applicants is available on www.interreg4c.eu

10. FURTHER INFORMATION

A comprehensive description of the programme's strategies and priorities, together with a socio-economic analysis of Europe are included in the INTERREG IVC Operational Programme.

Further guidance for project applicants is provided in the programme manual which is available on the programme website. All official documents and contact details of the programme JTS and the Information Points are also available for download on the programme website:

www.interreg4c.eu